



## North American Energy Standards Board

1100 Louisiana, Suite 3625, Houston, Texas 77002

Phone: (713) 356-0060, Fax: (713) 356-0067, E-mail: [naesb@aol.com](mailto:naesb@aol.com)

Home Page: [www.naesb.org](http://www.naesb.org)

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**via email and posting**

**TO:** NAESB WEQ Members and Interested Industry Participants  
**FROM:** Rae McQuade, Executive Director  
**RE:** Wholesale Electric Quadrant Request For Comments  
**DATE:** January 9, 2004

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An industry comment period begins January 10, 2004 and ends on February 9 for the recommendation attached. The Executive Committee will meet in Houston on February 24 to review this recommendation and consider it for vote as a NAESB Wholesale Electric Quadrant (WEQ) standard.

This recommendation reflects standards that have already been adopted by the FERC in FERC Order Nos. 605, 638 and 889, and as such are applicable to the FERC jurisdictional entities. These standards will serve as the basis for proposed modifications to address issues that will be raised in the OASIS 1A and OASIS 2 development efforts.

The recommendation can be accessed from the NAESB Web site, but is also attached to this request for comment. All comments received by the NAESB office by end of business on February 9 will be posted on the Home Page and forwarded to the WEQ EC members for their consideration. If you have difficulty retrieving this document, please call the NAESB office at (713) 356-0060.

Best Regards,

*Rae McQuade*

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## NAESB Wholesale Electric Quadrant Member Roster January 9, 2004

<b>Organization</b>	<b>Segment</b>	<b>Member Contact</b>
ACES Power Marketing LLC	m	Roy J. True
Alabama Electric Cooperative, Inc.	d	Kenneth J. Skroback Barbara Radous, Joseph Hartsoe
American Electric Power Marketing, Inc.	m	Thomas Ringenbach
American Electric Power Service Corp.	d	John Stough, Michael Desselle
American Electric Power Service Corp.	t	Pat Frazier, Chris Norton
American Municipal Power - Ohio, Inc.	d	Julie Voeck
American Transmission Company LLC	t	Mark W. Hackney
Arizona Public Service Company	t	Lindy Funkhouser
Arizona Residential Utility Consumer Office	e	Ricky Bittle
Arkansas Electric Cooperative Corporation	g	Scott A. Waples
Avista Corp.	t	John J. Moraski, Ralph Bourquin
Baltimore Gas & Electric Company	t	Dan Klempel
Basin Electric Power Cooperative	t	David Raatz
Basin Electric Power Cooperative	m	Jason Doerr
Basin Electric Power Cooperative	g	Ted Humann
Basin Electric Power Cooperative	d	Sydney D. Berwager
Bonneville Power Administration	d	Fran Halpin
Bonneville Power Administration	g	Brenda Anderson
Bonneville Power Administration	m	Barbara Rehman
Bonneville Power Administration	t	Jeanne Zaiontz
BP America Inc.	e	Peter H. Buros
BP Energy Company	m	William Taylor, Jim Stanton
Buckeye Power, Inc.	d	Stephen A. Behrens
Calpine Corporation	g	Paul Rocha
Cap Gemini Ernst and Young	m	C. Pinckney Roberts, Arthur Fusco
CenterPoint Energy	t	Carol Guthrie
Central Electric Power Cooperative	d	Paul Jett, Ron Jackups
ChevronTexaco Energy Research and Technology	e	Walt Yeager, Ron Jackups
Cinergy	e	Walt Yeager, Ron Jackups
Cinergy	g	Keith Comeaux
Cinergy	m	Barbara Radous
Cleco Power, LLC	t	Jim Templeton
Columbus Southern Power Company	g	Gloria Ogenyi
Comprehensive Energy Services	e	Gloria Ogenyi
Conectiv Energy Supply, Inc.	g	Ken Gates
Conectiv Energy Supply, Inc.	m	Sara O'Neill
Conectiv Power Delivery	t	Andrew C. Dotterweich,
Constellation NewEnergy, Inc.	d	
Consumers Energy Company	d	

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Consumers Energy Company	g	Frank Johnson
Dairyland Power Cooperative	t	Steven L. Gaarde, Andrew C. Dotterweich, John J. Dellas
Department of the Interior, Bureau of Reclamation	g	Bruce Staples
Detroit Edison	d	Deborah M. Linke
Dominion Energy Marketing, Inc.	g	David G. Nick
Duke Energy Corp.	d	Lou Oberski
Duke Energy North America	g	Ollie Frazier
Duke Energy North America	m	Bill D. Blevins
Dynegy Marketing and Trade	m	Michael F. Gildea
Edison Electric Institute	n	Jason Cox
El Paso Corporation	g	David Owens, Dave Dworzak
El Paso Merchant Energy	m	Dennis M. Price
Electric Reliability Council of Texas (ERCOT)	n	Sam Beason
Electricity Consumers Resource Council (ELCON)	e	Sam R. Jones
Empire District Electric Company, The	t	John Anderson, John Hughes
Energy East Management Corporation	t	Bary K. Warren
		Marjorie Perlman
		Edward J. Davis, John H. Zemanek
Entergy Services, Inc.	t	F. Jay Poche
Entergy Services, Inc.	m	John F. Leonard, Jr.
Exelon Corporation - PECO Energy	d	John Blazekovich
Exelon Energy Delivery	t	R. Scott Brown
Exelon Generation - Power Team	m	Regina Carrado
Exelon Generation Company LLC	g	Steve Sayuk
ExxonMobil Gas Marketing	e	Rick Casey
Florida Municipal Power Agency	g	Steven H. McElhaney
Florida Municipal Power Agency	d	Joe Stepenovitch
Florida Power & Light Company	m	Marty Mennes
Florida Power & Light Company	t	Carol Hester
Georgia Transmission Corporation	t	Victor Bissonnette
Hydro - Quebec Transenergie	t	Dave Barrie
Hydro One Networks	t	Dick Foltz
Indiana Municipal Power Agency	g	Patricia Smith
Maryland Peoples Counsel	e	Charles V. Waits
Michigan Electric Transmission Company LLC	t	James R. Nickel, Daniel E. Cooper
		Bill Phillips
Michigan Public Power Agency	d	Susann D. Felton, Alan Johnson
Midwest Independent Transmission System Operator	n	Brian Zavesky
		Roge Van Hoy
Mirant Corp.	m	
Missouri River Energy Services	d	
Modesto Irrigation District	t	
National Association of Regulatory Utility Commissioners	e	Lou Ann Westerfield
National Grid USA	t	Masheed Rosenqvist

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National Rural Electric Cooperative Assoc.	n	Barry Lawson
New York State Dept. of Public Service	e	William Heinrich
North Carolina Eastern Municipal Power Agency	g	Gregory Locke
North Carolina Electric Membership Corporation	d	David Beam
North Carolina Electric Municipal Power Agency #1	m	Clay A. Norris
North Carolina Electric Municipal Power Agency #1	d	Andrew Fusco
		David Boguslawski, William
Northeast Utilities Service Company	t	P. McKinnon
NRG Power Marketing, Inc.	g	Steve Corneli
Oglethorpe Power Corporation	g	Billy Ussery
Ohio Consumers Council	e	John Smart, Randy Corbin
Old Dominion Electric Cooperative	g	James N. Kimball
Oncor	t	Ellis Rankin
Ontario Power Generation	g	Barry Green
		Dowell Hudson, JoAnne
Ontario Power Generation	m	Magnante
Open Access Technology International, Inc.	e	Kevin Burns
PacifiCorp	d	Alec Burden
PacifiCorp	m	Edison G. Elizeh
PacifiCorp	g	Greg Maxfield
PacifiCorp	t	Jim Hicks, Darrell Gerrard
		Dede Hapner (no longer
PG&E National Energy Group	m	primary contact)
Platte River Power Authority	t	Terry L. Baker
Portland General Electric	m	Terri Peschka
Portland General Electric	t	Frank Afranji
PPL Electric Utilities Corporation	t	Ray Mammarella
PPM Energy, Inc.	g	Don Winslow
PPM Energy, Inc.	m	Don Winslow
		James B. Rouse, David
Praxair, Inc.	e	Meade
Progress Energy	d	Benjamin Crisp
Progress Energy	g	Philip Lewis
Progress Energy	m	Micheal Settlage
Progress Energy	t	Verne Ingersoll
PSEG Energy Resources and Trade LLC	m	James D. Hebson
PSEG Power LLC	g	Grgory Eisenstark
Public Service Electric and Gas Company	d	Colin J. Loxley
Public Service Electric and Gas Company	t	Jeffrey C. Mueller
Public Utility District No. 1 of Chelan County	m	Doug Frazier
		George Marshall, Bob
Puget Sound Energy, Inc.	t	Harshbarger
Reliant Energy Power Generation	g	John Simpson
Reliant Energy Services, Inc.	m	Charles Yeung
Sacramento Municipal Utility District	g	Thomas Ingwers
Salt River Project Agricultural Improvement and		Wendy Weathers, Mark B.
Power District	d	Bonsall

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Salt River Project Agricultural Improvement and Power District	g	David P. Slick
Salt River Project Agricultural Improvement and Power District	m	John D. Coggins III
Salt River Project Agricultural Improvement and Power District	t	Steve Cobb
Seminole Electric Cooperative, Inc.	g	Lane Mahaffey
Seminole Electric Cooperative, Inc.	t	Glenn Spurlock
Southeastern Power Administration	g	Bob Goss
Southern California Edison	t	Ronald D. Nunnally Gary Rozier, Jim Miller, Greg Butrus
Southern Company Services, Inc.	d	Tony A. Reed
Southern Company Services, Inc.	g	Joel Dison
Southern Company Services, Inc.	m	R.D. (Dean) Ulch, John Lucas
Southern Company Services, Inc.	t	Carl Monroe
Southwest Power Pool	n	Larry D. Huff
Southwest Transmission Cooperative, Inc.	t	Forrest E. Reeves
Southwestern Power Administration	g	Stanley L. Mason
Southwestern Power Administration	t	L. Christian Hauck, Carroll Waggoner
Sunflower Electric Power Corporation	t	Scott Helyer
Tenaska, Inc.	g	Ron L. Owens
Tennessee Valley Authority	d	William F. Irish
Tennessee Valley Authority	g	Gary L. Jackson
Tennessee Valley Authority	m	Mitchell Needham, W. Terry Boston
Tennessee Valley Authority	t	Brett Perlman, Brian Lloyd, Angela Hurdle
Texas Public Utility Commission	e	Steve LaFond
The Boeing Company	e	Audrey Zibelman
TRANSlink Development Company LLC	t	
Tri-State Generation and Transmission Association, Inc.	t	Bruce Sembrick
Tri-State Generation and Transmission Association, Inc.	t	
TXU Energy Trading	m	Thomas A. Smith
TXU Energy Trading	m	Brad Jones, Jeff Shorter
UBS Warburg Energy	m	Suzanne Calcagno
Vermont Public Power Supply Authority	g	William J. Gallagher
We Energies	d	Linda Horn
We Energies	g	James R. Keller
Western Area Power Administration	t	Mark Fidrych
Western Area Power Administration	m	Jeffrey Ackerman
Wisconsin Public Power Inc.	d	Mike Stuart
Wisconsin Public Power Inc.	d	William Bourbonnais, Charles W. Severance
Wisconsin Public Service Corporation	g	W. Severance
Xcel Energy Inc.	m	Steven J. Beuning

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RECOMMENDATION TO NAESB WEQ EXECUTIVE COMMITTEE

Requester: Southern Company Services
Request No.: R04005

Date: December 29, 2003

1. Action:

- X Accept as requested
Accept as modified below
Decline
X Change to Existing Practice
Status Quo

2. TYPE OF MAINTENANCE

Per Request:

Per Recommendation:

- X Initiation
Modification
Interpretation
Withdrawal
Principle
Definition
X Business Practice Standard
Document
Data Element
Code Value
X12 Implementation Guide
Business Process Documentation

- X Initiation
Modification
Interpretation
Withdrawal
Principle
Definition
X Business Practice Standard
Document
Data Element
Code Value
X12 Implementation Guide
Business Process Documentation

3. RECOMMENDATION

SUMMARY:

Accept as requested the current Business Practice Standards and Communication Protocols for Open Access Same-Time Information System (OASIS) adopted in FERC Orders 605, 638 and 889.

STANDARDS LANGUAGE:

Section 2 Standard Terminology for Transmission and Ancillary Services

Section 2.1 Attribute Values Defining the Period of Service

The data templates of the Phase IA Standards & Communication Protocols (S&CP) Document have been developed with the use of standard service attributes in mind. What the Phase IA S&CP Document does not offer are specific definitions for each attribute value. This section offers standards for these service attribute definitions to be used in conjunction with the Phase IA data templates.



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Fixed services are associated with transmission services whose periods align with calendar periods such as a day, week, or month. Sliding services are fixed in duration, such as a week or month, but the start and stop time may slide. For example a Sliding week could start on Tuesday and end on the following Monday. Extended allows for services in which the start time may slide and also the duration may be longer than a standard length. For example an Extended week of service could be nine consecutive days. Various transmission service offerings using these terms are defined in Standards 2.1.1 through 2.1.14 below. Next\_Increment indicates the next available full Service\_Increment, such as the next hour, next day, or next week. Next\_Increment is added at this time to address Next Hour Market Service, but may be used in the future to denote other products.

Table 1-1 identifies the standard terminology in OASIS Phase IA for the attributes SERVICE\_INCREMENT (Hourly, Daily, Weekly, Monthly, and Yearly) and TS\_WINDOW (Fixed, Sliding, Extended, and Next\_Increment). Values shown in Table 1-1 as N/A (Not Applicable) are not sufficiently common in the market to require standards.

Next Hour Market Service, a new pro forma service, is denoted as having a Service Increment of Hourly and a TS\_WINDOW of Next\_Increment.

Table 1-1
Standard Service Period Attribute Values in Phase IA

Table with 5 columns: Service Period, Fixed, Sliding, Extended 1, Next\_Increment. Rows include Hourly, Daily, Weekly, Monthly, and Yearly.

1Included in the Phase IA S&CP Data Dictionary, Version 1.3, issued September 29, 1998.

2Next Hour Market Service is identified by Service Increment = Hourly and TS\_WINDOW = Next\_Increment

The existence of an attribute value in this table does not imply the services must be offered by a Transmission Provider. Requirements as to which services must be offered are defined by regulation and tariffs. Likewise, absence of a service period value in Table 1-1 does not restrict a Transmission Provider from offering a service. The intent of the table is to establish common terminology associated with standard products.

Each service period value assumes a single time zone specified by the Transmission Provider. It is recognized that daylight time switches must be accommodated in practice, but they have been omitted here for the purpose of simplicity.

Standard 2.1: A Transmission Provider shall use the values and definitions below for the service period attributes, SERVICE\_INCREMENT AND TS\_WINDOW for all transmission services offered on OASIS, or shall post alternative service period values and associated definitions on the OASIS Home Page at http://www.tsin.com, or shall use existing



## RECOMMENDATION TO NAESB WEQ EXECUTIVE COMMITTEE

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attribute values and definitions posted by other Transmission Providers. (See Section 3 for registration requirements.)

**Standard 2.1.1:** FIXED HOURLY - The service starts at the beginning of a clock hour and stops at the end of a clock hour.

**Standard 2.1.2:** FIXED DAILY - The service starts at 00:00 and stops at 24:00 of the same calendar date (same as 00:00 of the next consecutive calendar date).

**Standard 2.1.3:** FIXED WEEKLY - The service starts at 00:00 on Monday and stops at 24:00 of the following Sunday (same as 00:00 of the following Monday).

**Standard 2.1.4:** FIXED MONTHLY - The service starts at 00:00 on the first date of a calendar month and stops at 24:00 on the last date of the same calendar month (same as 00:00 of the first date of the next consecutive month).

**Standard 2.1.5:** FIXED YEARLY - The service starts at 00:00 on the first date of a calendar year and ends at 24:00 on the last date of the same calendar year (same as 00:00 of the first date of the next consecutive year).

**Standard 2.1.6:** SLIDING DAILY - The service starts at the beginning of any hour of the day and stops exactly 24 hours later at the same time on the next day.

**Standard 2.1.7:** SLIDING WEEKLY - The service starts at 00:00 of any date and stops exactly 168 hours later at 00:00 on the same day of the next week.

**Standard 2.1.8:** SLIDING MONTHLY - The service starts at 00:00 of any date and stops at 00:00 on the same date of the next month (28-31 days later). If there is no corresponding date in the following month, the service stops at 24:00 on the last day of the next month.

For example: SLIDING MONTHLY starting at 00:00 on January 30 would stop at 24:00 on February 28 (same as 00:00 March 1).

**Standard 2.1.9:** SLIDING YEARLY - The service starts at 00:00 of any date and stops at 00:00 on the same date of the following year. If there is no corresponding date in the following year, the service stops at 24:00 on the last day of the same month in the following year.

For example SLIDING YEARLY service starting on February 29 would stop on February 28 of the following year.

**Standard 2.1.10:** EXTENDED DAILY - The service starts at any hour of a day and stops more than 24 hours later and less than 168 hours later.

**Standard 2.1.11:** EXTENDED WEEKLY - The service starts at 00:00 of any date and stops at 00:00 more than one week later, but less than four weeks later.



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**Standard 2.1.12:** EXTENDED MONTHLY - The service starts at 00:00 of any date and stops at 00:00 more than one month later, but less than twelve months later.

**Standard 2.1.13:** EXTENDED YEARLY - The service starts at 00:00 of any date and stops at 00:00 more than one year later, but must be requested in increments of full years.

**Standard 2.1.14:** NEXT\_INCREMENT HOURLY - The service starts at the beginning of the next clock hour and stops at the end of that clock hour.

## Section 2.2 Attribute Values Defining Service Class

**Standard 2.2:** A Transmission Provider shall use the values and definitions below to describe the service class, TS\_CLASS, for transmission services offered on OASIS, or shall post alternative TS\_CLASS attribute values and associated definitions on the OASIS Home Page at <http://www.tsin.com>, or shall use the attribute values and definitions posted by other Transmission Providers. (See Section 3 for registration requirements.)

**Standard 2.2.1:** FIRM - Transmission service that always has priority over NONFIRM transmission service and includes Native Load Customers, Network Customers, and any transmission service not classified as non-firm in accordance with the definitions in the pro forma tariff.

**Standard 2.2.2:** NON-FIRM - Transmission service that is reserved and/or scheduled on an as-available basis and is subject to curtailment or interruption at a lesser priority compared to FIRM transmission service, including Native Load Customers and Network Customers, in accordance with the definitions in the pro forma tariff.

## Section 2.3 Attribute Values Defining Service Types

**Standard 2.3:** A Transmission Provider shall use the values and definitions below to describe the service type, TS\_TYPE, for transmission services offered on OASIS, or shall post alternative attribute values and associated definitions on the OASIS Home Page at <http://www.tsin.com>, or shall use the attribute values and definitions posted by other Transmission Providers. (See Section 3 for registration requirements.)

**Standard 2.3.1:** POINT-TO-POINT (PTP) - Transmission service that is reserved and/or scheduled between specified POINTS OF RECEIPT and DELIVERY pursuant to Part II of the pro forma tariff and in accordance with the definitions in the pro forma tariff.

**Standard 2.3.2:** NETWORK - Network Integration Transmission Service that is provided to serve a Network Customer load pursuant to Part III of the pro forma tariff and in accordance with the definitions in the pro forma tariff.



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#### Section 2.4 Curtailment Priorities

**Standard 2.4:** A Transmission Provider that has adopted NERC TLR Procedures shall use the curtailment priority definitions contained in NERC TLR Procedures for NERC CURTAILMENT PRIORITY (1-7) for all transmission services offered on OASIS. A Transmission Provider that has adopted alternative curtailment procedures shall post its alternative attribute values and associated definitions on the OASIS Home Page at <http://www.tsin.com>, or shall use attribute values and definitions posted by another Transmission Provider. (See Section 3 for registration requirements.)

#### Section 2.5 Other Service Attribute Values

The Commission has defined six ancillary services in Order No. 888. Other services may be offered pursuant to filed tariffs.

**Standard 2.5:** A Transmission Provider shall use the definitions below to describe the AS\_TYPES offered on OASIS, or shall post alternative attribute values and associated definitions on the OASIS Home Page at <http://www.tsin.com>, or shall use attribute values and definitions posted by another Transmission Provider. (See Section 3 for registration requirements.)

##### FERC Ancillary Services Definitions

**Standard 2.5.1:** SCHEDULING, SYSTEM CONTROL AND DISPATCH SERVICE (SC) - is necessary to the provision of basic transmission service within every control area. This service can be provided only by the operator of the control area in which the transmission facilities used are located. This is because the service is to schedule the movement of power through, out of, within, or into the control area. This service also includes the dispatch of generating resources to maintain generation/load balance and maintain security during the transaction and in accordance with section 3.1 (and Schedule 1) of the pro forma tariff.

**Standard 2.5.2:** REACTIVE SUPPLY AND VOLTAGE CONTROL FROM GENERATION SOURCES SERVICE (RV) - is the provision of reactive power and voltage control by generating facilities under the control of the control area operator. This service is necessary to the provision of basic transmission service within every control area and in accordance with section 3.2 (and Schedule 2) of the pro forma tariff.

**Standard 2.5.3:** REGULATION AND FREQUENCY RESPONSE SERVICE (RF) - is provided for transmission within or into the transmission provider's control area to serve load in the area. Customers may be able to satisfy the regulation service obligation by providing generation with automatic generation control capabilities to the control area in which the load resides and in accordance with section 3.3 (and Schedule 3) of the pro forma tariff.

**Standard 2.5.4:** ENERGY IMBALANCE SERVICE (I) - is the service for transmission within and into the transmission provider's control area to serve load in the



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area. Energy imbalance represents the deviation between the scheduled and actual delivery of energy to a load in the local control area over a single hour and in accordance with section 3.4 (and Schedule 4) of the pro forma tariff.

**Standard 2.5.5:** OPERATING RESERVE - SPINNING RESERVE SERVICE (SP) - is provided by generating units that are on-line and loaded at less than maximum output. They are available to serve load immediately in an unexpected contingency, such as an unplanned outage of a generating unit and in accordance with section 3.5 (and Schedule 5) of the pro forma tariff.

**Standard 2.5.6:** OPERATING RESERVE - SUPPLEMENTAL RESERVE SERVICE (SU) - is generating capacity that can be used to respond to contingency situations. Supplemental reserve, is not available instantaneously, but rather within a short period (usually ten minutes). It is provided by generating units that are on-line but unloaded, by quick-start generation, and by customer interrupted load and in accordance with section 3.6 (and Schedule 6) of the pro forma tariff.

#### **Other Service Definitions**

Other services may be offered to Transmission Customers through Commission-approved revisions to their individual open access tariffs. Examples of other services that may be offered include the Interconnected Operations Services described below in Standards 2.5.7, 2.5.8, and 2.5.9. Ancillary service definitions may be offered pursuant to an individual transmission provider's specific tariff filings.

**Standard 2.5.7:** DYNAMIC TRANSFER (DT) - is the provision of the real-time monitoring, telemetering, computer software, hardware, communications, engineering, and administration required to electronically move all or a portion of the real energy services associated with a generator or load out of its Host Control Area into a different Electronic Control Area.

**Standard 2.5.8:** REAL POWER TRANSMISSION LOSSES (TL) - is the provision of capacity and energy to replace energy losses associated with transmission service on the Transmission Provider's system.

**Standard 2.5.9:** SYSTEM BLACK START CAPABILITY (BS) - is the provision of generating equipment that, following a system blackout, is able to start without an outside electrical supply. Furthermore, BLACK START CAPABILITY is capable of being synchronized to the transmission system such that it can provide a startup supply source for other system capacity that can then be likewise synchronized to the transmission system to supply load as part of a process of re-energizing the transmission system.

**Standard 2.6:** A Transmission Provider shall use the definitions below to describe the scheduling period leading up to the start time of a transaction:

**Standard 2.6.1:** SAME-DAY is after 2 p.m. of the preceding day and



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**Standard 2.6.2:** NEXT-HOUR is one hour or less prior to the service start time.

### **Section 3 OASIS Registration Procedures**

#### **Section 3.1 Entity Registration**

Operation of OASIS requires unambiguous identification of parties.

**Standard 3.1:** All entities or persons using OASIS shall register the identity of their organization (including DUNS number) or person at the OASIS Home Page at <http://www.tsin.com>. Registration identification shall include the parent entity (if any) of the registrant. Registration shall be a prerequisite to OASIS usage and renewed annually and whenever changes in identification occur and thereafter. An entity or person not complying with this requirement may be denied access by a transmission provider to that transmission provider's OASIS node.

The registration requirement applies to any entity logging onto OASIS for the purpose of using or updating information, including Transmission Providers, Transmission Customers, Observers, Control Areas, Security Coordinators, and Independent System Operators.

#### **Section 3.2 Process to Register Non-Standard Service Attribute Values**

Section 2 of the OASIS business practice standards addresses the use of standard terminology in defining services on OASIS. These standard definitions for service attribute values will be posted publicly on the OASIS Home Page at <http://www.tsin.com> and may be used by all Transmission Providers to offer transmission and ancillary services on OASIS. If the Transmission Provider determines that the standard definitions are not applicable, the Transmission Provider may register new attribute values and definitions on the OASIS Home Page. Any Transmission Provider may use the attribute values and definitions posted by another Transmission Provider.

**Standard 3.2:** Providers of transmission and ancillary services shall use only attribute values and definitions that have been registered on the OASIS Home Page at <http://www.tsin.com> for all transmission and ancillary services offered on their OASIS.

**Standard 3.3:** Providers of transmission and ancillary services shall endeavor to use on their OASIS nodes attribute values and definitions that have been posted by other Transmission Providers on the OASIS Home Page at <http://www.tsin.com> whenever possible.

#### **Section 3.3 Registration of Points of Receipt and Delivery**



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In order to improve coordination of path naming and to enhance the identification of commercially available connection points between Transmission Providers and regions, the business practice for Phase IA OASIS requires that:

- I. Transmission Providers register at the OASIS Home Page at <http://www.tsin.com>, all service points (Points of Receipt and Delivery) for which transmission service is available over the OASIS.
- II. Each Transmission Provider would then indicate on its OASIS node, for each Path posted on its OASIS node, the Points of Receipt and Delivery to which each Path is connected.

A Transmission Provider is not required to register specific generating stations as Points of Receipt, unless they were available as service points for the purposes of reserving transmission service on OASIS. The requirement also does not include registration of regional flowgates, unless they are service points for the purposes of reserving transmission on OASIS.

**Standard 3.4:** A Transmission Provider shall register and thereafter maintain on the OASIS Home Page at <http://www.tsin.com> all Points of Receipt and Delivery to and from which a Transmission Customer may reserve and schedule transmission service.

**Standard 3.5:** For each reservable Path posted on their OASIS nodes, Transmission Providers shall indicate the available Point(s) of Receipt and Delivery for that Path. These Points of Receipt and Delivery shall be from the list registered on the OASIS Home Page at <http://www.tsin.com>.

**Standard 3.6:** When two or more Transmission Providers share common Points of Receipt or Delivery, or when a Path connects Points of Receipt and Delivery in neighboring systems, the Transmission Providers owning and/or operating those facilities shall apply consistent names for those connecting paths or common paths on the OASIS.

#### **Section 4 On-line Negotiation and Confirmation Process**

##### **Section 4.1 On-line Price Negotiation in Short-term Markets**

**Standard 4.1:** Consistent with FERC policy and regulations, all reservations and price negotiations shall be conducted on OASIS.

**Standard 4.2:** Reserved

**Standard 4.3:** Reserved

##### **Section 4.2 Phase IA Negotiation Process State Transition Diagram**

The Phase IA S&CP Document provides a process state diagram to define the Customer and Transmission Provider interactions for negotiating transmission service. This



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diagram defines allowable steps in the reservation request, negotiation, approval and confirmation.

**Standard 4.4:** The state diagram appearing in Exhibit 4-1 in Section 4.2.10.2 of the Version 1.3 of the S&CP Document constitutes a recommended business practice in OASIS Phase IA.

**Standard 4.5:** The definitions in Section 4.2.10.2 of the Version 1.3 of the S&CP Document (status values) shall be applied to the process states in OASIS Phase IA.

Table 4-1 - Reserved

### Section 4.3 Negotiations Without Competing Bids

The following practices are defined in order to enhance consistency of the reservation process across OASIS Phase IA nodes.

**Standard 4.6:** A Transmission Provider/Seller shall respond to a Customer's service request, consistent with filed tariffs, within the Provider Response Time Limit defined in **Table 4-2 Reservation Timing Requirements**. The time limit is measured from the time the request is QUEUED. A Transmission Provider may respond by setting the state of the reservation request to one of the following:

- I. INVALID
- II. DECLINED
- III. REFUSED
- IV. COUNTEROFFER
- V. ACCEPTED
- VI. STUDY (when the tariff allows), leading to REFUSED, COUNTEROFFER, or ACCEPTED.

**Standard 4.7:** Prior to setting a request to ACCEPTED, COUNTEROFFER, or REFUSED a Transmission Provider shall evaluate the appropriate resources and ascertain that the requested transfer capability is (or is not) available.

**Standard 4.8:** For any request that is REFUSED or INVALID, the Transmission Provider must indicate in the SELLER\_COMMENTS field the reason the request was refused or invalid.

**Standard 4.9:** The Customer may change a request from QUEUED, RECEIVED, STUDY, COUNTEROFFER, REBID, or ACCEPTED to WITHDRAWN at any time prior to CONFIRMED.

**Standard 4.10:** From ACCEPTED or COUNTEROFFER, a Customer may change the status to CONFIRMED or WITHDRAWN. In addition, a Customer may change the status from COUNTEROFFER to REBID. The Customer has the amount of time designated as Customer Confirmation Time Limit in **Table 4-2 Reservation Timing**



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**Requirements** to change the state of the request to CONFIRMED. The Customer time limit is measured from the first time the request is moved to ACCEPTED or COUNTEROFFER, and is not reset with subsequent iterations of negotiation.

**Standard 4.11:** After expiration of the Customer Confirmation Time Limit, specified in **Table 4-2 Reservation Timing Requirements**, the Transmission Provider has a right to move the request to the RETRACTED state.

**Standard 4.12:** Should the Customer elect to respond to a Transmission Provider's COUNTEROFFER by moving a reservation request to REBID, the Transmission Provider shall respond by taking the request to a DECLINED, ACCEPTED, or COUNTEROFFER state within the Provider Counter Time Limit, specified in **Table 42 Reservation Timing Requirements**. The Transmission Provider response time is measured from the most recent REBID time.

**Standard 4.13:** The following timing requirements shall apply to all reservation requests:

**Table 4-2  
 Reservation Timing Requirements**

<b>Class</b>	<b>Service Increment</b>	<b>Time QUEUED Prior to Start</b>	<b>Provider Evaluation Time Limit<sup>1</sup></b>	<b>Customer Confirmation Limit<sup>2</sup> ACCEPTED COUNTEROFFER<sup>3</sup></b>	<b>Time after or</b>	<b>Provider Counter Time Limit after REBID<sup>4</sup></b>
Non-Firm	Hourly	<1 hour	Best effort	5 minutes		5 minutes
Non-Firm	Hourly	>1 hour	30 minutes	5 minutes		5 minutes
Non-Firm	Hourly	Day ahead	30 minutes	30 minutes		10 minutes
Non-Firm	Daily	N/A	30 minutes	2 hours		10 minutes
Non-Firm	Weekly	N/A	4 hours	24 hours		4 hours
Non-Firm	Monthly	N/A	2 days <sup>5</sup>	24 hours		4 hours
Firm	Daily	< 24 hours	Best effort	2 hours		30 minutes
Firm	Daily	N/A	30 days <sup>6</sup>	24 hours		4 hours
Firm	Weekly	N/A	30 days <sup>6</sup>	48 hours		4 hours
Firm	Monthly	N/A	30 days <sup>6</sup>	4 days		4 hours
Firm	Yearly	60 days <sup>7</sup>	30 days	15 days		4 hours

**Notes for Table 4-2:**



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<sup>1</sup>Consistent with regulations and filed tariffs, measurement starts at the time the request is QUEUED.

<sup>2</sup>Confirmation time limits are not to be interpreted to extend scheduling deadlines or to override preemption deadlines.

<sup>3</sup>Measurement starts at the time the request is first moved to either ACCEPTED or COUNTEROFFER. The time limit does not reset on subsequent changes of state.

<sup>4</sup>Measurement starts at the time the Transmission Customer changes the state to REBID. The measurement resets each time the request is changed to REBID.

<sup>5</sup>Days are defined as calendar days.

<sup>6</sup>Subject to expedited time requirements of Section 17.1 of the pro forma tariff. Transmission Providers shall make best efforts to respond within 72 hours, or prior to the scheduling deadline, whichever is earlier, to a request for Daily Firm Service received during period 2-30 days ahead of the service start time.

<sup>7</sup>Subject to Section 17.1 of the pro forma tariff, whenever feasible and on a nondiscriminatory basis, transmission providers should accommodate requests made with less than 60 days notice.

#### **Section 4.4 Negotiations With Competing Bids for Constrained Resources**

Competing bids exist when multiple requests cannot be accommodated due to a lack of available transmission capacity. One general rule is that OASIS requests should be evaluated and granted priority on a first-come-first-served basis established by OASIS QUEUED time. Thus, the first to request service should get it, all else being equal.

Exceptions to this first-come-first-served basis occur when there are competing requests for limited resources and the requests have different priorities established by FERC regulations and filed tariffs. Prior to the introduction of price negotiations, the attribute values that have served as a basis for determining priority include:

- I. Type (Network, Point-to-point)
- II. Class (Firm, Non-Firm)
- III. Increment (Hourly, Daily, Weekly, Monthly, Yearly)
- IV. Duration (the amount of time between the Start Date and the Stop Date)
- V. Amount (the MW amount)

Under a negotiation model, price can also be used as an attribute for determining priority. The negotiation process increases the possibility that a Transmission Provider will be evaluating multiple requests that cannot all be accommodated due to limited resources. In this scenario, it is possible that an unconfirmed request with an earlier QUEUED time could be preempted (SUPERSEDED). For this to occur, the subsequent request would be of higher priority or of greater price.

**Standard 4.14:** Consistent with regulations and filed tariffs, the following are



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recommended relative priorities of Service Request Tiers<sup>1</sup>. Specific exceptions may exist in accordance with filed tariffs. The priorities refer only to negotiation of service and do not refer to curtailment priority.

- 4.14.1. Service Request Tier 1: Native load, Network, or Long-term Firm
- 4.14.2. Service Request Tier 2: Short-term Firm
- 4.14.3. Service Request Tier 3: Network Service From Non-designated Resources
- 4.14.4. Service Request Tier 4: Non-firm
- 4.14.5. Service Request Tier 5: Non-firm Point-to-point Service over secondary receipt and delivery points
- 4.14.6. Service Request Tier 6: Non-firm Next Hour Market Service

**Standard 4.15:** Consistent with regulations and filed tariffs, reservation requests shall be handled in a first-come-first-served order based on QUEUE\_TIME.

**Standard 4.16:** Consistent with regulations and filed tariffs, Table 4-3 describes the relative priorities of competing service requests and rules for offering right-of-first-refusal. While the table indicates the relative priorities of two competing requests, it also is intended to be applied in the more general case of more than two competing requests.

**Table 4-3  
 Priorities for Competing Reservation Requests**

<b>R O W</b>	<b>Request 1</b>	<b>Is Preempted by Request 2</b>	<b>Right of First Refusal</b>
1	Tier 1: Long-term Firm, Native Load, and Network Firm	N/A - Not preempted by a subsequent request.	N/A
2	Tier 2: Short-term Firm	Tier 1: Long-term Firm, Native Load, and Network Firm, while Request 1 is conditional. Once Request 1 is unconditional, it may not be preempted.	No
3	Tier 2: Short-term Firm	Tier 2: Short-term Firm of longer term (duration), while Request 1 is conditional. Once Request 1 is unconditional, it may not be preempted. <sup>1</sup>	Yes, while Request 1 is conditional. Once Request 1 is unconditional, it may not be preempted and right of first refusal is not applicable.

<sup>1</sup>Note: The term Tier is introduced to avoid confusion with existing terms such as TS\_CLASS.



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4	Tier 3: Network Service From Non-Designated Resources	Tiers 1 and 2: All Firm (including Network).	No
5	Tier 4: All Non-Firm PTP	Tiers 1 and 2: All Firm (including Network).	No
6	Tier 4: All Non-Firm PTP	Tier 3: Network Service from Non-Designated Resources.	No
7	Tier 4: All Non-Firm PTP	Tier 4: Non-firm PTP of a longer term (duration) <sup>1</sup> . Except in the last hour prior to start (See Standard 4.23).	Yes <sup>2</sup>
8	Tier 4: All Non-Firm PTP	Tier 4: Non-firm PTP of equal term (duration) <sup>1</sup> and higher price, when Request 1 is still unconfirmed and Request 2 is received pre-confirmed. A confirmed non-firm PTP may not be preempted for another non-firm request of equal duration. (See Standards 4.22 and 4.25.)	Yes <sup>3</sup>
9	Tier 5: Non-firm PTP Service over secondary receipt and delivery points.	Tier 5 can be preempted by Tiers 1 through 4.	No
10	Tier 6: Non-firm Next Hour Market Service	Tier 6 can be preempted by Tiers 1 through 5.	No

<sup>1</sup> Longer duration, in addition to being higher SERVICE\_INCREMENT (i.e., WEEKLY has priority over DAILY), also may mean more multiples of the same SERVICE\_INCREMENT (i.e., 3 days may have priority over 2 days). Multiple service increments must be at the same level of capacity.

<sup>2</sup> Right of first refusal when a subsequent request is received of a longer duration applies only if the first request is confirmed.

<sup>3</sup> Right of first refusal when a subsequent request is received of an equal duration and higher price applies only when the first request is unconfirmed and the subsequent request is received preconfirmed (see Standards 4.22 and 4.26).

**Standard 4.17:** For a request or reservation that is Superseded or Displaced, the Transmission Provider must indicate the Assignment Reference Number of the competing request and the reason for denial of service in the SELLER\_COMMENTS field.

**Standard 4.18:** Given competing requests for a limited resource and a right-of-first-refusal is not required to be offered, the Transmission Provider may immediately move



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requests in the CONFIRMED state to DISPLACED, or from an ACCEPTED or COUNTEROFFER state to SUPERSEDED, if the competing request is of higher priority, based on the rules represented in Table 4-3. These state changes require dynamic notification to the Customer if the Customer has requested dynamic notification on OASIS.

**Standard 4.19:** In those cases where right-of-first-refusal is required to be offered, the Transmission Provider shall notify the Customer, through the use of a COUNTEROFFER, of the opportunity to match the subsequent offer.

**Standard 4.20:** A Customer who has been extended a right-of-first-refusal shall have a confirmation time limit equal to the lesser of a) the Customer Confirmation Time Limit in Table 4-2 or b) 24 hours.

**Standard 4.21:** A Transmission Provider shall apply all rights-of-first-refusal in a nondiscriminatory and open manner for all Customers.

**Standard 4.22:** Once a non-firm PTP request has been confirmed, it shall not be displaced by a subsequent non-firm PTP request of equal duration and higher price.

**Standard 4.23:** A confirmed, non-firm PTP reservation for the next hour shall not be displaced within one hour of the start of the reservation by a subsequent non-firm PTP reservation request of longer duration.

**Standard 4.24:** A Transmission Provider shall accept any reservation request submitted for an unconstrained Path if the Customer's bid price is equal to or greater than the Transmission Provider's posted offer price at the time the request was queued, even if later requests are submitted at a higher price. This standard applies even when the first request is still unconfirmed, unless the Customer Confirmation Time Limit has expired for the first request.

**Standard 4.25:** Once an offer to provide non-firm PTP transmission service at a given price is extended to a Customer by the Transmission Provider, and while this first request is still unconfirmed but within the Customer Confirmation Time Limit, the Transmission Provider shall not preempt or otherwise alter the status of that first request on receipt of a subsequent request of the same Tier and equal duration at a higher price, unless the subsequent request is submitted as pre-confirmed.

**Standard 4.26:** If during a negotiation of service (*i.e.*, prior to Customer confirmation) a subsequent pre-confirmed request for service over the same limited resource of equal duration but higher price is received, the Transmission Provider must COUNTEROFFER the price of service on the prior COUNTEROFFER or ACCEPTED price to match the competing offer, in order to give the first Customer an opportunity to match the offer. This practice must be implemented in a non-discriminatory manner.



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**Standard 4.27:** Whenever a request or reservation is set to the state of Invalid, Refused, Declined, Superseded, Retracted, Annulled, or Displaced, the Transmission Provider or Seller shall enter the reason for the action in the SELLER\_COMMENTS field.

## Section 5 Procurement of Ancillary and Other Services

### Section 5.1 Introduction

Phase IA OASIS data templates allow the coupling of ancillary service arrangements with the purchase of transmission service for the purpose of simplifying the overall process for Customers. Transmission Providers must indicate (consistent with filed tariffs), which services are MANDATORY (must be taken from the Primary Transmission Provider), REQUIRED (must be provided for but may be procured from alternative sources), or OPTIONAL (not required as a condition of transmission service).

The Transmission Customer should make known to the Transmission Provider at the time of the reservation request certain options related to arrangement of ancillary services. The Transmission Customer may indicate:

- a. I will take all the MANDATORY and REQUIRED ancillary services from the Primary Transmission Provider
- b. I will take REQUIRED ancillary services from Third Party Seller X
- c. I would like to purchase OPTIONAL services
- d. I will self provide ancillary services
- e. I will arrange for ancillary services in the future (prior to scheduling)

While these interactions are available in the Phase IA S&CP Document, there is a need to clarify the associated business practices. The standards in Section 5 apply to services defined in filed tariffs.

### Section 5.2 Transmission Provider Requirements

**Standard 5.1:** The Transmission Provider shall designate which ancillary services are MANDATORY, REQUIRED, or OPTIONAL for each offered transmission service or each transmission path to the extent these requirements can be determined in advance of the submittal of a reservation request on a specific Path by a Transmission Customer.

**Standard 5.2:** A Transmission Provider shall modify a Transmission Customer's service request to indicate the Transmission Provider as the SELLER of any ancillary service, which is MANDATORY, to be taken from the Transmission Provider.

**Standard 5.3:** For REQUIRED and OPTIONAL services, the Transmission Provider shall not select a SELLER of ancillary service without the Transmission Customer first selecting that SELLER.

**Standard 5.4:** A Transmission Provider may accept a Transmission Customer's request for an ancillary service, which is not MANDATORY or REQUIRED, but shall indicate to the Transmission Customer at the time of acceptance in SELLER\_COMMENTS that the service is not MANDATORY or REQUIRED.



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### Section 5.3 Transmission Customer Requirements

**Standard 5.5:** The Transmission Customer shall indicate with the submittal of a transmission reservation request, the preferred options for provision of ancillary services, such as the desire to use an alternative resource. The Transmission Provider shall post itself as the default ancillary service provider, if a Transmission Customer fails to indicate a third party SELLER of ancillary services. However, the Transmission Customer may change this designation at a later date, so long as this change is made prior to the Transmission Provider's scheduling deadline.

**Standard 5.6:** A Transmission Customer may, but is not required to, indicate a third party SELLER of ancillary services, if these services are arranged by the Transmission Customer off the OASIS and if such arrangements are permitted by the Transmission Provider's tariff. The Transmission Provider shall post itself as the default ancillary service provider, if a Transmission Customer fails to indicate a third party SELLER of ancillary services. However, the Transmission Customer may change this designation at a later date, so long as this change is made prior to the Transmission Provider's scheduling deadline.

### Section 6 - Pathnaming Standards

#### Section 6.1 Introduction

The Data Element Dictionary of the OASIS S&CP Document, Version 1.3, defines a path name in terms of a 50-character alphanumeric string:

**RR/TPTP/PATHPATHPATH/OPTIONALFROM-OPTIONALTOTO/SPR**

RegionCode/TransmissionProviderCode/PathName/OptionalFrom-To(POR-POD)/Spare

This definition leaves it to the Transmission Providers to name the paths from their own perspective. The following standards provide an unambiguous convention for naming paths and will produce more consistent path names.

#### Section 6.2 Transmission Provider Requirements

**Standard 6.1:** A transmission provider shall use the path naming convention defined in the S&CP Data Dictionary for the naming of all reservable paths posted on OASIS.

**Standard 6.2:** A transmission provider shall use the third field in the path name to indicate the sending and receiving control areas. The control areas shall be designated using standard NERC codes for the control areas, separated by a hyphen. For example, the first three fields of the path name will be:

**RR/TPTP/CAXX-CAYY/**



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**Standard 6.3:** A transmission provider shall use the fourth field of the path name to indicate POR and POD separated by a hyphen. For example, a path with a specific POR/POD would be shown as:

**RR/TPTP/CAXX-CAYY/PORPORPORPOR-PODPODPODPOD/**

If the POR and POD are designated as control areas, then the fourth field may be left blank (as per the example in 6.2).

**Standard 6.4:** A transmission provider may designate a sub-level for Points of Receipt and Delivery. For example, a customer reserves a path to POD AAAA. The ultimate load may be indeterminate at the time. Later, the customer schedules energy to flow to a particular load that may be designated by the transmission provider as a sub-level Point of Delivery. This option is necessary to ensure certain transmission providers are not precluded from using more specific service points by the inclusion of the POR/POD in the path name. All sub-level PORs and PODs must be registered as such on <http://www.tsin.com>.

## Section 7 – Next Hour Market Service

### Section 7.1 Introduction

The standards in this section apply to the offering of Next Hour Market (NHM) Service only. The Commission has designated this service as voluntary for a transmission provider to offer. Therefore the standards apply to a transmission provider only if that provider offers NHM Service, in which case the standards become mandatory for that provider.

### Section 7.2 Transmission Provider Requirements

**Standard 7.1:** Use of NHM Service shall be limited to interchange transactions having a duration of one clock-hour and requested no earlier than 60 minutes prior to the start time of the transaction.

**Standard 7.2:** A transmission provider offering NHM Service shall allow an eligible transmission customer to request a NHM Service reservation electronically using protocols compliant with the NERC ETAG Specification 1.6.

**Standard 7.3:** A transmission provider offering NHM Service shall allow a transmission customer to request NHM Service for one or more path segments of a tag by designating: (a) 0-NX as the transmission product code under the OASIS block and (b) BUYATMARKET as the OASIS reservation identifier.

**Standard 7.4:** A transmission provider offering NHM Service shall consider the submittal of a tag designating that provider on one or more path segments using NHM Service to include a pre-confirmed request for the necessary transmission reservation and associated mandatory ancillary services for each designated path segment, for the



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hour indicated. No additional confirmation steps shall be required by the transmission customer for a NHM Service transmission reservation and associated ancillary services.

**Standard 7.5:** A transmission provider offering NHM Service shall consider set the amount of the NHM Service reservation as:

- a. The amount of the Transmission Provider Product, if specified.
- b. In accordance with the Transmission Provider's tariff, the MW amount at the POR or POD for that Provider in the Loss Table, if Transmission Provider Product is not specified.
- c. The MW amount in the Energy Profile, if neither Transmission Provider Product amount nor Provider Loss Table amounts are specified.

**Standard 7.6:** The OASIS queue time of a NHM Service request or reservation shall be the transmission provider ETAG approval service receipt time, unless a system failure requires the use of ETAG backup procedures, in which case the OASIS queue time shall be the time the tag is received by the transmission provider.

**Standard 7.7:** The 0-NX designation in the tag assigns as transmission customer, for all NHM Service path segments in the transaction, the PSE that is designated as the Purchasing-Selling Entity (PSE) responsible for the tag. A PSE submitting a tag may not designate a NHM Service reservation for another PSE and a transmission provider may not assign a reservation to any transmission customer other than the PSE submitting the NHM Service tag.

**Standard 7.8:** When evaluating competing requests for transmission reservations, a transmission provider offering NHM Service shall consider the NHM Service to have a priority lower than Tier 5 - point-to-point service over secondary receipt and delivery points.

**Standard 7.9:** Once a tag goes to IMPLEMENT or CONDITIONAL status in ETAG, the transmission provider shall consider the associated NHM Service reservations to be confirmed. Since the NHM Service confirmed reservation(s) are by definition less than one hour prior to start, these reservations shall not be displaced by a subsequent non-firm reservation of higher priority.

**Standard 7.10:** The transmission customer shall be obligated to pay for the transmission service under the terms of the tariff at the posted offer price for non-firm hourly service, once the interchange transaction tag is changed to the IMPLEMENT or CONDITIONAL status in ETAG. In the event of a voluntary withdrawal or reduction in the amount or duration of the service by the transmission customer after the tag has changed to IMPLEMENT or CONDITIONAL, the transmission customer shall remain obligated to pay for the full amount of the approved request. In the event of an involuntary curtailment or reduction of the service, initiated by the transmission provider or any other transmission provider, the transmission customer shall not be obligated to pay for any portions of the NHM Service that were involuntarily curtailed. In the case of involuntary curtailment or reduction, payment shall be based on a calculation of the MWhours actually used.



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**Standard 7.11:** In the case that a transaction uses NHM Service for all required path segments in the tag, the default condition of the tag is NOT approved unless all required transmission providers and control areas indicate tag approval.

**Standard 7.12:** In the case that a transaction mixes one or more transaction path segments that use NHM Service with one or more path segments that use other types of transmission service, then 1) as long as the NHM Service path segment(s) are not fully approved, then the tag shall default to NOT approved; and 2) if all NHM Service path segments in the ETAG are fully approved, then the tag shall revert to the normal default status as specified in NERC Operating Policy 3 and associated Appendices.

**Standard 7.13:** The transmission customer shall be required to submit a NHM Service transaction request prior to the tag submittal time limit as specified in NERC Operating Policy 3 and associated Appendices, and no earlier than 60 minutes prior to the start of the transaction.

**Standard 7.14:** The approval mechanism for a NHM Service reservation shall be the tag approval. If the tag is approved and moved to the IMPLEMENT or CONDITIONAL state, all required NHM Service transmission reservations associated with that tag shall be considered confirmed reservations. If one or more transmission providers do NOT approve their segment(s) of the transaction, then the transaction shall be considered NOT approved. Each transmission provider designated in a tag that does not approve that segment of the tag shall indicate that the associated reservation for that segment is REFUSED. If a designated transmission provider in a NHM Service path segment approves the tag but the tag is not approved through the action or inaction of another transmission provider, then that transmission provider shall indicate that reservation is ANNULLED.

**Standard 7.15:** The transmission provider shall assign the reservation request and final disposition status on behalf of the transmission customer within one hour of the requested start of the NHM Service transaction, regardless of the ultimate disposition of the tag.

**Standard 7.16:** NHM Service shall have the lowest curtailment priority in the event that a curtailment or reduction of transfers is initiated. Specifically, NHM Service (0-NX) shall have a NERC Curtailment Priority of 0.

**Standard 8.** A Responsible Party may not deny or restrict access to an OASIS user merely because that user makes automated computer-to-computer file transfers or queries, or extensive requests for data.

**Standard 9.** In the event that an OASIS user's grossly inefficient method of accessing an OASIS node or obtaining information from the node seriously degrades the performance of the node, a Responsible Party may limit a user's access to the OASIS node without prior Commission approval. The Responsible Party must immediately contact the OASIS user to resolve the problem. Notification of the restriction must be made to the Commission within two business days of the incident and include a



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description of the problem. A closure report describing how the problem was resolved must be filed with the Commission within one week of the incident.

**Standard 10.** In the event that an OASIS user makes an error in a query, the Responsible Party can block the affected query and notify the user of the nature of the error. The OASIS user must correct the error before making any additional queries. If there is a dispute over whether an error has occurred, the procedures in the preceding paragraph apply.

**Standard 11.** Transmission Providers must provide "read only" access to the OASIS to Commission staff and to the staff of State regulatory authorities, at no cost, after such staff members have complied with the requisite registration procedures.

**Standard 12.** The information posted on the OASIS must be in such detail and the OASIS must have such capabilities as to allow Transmission Customers to:

- (a) Clearly identify the degree to which transmission service requests or schedules were denied or interrupted;
- (b) Obtain access, in electronic format, to information to support available transmission capability calculations and historical transmission service requests and schedules for various audit purposes; and
- (c) Make file transfers and automated computer-to-computer file transfers and queries as defined by the Standards and Communications Protocols Document.

**Standard 13.** Information to support any such curtailment or interruption, including the operating status of the facilities involved in the constraint or interruption, must be maintained and made available upon request, to the curtailed or interrupted customer, the Commission's Staff, and any other person who requests it, for three years.

**Standard 14.** Each OASIS user must notify the Responsible Party one month in advance of initiating a significant amount of automated queries. The OASIS user must also notify the Responsible Party one month in advance of expected significant increases in the volume of automated queries.



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### **Standard 15.** § 37.1 Applicability.

This part applies to any public utility that owns, operates, or controls facilities used for the transmission of electric energy in interstate commerce and to transactions performed under the pro forma tariff required in Part 35 of this Chapter.

### **Standard 16.** § 37.2 Purpose.

(a) The purpose of this part is to ensure that potential customers of open access transmission service receive access to information that will enable them to obtain transmission service on a non-discriminatory basis from any Transmission Provider. These rules provide standards of conduct and require the Transmission Provider (or its agent) to create and operate an Open Access Same-time Information System (OASIS) that gives all users of the open access transmission system access to the same information.

(b) The OASIS will provide information by electronic means about available transmission capability for point-to-point service and will provide a process for requesting transmission service. OASIS will enable Transmission Providers and Transmission Customers to communicate promptly requests and responses to buy and sell available transmission capacity offered under the Transmission Provider's tariff.

### **Standard 17.** § 37.3 Definitions.

(a) Transmission Provider means any public utility that owns, operates, or controls facilities used for the transmission of electric energy in interstate commerce.

(b) Transmission Customer means any eligible customer (or its designated agent) that can or does execute a transmission service agreement or can or does receive transmission service.

(c) Responsible Party means the Transmission Provider or an agent to whom the Transmission Provider has delegated the responsibility of meeting any of the requirements of this Part.

(d) Reseller means any Transmission Customer who offers to sell transmission capacity it has purchased.

(e) Wholesale Merchant Function means the sale for resale, or purchase for resale, of electric energy in interstate commerce.

(f) Affiliate means:

(1) for any exempt wholesale generator, as defined under section 32(a) of the Public Utility Holding Company Act of 1935, as amended, the same as provided in section 214 of the Federal Power Act; and

(2) for any other entity, the term affiliate has the same meaning as given in § 161.2(a) of this Chapter.

### **Standard 18.** § 37.4 Standards of conduct.

A Transmission Provider must conduct its business to conform with the following standards:

(a) General Rules

(1) Except as provided in paragraph (a)(2) of this section, the employees of the Transmission Provider engaged in transmission system operations must function independently of its employees, or the employees of any of its affiliates, who engage in Wholesale Merchant Functions.



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(2) Notwithstanding any other provisions in this section, in emergency circumstances affecting system reliability, Transmission Providers may take whatever steps are necessary to keep the system in operation. Transmission Providers must report to the Commission and on the OASIS each emergency that resulted in any deviation from the standards of conduct, within 24 hours of such deviation.

(b) Rules governing employee conduct

(1) Prohibitions. Any employee of the Transmission Provider, or any employee of an affiliate, engaged in wholesale merchant functions is prohibited from:

(i) conducting transmission system operations or reliability functions; and

(ii) having access to the system control center or similar facilities used for transmission operations or reliability functions that differs in any way from the access available to other open access Transmission Customers.

(2) Transfers. Employees engaged in either (i) wholesale merchant functions or (ii) transmission system operations or reliability functions are not precluded from transferring between such functions as long as such transfer is not used as a means to circumvent the standards of conduct of this section. Notices of any employee transfer to or from transmission system operations or reliability functions must be posted on the OASIS as provided in § 37.6 (g)(3). The information to be posted must include: the name of the transferring employee, the respective titles held while performing each function (i.e., on behalf of the Transmission Provider and wholesale merchant or affiliate), and the effective date of the transfer. The information posted under this section must remain on the OASIS for 90 days.

(3) Information Access. Any employee of the Transmission Provider, or of any of its affiliates, engaged in wholesale merchant functions:

(i) shall have access to only that information available to the Transmission Provider's open access transmission customers (i.e., the information posted on an OASIS), and must not have preferential access to any information about the Transmission Provider's transmission system that is not available to all users of an OASIS; and

(ii) is prohibited from obtaining information about the Transmission Provider's transmission system (including information about available transmission capability, price, curtailments, ancillary services, and the like) through access to information not posted on the OASIS that is not otherwise also available to the general public without restriction, or through information through the OASIS that is not also publicly available to all OASIS users.

(4) Disclosure. A Transmission Provider is responsible for ensuring compliance with the following provisions:

(i) Any employee of the Transmission Provider, or any employee of an affiliate, engaged in transmission system operations or reliability functions may not disclose to employees of the Transmission Provider, or any of its affiliates, engaged in wholesale merchant functions any information concerning the transmission system of the Transmission Provider or the transmission system of another (including information received from non-affiliates or information about available transmission capability, price, curtailments, ancillary services, etc.) through non-public communications conducted off the OASIS, through access to information not posted on the OASIS that is not at the same time available to the general public without restriction, or through



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information on the OASIS that is not at the same time publicly available to all OASIS users (such as E-mail).

(ii) If an employee of the Transmission Provider engaged in transmission system operations or reliability functions discloses information not posted on the OASIS in a manner contrary to the requirements of the standards of conduct, the Transmission Provider must immediately post such information on the OASIS.

(iii) A Transmission Provider may not share any market information, acquired from nonaffiliated Transmission Customers or potential nonaffiliated Transmission Customers, or developed in the course of responding to requests for transmission or ancillary service on the OASIS, with its own employees (or those of an affiliate) engaged in merchant functions, except to the limited extent information is required to be posted on the OASIS in response to a request for transmission service or ancillary services.

### (5) Implementing Tariffs.

(i) Employees of the Transmission Provider engaged in transmission system operations or reliability functions must strictly enforce all tariff provisions relating to the sale or purchase of open access transmission service, if these provisions do not provide for the use of discretion.

(ii) Employees of the Transmission Provider engaged in transmission system operations must apply all tariff provisions relating to the sale or purchase of open access transmission service in a fair and impartial manner that treats all customers (including the public utility and any affiliate) in a non-discriminatory manner, if these provisions involve discretion.

(iii) The Transmission Provider must keep a log, available for Commission audit, detailing the circumstances and manner in which it exercised its discretion under any terms of the tariff.

(iv) The Transmission Provider may not, through its tariffs or otherwise, give preference to wholesale purchases or sales made on behalf of its own power customers, or those of an affiliate, over the interests of any other wholesale customer in matters relating to the sale or purchase of transmission service (including issues of price, curtailments, scheduling, priority, ancillary services, etc.).

(v) If the Transmission Provider offers a discount on purchases of transmission service made on behalf of its own power customers or those of any affiliate, then, at the same time, it must post on the OASIS an offer to provide the same discount to all Transmission Customers on the same path and on all unconstrained transmission paths.

(vi) If the Transmission Provider offers a rate discount on ancillary services to an affiliate, or attributes a discounted ancillary service rate to its own transactions, the Transmission Provider must, at the same time, post on the OASIS an offer to provide the same discount to all eligible customers.

(6) Books and Records. A Transmission Provider must maintain its books of account and records (as prescribed under Parts 101 and 125 of this Chapter) separately from those of its affiliates and these must be available for Commission inspection.

(c) Maintenance of written procedures. The Transmission Provider must maintain in a public place, and file with the Commission, current written procedures implementing the standards of conduct in such detail as will enable customers and the



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Commission to determine that the Transmission Provider is in compliance with the requirements of this section.

### **Standard 19.** § 37.5 Obligations of Transmission Providers and Responsible Parties.

(a) Each Transmission Provider is required to provide for the operation of an OASIS, either individually or jointly with other Transmission Providers, in accordance with the requirements of this Part. The Transmission Provider may delegate this responsibility to a Responsible Party such as another Transmission Provider, an Independent System Operator, a Regional Transmission Group, or a Regional Reliability Council.

(b) A Responsible Party must: (1) provide access to an OASIS providing standardized information relevant to the availability of transmission capacity, prices, and other information (as described in this Part) pertaining to the transmission system for which it is responsible; and

(2) shall operate the OASIS in compliance with the standardized procedures and protocols found in OASIS Standards and Communication Protocols, which can be obtained from the Public Reference and Files Maintenance Branch, Room 2A, Federal Energy Regulatory Commission, 888 First Street NE, Washington, DC 20426.

(c) Transmission Providers must provide "read only" access to the OASIS to Commission staff and the staffs of State regulatory authorities, at no cost, after such staff members have complied with the requisite registration procedures.

### Standard 20. § 37.6 Information to be posted on an OASIS.

(a) The information posted on the OASIS must be in such detail as to allow Transmission Customers to:

(1) make requests for transmission services offered by Transmission Providers, Resellers and other providers of ancillary services;

(2) view and download in standard formats, using standard protocols, information regarding the transmission system necessary to enable prudent business decision making;

(3) post, view, upload and download information regarding available products and desired services;

(4) clearly identify the degree to which their transmission service requests or schedules were denied or interrupted; and

(5) obtain access, in electronic format, to information to support available transmission capability calculations and historical transmission service requests and schedules for various audit purposes.

(b) Posting transmission capability. The transmission capability that is expected to be available on the Transmission Provider's system (ATC) and the total transmission capability (TTC) of that system shall be calculated and posted for each Posted Path as set out in this section.

(1) Definitions. For purposes of this section,

(i) Posted Path means any control area to control area interconnection; any path for which service is denied, curtailed or interrupted for more than 24 hours in the past 12 months; and any path for which a customer requests to have ATC or TTC posted. For this last category, the posting must continue for 180 days and thereafter until 180 days have elapsed from the most recent request for service over



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the requested path. For purposes of this definition, an hour includes any part of an hour during which service was denied, curtailed or interrupted.

(ii) Constrained Posted Path means any posted path having an ATC less than or equal to 25 percent of TTC at any time during the preceding 168 hours or for which ATC has been calculated to be less than or equal to 25 percent of TTC for any period during the current hour or the next 168 hours.

(iii) Unconstrained Posted Path means any posted path not determined to be a constrained posted path.

(2) Calculation methods, availability of information, and requests.

(i) Information used to calculate any posting of ATC and TTC must be dated and time-stamped and all calculations shall be performed according to consistently applied methodologies referenced in the Transmission Provider's transmission tariff and shall be based on current industry practices, standards and criteria.

(ii) On request, the Responsible Party must make all data used to calculate ATC and TTC for any constrained posted paths publicly available (including the limiting element(s) and the cause of the limit (e.g., thermal, voltage, stability)) in electronic form within one week of the posting. The information is required to be provided only in the electronic format in which it was created, along with any necessary decoding instructions, at a cost limited to the cost of reproducing the material. This information is to be retained for six months after the applicable posting period.

(iii) System planning studies or specific network impact studies performed for customers to determine network impacts are to be made publicly available in electronic form on request and a list of such studies shall be posted on the OASIS. A study is required to be provided only in the electronic format in which it was created, along with any necessary decoding instructions, at a cost limited to the cost of reproducing the material. These studies are to be retained for two years.

(3) Posting. The ATC and TTC for all Posted Paths must be posted in megawatts by specific direction and in the manner prescribed in this subsection.

(i) Constrained Posted Paths.

(A) For Firm ATC and TTC:

(1) The posting shall show ATC and TTC for a 30-day period. For this period postings shall be: by the hour, for the current hour and the 168 hours next following; and thereafter, by the day. If the Transmission Provider charges separately for on-peak and off-peak periods in its tariff, ATC and TTC will be posted daily for each period.

(2) Postings shall also be made by the month, showing for the current month and the 12 months next following.

(3) If planning and specific requested transmission studies have been done, seasonal capability shall be posted for the year following the current year and for each year following to the end of the planning horizon but not to exceed 10 years.

(B) For Non-Firm ATC and TTC. The posting shall show ATC and TTC for a 30-day period by the hour and days prescribed under paragraph (b)(3)(i)(A)(1) of this section and, if so requested, by the month and year as prescribed under paragraph (b)(3)(i)(A)(2) and (3) of this section.

(C) Updating Posted Information for Constrained Paths.



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(1) The capability posted under paragraphs (b)(3)(i)(A) and (B) of this section must be updated when transactions are reserved or service ends or whenever the TTC estimate for the Path changes by more than 10 percent.

(2) All updating of hourly information shall be made on the hour.

(ii) Unconstrained Posted Paths.

(A) Postings of ATC and TTC shall be by the day, showing for the current day and the next six days following and thereafter, by the month for the 12 months next following. If the Transmission Provider charges separately for on-peak and off-peak periods in its tariff, ATC and TTC will be posted for the current day and the next six days following for each period. These postings are to be updated whenever the ATC changes by more than 20 percent of the Path's TTC.

(B) If planning and specific requested transmission studies have been done, seasonal capability shall be posted for the year following the current year and for each year following until the end of the planning horizon but not to exceed 10 years.

(c) Posting Transmission Service Products and Prices.

(1) Transmission Providers must post prices and a summary of the terms and conditions associated with all transmission products offered to Transmission Customers.

(2) Transmission Providers must provide a downloadable file of their complete tariffs in the same electronic format as the tariff is filed with the Commission.

(3) A Transmission Provider, within 24 hours of agreeing to sell transmission service to a non-affiliate at a discount (as measured from when ATC must be adjusted in response to the transaction), must post on the OASIS (and make available for download) information describing the transaction (including price, quantity, and any other relevant terms and conditions) and shall keep such information posted on the OASIS for at least 30 days. A record of the transaction must be retained and kept available as part of the audit log required in section 37.7. With respect to any discount offered to its own power customers or its affiliates, the Transmission Provider must, at the same time, post on the OASIS an offer to provide the same discount to all Transmission Customers on the same path and on all unconstrained transmission paths.

(4) Customers choosing to use the OASIS to offer for resale transmission capacity they have purchased must post relevant information to the same OASIS as used by the one from whom the Reseller purchased the transmission capacity. This information must be posted on the same display page, using the same tables, as similar capability being sold by the Transmission Provider, and the information must be contained in the same downloadable files as the Transmission Provider's own available capability. A customer reselling transmission capacity without the use of an OASIS must, nevertheless, inform the original Transmission Provider of the transaction within the time limits prescribed by the "Sale or Assignment of Transmission Service" section of the pro forma tariff.

(d) Posting Ancillary Service Offerings and Prices.

(1) Any ancillary service required to be provided or offered under the pro forma tariff prescribed by Part 35 of this Chapter must be posted with the price of that service.



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(2) A Transmission Provider, within 24 hours of agreeing to sell an ancillary service to a non-affiliate at a discount, must post on the OASIS (and make available for download) information describing the transaction (including price, quantity, and any other relevant terms and conditions) and shall keep such information posted on the OASIS for at least 30 days. A record of the transaction must be retained and kept available as part of the audit log required in § 37.7. As to discounts for ancillary services, if a Transmission Provider offers a rate discount to an affiliate, or attributes a discounted ancillary service rate to its own transactions, the Transmission Provider must, at the same time, post on the OASIS an offer to provide the same discount to all eligible customers.

(3) Any other interconnected operations service offered by the Transmission Provider may be posted, with the price for that service.

(4) Any entity offering an ancillary service shall have the right to post the offering of that service on the OASIS if the service is one required to be offered by the Transmission Provider under the pro forma tariff prescribed by Part 35 of this Chapter. Any entity may also post any other interconnected operations service voluntarily offered by the Transmission Provider. Postings by customers and third parties must be on the same page, and in the same format, as postings of the Transmission Provider.

### (e) Posting Specific Transmission Service Requests and Responses.

#### (1) General Rules.

(i) All requests for transmission service offered by Transmission Providers under the pro forma tariff must be made on the OASIS. Requests for transmission service, and the responses to such requests, must be conducted in accordance with the Transmission Provider's tariff, the Federal Power Act, and Commission regulations.

(ii) In processing a request for transmission or ancillary service, the Responsible Party shall post the following information: the date and time when the request is made, its place in any queue, the status of that request, and the result (accepted, denied, withdrawn).

(iii) The identity of the parties will be masked -- if requested -- during the negotiating period and for 30 days from the date when the request was accepted, denied or withdrawn.

#### (2) Posting when a request for transmission service is denied.

(i) When a request for service is denied, the Responsible Party must provide the reason for that denial as part of any response to the request.

(ii) Information to support the reason for the denial, including the operating status of relevant facilities, must be maintained for 60 days and provided, upon request, to the potential Transmission Customer.

(iii) Any offer to adjust operation of the Transmission Provider's System to accommodate the denied request must be posted and made available to all Transmission Customers at the same time.

#### (3) Posting when a transaction is curtailed or interrupted.

(i) When any transaction is curtailed or interrupted, the curtailment or interruption must be posted (with the identities of the parties masked as required in § 37.6(e)(1)(iii)) and must state the reason why the transaction could not be continued or completed.



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(ii) Information to support any such curtailment or interruption, including the operating status of the facilities involved in the constraint or interruption, must be maintained for 60 days and provided, upon request, to the curtailed or interrupted customer.

(iii) Any offer to adjust the operation of the Transmission Provider's system to restore a curtailed or interrupted transaction must be posted and made available to all curtailed and interrupted Transmission Customers at the same time.

(f) **Posting Transmission Service Schedules Information.** Information on transmission service schedules must be recorded by the entity scheduling the transmission service and must be available on the OASIS for download. Transmission service schedules must be posted no later than seven calendar days from the start of the transmission service.

(g) **Posting Other Transmission-Related Communications.**

(1) The posting of other communications related to transmission services must be provided for by the Responsible Party. These communications may include "want ads" and "other communications" (such as using the OASIS as a Transmission-related conference space or to provide transmission-related messaging services between OASIS users). Such postings carry no obligation to respond on the part of any market participant.

(2) The Responsible Party is responsible for posting other transmission-related communications in conformance with the instructions provided by the third party on whose behalf the communication is posted. It is the responsibility of the third party requesting such a posting to ensure the accuracy of the information to be posted.

(3) **Posting Transfers.** Notices of transfers of personnel as described in § 37.4(b)(2) shall be posted.

**Standard 21. § 37.7 Auditing Transmission Service Information.**

(a) All OASIS database transactions, except other transmission-related communications provided for under § 37.6(g)(2), must be stored, dated, and time stamped.

(b) Audit data must remain available for download on the OASIS for 90 days. The audit data are to be retained and made available upon request for three years from the date when they are first posted.

**Standard 20. § 37.8 Implementation schedule for OASIS requirements; phases.**

Each Transmission Provider must develop or participate in an OASIS that meets the requirements of this Part and that is in operation by November 1, 1996. Each Transmission Provider must be in compliance with the standards of conduct prescribed in § 37.4 by November 1, 1996.



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The Standards are attached and provided as part of the following attached documents:

- Federal Energy Regulatory Commission Business Practice Standards for Open Access Same-Time Information System (OASIS) Transactions, Version 1.2, issued October 25, 2000 (Attachment A).
- Standards and Communication Protocols for Open Access Same-Time Information System (OASIS), Version 1.4, July 26, 2000 (Attachment B).
- Data Dictionary, Standards and Communication Protocols for Open Access Same-Time Information System (OASIS), Version 1.4, July 26, 2000 (Attachment C)
- Revisions to Section 4.2.10.2 of the S&CP Document, 4.2.10.2, Status Values (Attachment D).
- Oasis Version 1.4 corrections, outlined in a letter dated January 30, 2001, from Paul R. Sorenson, OSC Chair, to David P. Borgers, Office of the Secretary, Federal Energy Regulatory Commission (Attachment E).
- FERC Order 605 (Attachment F).
- FERC Order 889 (Attachment G).
- FERC Order 889 Appendix A Data Element Dictionary (Attachment H).
- FERC Order 889 Appendix B Request (Query) Variables (Attachment I).

#### **4. SUPPORTING DOCUMENTATION**

##### **a. Description of Request:**

Request submitted by Southern Company Services, proposing the WEQ's acceptance of the current OASIS Business Practice Standards and Communication Protocol Standards.

##### **b. Description of Recommendation:**

Recommend acceptance as requested.

##### **c. Business Purpose:**

**The business practice standards are designed to implement the Commission's policy related to on-line price negotiation and to improve**



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**the commercial operation of the Open Access Same-Time Information System (OASIS).**

**d. Commentary/Rationale of Subcommittee(s)/Task Force(s):**

The Electronic Scheduling Subcommittee met on December 15-16, 2003 and via conference call on January 8, 2004. The minutes and work papers can be accessed via the NAESB web site ([http://www.naesb.org/weq/weq\\_electronic\\_scheduling.asp](http://www.naesb.org/weq/weq_electronic_scheduling.asp)). On January 8, the subcommittee unanimously endorsed sending the recommendation out for industry comment.



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**ATTACHMENT A**

**BUSINESS PRACTICE STANDARDS FOR OPEN ACCESS SAME-TIME INFORMATION SYSTEM (OASIS) TRANSACTIONS**

**October 25, 2000**  
**Version 1.2**

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**ATTACHMENT A**

**FEDERAL ENERGY REGULATORY COMMISSION**

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**BUSINESS PRACTICE**

**STANDARDS**

FOR

OPEN ACCESS SAME-TIME INFORMATION SYSTEM

(OASIS)

TRANSACTIONS

---

Version 1.2

(October 25, 2000)



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### **Section 1 Introduction**

This document contains business practice standards designed to implement the Commission's policy related to on-line price negotiation and to improve the commercial operation of the Open Access Same-Time Information System (OASIS).

#### **Section 1.1 Business Practice Standards**

This document adopts OASIS business practice standards as mandatory requirements.



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## Section 2 Standard Terminology for Transmission and Ancillary Services

### Section 2.1 Attribute Values Defining the Period of Service

The data templates of the Phase IA Standards & Communication Protocols (S&CP) Document have been developed with the use of standard service attributes in mind. What the Phase IA S&CP Document does not offer are specific definitions for each attribute value. This section offers standards for these service attribute definitions to be used in conjunction with the Phase IA data templates.

Fixed services are associated with transmission services whose periods align with calendar periods such as a day, week, or month. Sliding services are fixed in duration, such as a week or month, but the start and stop time may slide. For example a Sliding week could start on Tuesday and end on the following Monday. Extended allows for services in which the start time may slide and also the duration may be longer than a standard length. For example an Extended week of service could be nine consecutive days. Various transmission service offerings using these terms are defined in Standards 2.1.1 through 2.1.14 below. Next\_Increment indicates the next available full Service\_Increment, such as the next hour, next day, or next week. Next\_Increment is added at this time to address Next Hour Market Service, but may be used in the future to denote other products.

Table 1-1 identifies the standard terminology in OASIS Phase IA for the attributes SERVICE\_INCREMENT (Hourly, Daily, Weekly, Monthly, and Yearly) and TS\_WINDOW (Fixed, Sliding, Extended, and Next\_Increment). Values shown in Table 1-1 as N/A (Not Applicable) are not sufficiently common in the market to require standards.

Next Hour Market Service, a new pro forma service, is denoted as having a Service Increment of Hourly and a TS\_WINDOW of Next\_Increment.



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Table 1-1
Standard Service Period Attribute Values in Phase IA

Table with 5 columns: Service Period, Fixed, Sliding, Extended 1, Next\_Increment. Rows include Hourly, Daily, Weekly, Monthly, and Yearly.

1Included in the Phase IA S&CP Data Dictionary, Version 1.3, issued September 29, 1998.

2Next Hour Market Service is identified by Service Increment = Hourly and TS\_WINDOW = Next\_Increment

The existence of an attribute value in this table does not imply the services must be offered by a Transmission Provider. Requirements as to which services must be offered are defined by regulation and tariffs. Likewise, absence of a service period value in Table 1-1 does not restrict a Transmission Provider from offering a service. The intent of the table is to establish common terminology associated with standard products.

Each service period value assumes a single time zone specified by the Transmission Provider. It is recognized that daylight time switches must be accommodated in practice, but they have been omitted here for the purpose of simplicity.

Standard 2.1: A Transmission Provider shall use the values and definitions below for the service period attributes, SERVICE\_INCREMENT AND TS\_WINDOW for all transmission services offered on OASIS, or shall post alternative service period values and associated definitions on the OASIS Home Page at http://www.tsin.com, or shall use existing attribute values and definitions posted by other Transmission Providers. (See Section 3 for registration requirements.)

Standard 2.1.1: FIXED HOURLY - The service starts at the beginning of a clock hour and stops at the end of a clock hour.

Standard 2.1.2: FIXED DAILY - The service starts at 00:00 and stops at 24:00 of the same calendar date (same as 00:00 of the next consecutive calendar date).

Standard 2.1.3: FIXED WEEKLY - The service starts at 00:00 on Monday and stops at 24:00 of the following Sunday (same as 00:00 of the following Monday).

Standard 2.1.4: FIXED MONTHLY - The service starts at 00:00 on the first date of a calendar month and stops at 24:00 on the last date of the same calendar month (same as 00:00 of the first date of the next consecutive month).



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**Standard 2.1.5: FIXED YEARLY** - The service starts at 00:00 on the first date of a calendar year and ends at 24:00 on the last date of the same calendar year (same as 00:00 of the first date of the next consecutive year).

**Standard 2.1.6: SLIDING DAILY** - The service starts at the beginning of any hour of the day and stops exactly 24 hours later at the same time on the next day.

**Standard 2.1.7: SLIDING WEEKLY** - The service starts at 00:00 of any date and stops exactly 168 hours later at 00:00 on the same day of the next week.

**Standard 2.1.8: SLIDING MONTHLY** - The service starts at 00:00 of any date and stops at 00:00 on the same date of the next month (28-31 days later). If there is no corresponding date in the following month, the service stops at 24:00 on the last day of the next month.

For example: SLIDING MONTHLY starting at 00:00 on January 30 would stop at 24:00 on February 28 (same as 00:00 March 1).

**Standard 2.1.9: SLIDING YEARLY** - The service starts at 00:00 of any date and stops at 00:00 on the same date of the following year. If there is no corresponding date in the following year, the service stops at 24:00 on the last day of the same month in the following year.

For example SLIDING YEARLY service starting on February 29 would stop on February 28 of the following year.

**Standard 2.1.10: EXTENDED DAILY** - The service starts at any hour of a day and stops more than 24 hours later and less than 168 hours later.

**Standard 2.1.11: EXTENDED WEEKLY** - The service starts at 00:00 of any date and stops at 00:00 more than one week later, but less than four weeks later.

**Standard 2.1.12: EXTENDED MONTHLY** - The service starts at 00:00 of any date and stops at 00:00 more than one month later, but less than twelve months later.

**Standard 2.1.13: EXTENDED YEARLY** - The service starts at 00:00 of any date and stops at 00:00 more than one year later, but must be requested in increments of full years.

**Standard 2.1.14: NEXT\_INCREMENT HOURLY** - The service starts at the beginning of the next clock hour and stops at the end of that clock hour.

### Section 2.2 Attribute Values Defining Service Class

**Standard 2.2:** A Transmission Provider shall use the values and definitions below to describe the service class, TS\_CLASS, for transmission services offered on OASIS, or shall post alternative TS\_CLASS attribute values and associated definitions on the



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OASIS Home Page at <http://www.tsin.com>, or shall use the attribute values and definitions posted by other Transmission Providers. (See Section 3 for registration requirements.)

**Standard 2.2.1:** FIRM - Transmission service that always has priority over NONFIRM transmission service and includes Native Load Customers, Network Customers, and any transmission service not classified as non-firm in accordance with the definitions in the pro forma tariff.

**Standard 2.2.2:** NON-FIRM - Transmission service that is reserved and/or scheduled on an as-available basis and is subject to curtailment or interruption at a lesser priority compared to FIRM transmission service, including Native Load Customers and Network Customers, in accordance with the definitions in the pro forma tariff.

### **Section 2.3 Attribute Values Defining Service Types**

**Standard 2.3:** A Transmission Provider shall use the values and definitions below to describe the service type, TS\_TYPE, for transmission services offered on OASIS, or shall post alternative attribute values and associated definitions on the OASIS Home Page at <http://www.tsin.com>, or shall use the attribute values and definitions posted by other Transmission Providers. (See Section 3 for registration requirements.)



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**Standard 2.3.1:** POINT-TO-POINT (PTP) - Transmission service that is reserved and/or scheduled between specified POINTS OF RECEIPT and DELIVERY pursuant to Part II of the pro forma tariff and in accordance with the definitions in the pro forma tariff.

**Standard 2.3.2:** NETWORK - Network Integration Transmission Service that is provided to serve a Network Customer load pursuant to Part III of the pro forma tariff and in accordance with the definitions in the pro forma tariff.

### Section 2.4 Curtailment Priorities

**Standard 2.4:** A Transmission Provider that has adopted NERC TLR Procedures shall use the curtailment priority definitions contained in NERC TLR Procedures for NERC CURTAILMENT PRIORITY (1-7) for all transmission services offered on OASIS. A Transmission Provider that has adopted alternative curtailment procedures shall post its alternative attribute values and associated definitions on the OASIS Home Page at <http://www.tsin.com>, or shall use attribute values and definitions posted by another Transmission Provider. (See Section 3 for registration requirements.)

### Section 2.5 Other Service Attribute Values

The Commission has defined six ancillary services in Order No. 888. Other services may be offered pursuant to filed tariffs.

**Standard 2.5:** A Transmission Provider shall use the definitions below to describe the AS\_TYPES offered on OASIS, or shall post alternative attribute values and associated definitions on the OASIS Home Page at <http://www.tsin.com>, or shall use attribute values and definitions posted by another Transmission Provider. (See Section 3 for registration requirements.)

#### FERC Ancillary Services Definitions

**Standard 2.5.1:** SCHEDULING, SYSTEM CONTROL AND DISPATCH SERVICE (SC) - is necessary to the provision of basic transmission service within every control area. This service can be provided only by the operator of the control area in which the transmission facilities used are located. This is because the service is to schedule the movement of power through, out of, within, or into the control area. This service also includes the dispatch of generating resources to maintain



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generation/load balance and maintain security during the transaction and in accordance with section 3.1 (and Schedule 1) of the pro forma tariff.

**Standard 2.5.2:** REACTIVE SUPPLY AND VOLTAGE CONTROL FROM GENERATION SOURCES SERVICE (RV) - is the provision of reactive power and voltage control by generating facilities under the control of the control area operator. This service is necessary to the provision of basic transmission service within every control area and in accordance with section 3.2 (and Schedule 2) of the pro forma tariff.

**Standard 2.5.3:** REGULATION AND FREQUENCY RESPONSE SERVICE (RF) - is provided for transmission within or into the transmission provider's control area to serve load in the area. Customers may be able to satisfy the regulation service obligation by providing generation with automatic generation control capabilities to the control area in which the load resides and in accordance with section 3.3 (and Schedule 3) of the pro forma tariff.

**Standard 2.5.4:** ENERGY IMBALANCE SERVICE (I) - is the service for transmission within and into the transmission provider's control area to serve load in the area. Energy imbalance represents the deviation between the scheduled and actual delivery of energy to a load in the local control area over a single hour and in accordance with section 3.4 (and Schedule 4) of the pro forma tariff.

**Standard 2.5.5:** OPERATING RESERVE - SPINNING RESERVE SERVICE (SP) - is provided by generating units that are on-line and loaded at less than maximum output. They are available to serve load immediately in an unexpected contingency, such as an unplanned outage of a generating unit and in accordance with section 3.5 (and Schedule 5) of the pro forma tariff.

**Standard 2.5.6:** OPERATING RESERVE - SUPPLEMENTAL RESERVE SERVICE (SU) - is generating capacity that can be used to respond to contingency situations. Supplemental reserve, is not available instantaneously, but rather within a short period (usually ten minutes). It is provided by generating units that are on-line but unloaded, by quick-start generation, and by customer interrupted load and in accordance with section 3.6 (and Schedule 6) of the pro forma tariff.

### **Other Service Definitions**

Other services may be offered to Transmission Customers through Commission-approved revisions to their individual open access tariffs. Examples of other services that may be offered include the Interconnected Operations Services described below in Standards 2.5.7, 2.5.8, and 2.5.9. Ancillary service definitions may be offered pursuant to an individual transmission provider's specific tariff filings.

**Standard 2.5.7:** DYNAMIC TRANSFER (DT) - is the provision of the real-time monitoring, telemetering, computer software, hardware, communications, engineering, and administration required to electronically move all or a portion



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of the real energy services associated with a generator or load out of its Host Control Area into a different Electronic Control Area.

**Standard 2.5.8:** REAL POWER TRANSMISSION LOSSES (TL) - is the provision of capacity and energy to replace energy losses associated with transmission service on the Transmission Provider's system.

**Standard 2.5.9:** SYSTEM BLACK START CAPABILITY (BS) - is the provision of generating equipment that, following a system blackout, is able to start without an outside electrical supply. Furthermore, BLACK START CAPABILITY is capable of being synchronized to the transmission system such that it can provide a startup supply source for other system capacity that can then be likewise synchronized to the transmission system to supply load as part of a process of re-energizing the transmission system.

**Standard 2.6:** A Transmission Provider shall use the definitions below to describe the scheduling period leading up to the start time of a transaction:

**Standard 2.6.1:** SAME-DAY is after 2 p.m. of the preceding day and

**Standard 2.6.2:** NEXT-HOUR is one hour or less prior to the service start time.

### **Section 3 OASIS Registration Procedures**

#### **Section 3.1 Entity Registration**

Operation of OASIS requires unambiguous identification of parties.

**Standard 3.1:** All entities or persons using OASIS shall register the identity of their organization (including DUNS number) or person at the OASIS Home Page at <http://www.tsin.com>. Registration identification shall include the parent entity (if any) of the registrant. Registration shall be a prerequisite to OASIS usage and renewed annually and whenever changes in identification occur and thereafter. An entity or person not complying with this requirement may be denied access by a transmission provider to that transmission provider's OASIS node.

The registration requirement applies to any entity logging onto OASIS for the purpose of using or updating information, including Transmission Providers, Transmission Customers, Observers, Control Areas, Security Coordinators, and Independent System Operators.

#### **Section 3.2 Process to Register Non-Standard Service Attribute Values**

Section 2 of the OASIS business practice standards addresses the use of standard terminology in defining services on OASIS. These standard definitions for service attribute values will be posted publicly on the OASIS Home Page at <http://www.tsin.com> and may be used by all Transmission Providers to offer transmission and ancillary services on OASIS. If the Transmission Provider determines



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that the standard definitions are not applicable, the Transmission Provider may register new attribute values and definitions on the OASIS Home Page. Any Transmission Provider may use the attribute values and definitions posted by another Transmission Provider.

**Standard 3.2:** Providers of transmission and ancillary services shall use only attribute values and definitions that have been registered on the OASIS Home Page at <http://www.tsin.com> for all transmission and ancillary services offered on their OASIS.

**Standard 3.3:** Providers of transmission and ancillary services shall endeavor to use on their OASIS nodes attribute values and definitions that have been posted by other Transmission Providers on the OASIS Home Page at <http://www.tsin.com> whenever possible.

### **Section 3.3 Registration of Points of Receipt and Delivery**

In order to improve coordination of path naming and to enhance the identification of commercially available connection points between Transmission Providers and regions, the business practice for Phase IA OASIS requires that:

- I. Transmission Providers register at the OASIS Home Page at <http://www.tsin.com>, all service points (Points of Receipt and Delivery) for which transmission service is available over the OASIS.
- II. Each Transmission Provider would then indicate on its OASIS node, for each Path posted on its OASIS node, the Points of Receipt and Delivery to which each Path is connected.

A Transmission Provider is not required to register specific generating stations as Points of Receipt, unless they were available as service points for the purposes of reserving transmission service on OASIS. The requirement also does not include registration of regional flowgates, unless they are service points for the purposes of reserving transmission on OASIS.

**Standard 3.4:** A Transmission Provider shall register and thereafter maintain on the OASIS Home Page at <http://www.tsin.com> all Points of Receipt and Delivery to and from which a Transmission Customer may reserve and schedule transmission service.

**Standard 3.5:** For each reservable Path posted on their OASIS nodes, Transmission Providers shall indicate the available Point(s) of Receipt and Delivery for that Path. These Points of Receipt and Delivery shall be from the list registered on the OASIS Home Page at <http://www.tsin.com>.

**Standard 3.6:** When two or more Transmission Providers share common Points of Receipt or Delivery, or when a Path connects Points of Receipt and Delivery in neighboring systems, the Transmission Providers owning and/or operating those facilities shall apply consistent names for those connecting paths or common paths on the OASIS.

### **Section 4 On-line Negotiation and Confirmation Process**



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#### Section 4.1 On-line Price Negotiation in Short-term Markets

**Standard 4.1:** Consistent with FERC policy and regulations, all reservations and price negotiations shall be conducted on OASIS.

**Standard 4.2:** Reserved

**Standard 4.3:** Reserved

#### Section 4.2 Phase IA Negotiation Process State Transition Diagram

The Phase IA S&CP Document provides a process state diagram to define the Customer and Transmission Provider interactions for negotiating transmission service. This diagram defines allowable steps in the reservation request, negotiation, approval and confirmation.

**Standard 4.4:** The state diagram appearing in Exhibit 4-1 in Section 4.2.10.2 of the Version 1.3 of the S&CP Document constitutes a recommended business practice in OASIS Phase IA.

**Standard 4.5:** The definitions in Section 4.2.10.2 of the Version 1.3 of the S&CP Document (status values) shall be applied to the process states in OASIS Phase IA.

Table 4-1 - Reserved

#### Section 4.3 Negotiations Without Competing Bids

The following practices are defined in order to enhance consistency of the reservation process across OASIS Phase IA nodes.

**Standard 4.6:** A Transmission Provider/Seller shall respond to a Customer's service request, consistent with filed tariffs, within the Provider Response Time Limit defined in **Table 4-2 Reservation Timing Requirements**. The time limit is measured from the time the request is QUEUED. A Transmission Provider may respond by setting the state of the reservation request to one of the following:

- I. INVALID
- II. DECLINED
- III. REFUSED
- IV. COUNTEROFFER
- V. ACCEPTED
- VI. STUDY (when the tariff allows), leading to REFUSED, COUNTEROFFER, or ACCEPTED.

**Standard 4.7:** Prior to setting a request to ACCEPTED, COUNTEROFFER, or REFUSED a Transmission Provider shall evaluate the appropriate resources and ascertain that the requested transfer capability is (or is not) available.



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**Standard 4.8:** For any request that is REFUSED or INVALID, the Transmission Provider must indicate in the SELLER\_COMMENTS field the reason the request was refused or invalid.

**Standard 4.9:** The Customer may change a request from QUEUED, RECEIVED, STUDY, COUNTEROFFER, REBID, or ACCEPTED to WITHDRAWN at any time prior to CONFIRMED.

**Standard 4.10:** From ACCEPTED or COUNTEROFFER, a Customer may change the status to CONFIRMED or WITHDRAWN. In addition, a Customer may change the status from COUNTEROFFER to REBID. The Customer has the amount of time designated as Customer Confirmation Time Limit in **Table 4-2 Reservation Timing Requirements** to change the state of the request to CONFIRMED. The Customer time limit is measured from the first time the request is moved to ACCEPTED or COUNTEROFFER, and is not reset with subsequent iterations of negotiation.

**Standard 4.11:** After expiration of the Customer Confirmation Time Limit, specified in **Table 4-2 Reservation Timing Requirements**, the Transmission Provider has a right to move the request to the RETRACTED state.

**Standard 4.12:** Should the Customer elect to respond to a Transmission Provider's COUNTEROFFER by moving a reservation request to REBID, the Transmission Provider shall respond by taking the request to a DECLINED, ACCEPTED, or COUNTEROFFER state within the Provider Counter Time Limit, specified in **Table 42 Reservation Timing Requirements**. The Transmission Provider response time is measured from the most recent REBID time.



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**Standard 4.13:** The following timing requirements shall apply to all reservation requests:

**Table 4-2  
 Reservation Timing Requirements**

<b>Class</b>	<b>Service Increment</b>	<b>Time QUEUED Prior to Start</b>	<b>Provider Evaluation Time Limit<sup>1</sup></b>	<b>Customer Confirmation Time Limit<sup>2</sup> after ACCEPTED or COUNTEROFFER<sup>3</sup></b>	<b>Provider Counter Time Limit after REBID<sup>4</sup></b>
Non-Firm	Hourly	<1 hour	Best effort	5 minutes	5 minutes
Non-Firm	Hourly	>1 hour	30 minutes	5 minutes	5 minutes
Non-Firm	Hourly	Day ahead	30 minutes	30 minutes	10 minutes
Non-Firm	Daily	N/A	30 minutes	2 hours	10 minutes
Non-Firm	Weekly	N/A	4 hours	24 hours	4 hours
Non-Firm	Monthly	N/A	2 days <sup>5</sup>	24 hours	4 hours
Firm	Daily	< 24 hours	Best effort	2 hours	30 minutes
Firm	Daily	N/A	30 days <sup>6</sup>	24 hours	4 hours
Firm	Weekly	N/A	30 days <sup>6</sup>	48 hours	4 hours
Firm	Monthly	N/A	30 days <sup>6</sup>	4 days	4 hours
Firm	Yearly	60 days <sup>7</sup>	30 days	15 days	4 hours

**Notes for Table 4-2:**

<sup>1</sup>Consistent with regulations and filed tariffs, measurement starts at the time the request is QUEUED.

<sup>2</sup>Confirmation time limits are not to be interpreted to extend scheduling deadlines or to override preemption deadlines.

<sup>3</sup>Measurement starts at the time the request is first moved to either ACCEPTED or COUNTEROFFER. The time limit does not reset on subsequent changes of state.

<sup>4</sup>Measurement starts at the time the Transmission Customer changes the state to REBID. The measurement resets each time the request is changed to REBID.

<sup>5</sup>Days are defined as calendar days.



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<sup>6</sup>Subject to expedited time requirements of Section 17.1 of the pro forma tariff. Transmission Providers shall make best efforts to respond within 72 hours, or prior to the scheduling deadline, whichever is earlier, to a request for Daily Firm Service received during period 2-30 days ahead of the service start time.

<sup>7</sup>Subject to Section 17.1 of the pro forma tariff, whenever feasible and on a nondiscriminatory basis, transmission providers should accommodate requests made with less than 60 days notice.

#### **Section 4.4 Negotiations With Competing Bids for Constrained Resources**

Competing bids exist when multiple requests cannot be accommodated due to a lack of available transmission capacity. One general rule is that OASIS requests should be evaluated and granted priority on a first-come-first-served basis established by OASIS QUEUED time. Thus, the first to request service should get it, all else being equal.

Exceptions to this first-come-first-served basis occur when there are competing requests for limited resources and the requests have different priorities established by FERC regulations and filed tariffs. Prior to the introduction of price negotiations, the attribute values that have served as a basis for determining priority include:

- I. Type (Network, Point-to-point)
- II. Class (Firm, Non-Firm)
- III. Increment (Hourly, Daily, Weekly, Monthly, Yearly)
- IV. Duration (the amount of time between the Start Date and the Stop Date)
- V. Amount (the MW amount)

Under a negotiation model, price can also be used as an attribute for determining priority. The negotiation process increases the possibility that a Transmission Provider will be evaluating multiple requests that cannot all be accommodated due to limited resources. In this scenario, it is possible that an unconfirmed request with an earlier QUEUED time could be preempted (SUPERSEDED). For this to occur, the subsequent request would be of higher priority or of greater price.

**Standard 4.14:** Consistent with regulations and filed tariffs, the following are



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recommended relative priorities of Service Request Tiers<sup>2</sup>. Specific exceptions may exist in accordance with filed tariffs. The priorities refer only to negotiation of service and do not refer to curtailment priority.

- 4.14.1. Service Request Tier 1: Native load, Network, or Long-term Firm
- 4.14.2. Service Request Tier 2: Short-term Firm
- 4.14.3. Service Request Tier 3: Network Service From Non-designated Resources
- 4.14.4. Service Request Tier 4: Non-firm
- 4.14.5. Service Request Tier 5: Non-firm Point-to-point Service over secondary receipt and delivery points
- 4.14.6. Service Request Tier 6: Non-firm Next Hour Market Service

**Standard 4.15:** Consistent with regulations and filed tariffs, reservation requests shall be handled in a first-come-first-served order based on QUEUE\_TIME.

**Standard 4.16:** Consistent with regulations and filed tariffs, Table 4-3 describes the relative priorities of competing service requests and rules for offering right-of-first-refusal. While the table indicates the relative priorities of two competing requests, it also is intended to be applied in the more general case of more than two competing requests.

**Table 4-3  
 Priorities for Competing Reservation Requests**

<b>R O W</b>	<b>Request 1</b>	<b>Is Preempted by Request 2</b>	<b>Right of First Refusal</b>
1	Tier 1: Long-term Firm, Native Load, and Network Firm	N/A - Not preempted by a subsequent request.	N/A
2	Tier 2: Short-term Firm	Tier 1: Long-term Firm, Native Load, and Network Firm, while Request 1 is conditional. Once Request 1 is unconditional, it may not be preempted.	No
3	Tier 2: Short-term Firm	Tier 2: Short-term Firm of longer term (duration), while Request 1 is conditional. Once Request 1 is unconditional, it may not be preempted. <sup>1</sup>	Yes, while Request 1 is conditional. Once Request 1 is unconditional, it may not be preempted and right of first refusal is not applicable.

<sup>1</sup>Note: The term Tier is introduced to avoid confusion with existing terms such as TS\_CLASS.



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4	Tier 3: Network Service From Non-Designated Resources	Tiers 1 and 2: All Firm (including Network).	No
5	Tier 4: All Non-Firm PTP	Tiers 1 and 2: All Firm (including Network).	No
6	Tier 4: All Non-Firm PTP	Tier 3: Network Service from Non-Designated Resources.	No
7	Tier 4: All Non-Firm PTP	Tier 4: Non-firm PTP of a longer term (duration) <sup>1</sup> . Except in the last hour prior to start (See Standard 4.23).	Yes <sup>2</sup>
8	Tier 4: All Non-Firm PTP	Tier 4: Non-firm PTP of equal term (duration) <sup>1</sup> and higher price, when Request 1 is still unconfirmed and Request 2 is received pre-confirmed. A confirmed non-firm PTP may not be preempted for another non-firm request of equal duration. (See Standards 4.22 and 4.25.)	Yes <sup>3</sup>
9	Tier 5: Non-firm PTP Service over secondary receipt and delivery points.	Tier 5 can be preempted by Tiers 1 through 4.	No
10	Tier 6: Non-firm Next Hour Market Service	Tier 6 can be preempted by Tiers 1 through 5.	No

<sup>1</sup> Longer duration, in addition to being higher SERVICE\_INCREMENT (i.e., WEEKLY has priority over DAILY), also may mean more multiples of the same SERVICE\_INCREMENT (i.e., 3 days may have priority over 2 days). Multiple service increments must be at the same level of capacity.

<sup>2</sup> Right of first refusal when a subsequent request is received of a longer duration applies only if the first request is confirmed.



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<sup>3</sup> Right of first refusal when a subsequent request is received of an equal duration and higher price applies only when the first request is unconfirmed and the subsequent request is received preconfirmed (see Standards 4.22 and 4.26).

**Standard 4.17:** For a request or reservation that is Superseded or Displaced, the Transmission Provider must indicate the Assignment Reference Number of the competing request and the reason for denial of service in the SELLER\_COMMENTS field.

**Standard 4.18:** Given competing requests for a limited resource and a right-of-first-refusal is not required to be offered, the Transmission Provider may immediately move requests in the CONFIRMED state to DISPLACED, or from an ACCEPTED or COUNTEROFFER state to SUPERSEDED, if the competing request is of higher priority, based on the rules represented in Table 4-3. These state changes require dynamic notification to the Customer if the Customer has requested dynamic notification on OASIS.

**Standard 4.19:** In those cases where right-of-first-refusal is required to be offered, the Transmission Provider shall notify the Customer, through the use of a COUNTEROFFER, of the opportunity to match the subsequent offer.

**Standard 4.20:** A Customer who has been extended a right-of-first-refusal shall have a confirmation time limit equal to the lesser of a) the Customer Confirmation Time Limit in Table 4-2 or b) 24 hours.

**Standard 4.21:** A Transmission Provider shall apply all rights-of-first-refusal in a nondiscriminatory and open manner for all Customers.

**Standard 4.22:** Once a non-firm PTP request has been confirmed, it shall not be displaced by a subsequent non-firm PTP request of equal duration and higher price.

**Standard 4.23:** A confirmed, non-firm PTP reservation for the next hour shall not be displaced within one hour of the start of the reservation by a subsequent non-firm PTP reservation request of longer duration.

**Standard 4.24:** A Transmission Provider shall accept any reservation request submitted for an unconstrained Path if the Customer's bid price is equal to or greater than the Transmission Provider's posted offer price at the time the request was queued, even if



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later requests are submitted at a higher price. This standard applies even when the first request is still unconfirmed, unless the Customer Confirmation Time Limit has expired for the first request.

**Standard 4.25:** Once an offer to provide non-firm PTP transmission service at a given price is extended to a Customer by the Transmission Provider, and while this first request is still unconfirmed but within the Customer Confirmation Time Limit, the Transmission Provider shall not preempt or otherwise alter the status of that first request on receipt of a subsequent request of the same Tier and equal duration at a higher price, unless the subsequent request is submitted as pre-confirmed.

**Standard 4.26:** If during a negotiation of service (i.e., prior to Customer confirmation) a subsequent pre-confirmed request for service over the same limited resource of equal duration but higher price is received, the Transmission Provider must COUNTEROFFER the price of service on the prior COUNTEROFFER or ACCEPTED price to match the competing offer, in order to give the first Customer an opportunity to match the offer. This practice must be implemented in a non-discriminatory manner.

**Standard 4.27:** Whenever a request or reservation is set to the state of Invalid, Refused, Declined, Superseded, Retracted, Annulled, or Displaced, the Transmission Provider or Seller shall enter the reason for the action in the SELLER\_COMMENTS field.

## **Section 5 Procurement of Ancillary and Other Services**

### **Section 5.1 Introduction**

Phase IA OASIS data templates allow the coupling of ancillary service arrangements with the purchase of transmission service for the purpose of simplifying the overall process for Customers. Transmission Providers must indicate (consistent with filed tariffs), which services are MANDATORY (must be taken from the Primary Transmission Provider), REQUIRED (must be provided for but may be procured from alternative sources), or OPTIONAL (not required as a condition of transmission service).

The Transmission Customer should make known to the Transmission Provider at the time of the reservation request certain options related to arrangement of ancillary services. The Transmission Customer may indicate:



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- a. I will take all the MANDATORY and REQUIRED ancillary services from the Primary Transmission Provider
- b. I will take REQUIRED ancillary services from Third Party Seller X
- c. I would like to purchase OPTIONAL services
- d. I will self provide ancillary services
- e. I will arrange for ancillary services in the future (prior to scheduling)

While these interactions are available in the Phase IA S&CP Document, there is a need to clarify the associated business practices. The standards in Section 5 apply to services defined in filed tariffs.

### **Section 5.2 Transmission Provider Requirements**

**Standard 5.1:** The Transmission Provider shall designate which ancillary services are MANDATORY, REQUIRED, or OPTIONAL for each offered transmission service or each transmission path to the extent these requirements can be determined in advance of the submittal of a reservation request on a specific Path by a Transmission Customer.

**Standard 5.2:** A Transmission Provider shall modify a Transmission Customer's service request to indicate the Transmission Provider as the SELLER of any ancillary service, which is MANDATORY, to be taken from the Transmission Provider.

**Standard 5.3:** For REQUIRED and OPTIONAL services, the Transmission Provider shall not select a SELLER of ancillary service without the Transmission Customer first selecting that SELLER.

**Standard 5.4:** A Transmission Provider may accept a Transmission Customer's request for an ancillary service, which is not MANDATORY or REQUIRED, but shall indicate to the Transmission Customer at the time of acceptance in SELLER\_COMMENTS that the service is not MANDATORY or REQUIRED.

### **Section 5.3 Transmission Customer Requirements**

**Standard 5.5:** The Transmission Customer shall indicate with the submittal of a transmission reservation request, the preferred options for provision of ancillary services, such as the desire to use an alternative resource. The Transmission Provider shall post itself as the default ancillary service provider, if a Transmission Customer fails to indicate a third party SELLER of ancillary services. However, the Transmission Customer may



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change this designation at a later date, so long as this change is made prior to the Transmission Provider's scheduling deadline.

**Standard 5.6:** A Transmission Customer may, but is not required to, indicate a third party SELLER of ancillary services, if these services are arranged by the Transmission Customer off the OASIS and if such arrangements are permitted by the Transmission Provider's tariff. The Transmission Provider shall post itself as the default ancillary service provider, if a Transmission Customer fails to indicate a third party SELLER of ancillary services. However, the Transmission Customer may change this designation at a later date, so long as this change is made prior to the Transmission Provider's scheduling deadline.

## **Section 6 - Pathnaming Standards**

### **Section 6.1 Introduction**

The Data Element Dictionary of the OASIS S&CP Document, Version 1.3, defines a path name in terms of a 50-character alphanumeric string:

**RR/TPTP/PATHPATHPATH/OPTIONALFROM-OPTIONALTOTO/SPR**

RegionCode/TransmissionProviderCode/PathName/OptionalFrom-To(POR-POD)/Spare

This definition leaves it to the Transmission Providers to name the paths from their own perspective. The following standards provide an unambiguous convention for naming paths and will produce more consistent path names.

### **Section 6.2 Transmission Provider Requirements**

**Standard 6.1:** A transmission provider shall use the path naming convention defined in the S&CP Data Dictionary for the naming of all reservable paths posted on OASIS.

**Standard 6.2:** A transmission provider shall use the third field in the path name to indicate the sending and receiving control areas. The control areas shall be designated using standard NERC codes for the control areas, separated by a hyphen. For example, the first three fields of the path name will be:

**RR/TPTP/CAXX-CAYY/**



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**Standard 6.3:** A transmission provider shall use the fourth field of the path name to indicate POR and POD separated by a hyphen. For example, a path with a specific POR/POD would be shown as:

**RR/TPTP/CAXX-CAYY/PORPORPOR-PODPODPOD/**

If the POR and POD are designated as control areas, then the fourth field may be left blank (as per the example in 6.2).

**Standard 6.4:** A transmission provider may designate a sub-level for Points of Receipt and Delivery. For example, a customer reserves a path to POD AAAA. The ultimate load may be indeterminate at the time. Later, the customer schedules energy to flow to a particular load that may be designated by the transmission provider as a sub-level Point of Delivery. This option is necessary to ensure certain transmission providers are not precluded from using more specific service points by the inclusion of the POR/POD in the path name. All sub-level PORs and PODs must be registered as such on <http://www.tsin.com>.

## **Section 7 - Next Hour Market Service**

### **Section 7.1 Introduction**

The standards in this section apply to the offering of Next Hour Market (NHM) Service only. The Commission has designated this service as voluntary for a transmission provider to offer. Therefore the standards apply to a transmission provider only if that provider offers NHM Service, in which case the standards become mandatory for that provider.

### **Section 7.2 Transmission Provider Requirements**

**Standard 7.1:** Use of NHM Service shall be limited to interchange transactions having a duration of one clock-hour and requested no earlier than 60 minutes prior to the start time of the transaction.

**Standard 7.2:** A transmission provider offering NHM Service shall allow an eligible transmission customer to request a NHM Service reservation electronically using protocols compliant with the NERC ETAG Specification 1.6.



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**Standard 7.3:** A transmission provider offering NHM Service shall allow a transmission customer to request NHM Service for one or more path segments of a tag by designating: (a) 0-NX as the transmission product code under the OASIS block and (b) BUYATMARKET as the OASIS reservation identifier.

**Standard 7.4:** A transmission provider offering NHM Service shall consider the submittal of a tag designating that provider on one or more path segments using NHM Service to include a pre-confirmed request for the necessary transmission reservation and associated mandatory ancillary services for each designated path segment, for the hour indicated. No additional confirmation steps shall be required by the transmission customer for a NHM Service transmission reservation and associated ancillary services.

**Standard 7.5:** A transmission provider offering NHM Service shall consider set the amount of the NHM Service reservation as:

- a. The amount of the Transmission Provider Product, if specified.
- b. In accordance with the Transmission Provider's tariff, the MW amount at the POR or POD for that Provider in the Loss Table, if Transmission Provider Product is not specified.
- c. The MW amount in the Energy Profile, if neither Transmission Provider Product amount nor Provider Loss Table amounts are specified.

**Standard 7.6:** The OASIS queue time of a NHM Service request or reservation shall be the transmission provider ETAG approval service receipt time, unless a system failure requires the use of ETAG backup procedures, in which case the OASIS queue time shall be the time the tag is received by the transmission provider.

**Standard 7.7:** The 0-NX designation in the tag assigns as transmission customer, for all NHM Service path segments in the transaction, the PSE that is designated as the Purchasing-Selling Entity (PSE) responsible for the tag. A PSE submitting a tag may not designate a NHM Service reservation for another PSE and a transmission provider may not assign a reservation to any transmission customer other than the PSE submitting the NHM Service tag.

**Standard 7.8:** When evaluating competing requests for transmission reservations, a transmission provider offering NHM Service shall consider the NHM Service to have a priority lower than Tier 5 – point-to-point service over secondary receipt and delivery points.



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**Standard 7.9:** Once a tag goes to IMPLEMENT or CONDITIONAL status in ETAG, the transmission provider shall consider the associated NHM Service reservations to be confirmed. Since the NHM Service confirmed reservation(s) are by definition less than one hour prior to start, these reservations shall not be displaced by a subsequent non-firm reservation of higher priority.

**Standard 7.10:** The transmission customer shall be obligated to pay for the transmission service under the terms of the tariff at the posted offer price for non-firm hourly service, once the interchange transaction tag is changed to the IMPLEMENT or CONDITIONAL status in ETAG. In the event of a voluntary withdrawal or reduction in the amount or duration of the service by the transmission customer after the tag has changed to IMPLEMENT or CONDITIONAL, the transmission customer shall remain obligated to pay for the full amount of the approved request. In the event of an involuntary curtailment or reduction of the service, initiated by the transmission provider or any other transmission provider, the transmission customer shall not be obligated to pay for any portions of the NHM Service that were involuntarily curtailed. In the case of involuntary curtailment or reduction, payment shall be based on a calculation of the MWhours actually used.

**Standard 7.11:** In the case that a transaction uses NHM Service for all required path segments in the tag, the default condition of the tag is NOT approved unless all required transmission providers and control areas indicate tag approval.

**Standard 7.12:** In the case that a transaction mixes one or more transaction path segments that use NHM Service with one or more path segments that use other types of transmission service, then 1) as long as the NHM Service path segment(s) are not fully approved, then the tag shall default to NOT approved; and 2) if all NHM Service path segments in the ETAG are fully approved, then the tag shall revert to the normal default status as specified in NERC Operating Policy 3 and associated Appendices.

**Standard 7.13:** The transmission customer shall be required to submit a NHM Service transaction request prior to the tag submittal time limit as specified in NERC Operating Policy 3 and associated Appendices, and no earlier than 60 minutes prior to the start of the transaction.

**Standard 7.14:** The approval mechanism for a NHM Service reservation shall be the tag approval. If the tag is approved and moved to the IMPLEMENT or CONDITIONAL state, all required NHM Service transmission reservations associated with that tag shall be



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considered confirmed reservations. If one or more transmission providers do NOT approve their segment(s) of the transaction, then the transaction shall be considered NOT approved. Each transmission provider designated in a tag that does not approve that segment of the tag shall indicate that the associated reservation for that segment is REFUSED. If a designated transmission provider in a NHM Service path segment approves the tag but the tag is not approved through the action or inaction of another transmission provider, then that transmission provider shall indicate that reservation is ANNULLED.

**Standard 7.15:** The transmission provider shall assign the reservation request and final disposition status on behalf of the transmission customer within one hour of the requested start of the NHM Service transaction, regardless of the ultimate disposition of the tag.

**Standard 7.16:** NHM Service shall have the lowest curtailment priority in the event that a curtailment or reduction of transfers is initiated. Specifically, NHM Service (0-NX) shall have a NERC Curtailment Priority of 0.



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## ATTACHMENT B

### STANDARDS AND COMMUNICATIONS PROTOCOLS FOR OPEN ACCESS SAME-TIME INFORMATION SYSTEM (OASIS)

June 26, 2000  
Version 1.4

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## 1. INTRODUCTION

### 1.1 DEFINITION OF TERMS

The following definitions are offered to clarify discussions of the OASIS in this document.

- a. **Transmission Services Information (TS Information)** is transmission and ancillary services information that must be made available by public utilities on a non-discriminatory basis to meet the regulatory requirements of transmission open access.
- b. **Open Access Same-Time Information System (OASIS)** comprises the computer systems and associated communications facilities that public utilities are required to provide for the purpose of making available to all transmission users comparable interactions with TS Information.
- c. **Open Access Same-Time Information System Node (OASIS Node)** is a subsystem of the OASIS. It is one computer system in the (OASIS) that provides access to TS Information to a Transmission Customer.
- d. **Transmission Provider (TP or Primary Provider)** is the public utility (or its designated agent) that owns, operates or controls facilities used for the transmission of electric energy in interstate commerce. (This is the same term as is used in Part 35.3).
- e. **Transmission Customer (TC or Customer)** is any eligible Customer (or its designated agent) that can or does execute a transmission service agreement or can or does receive transmission service. (This is the same term as is used in Part 35.3).
- f. **Secondary Transmission Provider (ST, Reseller, or Secondary Provider)** is any Customer who offers to sell transmission capacity it has purchased. (This is the same as Reseller in Part 37).
- g. **Transmission Services Information Provider (TSIP)** is a Transmission Provider or an agent to whom the Transmission Provider has delegated the responsibility of meeting any of the requirements of Part 37. (This is the same as Responsible Party in Part 37).
- h. **Value-Added Transmission Services Information Provider (VTSIP)** is an entity who uses TS Information in the same manner as a Customer and provides value-added information services to its Customers.



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## 2. NETWORK ARCHITECTURE REQUIREMENTS

### 2.1 ARCHITECTURE OF OASIS NODES

a. **Permit Use of Any OASIS Node Computers:** TSIPs shall be permitted to use any computer systems as an OASIS Node, so long as they meet the OASIS requirements. S&CP Version 1.4 July 26 , 2000 2

b. **Permit Use of Any Customer Computers:** OASIS Nodes shall permit the use by Customers of any commonly available computer systems, as long as they support the required communication links to the Internet.

c. **Permit the Offering of Value-Added Services:** TSIPs are required, upon request, to provide their Customers the use of private network connections on a cost recovery basis. Additional services that are beyond the scope of the minimum OASIS requirements are also permitted. When provided, these private connections and additional services shall be offered on a fair and non-discriminatory basis to all Customers who might choose to use these services.

d. **Permit Use of Existing Communications Facilities:** In implementing the OASIS, the use of existing communications facilities shall be permitted. The use of OASIS communication facilities for the exchange of information beyond that required for open transmission access (e.g., transfer of system security or operations data between regional control centers) shall also be permitted, provided that such use does not negatively impact the exchange of open transmission access data and is consistent with the Standards of Conduct in Part 37.

e. **Single or Multiple Providers per Node:** An OASIS Node may support a single individual Primary Provider (plus any Secondary Providers) or may support many Primary Providers.

### 2.2 INTERNET-BASED OASIS NETWORK

a. **Internet Compatibility:** All OASIS Nodes shall support the use of internet tools, internet directory services, and internet communication protocols necessary to support the Information Access requirements stated in Section 4.

b. **Connection through the Public Internet:** Connection of OASIS Nodes to the public Internet is required so that Users may access them through Internet links. This connection shall be made through a firewall to improve security.

c. **Connection to a Private Internet Network:** OASIS Nodes shall support private connections to any OASIS User (User) who requests such a connection. The TSIP is permitted to charge the User, based on cost, for these connections. The same internet tools shall be required for these private networks as are required for the public Internet. Private connections must be provided to all users on a fair and nondiscriminatory basis.

d. **Internet Communications Channel:** The OASIS Nodes shall utilize a communication channel to the Internet which is adequate to support the performance requirements given the number of Users subscribed to the Providers on the Node (see Section 5.3).

### 2.3 COMMUNICATION STANDARDS REQUIRED



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- a. **Point-to-Point Protocol (PPP) and Internet Protocol Control Protocol (IPCP)** (reference RFCs 1331 and 1332) shall be supported for private internet network dial-up connections.
- b. **Serial Line Internet Protocol (SLIP)** (reference RFC 1055) shall be supported for private internet network dial-up connections.
- c. **Transport Control Protocol and Internet Protocol (TCP/IP)** shall be the only protocol set used between OASIS Nodes whenever they are directly interconnected, or between OASIS Nodes and Users using private leased line internet network connections.
- d. **Hyper Text Transport Protocol (HTTP)**, Version 1.0 (RFC 1945), shall be supported by TSIPs so that Users= web browsers can use it to select information for viewing displays and for downloading and uploading files electronically.
- e. **Internet Protocol Address:** All OASIS Nodes are required to use an IP address registered with the Internet Network Information Center (InterNIC), even if private connections are used.

### 2.4 INTERNET TOOL REQUIREMENTS

Support for the following specific internet tools is required, both for use over the public Internet as well as for any private connections between Users and OASIS Nodes:

- a. **Browser Support:** OASIS Nodes shall insure that Users running minimally either Netscape's Navigator version 4.0.x or Microsoft's Internet Explorer version 4.0.x browsers (or any other commercially or privately available browser supporting that set of capabilities common to both of these industry standard browsers) shall have a fully functional user interface based on the Interface Requirements defined in Section 4.
- b. **HTML Forms** shall be provided by the TSIPs to allow Customers to enter information to the OASIS Node.
- c. **Domain Name Service (DNS)** (ref. RFC 1034, 1035) shall be provided as a minimum by the TSIPs (or their Internet Service Provider) for the resolution of IP addresses to allow Users to navigate easily between OASIS Nodes.
- d. **Simple Network Management Protocol (SNMP)** is recommended but not required to provide tools for operating and managing the network, if private interconnections between OASIS Nodes are established.
- e. **The Primary Provider shall support E-mail** for exchanges with Customers, including the sending of attachments. The protocols supported shall include, as a minimum, the Simple Messaging Transfer Protocol (SMTP), Post Office Protocol (POP), and Multipurpose Internet Mail Extensions (MIME).

### 2.5 NAVIGATION AND INTERCONNECTIVITY BETWEEN OASIS NODES

- a. **World Wide Web Browsers:** TSIPs shall permit Users to navigate using WWW browsers for accessing different sets of TS Information from one Provider, or for getting to TS Information from different Providers on the same OASIS Node. These navigation methods shall not favor User access to any Provider over another Provider, including Secondary Providers.
- b. **Internet Interconnection across OASIS Nodes:** Navigation tools shall not only support navigation within the TSIP's Node, but also across interconnected



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OASIS Nodes. This navigation capability across interconnected Nodes shall, as a minimum, be possible through the public Internet.



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### 3. INFORMATION ACCESS REQUIREMENTS

#### 3.1 REGISTRATION AND LOGIN REQUIREMENTS

a. **Location of Providers:** To provide Users with the information necessary to access the desired Provider, all Primary Providers shall register their OASIS Node URL address with www.tsin.com. This URL address should include the unique four letter acronym the Primary Provider will use as the PRIMARY\_PROVIDER\_CODE.

b. **Initial User Registration:** TSIPs shall require Users to register with a Primary Provider before they are permitted to access the Provider's TS Information. There must be a reference pointing to registration procedures on each Primary Provider's home page. Registration procedures may vary with the administrative requirements of each Primary Provider.

c. **Initial Access Privileges:** Initial registration shall permit a User only the minimum Access Privileges. A User and a Primary Provider shall mutually determine what access privilege the User is permitted. The TSIP shall set a User's Access Privilege as authorized by the Primary Provider.

d. **User Login:** After registration, Users shall be required to login every time they establish a dial-up connection. If a direct, permanent connection has been established, Users shall be required to login initially or any time the connection is lost. Use of alternative forms of login and authentication using certificates and public key standards is acceptable.

e. **User Logout:** Users shall be automatically logged out any time they are disconnected. Users may logout voluntarily.

#### 3.2 SERVICE LEVEL AGREEMENTS

Service Level Agreements: It is recognized that Users will have different requirements for frequency of access, performance, etc., based on their unique business needs. To accommodate these differing requirements, TSIPs shall be required to establish a "Service Level Agreement" with each User, which specifies the terms and conditions for access to the information posted by the Providers. The default Service Level Agreement shall be Internet access with the OASIS Node meeting all minimum performance requirements.

#### 3.3 ACCESS TO INFORMATION

a. **Display:** TSIPs shall format all TS Information in HTML format such that it may be viewed and read directly by Users without requiring them to download it. This information shall be in clear English as much as possible, with the definitions of any mnemonics or abbreviations available on-line. The minimum information that is to be displayed is provided in the Templates in Section 4.3.

b. **Read-Only Access to TS Information:** For security reasons, Users shall have read-only access to the TS Information. They shall not be permitted to enter any information except where explicitly allowed, such as HTML transaction request forms or by the Templates in Section 4.3.



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c. **Downloading Capability:** Users shall be able to download from an OASIS Node the TS Information in electronic format as a file. The rules for formatting of this data are described in Section 4.2.

d. **On-Line Data Entry on Forms:** Customers shall be permitted to fill out on-line the HTML forms supplied by the TSIPs, for requesting the purchase of services and for posting of products for sale (by Customers who are Resellers). Customers shall also be permitted to fill-out and post Want- Ads.

e. **Uploading Capability:** Customers shall be able to upload to OASIS Nodes the filled-out forms. TSIPs shall ensure that these uploaded forms are handled identically to forms filled out on-line. TSIPs shall provide forms that support the HTTP input of Comma Separated Variable (CSV) records. This capability shall permit a Customer to upload CSV records using standard Web browsers or additional client software (such as fetch\_http) to specify the location of the CSV records stored on the Customer's hard disk.

f. **Selection of TS Information:** Users shall be able to dynamically select the TS Information they want to view and/or download. This selection shall be, as a minimum, through navigation to text displays, the use of pull-down menus to select information for display, data entry into forms for initiating queries, and the selection of files to download via menus.

### 3.4 PROVIDER UPDATING REQUIREMENTS

The following are the Provider update requirements:

a. **Provider Posting of TS Information:** Each Provider (including Secondary Providers and Value-Added Providers) shall be responsible for writing (posting) and updating TS Information on their OASIS Node. No User shall be permitted to modify a Provider's Information.

b. **INFO.HTM:** Each Provider shall provide general information on how to use their node and describe all special aspects, such as line losses, congestion charges and assistance. The address for the directory of this information shall be INFO.HTM (case sensitive), an HTML web page, linked to the Provider's registered URL address. See section 4.5 for information required to be on the web page INFO.HTM.

c. **OASIS Node Space for Secondary Provider:** To permit Users to readily find TS Information for the transmission systems that they are interested in, TSIPs shall provide database space on their OASIS Node for all Secondary Providers who have purchased, and who request to resell, transmission access rights for the power systems of the Primary Providers supported by that Node.

d. **Secondary Provider Posting to Primary Provider Node:** The Secondary Providers shall post the relevant TS Information on the OASIS Node associated with each Primary Provider from whom the transmission access rights were originally purchased.

e. **Secondary Provider Posting Capabilities:** The TSIPs shall ensure that the Secondary Providers shall be able to post their TS Information to the appropriate OASIS Nodes using the same tools and capabilities as the Customers, meet the same performance criteria as the Primary Providers, and allow users to view these postings on the same display page, using the same tables, as similar capacity being sold by the Primary Providers.



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f. **Free-Form Posting of non-TS Information:** The TSIP shall ensure that Providers and Customers may post non-TS Information, such as Want-Ads and that this information is easily accessible by all Users. The TSIP shall be allowed to limit the volume and/or to charge for the posting of non-TS Information.

g. **Time Stamps:** All TS Information shall be associated with a time stamp to show when it was posted to the OASIS Node.

h. **Transaction Tracking by an Assignment Reference Number:** All requests for purchase of transmission or ancillary services will be marked by a unique accounting number, called an assignment reference.

i. **Time-Stamped OASIS Audit Log:** All posting of TS Information, all updating of TS Information, all User logins and disconnects, all User download requests, all Service Requests, and all other transactions shall be time stamped and stored in an OASIS Audit Log. This OASIS Audit Log shall be the official record of interactions, and shall be maintained on-line for download for at least 90 days. Changes in the values of posted Capacity (Available Transfer Capability) must be stored in the on-line Audit Log for 20 days. Audit records must be maintained for 3 years off-line and available in electronic form within seven days of a Customer request.

j. **Studies:** A summary description with dates, and programs used of all transmission studies used to prepare data for the Primary Provider's ATC and TTC calculation will be provided along with information as to how to obtain the study data and results.

k. **Organizational Charts:** As required in 83 FERC 61,301, each Provider shall provide the company's organizational chart, job descriptions, and personnel names, using formats viewable and downloadable directly (i.e., without the use of external or third-party plug-ins or application software) by the browsers listed in Section 2.4a.

### 3.5 ACCESS TO CHANGED INFORMATION

a. **General Message & Log:** TSIPs shall post a general message and log that may be read by Users. The message shall state that the Provider has updated some information, and shall contain (or point to) a reverse chronological log of those changes. This log may be the same as the Audit Log. The User may use the manual capability to see the message.

b. **TSIP Notification Design Responsibilities:** The TSIP shall avoid a design that could cause serious performance problems by necessitating frequent requests for information from many Users.

### 3.6 USER INTERACTION WITH AN OASIS NODE

There are three basic types of User interactions which must be supported by the OASIS Node. These interactions are defined in Section 4.3.

a. **Query/Response:** The simplest level of interactions is the query of posted information and the corresponding response. The User may determine the scope of the information queried by specifying values, through an HTML form, a URL string, or an uploaded file, using Query Variables and their associated input values as defined with each Template in Section 4.3. The response will be either



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an HTML display or a record oriented file, depending on the output format that the User requests. The TSIP may establish procedures to restrict the size of the response, if an overly broad query could result in a response that degrades the overall performance of the OASIS Node for their Users.

b. **Purchase Request:** The second type of Customer interaction is the submittal of a request to purchase a service. The Customer completes an input form, a URL string or uploads a file and submits it to the OASIS Node. The uploaded file can either be a series of Query Variables or a record oriented file. The Seller of the service, possibly off-line from the OASIS Node, processes the request and the status is updated accordingly. If the Seller approves the purchase request, then the Customer must again confirm it. Once the Customer confirms an approved purchase, a reservation for those services is considered to exist, unless later the reservation is reassigned, displaced, or annulled.

c. **Upload and Modify Postings:** Customers who wish to resell their rights may upload a form, create the appropriate URL or upload a file to post services for sale. A similar process applies to eligible Third Party Sellers of ancillary services. The products are posted by the TSIP. The seller may monitor the status of the services by requesting status information. Similarly the Seller may modify its posted transmission services by submitting a service modification request through a form, a URL query, or by uploading a file.

#### 4. INTERFACE REQUIREMENTS

##### 4.1 INFORMATION MODEL CONCEPTS

a. **ASCII-Based OASIS Templates:** For providing information to Users, TSIPs shall use the specified OASIS Templates. These Templates define the information that must be presented to Users, both in the form of graphical displays and as downloaded files. Users shall be able to request Template information using query-response data flows. The OASIS Templates are described in section 4.3. The Data Element Dictionary, which defines the Data Elements in the OASIS Templates, is provided in Appendix A. Data elements must be used in the exact sequence and number as shown in the Templates when file uploads and downloads are used. Although the contents of the graphical displays are precisely defined as the same information as in the Templates, the actual graphical display formats of the TS information are beyond the scope of the OASIS requirements. Due to the nature of graphical displays, there may be more than one graphical display used to convey the information in a single Template.

b. **ASCII-Based OASIS File Structures:** For uploading requests from and downloading information to Users, TSIPs shall use specific file structures that are defined for OASIS Template information (see section 4.2). These file structures are based on the use of headers that contain the Query Variable information, including the name of the OASIS Template. These headers thus determine the contents and the format of the data that follows. Although headers may not be essential if file transfers contain the exact sequence and number of Data Elements as the Templates, this feature is being preserved for possible future use when additional flexibility may be allowed.

##### 4.2 OASIS NODE CONVENTIONS AND STRUCTURES



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#### 4.2.1 OASIS Node Naming Requirements

The following naming conventions shall be used to locate information posted on an OASIS Node. OASIS naming conventions shall conform to standard URL structures.

##### 4.2.1.1 OASIS Node Names

In order to provide a consistent method for locating an OASIS Node, the standard Internet naming convention shall be used. All OASIS Node names shall be unique. Each Primary Provider OASIS Node name and home directory shall be registered with the master OASIS directory site at <http://www.tsin.com>. OASIS Node names shall be stored in an Internet DNS name directory.

##### 4.2.1.2 OASIS Node and Primary Provider Home Directory

The home directory name on an OASIS Node shall be "OASIS" (all upper case) to identify that the directory is related to the OASIS. The directory of each Primary Provider shall be listed under the "OASIS" directory:

**[`http://\(OASIS Node name\)/OASIS/\(PRIMARY\_PROVIDER\_CODE\)`](http://(OASIS Node name)/OASIS/(PRIMARY_PROVIDER_CODE))**

Where:

**(OASIS Node name)** is the World Wide Web URL address of the OASIS Information Provider.

**(PRIMARY\_PROVIDER\_CODE)** (Case sensitive) is the 4-character acronym of the primary provider.

**PRIMARY\_PROVIDER\_CODEs** shall be registered with the master OASIS directory site at <http://www.tsin.com>. A pointer to user registration information shall be located on the Primary Provider's home page.

##### 4.2.1.3 CGI Script Names

Common Gateway Interface (CGI) scripts shall be located in the directory "data" as follows (case sensitive): **[`http://\(OASIS Node name\)/OASIS/\(PRIMARY\_PROVIDER\_CODE\)/data/\(cgi script name\)?\(Query Variables\)`](http://(OASIS Node name)/OASIS/(PRIMARY_PROVIDER_CODE)/data/(cgi script name)?(Query Variables))**

Where:

**(cgi script name)** is the OASIS Template name in lower case (see Section 4.3). Other cgi scripts may be defined as required to implement the HTML interface to the documented Templates.

**(Query Variables)** is a list of query variables with their settings formatted as defined by the HTTP protocol (i.e., URL encoded separated by ampersands).



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Example:

To request the hourly schedule Template at Primary Provider WXYZ Co.

`http://www.wxyz.com/OASIS/WXYZ/data/schedule?templ=schedule&ver=1.2&fmt=data&stime=19960412040000PD&sptime=19960412100000PD&pprov=wxyz`

#### 4.2.2 Data Element Dictionary

The following are the requirements for the Data Element Dictionary:

a. **Definition of OASIS Information Elements:** All OASIS Information Data Elements shall be defined in the Data Element Dictionary which will be stored in the OASIS Node directory:

- **`http://(OASISNode Name)/OASIS/(PRIMARY_PROVIDER_CODE)/ (datadic.htm | datadic.txt)`**
- Where:
- **datadic.htm is the HTML version of the Data Element dictionary (case sensitive)**
- **datadic.txt is the ASCII text version of the Data Element dictionary (case sensitive)**
- The Data Element Dictionary is defined in Appendix A.

b. **Provider-specific Data Element Values:** The valid values that certain OASIS Information Data Elements may take on, such as PATH\_NAME, etc., are unique to a Primary Provider. Names that must be uniquely identified by Primary Provider shall be listed on-line on the OASIS Node via the LIST Template (see Section 4.3.5). In posting OASIS information associated with Data Elements which are not free-form text, TSIPs shall use only the accepted Data Element values listed in the Data Element Dictionary and/or those values posted in the LIST of provider specific names provided on the OASIS Node.

#### 4.2.3 OASIS Template Constructs

##### 4.2.3.1 Template Construction

Section 4.3 lists the set of OASIS Templates that shall be supported by all OASIS Nodes. These OASIS Templates are intended to be used precisely as shown for the transfer of data to/from OASIS Nodes, and identify, by Data Elements names, the information to be transferred. The construction of the OASIS Templates shall follow the rules described below:

a. **Unique OASIS Template Name:** Each type of OASIS Template shall be identified with a unique name which shall be displayed to the User whenever the OASIS Template is accessed. b. **Transfer Protocol:** OASIS Templates are transferred using the HTTP protocol. Templates shall support both the "GET" and "POST" methods for transferring "query string" name/value pairs, as well as the OASIS specific "comma separated value"



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(CSV) format for posting and retrieval of information from OASIS Nodes. HTML screens and forms shall be implemented for each OASIS Template.

c. **Source Information:** Each OASIS Template shall identify the source of its information by including or linking to the name of the Primary Provider, the Secondary Provider, or the Customer who provided the information.

d. **Time Of Last Update:** Each OASIS Template shall include a time indicating when it was created or whenever the value of any Data Element was changed.

e. **Data Elements:** OASIS Templates shall define the elementary Data Element Dictionary names for the data values to be transferred or displayed for that Template.

f. **Documentation:** OASIS Information shall be in non-cryptic English, with all mnemonics defined in the Data Element Dictionary or a glossary of terms. TSIPs shall provide on-line descriptions and help screens to assist Users understanding the displayed information. Documentation of all formats, contents, and mnemonics shall be available both as displays and as files that can be downloaded electronically. In order to meet the "User-Friendly" goal and permit the flexibility of the OASIS Nodes to expand to meet new requirements, the OASIS Templates shall be as self-descriptive as possible.

### 4.2.3.2 Template Categories

OASIS Templates are grouped into the following two major categories:

a. **Query/Response:** These Templates are used to query and display information posted on an OASIS Node. Each query/response Template accepts a set of user specified Query Variables and returns the appropriate information from data posted on the OASIS Node based on those Query Variables. The valid Query Variables and information to be returned in response are identified by Data Element in Section 4.3.

b. **Input/Response:** These Templates are used to upload/input information on an OASIS Node. The required input information and information to be returned in response are identified by Data Element in Section 4.3, Template Descriptions.

### 4.2.3.3 Template HTML Screens

Though the exact form and content of the HTML screens and forms associated with the OASIS Templates are not dictated by this document, the following guidelines shall be adhered to for all HTML screens and forms implemented on an OASIS Node:

a. **Data Element Headings:** Data displayed in an HTML screen/form shall be labeled such that the associated data value(s) is(are) easily and readily identifiable as being associated with a particular OASIS Template Data Element. HTML "Hot-Links" or other pointer mechanisms may be provided for Data Element headings in OASIS Templates which permit the User to access documentation describing the meaning, type, and format of the associated data.

b. **Display Limitations:** HTML screens and forms shall be implemented in such a way to allow the display of all data specified for each OASIS Template. This may take the form of "wrapping" of lines of information on the screen, the use of horizontal and/or vertical scrolling, or the use of "Hot-Links" or other pointer mechanisms. There is not necessarily a one-to-one relationship between HTML screens implemented on OASIS Nodes, and their associated Template. However,



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all Template Data Elements shall be viewable through one or more HTML screens.

c. **Template Navigation:** HTML "Hot-Links" or other pointer mechanisms may be provided to assist the navigation between screens/forms associated with related OASIS Templates.

#### 4.2.4 Query/Response Template Requirements

Retrieval of information posted on an OASIS Node is supported by the Query/Response Templates. The "query" identifies the OASIS Template and optionally supplies additional Data Elements that may be used to select specific information to be returned in the "response".

##### 4.2.4.1 Query Requirements

Query information is transferred to an OASIS Node using the HTTP protocol as a string of Query Variables in the form of name/value pairs. Query Variable name/value pairs are specified as a collection of encoded strings (e.g., blank characters replaced by plus (+) character, etc.) in the form of **name=value**, with each name/value pair separated by ampersands (&) (see section 4.2.6). OASIS Nodes shall support the following methods for Users to input Query information:

a. **HTML:** HTML FORM input and/or hypertext links shall be provided to allow Users to specify OASIS Template Query Variables. This will be the easiest way to obtain information and should be the choice of most casual Users and for simple requests. The exact nature and form of these HTML screens are not specified, and may differ between OASIS Nodes.

b. **GET Method:** The HTTP GET method for specifying query information appended to a standard OASIS URL shall be supported. Using this method, the **name=value** formatted Query Variables preceded by a question mark (?) are appended to the URL. Each "name" in a name/value pair corresponds to a Data Element name associated with that Template. OASIS Nodes shall support the specification of all Data Elements associated with a Template by both their full name and alias as defined in the Data Dictionary. The "value" in a name/value pair represents the value to be associated with the Data Element being specified in the appropriate format as defined in the Data Dictionary and encoded according to the HTTP protocol.

c. **POST Method:** The HTTP POST method for specifying query information in the message body shall be supported. Using this method, the **name=value** formatted Query Variables shall be transferred to an OASIS Node using the "**Content-length:**" HTTP header to define the length in bytes of the encoded query string and the "**Content-type: application/x-www-form-urlencoded**" HTTP header to identify the data type included in the message body. Each "name" in a name/value pair corresponds to a Data Element name associated with that Template. An OASIS Node shall support the specification of all Data Elements associated with a Template by both their full name and alias as defined in the Data Dictionary. The "value" in a name/value pair represents the value to be associated with the Data Element being specified in the appropriate format as defined in the Data Dictionary and encoded according to the HTTP



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protocol. User queries using any of the above methods are supported directly by the User's web browser software. More sophisticated data transfer mechanisms, such as the automated querying of information based on Query Variable strings contained in a User data file (i.e., "uploading a file containing a URL string), require appropriate software (e.g., "fetch\_http") running on the User's computer system to effect the data transfer.

#### 4.2.4.2 Response Requirements

In response to a validly formatted Query for each Query/Response OASIS Template, the OASIS Node shall return the requested information in one of two forms based on the User specified OUTPUT\_FORMAT Query Variable:

- a. **HTML:** If the User requests the response to have the format of "HTML" (OUTPUT\_FORMAT=HTML) then the response from the OASIS Node shall be a web page using the HTML format. This shall be the default for all Query/Response Templates.
- b. **CSV Format:** Comma Separated Value (CSV) format (OUTPUT\_FORMAT=DATA) returns the requested information in the body of the HTTP response message. The "**Content-length:**" HTTP header shall define the length in bytes of the response, and the "**Content-type: text/xoasis-csv**" HTTP header shall be used to identify the data type included in the message body (see CSV File Format).

#### 4.2.5 Input/Response Template Requirements

Input/Response Templates support the posting of information on an OASIS Node, including reservations for transmission/ancillary service and services for sale on the secondary market, etc. The "input" identifies the required data associated with an OASIS Template to be posted on the OASIS Node, and the "response" specifies the information returned to the User.

##### 4.2.5.1 Input Requirements

Input information is transferred to an OASIS Node using the HTTP protocol as either a string of Query Variables in the form of name/value pairs, or as a Comma Separated Value (CSV) message. Query Variable name/value pairs are specified as a collection of encoded strings (e.g., blank characters replaced by plus (+) character, etc.) in the form of **name=value**, with each name/value pair separated by ampersands (&). CSV formatted messages are specified in the body of an HTTP message as a series of Data Records preceded by a fixed set of header records (see section 4.2.7). OASIS Nodes shall support the following methods for Users to transfer Input data:

- a. **HTML:** HTML FORM input shall be provided to allow Users to specify the necessary Input data associated with each Input/Response OASIS Template. This may be in the form of fill in blanks, buttons, pull-down selections, etc., and may use either the GET or POST methods. The exact nature and form of these HTML screens are not specified, and may differ between OASIS Nodes.
- b. **GET Method:** The HTTP GET method for specifying Input information in the form of a query string appended to a standard OASIS URL shall be supported.



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Using this method, the **name=value** formatted Query Variables preceded by a question mark (?) are appended to the URL. Each "name" in a name/value pair corresponds to a Data Element name associated with that Template. OASIS Nodes shall support the specification of all Data Elements associated with a Template by both their full name and alias as defined in the Data Dictionary. The "value" in a name/value pair represents the value to be associated with the Data Element being specified in the appropriate format as defined in the Data Dictionary and encoded according to the HTTP protocol.

c. **POST Method:** The HTTP POST method for specifying Input information in the form of a query string in the message body shall be supported. Using this method, the **name=value** formatted Query Variables shall be transferred to an OASIS Node using the "**Content-length:**" HTTP header to define the length in bytes of the encoded query string and the "**Content-type: application/x-www-form-urlencoded**" HTTP header to identify the data type included in the message body. Each "name" in a name/value pair corresponds to a Data Element name associated with that Template. OASIS Nodes shall support the specification of all Data Elements associated with a Template by both their full name and alias as defined in the Data Dictionary. The "value" in a name/value pair represents the value to be associated with the Data Element being specified in the appropriate format as defined in the Data Dictionary and encoded according to the HTTP protocol.

d. **CSV Format:** Comma Separated Value (CSV) formatted Input information transferred in the body of a User's HTTP message shall be supported. The "**Content-length:**" HTTP header shall define the length in bytes of the Input, and the "**Content-type: text/x-oasis-csv**" HTTP header shall be used to identify the data type included in the message body.

#### 4.2.5.2 Response to Input

In response to a validly formatted Input for each Input/Response OASIS Template, the OASIS Node shall return an indication as to the success/failure of the requested action. The OASIS Node shall respond to the Input in one of two forms, based on the OUTPUT\_FORMAT, which was input by a User either as a Query Variable or in a CSV format Header Record:

a. **HTML:** If the User requests the response to have the format of "HTML" (OUTPUT\_FORMAT =HTML) then the response from the OASIS Node shall be a web page using the HTML format. This shall be the default for all Input/Response Templates invoked using either the FORM, GET or POST methods of input.

b. **CSV Format:** Comma Separated Value (CSV) format (OUTPUT\_FORMAT=DATA) returns the response information in the body of the HTTP response message. The "**Content-length:**" HTTP header shall define the length in bytes of the response, and the "**Content-type: text/xoasis-csv**" HTTP header shall be used to identify the data type included in the message body. This shall be the default for all Input/Response Templates invoked using the CSV Format methods of input.

#### 4.2.6 Query Variables



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#### 4.2.6.1 General

Both Query/Response and Input/Response OASIS Templates shall support the specification of a query string consisting of Query Variables formatted as name/value pairs. OASIS Nodes shall support the specification of Data Element names ("name" portion of **name=value** pair) in both the full name and alias forms defined in the Data Dictionary. OASIS Nodes shall support the specification of Query Variables from the User using either the HTTP GET or POST methods. On input, Data Element names and associated values shall be accepted and processed without regard to case. On output, Data Element names and associated values may not necessarily retain the input case, and could be returned in either upper or lower case.

#### 4.2.6.2 Standard Header Query Variables

The following standard Query Variable Data Elements shall be supported for all OASIS Templates and must be entered for each Query by a User:

VERSION  
TEMPLATE  
OUTPUT\_FORMAT  
S&CP Version 1.4 July 26 , 2000 16  
PRIMARY\_PROVIDER\_CODE  
PRIMARY\_PROVIDER\_DUNS  
RETURN\_TZ

Since these header Query Variables must be supported for all Templates, they are not listed explicitly in the Template descriptions in Section 4.3 The User must enter all standard Header Query Variables with appropriate values.

#### 4.2.6.3 Responses to Queries

Responses to Queries will include the following information as a minimum:

TIME\_STAMP  
VERSION  
TEMPLATE  
OUTPUT\_FORMAT  
PRIMARY\_PROVIDER\_CODE  
PRIMARY\_PROVIDER\_DUNS  
RETURN\_TZ

The additional information shall include:

- a. The requested information as defined by the Template indicated in the Query
- b. For CSV downloads, the additional header Data Elements required (see section 4.2.7.3)

#### 4.2.6.4 Multiple Instances

Certain Query Variables may be repeated in a given Query/Response OASIS Template query string. Such multiple instances are documented in the Template definitions using an asterisk (\*) after the Query Variable. When more than one instance of the Query



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Variable is specified in the query string, OASIS Nodes shall recognize such multiple instances by either the Data Element's full name or alias suffixed with sequential numeric qualifiers starting with the number 1, (e.g., PATH\_NAME1=abc&PATH\_NAME2=xyz, or PATH1=abc&PATH2=xyz). At least 4 multiple instances will be permitted for each Query Variable marked with an asterisk (\*).

#### 4.2.6.5 Logical Operations

OASIS Nodes shall use the following logical operations when processing Query Variables for Query/Response OASIS Templates. All Query Variables, with the exception of multiple instances of the same Query Variable Data Element, shall be operated on to return information based on the logical- AND of those Query Variables. For example, the query string "SELLER\_CODE=abc &PATH=xyz" should return information associated with only those records that are on transmission path "xyz" AND associated with transmission provider "abc." Multiple instances of the same Query Variable shall be operated on as logical-OR. For example, "SELLER\_CODE=abc &PATH1=xyz&PATH2=opq" should return information associated with transmission provider "abc" AND either transmission path "xyz" OR transmission path "opq". Some logical operations may exclude all possibilities, such that the responses may not contain any data.

#### 4.2.6.6 Handling of Time Data Elements

In cases where a single Query Variable is provided to select information associated with a single Template Data Ele (e.g., TIME\_OF\_LAST\_UPDATE), OASIS Nodes shall return to the User all requested information whose associated Data Element time value (e.g. TIME\_OF\_LAST\_UPDATE) is equal to or later than the value specified by the Query Variable. In this case the stop time is implicitly "now". A pair of Query Variables (e.g. START\_TIME\_QUEUED and STOP\_TIME\_QUEUED) that represents the start and stop of a time interval but is associated with one single Template Data Element (e.g. TIME\_QUEUED) shall be handled by OASIS Nodes to return to the User all requested information whose associated Data Element time value falls within the specified time interval. A pair of Query Variables (e.g. START\_TIME and STOP\_TIME Query Variables) that represents the start and stop of one time interval but is associated with another pair of Template Data Elements (e.g. START\_TIME and STOP\_TIME of a service offering) that represents a second time interval, shall be handled by OASIS Nodes to return to the User all requested information whose associated Data Element time interval overlaps any portion of the specified time interval. Specifically, the START\_TIME Query Variable selects all information whose STOP\_TIME Data Element value is later than the START\_TIME Query Variable, and the STOP\_TIME Query Variable selects all information whose START\_TIME Data Element value is earlier than the STOP\_TIME Query Variable. For example:

The transoffering Template query string "START\_TIME 970101000000ES&STOP\_TIME 970201000000ES" shall select from the OASIS database all associated offerings whose start/stop times overlap any portion of the time from 00:00 January 1, 1997, to 00:00 February 1, 1997. This would include offerings that (1) started prior to Jan. 1 and



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stopped any time on or after Jan. 1, and (2) started on or after Jan 1 but before Feb 1  
For changes to and from daylight savings time, either Universal Time or the correct time and zone must be used, based on whether daylight savings time is in effect. All time values shall be checked upon input to ensure their validity with respect to date, time, time zone, and daylight savings time.

#### 4.2.6.7 Default Values

Query Variables that are not specified by the User may take on default values as appropriate for that Query Variable at the discretion of the OASIS TSIP.

#### 4.2.6.8 Limitations on Queries

OASIS TSIP may establish validation procedures and/or default values for Query Variables to restrict the size and/or performance impact of overly broad queries.

#### 4.2.7 CSV Format

##### 4.2.7.1 General Record Format

OASIS Users shall be able to upload information associated with Input/Response OASIS Templates and download information associated with all OASIS Templates using a standardized Comma Separated Value (CSV) format. CSV formatted data is transferred to/from OASIS Nodes as part of the body of an HTTP message using the "**Content-length:**" HTTP header to define the length in bytes of the message body, and the "**Content-type: text/x-oasis-csv**" HTTP header to identify the data type associated with the message body. CSV formatted data consists of a fixed set of header records followed by a variable number of Data Records. Each record shall be separated by a carriage return plus line feed (denoted by the symbol 5 in all examples). The fields within a record shall be delimited by commas (.). All data within a CSV formatted message shall use printable ASCII characters with no other special embedded codes, with the exception of the special encoding requirements associated with text fields.

##### 4.2.7.2 Input Header Records

The following standard header records are required for the uploading of Input data for all Input/Response OASIS Templates:

```
VERSION=nn.n5  
TEMPLATE=aaaaaaaaa5  
OUTPUT_FORMAT=[DATA] 5  
PRIMARY_PROVIDER_CODE=aaaa5  
PRIMARY_PROVIDER_DUNS=nnnnnnnnn5  
RETURN_TZ=aa5  
DATA_ROWS=nnn5  
COLUMN_HEADERS=[Template Data Element names separated by commas]5
```

The format of the value associated with each of the Input header record Data Elements are dictated by the Data Dictionary. The value associated with the DATA\_ROWS Data



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Element shall define the total number of Data Records that follow in the message after the COLUMN\_HEADERS record. The COLUMN\_HEADERS record defines, by Data Element name, the data associated with each comma separated column contained in each subsequent Data Record (row). On Input, either the Data Element's full name or alias listed in the Data Dictionary may be specified.

#### 4.2.7.3 Response Header Records

When explicitly specified using the OUTPUT\_FORMAT=DATA Query Variable or implied by the Input of a CSV format message, the OASIS Nodes shall respond with the following standard response header records for all OASIS Templates:

```
REQUEST_STATUS=nnn5  
ERROR_MESSAGE=aaa5  
TIME_STAMP=yyyymmddhhmmsstz5  
VERSION=nn.n5  
TEMPLATE=aaaaaaaaaa5  
OUTPUT_FORMAT=DATA5  
PRIMARY_PROVIDER_CODE=aaa5  
PRIMARY_PROVIDER_DUNS=nnnnnnnnn5  
RETURN_TZ=tz5  
DATA_ROWS=nnn5  
COLUMN_HEADERS=[Template Data Element names separated by commas] 5
```

The format of the value associated with each of the Response header record Data Elements are dictated by the Data Dictionary. The value associated with the DATA\_ROWS Data Element shall define the total number of Data Records returned in the message following the COLUMN\_HEADERS header record. The COLUMN\_HEADERS record defines, by Data Element name, the data associated with each comma-separated column contained in each subsequent Data Record (row). In all OASIS Node responses, the Data Element's full name shall be listed in the COLUMN\_HEADERS record. The order of the column headings shall be the same as shown in the Templates for URL uploads and downloads. For graphical displays, the Provider may define the order that the Data Element names are shown.

#### 4.2.7.4 Data Records

Data Records immediately follow the standard Input or Response header records. With the exception of Data Records grouped together as a single "logical record" through the use of Continuation Records, each Data Record in a CSV formatted Input message represents a single, complete execution of the associated OASIS Template. That is, sending five CSV formatted Input messages for a given Template to the same PRIMARY\_PROVIDER\_CODE with a single Data Record per message shall be handled in exactly the same fashion as sending a single CSV formatted Input message for the same Template and PRIMARY\_PROVIDER\_CODE which contains five Data Records. Each field (column) within each Data Record defines the value to be associated with the corresponding Data Element defined in the COLUMN\_HEADERS record. The number of Data Records in the message is defined by the DATA\_ROWS header record. The data values associated with each column Data Element are interpreted based on the Data Element type as defined in the Data Dictionary:



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- a. **Numeric Data Elements:** All numeric Data Elements shall be represented by an ASCII string of numeric digits in base ten, plus the decimal point.
- b. **Text Data Elements:** Alphabetic and alphanumeric Data Elements shall be represented as ASCII strings and encoded using the following rules:
- Text strings that do not contain commas (,) or double quotes (") shall be accepted both with and without being enclosed by double quotes.
  - Text fields with commas (,) or double quotes (") must be enclosed with double quotes. In addition double quotes within a text field shall be indicated by two double quotes ("").
  - The Data Element field length specified in Data Dictionary does not include the additional double quotes necessary to encode text data.
- c. **Null Data Elements:** Null Data Elements shall be represented by two consecutive commas (,) corresponding to the leading and trailing (if appropriate) Data Element comma separators. Null text strings may optionally be represented by two consecutive double quote characters within the leading and trailing comma separators (i.e., Y,"",Y).

#### 4.2.7.5 Continuation Records

Continuation records shall be used to indicate that the information in multiple rows (records) is part of one logical record. Continuation records will be indicated through the use of a column header called CONTINUATION\_FLAG. This column header is either the first column (if in a response to a query) or second column (if in a response to an input) in all Templates permitting continuation records. The first record shall contain an "N" in the CONTINUATION\_FLAG column and each following record which is part of a continuation record shall contain a "Y" in this column, thus associating the information in that record with the information in the previous record. An "N" shall indicate that the record is not a continuation record. In addition to the CONTINUATION\_FLAG Data Element identifying that a record is associated with a previous record, any unique record identifier associated with the first (CONTINUATION\_FLAG = N) record shall be repeated in all subsequent continuation records returned in an OASIS response. Each Template that supports the use of continuation records and those particular Data Elements (COLUMN\_HEADERS) that may be referenced in one or more continuation records are identified in Section 4.3. On upload or input of Template data, any values supplied via continuation records that correspond to COLUMN\_HEADERS other than those explicitly allowed to appear in continuation records for a particular Template shall be ignored. However commas must be included to properly align the fields (columns). Note that the submission of continuation records is only supported by the CSV Format method of uploading data to an Input/Response Template

#### 4.2.7.6 Error Handling in CSV-Formatted Responses

Validity of each record in the CSV-formatted Response to a Template Input shall be indicated through the use of RECORD\_STATUS and ERROR\_MESSAGE Data Elements which are included in each Data Record (row) of the Response.



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- If no error was encountered in an Input Data Record, the RECORD\_STATUS Data Element in the corresponding Response record shall be returned with a value of 200 (success), and the ERROR\_MESSAGE shall be blank.
- If any error is detected in processing an Input Data Record, it shall be indicated by a RECORD\_STATUS Data Element value other than 200. The ERROR\_MESSAGE shall be set to an appropriate text message to indicate the source of the error in that Data Record. The overall validity of each Template Query or Input shall be indicated in the CSV-formatted Response via the two REQUEST\_STATUS and ERROR\_MESSAGE header records (see section 4.2.7.3):
  - If no errors were encountered in processing the User's Input Data Records, the REQUEST\_STATUS shall be returned with the value of 200 (success), and the ERROR\_MESSAGE shall be blank.
  - If any errors were detected in the Template Input Data Records, the REQUEST\_STATUS value shall be any value other than 200, and the ERROR\_MESSAGE shall be set to an appropriate text message to indicate the source of the error.

The OASIS Node shall validate all Input records before returning a Response to the User. The Node shall process all valid records, while invalid records shall be identified as erroneous through the use of RECORD\_STATUS and ERROR\_MESSAGE. The User must correct the invalid fields and resubmit only those records that were invalid. If an error is encountered in a record which is part of a set of Continuation records, then all records belonging to that set must be resubmitted.

### **4.2.8 Registration Information**

#### **4.2.8.1 General**

As specified in the Information Access Requirements, OASIS Nodes shall provide a mechanism to register Users of the OASIS Node with a Provider. For all levels of access to OASIS information beyond simple read-only access, OASIS Nodes shall provide a mechanism to identify Users of the OASIS at least to the level of their respective Companies. The OASIS Node shall maintain both Company and User registration information.

#### **4.2.8.2 Company Information**

OASIS Templates require that certain Company registration information be maintained. As an extension of the Company registration information of the host, domain and port identifiers for dynamic notification of changes in the Customer's purchase requests, a field should be added to the Company's registration information that would define/identify how notification would be delivered to that Company should a transmission or ancillary purchase request be directed to that Company as a Seller of a transmission or ancillary service. The pertinent information would be either a full HTTP protocol URL defining the protocol, host name, port, path, resource, etc. information or a "mailto:" URL with the appropriate mailbox address string. On receipt of any purchase request directed to that Company as SELLER via either the "transrequest" or "ancrequest" Templates, or on submission of any change in request information



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submitted to that Company as SELLER via either the "transcust" or "anccust" Templates, a notification message formatted as documented for the delivery of notification to the Customer, shall be formatted and directed to the Seller. At a minimum, OASIS Nodes shall maintain the following information for each Company:

- a. **Company Code:** 4 character code for primary transmission providers; 6 character code for eligible customers in accordance with NERC Tagging Information System (TIS) requirements shall be maintained for each Company.
- b. **Default Contact:** Unless specified for each individual user affiliated with the Company, default contact information consisting of a phone number, fax number, and e-mail address shall be maintained for each Company.
- c. **Provider Affiliation:** Each eligible Customer shall be obligated to identify to the OASIS TSIP any affiliation with a Transmission Provider whose "home page" is on that OASIS Node.
- d. **Notification URL:** For Companies using the URL notification mechanism for delivery of messages on each change of ancillary/transmission reservation STATUS, each Company shall provide the IP host name and port number to be used in delivering notification messages. OASIS Nodes shall have the right to refuse support for notification to any IP ports other than port 80.

### 4.2.8.3 User Information

With the exception of "read-only" (visitor) access, OASIS Nodes shall, at a minimum, provide a mechanism to identify Users of the Node with at least their Company. However, OASIS Nodes and Providers shall have the right to require full User identification even for visitor accounts. To support the required OASIS Template Data Elements, OASIS Nodes shall maintain the following information for each registered User:

- Company
- Name
- Phone
- Fax
- E-mail

In the event no additional User identification/registration information is maintained by the OASIS Nodes, all Template Data Elements referring to "company, name, phone, fax, e-mail" for either Customers or Sellers shall default to the Contact Information maintained for that User's Company.

### 4.2.9 Representation of Time

#### 4.2.9.1 General

It is critical that all Users of OASIS Nodes have a clear and unambiguous representation of time associated with all information transferred to/from OASIS Nodes. For this reason, all Data Elements associated with time in OASIS Nodes shall represent "wall clock" times, which are NOT to be confused with other common industry conventions such as "hour ending." For the convenience of the User community, OASIS Nodes shall be allowed to accept the input and display of "time" in any acceptable form



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provided such non-standard representations are CLEARLY labeled on the associated HTML screens. Alternate representations of time in CSV formatted messages shall not be allowed. The following rules shall be implemented in OASIS Nodes for the representation of time on User entries (Query and Input) and output (Response) Templates.

#### **4.2.9.2 Input Time**

All time related Data Elements associated with either the Input or Query of Input/Response or Query/Response OASIS Templates shall be validated according the following rules. If the time zone associated with a time Data Element is associated with either Universal Time (UT) or a "standard" time zone (e.g., ES, CS, etc.), OASIS Nodes shall accept and apply a fixed hour offset from Universal Time year-round. If the time zone associated with a time Data Element is specified with a "daylight savings" time zone (e.g. ED, CD, etc.), OASIS Nodes shall verify that daylight savings time is in effect for the date/time specified. If daylight savings time (as specified by the time from 2:00am on the first Sunday of April through 2:00 am on the last Sunday of October) is not in effect, the Users input shall be rejected with an error response. If daylight savings time is in effect, the Users input shall be accepted and the appropriate hours offset from Universal Time shall be applied by OASIS Nodes for conversion to all other time zones. The input of start/stop times for transactions spanning the crossover day between standard and daylight (and vices versa) times must be made either entirely in standard time (valid year-round), or in two different time zones (xS/xD or xD/xS) for the start and stop times, depending on the time of year.

#### **4.2.9.3 Output (Response) Time**

The OASIS Node shall return all time Data Elements in the response to Input/Response or Query/Response OASIS Templates based on either the User specified RETURN\_TZ header Query Variable or an appropriate OASIS specific default. OASIS Nodes shall interpret RETURN\_TZ to specify:

- a. The base time zone for conversion of all time Data Elements (e.g. Eastern, Pacific, etc.)
- b. Whether daylight savings time is recognized. For example, a RETURN\_TZ=ES would return all time Data Elements in Eastern Standard Time year-round. However, a RETURN\_TZ=ED would direct OASIS Nodes to return all time Data Elements in Eastern Standard Time (ES) when daylight savings time is not in effect, and then return all time Data Elements in Eastern Daylight Time (ED) when daylight time is in effect.

#### **4.2.10 Transaction Process**

OASIS shall implement Templates that allow Customers and Sellers to enter, modify and consummate arrangements for transmission and ancillary services. The following subsections outline the basic steps for arranging for these services. Section 4.2.13 provides further detail on the use of OASIS Templates to modify the terms of a transaction in support of specific provisions of the Open Access ProForma Tariff.



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#### 4.2.10.1 Purchase Transactions

Customers shall purchase services from the Seller using the following basic steps (see Exhibit 4-1):

a. The Templates (*transrequest* and *ancrequest*) shall be used by a Customer to enter a request for specific transmission or ancillary services from a specific Seller. Basic requests for transmission services from the Primary Transmission Provider shall be assigned a REQUEST\_TYPE of "ORIGINAL"; requests for transmission services on the secondary market (where SELLER is not the Primary Transmission Provider) shall be assigned a REQUEST\_TYPE of "RESALE" (Section 4.2.13 documents other values that may be assigned to REQUEST\_TYPE). The Customer may enter a BID\_PRICE which is different from the OFFER\_PRICE in order to try to negotiate a lower price. The OASIS Node sets the initial STATUS of the request to QUEUED. The Customer may set the STATUS\_NOTIFICATION to indicate that the OASIS Node must notify the Customer on any change in the request's STATUS or related Data Elements (see Dynamic Notification). The Customer may designate the request as PRECONFIRMED. Preconfirmed requests will be automatically set to the STATUS of CONFIRMED when ACCEPTED by the Seller without requiring an explicit confirmation from the Customer. Prior to or commensurate with a Seller's setting of a preconfirmed reservation request's STATUS to ACCEPTED (and by implication CONFIRMED), the Seller must set OFFER\_PRICE equal to the value of BID\_PRICE as established by the Customer on submission of the request.

b. The Templates (*transstatus* and *ancstatus*) shall be used by Customers and Sellers to monitor the status of their transactions in progress. These Templates shall also be used by any Users to review the status of any transactions. The NEGOTIATED\_PRICE\_FLAG Data Element is set when the Seller agrees to a BID\_PRICE (by setting OFFER\_PRICE equal to BID\_PRICE) that is different from the previously posted price. It will show "higher" when OFFER\_PRICE is higher than the posted price, and "lower" when the OFFER\_PRICE is lower than the posted price.

c. The Templates (*transsell* and *ancsell*) shall be used by a Seller to set a new value into STATUS, to enter a MW value in CAPACITY\_GRANTED, if offering partial service, and to negotiate a price by entering a new OFFER\_PRICE which is different from the BID\_PRICE entered by the Customer in the *transrequest* Template . During these negotiations, a Reseller shall formally indicate the approval or disapproval of a transaction and indicate which rights from prior confirmed reservations are to be reassigned. A Primary Provider may, but is not required, to enter transaction approval or disapproval using this Template. In the event the Seller is only able to grant a portion of the transmission capacity requested by the Customer and the Seller is obligated or elects to extend an offer for partial service, the Seller shall indicate to the Customer the amount of capacity available using CAPACITY\_GRANTED and set the reservation request's status to COUNTEROFFER. Preconfirmed requests that are set to COUNTEROFFER due to an offer of service at a level lower than requested by the Customer shall require explicit confirmation by the Customer. The valid STATUS values which may be set by a Seller are: RECEIVED, INVALID, STUDY,



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COUNTEROFFER, ACCEPTED, REFUSED, SUPERSEDED, DECLINED, DISPLACED, ANNULLED, or RETRACTED.

d. The Customer shall use the *transstatus* and *ancstatus* Templates to view the Seller's new offer price, partial service offer and/or approval/disapproval decision.

e. After receiving notification of the transaction's STATUS being set to COUNTEROFFER by the Seller, the Templates (*transcust* and *anccust*) shall be used by the Customer to modify the BID\_PRICE and set the STATUS to REBID or CONFIRMED. *Transcust* shall also be used to confirm an offer for partial service (where CAPACITY\_GRANTED is less than CAPACITY\_REQUESTED) by setting the STATUS to CONFIRMED. After negotiations are complete (STATUS set to ACCEPTED by the Seller), the Customer shall formally enter the confirmation or withdrawal of the offer to purchase services for the OFFER\_PRICE shown in the *transstatus* Template. The valid STATUS values which a Customer may set are: REBID, CONFIRMED, or WITHDRAWN.

f. The Seller shall use the *transstatus* (*ancstatus*) Template to view the Customer's new bid price and/or confirmation/withdrawal decision, again responding through *transsell* or *ancsell* if necessary. If the Seller offers to sell a service at an OFFER\_PRICE less than that posted in the *transoffering* (*ancoffering*) Template, the *transoffering* (*ancoffering*) Template must be updated to reflect the new OFFER\_PRICE.

g. For deals consummated off the OASIS Nodes by a Seller, after the Customer has accepted the offering, the Templates (*transassign* and *anccassign*) may be used by the Seller to notify the Primary Provider of the transfer of rights to the Customer. Continuation records may be used to indicate the reassigning of rights for a "profile" of different assignments and different capacities over different time periods.

h. The source of all User and Seller contact information shall be the User registration process. Therefore, it shall not be input as part of uploads, but shall be provided as part of all transaction downloads.

i. OASIS Nodes shall accept a Seller initiated change in STATUS to ACCEPTED only when OFFER\_PRICE matches BID\_PRICE (i.e., Seller must set OFFER\_PRICE equal to BID\_PRICE prior to or coincident with setting STATUS to ACCEPTED).

j. OASIS Nodes shall accept a Customer initiated change in STATUS to CONFIRMED only when BID\_PRICE matches OFFER\_PRICE (i.e., Customer must set BID\_PRICE equal to OFFER\_PRICE prior to or coincident with setting STATUS to CONFIRMED). k. If CAPACITY\_GRANTED is null when STATUS is being changed to ACCEPTED or CONFIRMED, the OASIS Node shall set it equal to CAPACITY\_REQUESTED.

### 4.2.10.2 Status Values

The possible STATUS values are:

QUEUED = initial status assigned by TSIP on receipt of "customer services purchase request".



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INVALID = assigned by TSIP or Provider indicating an invalid field in the request, such as improper POR, POD, source, sink, etc. (Final state).

RECEIVED= assigned by Provider or Seller to acknowledge QUEUED requests and indicate the service request is being evaluated, including for completing the required ancillary services.

STUDY= assigned by Provider or Seller to indicate some level of study is required or being performed to evaluate service request.

REFUSED = assigned by Provider or Seller to indicate service request has been denied due to lack of availability of transmission capability. (Final state).

COUNTEROFFER= assigned by Provider or Seller to indicate that a new OFFER\_PRICE is being proposed or that CAPACITY\_GRANTED is less than CAPACITY\_REQUESTED.

REBID = assigned by Customer to indicate that a new BID\_PRICE is being proposed.

SUPERSEDED = assigned by Provider or Seller when a request which has not yet been confirmed is preempted by another reservation request. (Final state).

ACCEPTED = assigned by Provider or Seller to indicate the service request at the designated OFFER\_PRICE and CAPACITY\_GRANTED has been approved/accepted. If the reservation request was submitted PRECONFIRMED and CAPACITY\_GRANTED is equal to CAPACITY\_REQUESTED, the OASIS Node shall immediately set the reservation status to CONFIRMED. Depending upon the type of ancillary services required, the Seller may or may not require all ancillary service reservations to be completed before accepting a request.

DECLINED = assigned by Provider or Seller to indicate that the terms and conditions, such as the BID\_PRICE, are unacceptable and that negotiations are terminated or that contractual terms and conditions have not been met. (Final state).

CONFIRMED= assigned by Customer in response to Provider or Seller posting "ACCEPTED" status, to confirm service. Once a request has been "CONFIRMED", a transmission service reservation exists. (Final state, unless overridden by DISPLACED or ANNULLED state).

WITHDRAWN= assigned by Customer at any point in request evaluation to withdraw the request from any further action. (Final state).

DISPLACED= assigned by Provider or Seller when a "CONFIRMED" reservation from a Customer is displaced by a higher priority reservation and the Customer is not offered or has not exercised right of first refusal (i.e. refused to match terms of new request). (Final state).

ANNULLED= assigned by Provider or Seller when, by mutual agreement with the Customer, a confirmed reservation is to be voided. (Final state).

RETRACTED= assigned by Provider or Seller when the Customer fails to confirm or withdraw the request within the required time period. (Final state). The following diagram can be used as a business process guideline; however, individual tariffs will dictate specific allowed actions between states.

The following diagram can be used as a business process guideline; however, individual tariffs will dictate specific allowed actions between states.



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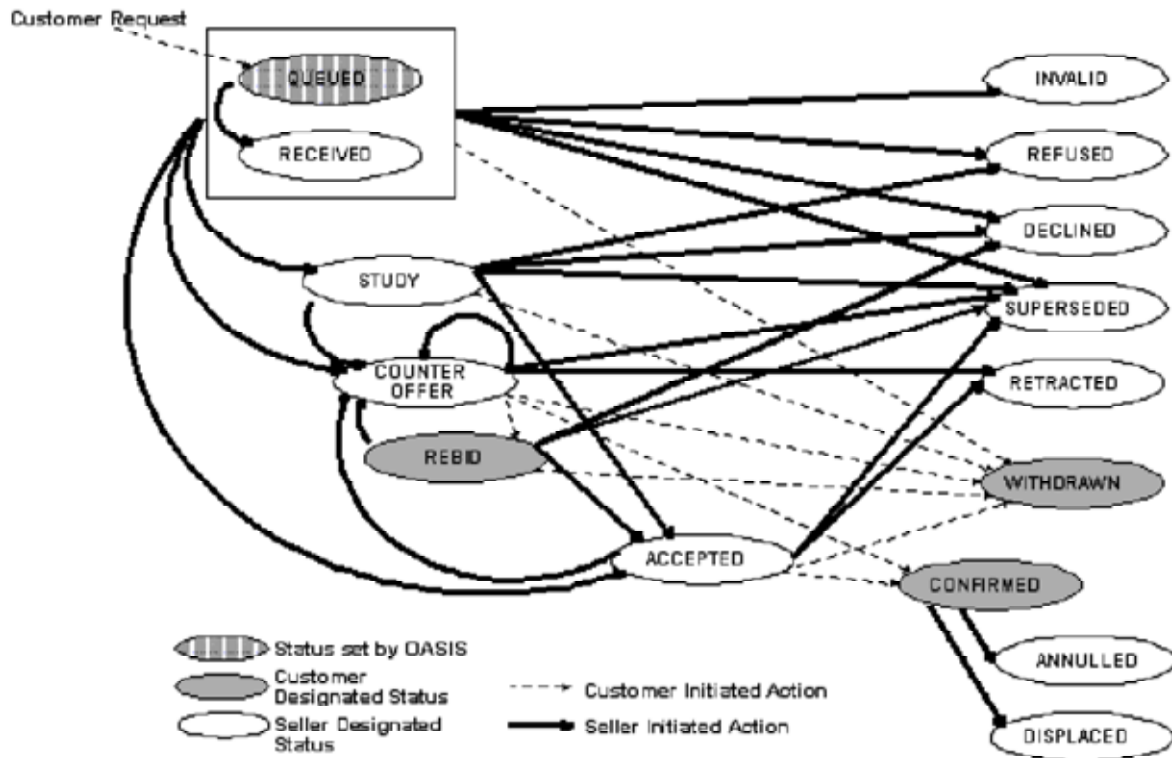


Exhibit 4-1 - State Diagram of Purchase Transactions



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#### **4.2.10.3 Dynamic Notification**

Customers may specify the delivery of dynamic notification messages on each change in STATUS or any other Data Element(s) associated with an ancillary or transmission service reservation. OASIS Nodes shall support the delivery of dynamic notification messages through either the HTTP protocol or by electronic mail. The selection of which mechanism is used and the contents of the messages delivered to the client program or e-mail address is defined by the content of the STATUS\_NOTIFICATION Data Element as described in the next subsections. Regardless of whether this dynamic notification method is used or not, it shall still remain the User's responsibility to get the desired information, possibly through the use of a periodic "integrity request". OASIS Nodes shall not be obligated or liable to guarantee delivery/receipt of messages via the STATUS\_NOTIFICATION mechanism other than on a "best effort" basis. As an extension of the Company registration information of the host, domain and port identifiers for dynamic notification of changes in the Customer's purchase requests, a field should be added to the Company's registration information that would define/identify how notification would be delivered to that Company should a transmission or ancillary purchase request be directed to that Company as a Seller of a transmission or ancillary service. The pertinent information would be either a full HTTP protocol URL defining the protocol, host name, port, path, resource, etc. information or a "mailto:" URL with the appropriate mailbox address string. On receipt of any purchase request directed to that Company as SELLER via either the "transrequest" or "ancrequest" Templates, or on submission of any change in request STATUS (or any other Data Elements associated with the request) to that Company as SELLER via either the "transcust" or "anccust" Templates, a notification message formatted as documented for the delivery of notification to the Customer, shall be formatted and directed to the Seller. This extension of dynamic notification is required only where the Transmission Provider has programmed its computer system for its own notification.

##### **4.2.10.3.1 HTTP Notification**

OASIS Nodes shall deliver dynamic notification to a client system based on HTTP URL information supplied in part by the STATUS\_NOTIFICATION Data Element and by information supplied as part of the Customer's Company registration information. HTTP URL's are formed by the concatenation of a protocol field (i.e., http: ), a domain name (e.g., //www.tsin.com), a port designation (e.g., :80), and resource location information. The STATUS\_NOTIFICATION Data Element shall contain the protocol field "http:", which designates the notification method/protocol to be used, followed by all resource location information required; the target domain name and port designations shall be inserted into the notification URL based on the Customer's Company registration information. The resource location information may include directory information, cgi script identifiers and URL encoded query string name/value pairs as required by the Customer's application. An OASIS Node performs no processing on the resource location information other than to include it verbatim along with the protocol, domain name and port information when forming the URL that will be used to deliver the HTTP protocol notification message.

For example, Company XYZ has established the domain name and port designations of "//oasistc.xyz.com:80" as part of their registration information.



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When a transmission reservation is submitted by one of Company XYZ's users (the Customer), and includes a STATUS\_NOTIFICATION Data Element with the value of "http://cgi-bin/status?DEAL\_REF=8&REQUEST\_REF=173", an OASIS Node shall deliver an HTTP notification message using the URL:  
http://oasistc.xyz.com:80/cgi-bin/status?DEAL\_REF=8&REQUEST\_REF=173

If the STATUS\_NOTIFICATION field contained only the "http:" protocol designation, the notification message would be delivered using the URL:  
http://oasistc.xyz.com:80

The contents of the HTTP protocol notification message delivered by an OASIS Node shall consist of the complete URL created by combining fields from the STATUS\_NOTIFICATION Data Element and Company registration information as part of an HTTP POST method request. In addition to the POST method HTTP header record, OASIS Nodes shall also append the CSV formatted output of the transstatus Template information for that particular reservation using the standard Content-type: text/x-oasis-csv and appropriate Content-length: HTTP header records. OASIS Nodes shall use a Primary Provider specific default value for RETURN\_TZ in formulating the transstatus response information. Continuing with the previous example, the important records in the HTTP notification message that would be delivered to Company XYZ for the transmission reservation request submitted to Primary Provider ABC and given an ASSIGNMENT\_REF of 245 would be,

```
POST http://oasistc.xyz.com:80/cgi-
bin/status?DEAL_REF=8&REQUEST_REF=173
HTTP/1.0
.
.
Content-type: text/x-oasis-csv
Content-length: <byte count of remainder of message>
REQUEST_STATUS=200
TIME_STAMP=<appropriate value>
VERSION=1.4
TEMPLATE=transstatus
OUTPUT_FORMAT=DATA
PRIMARY_PROVIDER_CODE=ABC
PRIMARY_PROVIDER_DUNS=123456789
RETURN_TZ=<appropriate value for ABC>
DATA_ROWS=1
COLUMN_HEADERS=CONTINUATION_FLAG, ASSIGNMENT_REF, . . .
N, 245, . . .
```

In the event an error is encountered delivering the HTTP notification message to the target URL as indicated by a failure of the target system to respond, or return of HTTP response status of 408, 500, 503, or 504, OASIS Nodes shall retry up to two more times, once every 5 minutes.

### 4.2.10.3.2 E-mail Notification



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OASIS Nodes shall deliver dynamic notification to an e-mail address based on Mailto: URL information specified in the STATUS\_NOTIFICATION Data Element. Mailto: URL's consist of the "mailto:" protocol identifier and an Internet mail address to which the notification message should be sent.

The STATUS\_NOTIFICATION Data Element shall contain the protocol field "mailto:", which designates the notification method/protocol to be used, followed by an Internet mail address in conformance with RFC 822. OASIS Nodes shall send an e-mail message to the Internet mail address containing the following information: "To:" set to the mail address from the STATUS\_NOTIFICATION Data Element, "From:" set to an appropriate mail address of the OASIS Node, "Subject:" shall be the transstatus Template name followed by the value of the ASSIGNMENT\_REF Data Element and the current value for the STATUS Data Element associated with the reservation (e.g., "Subject: transstatus 245 ACCEPTED"), and the body of the message shall contain the CSV formatted output of the transstatus Template information for that particular reservation. OASIS Nodes shall use a Primary Provider specific default value for RETURN\_TZ in formulating the transstatus response information.

#### **4.2.10.4 Use of Comments**

Transmission and ancillary service reservation templates support the following text data elements to be used to communicate information between parties (i.e., transmission provider, seller, and customer) to a transaction:

- PRIMARY\_PROVIDER\_COMMENTS - for information to be communicated by the primary transmission provider to all other parties
- SELLER\_COMMENTS - for information to be communicated by the seller (either primary provider or reseller) to the customer
- CUSTOMER\_COMMENTS - for information to be communicated by the customer to the seller
- STATUS\_COMMENTS - for information to be communicated by any party to all other parties

Use of these comments fields is at the discretion of the parties to the transaction with the exception that sellers of services must indicate via SELLER\_COMMENTS the reason for denial of any request for service (STATUS values of INVALID, REFUSED, or DENIED). Transactions which are subject to displacement, either before or after confirmation (STATUS values of SUPERSEDED or DISPLACED), shall also include a reference to the competing reservation request that initiated the displacement in the SELLER\_COMMENTS.

#### **4.2.11 Reference Identifiers**

The TSIP shall assign a unique reference identifier, ASSIGNMENT\_REF, for each Customer request to purchase capacity or services. The value of ASSIGNMENT\_REF may be used to imply the order in which the request was received by the TSIP. This identifier will be used to track the request through various stages, and will be kept with the service through out its life. Whenever a transaction is modified by a subsequent transaction, a new ASSIGNMENT\_REF number is assigned to that subsequent transaction along with a reference to the previous transaction such that a chain of all



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transactions related to the service can be maintained. These changes create a parent/child relationship between related requests. The TSIP shall use REASSIGNED\_REF or RELATED\_REF as specified in section 4.2.13 to identify the parent request's ASSIGNMENT\_REF and shall increment the IMPACTED counter of the parent request by 1. Reductions to a request posted by the Transmission Provider shall also reference the requests ASSIGNMENT\_REF and the TSIP shall increment the IMPACTED counter of the request by 1.

The TSIP shall assign a unique reference identifier, POSTING\_REF, to each Seller's offerings of service for sale or other information (messages) posted on an OASIS Node. The Seller in any/all subsequent Template submissions, that would result in a modification to or deletion of that specific offering or message, shall reference this identifier. Optionally, Customers may also refer to this POSTING\_REF in their subsequent purchase requests to aid in identifying the specific offering associated with the purchase request.

Sellers may aggregate portions of several previous transmission service reservations to create a new offering to be posted on an OASIS Node. When all or a portion of such offerings are sold, the Seller (original Customer) is obligated to notify the Primary Provider of the sale/assignment by inserting appropriate reassignment information on the OASIS Node (via the *transsell* or *transassign* Templates) or by some other approved method. This reassignment information consists of the ASSIGNMENT\_REF value assigned to the original reservation(s) and the time interval and capacity amount(s) being reassigned to the new reservation. These values are retained in the REASSIGNED\_REF, REASSIGNED\_START\_TIME, REASSIGNED\_STOP\_TIME, and REASSIGNED\_CAPACITY Data Elements.

Sellers may identify their service offerings received from Customers through the Seller supplied value specified for the SALE\_REF Data Element.

Customers may track their purchase requests through the Customer supplied values specified for the DEAL\_REF and REQUEST\_REF Data Elements. Customers may also use POSTING\_REF and SALE\_REF in their purchase requests to refer back to posted offerings.

### **4.2.12 Linking of Ancillary Services to Transmission Services**

The requirements related to ancillary services are shown in *transoffering* (and updated using *transupdate*) using the ANC\_SVC\_REQ Data Element containing the following permitted values:

SC:x; RV:x; RF:x; EI:x; SP:x; SU:x;

where SC, RV, RF, EI, SP and SU are the ancillary services 1 through 6 described in the Proforma Tariff,

- SC - Scheduling, system Control and dispatch
- RV - Reactive supply and Voltage control
- RF - Regulation and Frequency response
- EI - Energy Imbalance
- SP - SPinning reserve
- SU - Supplemental reserve

and where x={M,R,O,U} means one of the following:



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- Mandatory, which implies that the Primary Provider must provide the ancillary service
- Required, which implies that the ancillary service is required, but not necessarily from the Primary Provider
- Optional, which implies that the ancillary service is not necessarily required, but could be provided

Unknown, which implies that the requirements for the ancillary service are not known at this time

Ancillary services may be requested by a User from the Provider at the same time as transmission services are requested via the transrequest Template, by entering the special codes into ANC\_SVC\_LINK to represent the Proforma ancillary services 1 through 6 (or more) as follows:

SC:(AA[:xxx[:yyy[:nnn]]]); RV: (AA[:xxx[:yyy[:nnn]]]); RF:  
(AA[:xxx[:yyy[:nnn]]]);  
EI: (AA[:xxx[:yyy[:nnn]]]); SP: (AA[:xxx[:yyy[:nnn]]]); SU:  
(AA[:xxx[:yyy[:nnn]]]); {Registered};(AA[:xxx[:yyy[:nnn]]])

where AA is the appropriate PRIMARY\_PROVIDER\_CODE, SELLER\_CODE, or CUSTOMER\_CODE, and represents the company providing the ancillary services. "AA" may be unspecified for "xxx" type identical to "FT", in which case the ":" character must be present and precede the "FT" type. If multiple "AA" terms are necessary, then each "AA" grouping will be enclosed within parenthesis, with the overall group subordinate to the AS\_TYPE specified within parenthesis and where xxx represents either:

- "FT" to indicate that the Customer will determine ancillary services at a future time, or
- "SP" to indicate that the Customer will self-provide the ancillary services, or
- "RQ" to indicate that the Customer is asking the OASIS Node to initiate the process for making an ancillary services reservation with the indicated Provider or Seller on behalf of the Customer. The Customer must then continue the reservation process with the Provider or Seller. If the transmission services request is for preconfirmed service, then the ancillary services shall also be preconfirmed, or
- "AR" to indicate an assignment reference number sequence follows.

The terms "yyy" and "nnn" are subordinate to the xxx type of "AR". yyy represents the ancillary services reservation number (ASSIGNMENT\_REF) and nnn represents the capacity of the reserved ancillary services. Square brackets are used to indicated optional elements and are not used in the actual linkage itself. Specifically, the :yyy is applicable to only the "AR" term and the :nnn may optionally be left off if the capacity of ancillary services is the same as for the transmission services, and optionally multiple ancillary reservations may be indicated by additional (xxx[:yyy[:nnn]]) enclosed within parenthesis. If no capacity amount is indicated, the required capacity is assumed to come from the ancillary reservations in the order indicated in the codes, on an "as-needed" basis.

Examples:

*Example 1:*



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Assume ancillary services SC and RV are mandatory from the TP, whose code is "TPEL", and ancillary services RF, EI, SP and SU are required, but will be defined at a future time.

"SC: (TPEL:RQ); RV: (TPEL:RQ); RF:(:FT); EI:(:FT); SP:(:FT); SU:(:FT)";

*Example 2:*

Assume ancillary services SC and RV are mandatory from the TP, whose code is "TPEL", and RF, EI, SP and SU are self-supplied. The customer code is

"CPSE" "SC: (TPEL:RQ); RV: (TPEL:RQ); RF:(CPSE:SP); EI:(CPSE:SP); SP:(CPSE:SP); SU:(CPSE:SP)"

*Example 3:*

Assume ancillary services SC and RV are mandatory from the TP, whose code is "TPEL", and ancillary services RF, EI, SP and SU were purchased via a prior OASIS reservation from seller "SANC" whose reservation number was "39843". There is sufficient capacity within the Ancillary reservation to handle this Transmission reservation.

"SC:(TPEL:RQ); RV:(TPEL:RQ); RF:(SANC:AR:39843); EI:(SANC:AR:39843) SP:(SANC:AR:39843); SU:(SANC:AR:39843)"

*Example 4:*

Assume ancillary services SC and RV are mandatory from the TP, whose code is "TPEL", and ancillary services RF, EI, SP and SU were purchased via prior OASIS reservations from sellers "SANC" and "TANC", whose reservation numbers were "8763" and "9824" respectively. There is not sufficient capacity within the Ancillary reservation from seller "SANC" to handle this Transmission reservation. In this case the OASIS reservation number 8763 will be depleted for the time frame specified within the transmission reservation and the remaining required amount will come from reservation number "9824".

"SC:(TPEL:RQ); RV:(TPEL:RQ); RF:((SANC:AR:8763)(TANC:AR:9824)); EI:((SANC:AR:8763)(TANC:AR:9824)); SP:((SANC:AR:8763)(TANC:AR:9824)); SU:((SANC:AR:8763)(TANC:AR:9824))"

*Example 5:*

Assume a transmission reservation in the amount of 100 mw/hour for a period of one day is made. Ancillary services SC and RV are mandatory from the TP, whose code is "TPEL", and ancillary services RF, EI, SP and SU were purchased via prior OASIS reservations from sellers "SANC" and "TANC", whose reservation numbers were "8763" and "9824" respectively. There is sufficient capacity within the Ancillary reservation from seller "SANC" to handle this Transmission reservation, however the purchaser



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wishes to use only "40 mw's" from this seller. In this case the OASIS reservation number 8763 will be depleted in the amount of "40 mw's" for the time frame specified within the transmission reservation and the remaining required amount will come from reservation number "9824".

"SC:(TPEL:RQ); RV:(TPEL:RQ); RF:((SANC:AR:8763:40)(TANC:AR:9824));  
EI:((SANC:AR:8763:40)(TANC:AR:9824));  
SP:((SANC:AR:8763:40)(TANC:AR:9824));  
SU:((SANC:AR:8763:40)(TANC:AR:9824))"

### 4.2.13 Modifications to Transactions

Transactions processed by OASIS as outlined in Section 4.2.10 may be subject to modification by subsequent transactions or events as permitted under the Transmission Provider's Tariff. The following subsections describe the actions to be taken on OASIS to implement specific provisions of the Open Access Pro Forma Tariff related to transmission service. Depending on the exact form of the Provider's Tariff, some of these provisions may not be applicable, and implementation of other provisions may be Provider specific. In general, modification to any OASIS transaction initiated by the Customer shall involve the submission of a new transaction. The new transaction shall identify the specific type of modification being requested using the REQUEST\_TYPE Data Element, and reference the transaction to be modified using the RELATED\_REF Data Element. In the specific case of secondary market transactions, related transactions are identified with the use of the REASSIGNED\_REF Data Element. The following are the specific restricted values for the REQUEST\_TYPE Data Element and a brief description of their use:

- ORIGINAL – typical reservation requests submitted to the Primary Provider
- RESALE – secondary market requests submitted to a Transmission Customer as Secondary Transmission Provider
- RENEWAL – request to renew an expiring transmission reservation
- MATCHING – request to meet or exceed a competing request to retain transmission service (right of first refusal)
- DEFERRAL – request to defer or apply for extension on start of transmission service
- REDIRECT – request to redirect all or portion of a transmission reservation to an alternate POR/POD and/or make other changes to the terms of service as permitted
- {registered} – Primary Transmission Provider's may register values for REQUEST\_TYPE to implement specific provisions of their Tariffs.

The Primary Transmission Provider may also modify a Customer's transmission reservation to the extent that the original reservation's MW capacity available for scheduling may be reduced over all or a portion of the term of the original reservation subject to the terms of the Provider's Tariff. Any time a subsequent transaction initiated by the Customer modifies all or a portion of a prior transaction, or a reduction in reserved MWs is initiated by the Primary Provider, the IMPACTED counter will be incremented in the prior transaction shall be set. OASIS User's may view the list of all subsequent transactions or events impacting a given transaction using the **reduction** Template. The following subsections describe the application of REQUEST\_TYPE to



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actions taken on OASIS, and how various modifications to existing reservations are to be affected.

#### 4.2.13.1 Original Transactions

Transactions submitted to the Primary Transmission Provider using the *transrequest* Template for the typical reservation of transmission service shall be identified by the REQUEST\_TYPE of "ORIGINAL", and be processed as described in Section 4.2.10. The RELATED\_REF Data Element must be null, the Primary Provider specified as SELLER, and, if the REQUEST\_TYPE is null, the OASIS node shall default its value to "ORIGINAL". The value returned in the ASSIGNMENT\_REF Data Element shall be used to refer to this specific, original transmission reservation request in any subsequent actions taken.

#### 4.2.13.2 Partial Service

If in the evaluation of a transmission request, the Primary Provider determines that only a portion of the Customer's requested capacity reservation (CAPACITY\_REQUESTED Data Element) can be accommodated and that the Provider is obligated or elects to offer the Customer only a portion of the requested capacity, the Primary Provider shall set the CAPACITY\_GRANTED Data Element(s) associated with that transmission reservation to the amount available, and set the STATUS to COUNTEROFFER. If the CAPACITY\_REQUESTED and/or CAPACITY\_GRANTED are not constant over time, continuation records shall be used to convey the time varying profile of MW capacity associated with the transmission request (CAPACITY\_REQUESTED, CAPACITY\_GRANTED, START\_TIME and STOP\_TIME). The Customer shall recognize the offer of partial service by CAPACITY\_REQUESTED not being equal to CAPACITY\_GRANTED and the request STATUS of COUNTEROFFER. The Customer may elect to CONFIRM, WITHDRAW, or REBID the reservation using the *transcust* Template. If the transmission reservation request was marked PRECONFIRMED by the Customer and an offer of partial service is extended, the reservation request must be explicitly CONFIRMED by the Customer. The OASIS node shall not automatically CONFIRM a request where CAPACITY\_REQUESTED does not equal CAPACITY\_GRANTED when/if the request STATUS is set to ACCEPTED.

#### 4.2.13.3 Secondary Sales - On OASIS

The sale or assignment of rights from one Transmission Customer to another may be conducted on OASIS using the same transaction process as described for purchases made from the Primary Transmission Provider. The request for purchase of transmission service from another Transmission Customer (Secondary Transmission Provider) is submitted by the Customer purchasing the capacity using the *transrequest* Template. Secondary transmission sales shall be identified by the REQUEST\_TYPE of "RESALE", and be processed as described in Section 4.2.10. The RELATED\_REF Data Element must be null, the Transmission Customer owning capacity offered for resale (the Secondary Transmission Provider) specified as SELLER, and, if the REQUEST\_TYPE is null, the OASIS node shall default its value to "RESALE". The Secondary Transmission Provider (original Customer) selling their transmission



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rights over OASIS shall use the *transsell* Template to approve/deny the request. If the request is to be approved (STATUS=ACCEPTED), the transmission reservation(s) currently held by the Customer selling their capacity and the amount of capacity over time from each such reservation to be transferred to the secondary market Customer must be identified. This information is supplied via the REASSIGNED\_REF, REASSIGNED\_CAPACITY, REASSIGNED\_START\_TIME and REASSIGNED\_STOP\_TIME Data Elements. The aggregation of all REASSIGNED\_xxx Data Elements must match the capacity and time frame of the secondary transmission request as specified in the CAPACITY\_GRANTED (and/or CAPACITY\_REQUESTED), START\_TIME and STOP\_TIME Data Elements of the "RESALE" transaction. The Customer purchasing transmission service on the secondary market over OASIS shall use the *transcust* to monitor the transaction and CONFIRM the sale if necessary. Upon confirmation of the secondary sale the IMPACTED attribute will be incremented for each reservations referenced by the REASSIGNED\_REF Data Elements.

#### 4.2.13.4 Secondary Sales - Off OASIS

The sale or assignment of rights from one Transmission Customer to another does not have to be conducted on OASIS. However, the Transmission Customer acting as a Secondary Transmission Provider is obligated to notify the Primary Transmission Provider of all sales or assignments of transmission rights to a third party. The *transassign* Template shall be used by the Secondary Transmission Provider to convey this sale/assignment information to the Primary Provider. The *transassign* Template allows the Secondary Transmission Provider to submit all information related to the secondary market sale. The REQUEST\_TYPE of "RESALE" is directly implied by use of the *transassign* Template. The REASSIGNED\_REF, REASSIGNED\_CAPACITY, REASSIGNED\_START\_TIME and REASSIGNED\_STOP\_TIME Data Elements identify the transmission reservation(s) currently held by the Secondary Transmission Provider, and the amount of capacity over time from each such reservation to be transferred to the secondary market Customer. The aggregation of all REASSIGNED\_xxx Data Elements must match the capacity and time frame of the secondary transmission request as specified in the CAPACITY\_GRANTED, START\_TIME and STOP\_TIME Data Elements of the "RESALE" transaction. The IMPACTED attributed will be incremented for each reservations referenced by the REASSIGNED\_REF Data Elements.

#### 4.2.13.5 Renewal

Requests by the Transmission Customer to renew their transmission reservation, subject to the terms of the Provider's Tariff, should be submitted using the REQUEST\_TYPE of "RENEWAL" and specify the ASSIGNMENT\_REF of the request to be renewed in the new request's RELATED\_REF Data Element. This unique REQUEST\_TYPE and association with the original request more clearly communicates, over OASIS, the intent of the Transmission Customer, and distinguishes requests for renewal of service from new requests by the same TC for additional service.

#### 4.2.13.6 Displacement - No Right of First Refusal



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Confirmed transmission reservations may be subject to displacement in the event competing, higher priority requests are received by the Primary Transmission Provider. If the original Customer does not have the right of first refusal and all capacity from the original, confirmed reservation is required to accommodate the higher priority request, the Primary Transmission Provider shall set the original reservation's STATUS to DISPLACED. The STATUS of DISPLACED indicates that the original reservation has been displaced in its entirety. A reference to the competing request that forced the displacement should be entered in the SELLER\_COMMENTS field of the original reservation. If only a portion of the original, confirmed reservation's capacity is required to accommodate the higher priority request, the Primary Transmission Provider shall document the "recall" of reserved capacity from the lower priority, confirmed reservation by incrementing the IMPACTED counter on that reservation and posting on OASIS the amount and time frames over which the original reservation's capacity was reduced. The Transmission Customer may view all impacts to existing transmission reservations (e.g., partial displacements, secondary sales, etc.) using the **reduction** Template. A reference to the competing request that forced the displacement should be entered in the SELLER\_COMMENTS field of the original reservation.

#### **4.2.13.7 Displacement - With Right of First Refusal**

Confirmed transmission reservations may be subject to displacement in the event competing, higher priority requests are received by the Primary Transmission Provider. If the Primary Provider's Tariff obligates, or the Primary Provider elects to grant the original Customer the right of first refusal, the original Customer shall be notified of the competing request. The Primary Provider shall set the original request's COMPETING\_REQUEST\_FLAG to Y and update the SELLER\_COMMENTS with a reference to the competing requests ASSIGNMENT\_REF. These changes will initiate electronic notification, provided the Customer has elected to receive such notification. If the original Customer elects to meet or exceed the terms and conditions of the competing request, that Customer shall submit a new reservation request using the **transrequest** Template specifying 1) the terms of the new request, 2) "MATCHING" for REQUEST\_TYPE, and 3) the ASSIGNMENT\_REF of their original reservation in RELATED\_REF. If the Primary Provider accepts the MATCHING request, the Primary Provider shall set the STATUS of the competing request to "REFUSED" and set the STATUS of the original, confirmed reservation to "DISPLACED". The STATUS of DISPLACED indicates that the original reservation has been displaced in its entirety. If the original Customer does not elect to meet the terms of the competing request, the Primary Transmission Provider shall displace the original reservation, in whole or in part, in the same manner described for reservations that are not extended a right of first refusal. Once the disposition of the original reservation and the competing request is finalized, the COMPETING\_REQUEST\_FLAG shall be reset to "N" in the original reservation.

#### **4.2.13.8 Deferral of Start of Service**

The commencement of service for certain transmission reservations may be deferred by the Customer as provided by the Primary Provider's Tariff. Such deferrals of the start of service are to be treated as new requests. The Customer shall submit a new



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transmission reservation specifying 1) the new term of service being requested, 2) "DEFERRAL" for REQUEST\_TYPE and 3) the ASSIGNMENT\_REF of their original reservation in RELATED\_REF. On approval of the request to defer the start of service, the original reserved capacity may be subject to "recall" by the Primary Provider. If the Primary Provider recalls all or a portion of the reserved MWs associated with the original request, the Primary Provider shall increment the IMPACTED counter in the original reservation and document the reduction in service via an appropriate OASIS posting viewable to the Customer with the **reduction** Template.

#### 4.2.13.9 Alternate POR/POD

Transmission Customers may have the right to move to alternate points of receipt and/or delivery under the terms of the Primary Provider's tariff. Customers holding confirmed transmission reservations may request the use of alternate points of receipt and/or delivery by a new transmission reservation using the **transrequest** Template. The new request shall specify 1) the terms of the new service requested, 2) "REDIRECT" for the REQUEST\_TYPE and 3) the ASSIGNMENT\_REF of their original reservation in RELATED\_REF. On approval and confirmation of this new reservation, the Customer's rights to schedule transmission service under their original reservation may be reduced. If transmission rights under the original reservation are reduced, the Primary Provider shall increment the IMPACTED counter in the original reservation and document the reduction in service via an appropriate OASIS posting viewable to the Customer with the **reduction** Template.

#### 4.2.13.10 Provider Recall

There are cases in implementing provisions of the Primary Provider's Tariff that the capacity reserved by a Transmission Customer may be reduced in whole or in part. The particular reasons for these reductions are Tariff specific. The Primary Provider shall provide a mechanism to post on OASIS any such reductions or "recalls" in reserved capacity. The Customer shall be notified of any and all such reductions in reserved capacity by the incrementing of the IMPACTED counter in association with those reservations that are reduced; the IMPACTED flag is viewable with the **transstatus** Template. Specific information regarding the exact nature of each reduction in the reserved capacity under a given transmission reservation shall be posted and viewable with the **reduction** Template.

A specific example of a Primary Provider initiated recall of reserved capacity is the implementation of a partial displacement of a transmission reservation. In this instance, the Customer has not elected (or was not required to be offered) to match the terms of a higher priority, competing request. The Primary Provider "recalls" that capacity necessary to accommodate the higher priority request from the original, lower priority request. The IMPACTED counter of the original request is incremented, and a query using the **reduction** Template for that original reservation would show the Customer the amount and time-frame that the Customer's reserved capacity was recalled by the Primary Provider. (See sections 4.2.13.6 and 4.2.13.7.)

Interruption of transmission service, where that interruption directly impacts the rights of the Customer to schedule any service under that reservation, is another example of



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an impact to reserved capacity that would be posted as a Primary Provider initiated recall of reserved capacity. Secondary market sales of transmission rights are not examples of a Provider initiated recall of reserved capacity, but the impact of any such sales shall also be returned in response to execution of the reduction Template.

4.3 TEMPLATE DESCRIPTIONS

The following OASIS Templates define the Data Elements in fixed number and sequence which must be provided for all data transfers to and from the OASIS Nodes. The definitions of the Data Elements are listed in the Data Element Dictionary in Appendix A.

TSIPs must provide a more detailed supplemental definition of the list of Sellers, Paths, Point of Receipt (POR), Point of Delivery (POD), Capacity Types, Ancillary Service Types and Templates online, clarifying how the terms are being used (see LIST Template). If POR and POD are not used, then Path Name must include directionality.

Many of the Templates represent query-response interactions between the User and the OASIS Node. These interactions are indicated by the "Query" and "Response" section respectively of each Template. Some, as noted in their descriptions, are Input information, sent from the User to the OASIS Node. The Response is generally a mirror of the Input, although in some Templates, the TSIP must add some information.

4.3.1 Template Summary

The following table provides a summary of the process areas, and Templates to be used by Users to query information that will be downloaded or to upload information to the Primary Providers. These processes define the functions that must be supported by an OASIS Node.

Table with 3 columns: Process Area, Process Name, and Template(s). It lists various query/response templates for transmission capacity, ancillary services, and schedule details.



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	Query/Response Security Events	security
	Query/Response Reductions to Reserved Capacity	reduction
	Query/Response Transmission System Data	systemdata
4.3.5 Query/Response of Lists of Information	Query/Response List of Sellers, Paths, PORs, PODs, Capacity Types, Ancillary Service Types, Templates	list
4.3.6 Purchase Transmission Services	Request Purchase of Transmission Services (Input)	transrequest
	Query/Response Status of Transmission Service Request	transstatus
	Seller Approves Purchase (Input)	transsell
	Customer Confirm/Withdraw Purchase of Transmission Service (Input)	transcust
	Seller Reassign Rights (Input)	transassign
4.3.7 Seller Posting of Transmission Service	Seller Post Transmission Service for Sale (Input)	transpost
	Seller Modify (Remove) Transmission Service for Sale (Input)	transupdate
4.3.8 Purchase of Ancillary Service	Request Purchase of Ancillary Service (Input)	ancrequest
	Query/Response Status of Ancillary Service Request	ancstatus
	Seller Approves Purchase of Ancillary Service (Input)	ancsell
	Customer Accept/Withdraw Purchase of Ancillary Service (Input)	anccust
	Seller Reassign Rights (Input)	ancassign



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4.3.9 Seller Post Ancillary Service	Seller Post Ancillary Service (Input)	ancpost
	Seller Modify Ancillary (Remove)Service for Sale (Input)	ancupdate
4.3.10 Informal Messages	Post Want Ads (Input)	messagepost
	Query/Response Want Ads	message
	Delete Want Ad (Input)	messagedelete
	Personnel Transfers	personnel
	Discretion	discretion
	Standards of Conduct	stdconduct
4.3.11 Audit Log	Query/Response Audit Log	(various)

**4.3.2 Query/Response of Posted Services Being Offered**

The following Templates define the information to be posted on services offered for sale. All discounts for service negotiated by a Customer and Primary Provider (as Seller) at a price less than the currently posted offering price shall be posted on OASIS Nodes in such a manner as to be viewed using these Templates. All secondary market and/or third-party posting and Primary Provider offerings for like services shall also be viewed using these Templates. The Query must start with the standard header Query Variable Data Elements, listed in Section 4.2.6.2, and may include any valid combination of the remaining Query Variables, shown below in the Templates. START\_TIME and STOP\_TIME is the requested time interval for the Response to show all offerings which intersect that interval (see Section 4.2.6.6). TIME\_OF\_LAST\_UPDATE can be used to specify all services updated since a specific point in time. Query variable listed with an asterisk (\*) can have at least 4 multiple instances defined by the user in making the query. In the Response, OFFER\_START\_TIME and OFFER\_STOP\_TIME indicate the "request time window" within which a customer must request a service in order to get the posted OFFER\_PRICE. START\_TIME and STOP\_TIME indicate the time frame that the service is being offered for. The SERVICE\_DESCRIPTION Data Element shall define any attributes and/or special terms and conditions applicable to the offering that are not listed under the standard SERVICE\_DESCRIPTION associated with the product definition supplied in the *transserv* or *ancserv* Templates.

SERVICE\_DESCRIPTION shall be null if there are no unique attributes or terms associated with the offering.

**4.3.2.1 Transmission Capacity Offerings Available for Purchase (transoffering)**



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Transmission Services Offerings Available for Purchase (***transoffering***) is used to view transmission services posted for sale by the Primary Provider or Resellers. At a minimum this Template must be used to view each increment and type of service required to be offered under applicable regulations and the Primary Provider's tariffs. The POSTING\_REF is set by the TSIP when an offering is posted and can be used in ***transrequest*** to refer to a particular offering. A User may query information about services available from all sellers for the time frame specified by the SERVICE\_INCREMENT Data Element, namely, hourly, daily, weekly, monthly, or yearly.

Template: **transoffering**

### 1. Query

PATH\_NAME\*  
SELLER\_CODE\*  
SELLER\_DUNS\*  
POINT\_OF\_RECEIPT\*  
POINT\_OF\_DELIVERY\*  
SERVICE\_INCREMENT\*  
TS\_CLASS\*  
TS\_TYPE\*  
TS\_PERIOD\*  
TS\_WINDOW\*  
TS\_SUBCLASS\*  
START\_TIME (of transmission services)  
STOP\_TIME (of transmission services)  
POSTING\_REF  
TIME\_OF\_LAST\_UPDATE

### 2. Response

The response is one or more records showing the requested service information. Note that the Customer will receive as a series of records spanning all the SELLER\_CODES, PATH\_NAMES, PORs, PODs, TS\_xxx, and the START\_TIME/STOP\_TIME specified in the query. The SALE\_REF is a value provided by the SELLER to identify the transmission service product being sold. The ANC\_SVC\_REQ indicates all ancillary services required for the specified transmission services. All Template elements are defined in the Data Element Dictionary.

TIME\_OF\_LAST\_UPDATE  
SELLER\_CODE  
SELLER\_DUNS  
PATH\_NAME  
POINT\_OF\_RECEIPT  
POINT\_OF\_DELIVERY  
INTERFACE\_TYPE  
OFFER\_START\_TIME



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OFFER\_STOP\_TIME  
START\_TIME  
STOP\_TIME  
CAPACITY (If null, then look in seller comments for information .)  
SERVICE\_INCREMENT  
TS\_CLASS  
TS\_TYPE  
TS\_PERIOD  
TS\_WINDOW  
TS\_SUBCLASS  
ANC\_SVC\_REQ  
SALE\_REF  
POSTING\_REF  
CEILING\_PRICE  
OFFER\_PRICE  
PRICE\_UNITS  
SERVICE\_DESCRIPTION (if null, then look at *transserv*)  
NERC\_CURTAILMENT\_PRIORITY  
OTHER\_CURTAILMENT\_PRIORITY  
SELLER\_NAME  
SELLER\_PHONE  
SELLER\_FAX  
SELLER\_EMAIL  
SELLER\_COMMENTS

#### 4.3.2.2 Ancillary Services Available for Purchase (**ancoffering**)

Ancillary Services Available for Purchase (**ancoffering**) is used to provide information regarding the ancillary services that are available for sale by all sellers (both Primary Provider and Third Party Sellers).

Template: **ancoffering**

##### 1. **Query**

SELLER\_CODE\*  
SELLER\_DUNS\*  
CONTROL\_AREA\*  
SERVICE\_INCREMENT\*  
AS\_TYPE\*  
START\_TIME  
STOP\_TIME  
POSTING\_REF  
TIME\_OF\_LAST\_UPDATE

##### 2. **Response**

TIME\_OF\_LAST\_UPDATE



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SELLER\_CODE  
SELLER\_DUNS  
CONTROL\_AREA  
OFFER\_START\_TIME  
OFFER\_STOP\_TIME  
START\_TIME  
STOP\_TIME  
CAPACITY  
SERVICE\_INCREMENT  
AS\_TYPE  
SALE\_REF  
POSTING\_REF  
CEILING\_PRICE  
OFFER\_PRICE  
PRICE\_UNITS  
SERVICE\_DESCRIPTION (if blank, then look at *ancserv*)  
SELLER\_NAME  
SELLER\_PHONE  
SELLER\_FAX  
SELLER\_EMAIL  
SELLER\_COMMENTS

### 4.3.3 Query/Response of Services Information

#### 4.3.3.1 Transmission Services (*transserv*)

Transmission Services (*transserv*) is used to provide additional information regarding the transmission services SERVICE\_INCREMENT, TS\_CLASS, TS\_TYPE, TS\_PERIOD, TS\_SUBCLASS,

TS\_WINDOW, NERC\_CURTAILMENT\_PRIORITY, and OTHER\_CURTAILMENT\_PRIORITY that are available for sale by a Provider in the Templates in Section 4.3.2. This Template is used to summarize Provider tariff information for the convenience of the User. The Provider also sets PRICE\_UNITS with this Template.

Template: **transserv**

#### 1. Query

TIME\_OF\_LAST\_UPDATE

#### 2. Response

TIME\_OF\_LAST\_UPDATE  
SERVICE\_INCREMENT  
TS\_CLASS  
TS\_TYPE



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TS\_PERIOD  
TS\_WINDOW  
TS\_SUBCLASS  
CEILING\_PRICE  
PRICE\_UNITS  
SERVICE\_DESCRIPTION  
NERC\_CURTAILMENT\_PRIORITY  
OTHER\_CURTAILMENT\_PRIORITY  
TARIFF\_REFERENCE

#### 4.3.3.2 Ancillary Services (*ancserv*)

Ancillary Services (*ancserv*) is used to provide additional information regarding the ancillary services that are available for sale by a Provider in the Templates in Section 4.3.2. This Template is used to summarize Provider tariff information for the convenience of the User. The Provider also sets PRICE\_UNITS with this Template.

Template: **ancserv**

##### 1. Query

TIME\_OF\_LAST\_UPDATE

##### 2. Response

TIME\_OF\_LAST\_UPDATE  
SERVICE\_INCREMENT  
AS\_TYPE  
CEILING\_PRICE  
PRICE\_UNITS  
SERVICE\_DESCRIPTION  
TARIFF\_REFERENCE

#### 4.3.4 Query/Response of Schedules and Curtailments, Security Events, Reductions, and System Data

##### 4.3.4.1 Transaction Schedule (*scheduledetail*)

Transaction Schedule (*scheduledetail*) provides information on the scheduled uses of the Provider's transmission system and any curtailments or interruption thereof. Posting of transmission service schedule information shall be in accordance with regulatory requirements, and reflect scheduled uses of reserved capacity to a level of detail that such schedules are subject to a Provider's application of transmission security procedures and policies regarding curtailment and interruptions. There is no restriction on the number of transaction schedule records that may refer to a given transmission reservation at a given point in time.

The Query Variables ASSIGNMENT\_REF, SELLER\_CODE, SELLER\_DUNS, CUSTOMER\_CODE, CUSTOMER\_DUNS, SERVICE\_INCREMENT, TS\_CLASS, TS\_TYPE,



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and TS\_PERIOD act to select those transmission reservations for which all applicable transaction schedule information is to be returned. The PATH\_NAME, POINT\_OF\_RECEIPT, POINT\_OF\_DELIVERY Query Variables select all applicable interchange transaction schedule records that use the specified path, point of receipt, and/or point of delivery. The TIME\_OF\_LAST\_UPDATE, START\_TIME, and STOP\_TIME Query Variables select those particular interchange transaction schedule records updated and/or effective: 1) on or after a particular point in time (START\_TIME alone), 2) before a particular point in time (STOP\_TIME alone), or 3) between particular points in time (START\_TIME and STOP\_TIME). The TRANSACTION\_ID Query Variable selects all applicable schedule information records associated with that particular schedule. Note that the format of TRANSACTION\_ID may be Transmission Provider specific.

Each ***scheduledetail*** Template record returned in response to a query shall include information associated with:

1. information specifically related to the scheduled transaction,
2. information from all applicable OASIS transmission reservations used to support the scheduled interchange transaction, and
3. information related to any curtailment or interruption of service (if applicable), including a Transmission Provider's refusal to accept or begin a Customer's proposed interchange transaction for reliability or economic reasons (as allowed by the Provider's Tariff).

Information to be supplied in each ***scheduledetail*** Template's response records related to the scheduled interchange are, SCHEDULE\_REF, TRANSACTION\_ID, PATH\_NAME, POINT\_OF\_RECEIPT, POINT\_OF\_DELIVERY, GCA\_CODE, LCA\_CODE, SOURCE, SINK, SCHEDULE\_PRIORITY, START\_TIME, STOP\_TIME, SCHEDULE\_REQUESTED, and SCHEDULE\_GRANTED.

The posting and availability of schedule and curtailment information on OASIS shall be in accordance with FERC Policy.

SCHEDULE\_REF uniquely identifies a particular posting of schedule information. SCHEDULE\_REF would vary with each record of data returned in response to a *schedule* query. TRANSACTION\_ID, if applicable/available, contains a unique identifier associated with an interchange transaction that may span multiple SCHEDULE\_REF records. When available or applicable, the TRANSACTION\_ID Data Element should reflect any industry-recognized transaction identifier rather than a Provider specific internal identifier (e.g., the NERC electronic tagging "tag-id"). PATH\_NAME, POINT\_OF\_RECEIPT, and POINT\_OF\_DELIVERY identify the Transmission Provider's specific transmission resources used by the scheduled transaction, and would typically be identical to the corresponding Data Elements associated with the OASIS transmission reservation used to support the schedule. When known, the GCA\_CODE and LCA\_CODE identify the NERC registered Control Area acronyms associated with the ultimate generation and load control areas respectively. When known or required to more specifically identify the ultimate points of generation and load, the SOURCE and SINK elements identify service points within the generation and load Control Areas respectively. SCHEDULE\_PRIORITY identifies the relative priority of this particular interchange transaction as compared to all other scheduled transactions with respect to the application of curtailments or interruptions. SCHEDULE\_PRIORITY would typically reflect the curtailment priority Data Elements associated with the OASIS



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transmission reservation used to support the schedule (i.e., NERC\_CURTAILMENT\_PRIORITY or OTHER\_CURTAILMENT\_PRIORITY). START\_TIME and STOP\_TIME designate the particular time interval represented by this record associated with the scheduled transaction. Note that multiple response records may be returned for a given scheduled transaction when information associated with the schedule vary over time (e.g., SCHEDULE\_REQUESTED, SCHEDULE\_GRANTED, SCHEDULE\_LIMIT, etc.), but that **scheduledetail** Template response records for a given scheduled transaction should never overlap in time. SCHEDULE\_REQUESTED reflects the MW value requested to be scheduled by the Customer during the hour, and SCHEDULE\_GRANTED reflects the MW value actually scheduled by the Transmission Provider at either the point of receipt or delivery, whichever is larger, over the START\_TIME/STOP\_TIME time interval. When SCHEDULE\_REQUESTED exceeds SCHEDULE\_GRANTED, a curtailment or interruption is in effect and additional information shall be returned in the record.

Information in each **scheduledetail** Template's response record related to the OASIS transmission reservation(s) supporting the scheduled transaction includes ASSIGNMENT\_REF, SELLER\_CODE, SELLER\_DUNS, CUSTOMER\_CODE, CUSTOMER\_DUNS, AFFILIATE\_FLAG, SERVICE\_INCREMENT, TS\_CLASS, TS\_TYPE, TS\_PERIOD, TS\_WINDOW, TS\_SUBCLASS, NERC\_CURTAILMENT\_PRIORITY, OTHER\_CURTAILMENT\_PRIORITY, and CAPACITY\_USED. Transaction schedules that are supported by the use of multiple OASIS transmission reservations return the information attributable to each individual transmission reservation using continuation records (i.e., records beginning with CONTINUATION\_FLAG = 'Y'). Each continuation record shall also include the SCHEDULE\_REF identifier from the first (CONTINUATION\_FLAG = 'N') record. CAPACITY\_USED reflects the peak MW amount of the reservation used to support the scheduled transaction; the sum of CAPACITY\_USED over all continuation records (if applicable) should equal the SCHEDULE\_GRANTED.

Transaction schedules that were either "denied or interrupted" (ref. 18 CFR 37.6(a)(4)) shall include information in the **scheduledetail** Template's response related to the reason the transaction could not be started or continued at the requested MW amount. The information returned shall include: PROVIDER\_ACTION, SCHEDULE\_LIMIT, CURTAILMENT\_OPTIONS, SECURITY\_REF, INITIATING\_PARTY, RESPONSIBLE\_PARTY, PROCEDURE\_NAME, PROCEDURE\_LEVEL, FACILITY\_LOCATION, FACILITY\_NAME, FACILITY\_CLASS, and FACILITY\_LIMIT\_TYPE. If there are no restrictions to the scheduled transaction, these Data Elements shall all be returned as null.

PROVIDER\_ACTION indicates the particular action taken by the Transmission Provider with respect to the scheduled transaction; specific values to be returned are, DENIED if the schedule was not started as requested, CURTAILED if the scheduled MW was limited for reliability reasons, or INTERRUPTED if the scheduled MW was limited for economic reasons. SCHEDULE\_LIMIT reflects the **maximum** MW value over the START\_TIME/STOP\_TIME interval that the Provider has determined can be scheduled. CURTAILMENT\_OPTIONS defines any options the Customer may exercise to reinstate all or part of the proposed schedule. SECURITY\_REF, INITIATING\_PARTY, RESPONSIBLE\_PARTY, PROCEDURE\_NAME, PROCEDURE\_LEVEL, FACILITY\_NAME, FACILITY\_CLASS, and FACILITY\_LIMIT\_TYPE provide information related to the specific transmission security event that prompted the Transmission Provider's denial,



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curtailment or interruption of the proposed scheduled transaction (see *security* Template).

Template: ***scheduledetail***

### 1. **Query**

PATH\_NAME\*  
SELLER\_CODE\*  
SELLER\_DUNS\*  
CUSTOMER\_CODE\*  
CUSTOMER\_DUNS\*  
POINT\_OF\_RECEIPT\*  
POINT\_OF\_DELIVERY\*  
SERVICE\_INCREMENT\*  
TS\_CLASS\*  
TS\_TYPE\*  
TS\_PERIOD\*  
TS\_WINDOW\*  
TS\_SUBCLASS\*  
START\_TIME  
STOP\_TIME  
TIME\_OF\_LAST\_UPDATE  
ASSIGNMENT\_REF  
TRANSACTION\_ID

### 2. **Response**

CONTINUATION\_FLAG  
TIME\_OF\_LAST\_UPDATE  
SCHEDULE\_REF  
TRANSACTION\_ID  
PATH\_NAME  
POINT\_OF\_RECEIPT  
POINT\_OF\_DELIVERY  
GCA\_CODE  
LCA\_CODE  
SOURCE  
SINK  
SCHEDULE\_PRIORITY  
START\_TIME  
STOP\_TIME  
SCHEDULE\_REQUESTED  
SCHEDULE\_GRANTED  
ASSIGNMENT\_REF  
SELLER\_CODE  
SELLER\_DUNS  
CUSTOMER\_CODE



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CUSTOMER\_DUNS  
AFFILIATE\_FLAG  
SERVICE\_INCREMENT  
TS\_CLASS  
TS\_TYPE  
TS\_PERIOD  
TS\_WINDOW  
TS\_SUBCLASS  
NERC\_CURTAILMENT\_PRIORITY  
OTHER\_CURTAILMENT\_PRIORITY  
CAPACITY\_USED  
(if the transaction is subject to curtailment:)  
PROVIDER\_ACTION  
SCHEDULE\_LIMIT  
CURTAILMENT\_OPTIONS  
SECURITY\_REF  
INITIATING\_PARTY (e.g. CA/TP code)  
RESPONSIBLE\_PARTY (e.g., SC code)  
PROCEDURE\_NAME (e.g., "NERC TLR", or registered)  
PROCEDURE\_LEVEL (e.g., "2a", "3")  
FACILITY\_LOCATION (e.g. "INTERNAL" or  
"EXTERNAL")  
FACILITY\_NAME  
FACILITY\_CLASS (e.g., transformer, etc.)  
FACILITY\_LIMIT\_TYPE (e.g. thermal, stability, etc.)

#### 4.3.4.2 Security Event (**security**)

Security Event (**security**) provides information on transmission security/reliability events that may impact the Provider's ability to schedule transactions. The TIME\_OF\_LAST\_UPDATE, START\_TIME, and STOP\_TIME Query Variables select those particular security event postings updated and/or effective: 1) on or after a particular point in time (START\_TIME alone), 2) before a particular point in time (STOP\_TIME alone), or 3) between particular points in time (START\_TIME and STOP\_TIME).

The SECURITY\_REF Data Element is a unique identifier assigned to each posting of security related information; SECURITY\_REF would vary with each record of data returned in response to a **security** query. The EVENT\_ID Data Element, when available, should reflect any regional or interconnection-wide recognized security event identifier for events that are of greater scope than those administered locally by the Provider (e.g., a NERC Security Coordinator assigned identifier corresponding to a particular implementation of the NERC TLR procedure). SECURITY\_TYPE identifies the type of information posted for the event; restricted values are OUTAGE for postings reflecting the state of critical transmission facilities, and LIMIT for postings reflecting the implementation of security procedures to limit or reduce scheduled transactions. The INITIATING\_PARTY identifies by Control Area, Security Coordinator or Transmission Provider code the entity calling for the "outage" or "limit", and RESPONSIBLE\_PARTY identifies the entity (Control Area, Transmission Provider, or



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Security Coordinator) responsible for administering any resulting security procedure that may be instituted.

PROCEDURE\_NAME and PROCEDURE\_LEVEL reflect the specific security procedure and, if applicable, the step, stage, or level within that procedure being implemented by RESPONSIBLE\_PARTY (e.g., NERC TLR is a recognized security procedure, and level "2a" is a step within that procedure). FACILITY\_NAME, FACILITY\_CLASS, and FACILITY\_LIMIT\_TYPE provide specific information related to the impacted transmission facility. FACILITY\_LOCATION identifies if the impacted facility is "INTERNAL" or "EXTERNAL" relative to the Transmission Provider's scope of authority over the named facility.

START\_TIME and STOP\_TIME reflect the period of time encompassed by the particular security event posted. In cases where a security procedure is invoked and then progresses through various levels or stages, there shall be separate postings for each of those stages declared by RESPONSIBLE\_PARTY with START\_TIME and STOP\_TIME reflecting the period of time each specific level of the procedure was in effect.

The use of the *security* Template to convey information related to major transmission facility outages (SECURITY\_TYPE = OUTAGE) is at the discretion of the Provider. Its definition in this Template is intended to formalize the posting of facility outage information in an OASIS Template structure where such information prior to implementation of this Template had been posted in a free-form manner.

Template: *security*

### 1. Query

START\_TIME  
STOP\_TIME  
TIME\_OF\_LAST\_UPDATE  
SECURITY\_REF  
EVENT\_ID  
SECURITY\_TYPE  
INITIATING\_PARTY  
RESPONSIBLE\_PARTY  
PROCEDURE\_NAME  
FACILITY\_CLASS  
FACILITY\_LIMIT\_TYPE  
FACILITY\_LOCATION

### 2. Response

TIME\_OF\_LAST\_UPDATE  
SECURITY\_REF  
EVENT\_ID  
SECURITY\_TYPE ("LIMIT" or "OUTAGE")  
INITIATING\_PARTY (e.g., CA/TP code)  
RESPONSIBLE\_PARTY (e.g., SC code)  
PROCEDURE\_NAME (e.g., "NERC TLR", or registered)  
PROCEDURE\_LEVEL (dependent on PROCEDURE\_NAME)



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FACILITY\_CLASS (e.g., "FLOWGATE", "LINE", etc.)  
FACILITY\_LIMIT\_TYPE (e.g., "THERMAL", "STABILITY", etc.)  
FACILITY\_LOCATION ("INTERNAL" or "EXTERNAL")  
FACILITY\_NAME (e.g., path or flowgate name)  
START\_TIME  
STOP\_TIME

#### 4.3.4.3 Transmission Reservation Reduction (reduction)

The Transmission Reservation Reduction (**reduction**) Template provides information related to the reduction in the Transmission Customer's rights to schedule use of all or a portion of capacity reserved for a given transmission reservation. Specific cases where such a reduction in reserved capacity would be returned in response to this query Template include: secondary market sales (as posted using the **transassign** or **transsell** Templates via the REASSIGNED\_REF, etc., Data Elements), a Transmission Provider's interruption of the reservation to accommodate higher priority reservations over the interruption interval (partial displacement), etc.

The ASSIGNMENT\_REF Query Variable is required and specifies the transmission reservation whose reductions in reserved capacity (if any) are to be returned. The START\_TIME and STOP\_TIME Query Variables allow the user to select the specific time interval over which the reductions in reserved capacity are to be returned (e.g., return all reductions in June for a year long reservation); by default all reductions over the life of the reservation are returned.

In response to a **reduction** Template query, each primary record returned (CONTINUATION\_FLAG = N) shall include the ASSIGNMENT\_REF, CAPACITY\_GRANTED and CAPACITY\_AVAILABLE in MWs over the interval from START\_TIME to STOP\_TIME. CAPACITY\_AVAILABLE is derived from the transmission reservation's CAPACITY\_GRANTED less all reductions (if any) in reserved capacity over the interval from START\_TIME to STOP\_TIME as specified in the CAPACITY\_REDUCED (as negative valued MWs) Data Element. The REDUCTION\_TYPE, and REDUCTION\_REASON Data Elements describe the circumstances and IMPACTING\_REF references the associated transmission reservation (if applicable) that caused the reduction in capacity.

If no reductions in reserved capacity have been posted against the reservation, CAPACITY\_AVAILABLE will equal CAPACITY\_GRANTED and the REDUCTION\_TYPE, REDUCTION\_REASON, IMPACTING\_REF and CAPACITY\_REDUCED Data Elements will be null. This response information is equivalent to the CAPACITY\_GRANTED, START\_TIME, and STOP\_TIME information that would be returned on execution of the **transstatus** Template.

If the CAPACITY\_AVAILABLE over the interval from START\_TIME to STOP\_TIME is the result of more than one action reducing reserved capacity (e.g., multiple secondary market sales for the same time period), each action reducing capacity will be returned in continuation records (CONTINUATION\_FLAG = Y) containing the ASSIGNMENT\_REF, REDUCTION\_TYPE, REDUCTION\_REASON, IMPACTING\_REF and CAPACITY\_REDUCED Data Elements. If the action is another reservation (e.g. secondary market sale) the REASSIGNED\_CAPACITY from that reservation will be shown as a negative value in CAPACITY\_REDUCED.



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Template: **reduction**

1. **Query**

START\_TIME  
STOP\_TIME  
ASSIGNMENT\_REF\* (must be specified)

2. **Response**

CONTINUATION\_FLAG  
ASSIGNMENT\_REF  
CAPACITY\_GRANTED  
CAPACITY\_AVAILABLE  
START\_TIME  
STOP\_TIME  
REDUCTION\_TYPE (e.g., REDIRECT, INTERRUPTION, RESALE,  
DISPLACEMENT, etc.)  
REDUCTION\_REASON  
IMPACTING\_REF (if applicable)  
CAPACITY\_REDUCED

**4.3.4.4 System Data (systemdata)**

The System Data (**systemdata**) Template is used to query specific, time varying data that is posted on a PATH, POINT\_OF\_RECEIPT, and/or POINT\_OF\_DELIVERY basis. The SYSTEM\_ATTRIBUTE Data Element defines the type of information returned in the Template response. The restricted values for SYSTEM\_ATTRIBUTE are,

- CBM - Capacity Benefit Margin
- TRM - Transmission Reliability Margin
- TTC - Total Transmission Capability
- NATC - Non-recallable (Firm) Available Transmission Capability
- RATC - Recallable (Non-firm) Available Transmission Capability
- A {registered} - Provider specific registered name for the data posted

Transmission Providers obligated to post values for one or more of the defined SYSTEM\_ATTRIBUTES on specific transmission paths over time (e.g., hourly, then daily, etc.) as called forth in FERC regulations shall return these posted values via the **systemdata** Template. If SYSTEM\_ATTRIBUTE is omitted in the query, then all attributes defined by the transmission provider are returned, subject to the other query attributes constraints.. A given SYSTEM\_ATTRIBUTE may take on only one value at any given point in time. Note that TTC and ATC information may also be viewed using the **transoffering** Template at the Transmission Provider's discretion. Offers of service posted by Primary Providers as viewed with the **transoffering** Template should reflect the applicable ATC(s) posted via **systemdata** in the CAPACITY Data Element.

Template: **systemdata**



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1. **Query**

PATH\_NAME\*  
POINT\_OF\_RECEIPT\*  
POINT\_OF\_DELIVERY\*  
SYSTEM\_ATTRIBUTE\*  
START\_TIME  
STOP\_TIME  
TIME\_OF\_LAST\_UPDATE

2. **Response (acknowledgment)**

POSTING\_REF  
PATH\_NAME  
POINT\_OF\_RECEIPT  
POINT\_OF\_DELIVERY  
SYSTEM\_ATTRIBUTE  
START\_TIME  
STOP\_TIME  
ATTRIBUTE\_VALUE  
ATTRIBUTE\_UNITS  
TIME\_OF\_LAST\_UPDATE

**4.3.5 Query/Response of Lists of Information**

**4.3.5.1 List (list)**

List (*list*) is used to provide lists of valid names. The minimum set of lists is LIST, SELLER\_CODE, PATH\_NAME, POINT\_OF\_RECEIPT, POINT\_OF\_DELIVERY, SERVICE\_INCREMENT, TS\_CLASS, TS\_TYPE, TS\_PERIOD, TS\_SUBCLASS, TS\_WINDOW, NERC\_CURTAILMENT\_PRIORITY, REQUEST\_TYPE, ANC\_SERVICE\_POINT, FACILITY\_CLASS, FACILITY\_LIMIT\_TYPE, PROCEDURE\_NAME, SYSTEM\_ATTRIBUTE, SECURITY\_TYPE, FACILITY\_LOCATION, OTHER\_CURTAILMENT\_PRIORITY, AS\_TYPE, CATEGORY, and TEMPLATE. The information returned by the *list* Template may be used as values for the associated OASIS Data Elements to query information, post or request services.

Template: **list**

1. **Query**

LIST\_NAME  
TIME\_OF\_LAST\_UPDATE

2. **Response**

TIME\_OF\_LAST\_UPDATE



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LIST\_NAME  
LIST\_ITEM  
LIST\_ITEM\_DESCRIPTION

#### 4.3.6 Purchase Transmission Services

The following Templates shall be used by Customers and Sellers to transact purchases of services.

##### 4.3.6.1 Customer Capacity Purchase Request (transrequest)

The **Customer Capacity Purchase Request** (Input) (*transrequest*) is used by the Customer to request the purchase of transmission services or request changes to previously submitted reservations for transmission services. The response simply acknowledges that the Customer's request was received by the OASIS Node. It does not imply that the Seller has received the request. Inputting values into the reference Data Elements is optional.

CUSTOMER\_CODE and CUSTOMER\_DUNS shall be determined from the registered connection used to input the request.

Supporting "profiles" of service, which request different capacities (and optionally price) for different time periods within a single request, is at the discretion of the Primary Provider. Continuation records may be used to indicate requests for these service profiles; use of continuation records is only supported when using the CSV Format upload of Template data. Each segment of a profile is represented by the Data Elements CAPACITY\_REQUESTED, START\_TIME, and STOP\_TIME, which define the intervals in time over which a non-zero MW demand is being requested. The initial segment of a profile is defined by the CAPACITY\_REQUESTED, START\_TIME and STOP\_TIME Data Elements specified in the first/only record submitted; subsequent segments are specified in continuation records each containing the appropriate CAPACITY\_REQUESTED, START\_TIME and STOP\_TIME values defining the segment. Provider's may optionally support price negotiation on segments of a profiled reservation request. In this case, the BID\_PRICE Data Element is also included in each continuation record. If the BID\_PRICE Data Element is not specified in the continuation records, the BID\_PRICE specified in the first/only record submitted will be applied to the entire reservation request.

For requesting transmission services which include multiple paths, the following fields may be specified using continuation records: PATH\_NAME, POINT\_OF\_RECEIPT, and POINT\_OF\_DELIVERY. Supporting multiple paths or multiple POINT\_OF\_RECEIPT and POINT\_OF\_DELIVERY is at the discretion of the Provider.

The START\_TIME and STOP\_TIME indicate the requested period of service.

When the request is received at the OASIS Node, the TSIP assigns a unique ASSIGNMENT\_REF value and queues the request with a time stamp. The STATUS for the request is QUEUED. The IMPACTED counter is initially set to 0. If the new request is not modifying an existing reservation (as indicated by a null value for the RELATED\_REF Data Element) and the SELLER is the Primary Provider, REQUEST\_TYPE must either be specified as "ORIGINAL" or be left null and OASIS will substitute the default value of "ORIGINAL". If the new request is not modifying an existing reservation and the SELLER is not the Primary Provider, REQUEST\_TYPE



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must either be specified as "RESALE" or be left null and OASIS will substitute the default value of "RESALE".

If the new request is modifying an existing transmission reservation, the Data Elements REQUEST\_TYPE and RELATED\_REF must be entered. RELATED\_REF contains the ASSIGNMENT\_REF for the transmission reservation being modified, and REQUEST\_TYPE must be one of MATCHING, REDIRECT, DEFERRAL, RENEWAL, or a Primary Provider registered value.

Specification of a value YES in the PRECONFIRMED field authorizes the TSIP to automatically change the STATUS field in the *transstatus* Template to CONFIRMED when that request is ACCEPTED by the Seller.

Template: **transrequest**

### 1. **Input**

CONTINUATION\_FLAG  
SELLER\_CODE (Primary or Reseller)

SELLER\_DUNS  
PATH\_NAME  
POINT\_OF\_RECEIPT  
POINT\_OF\_DELIVERY  
SOURCE  
SINK  
CAPACITY\_REQUESTED  
SERVICE\_INCREMENT  
TS\_CLASS  
TS\_TYPE  
TS\_PERIOD  
TS\_WINDOW  
TS\_SUBCLASS  
STATUS\_NOTIFICATION  
START\_TIME  
STOP\_TIME  
BID\_PRICE  
PRECONFIRMED  
ANC\_SVC\_LINK  
POSTING\_REF (Optionally set by Customer)  
SALE\_REF (Optionally set by Customer)  
REQUEST\_REF (Optionally set by Customer)  
DEAL\_REF (Optionally set by Customer)  
CUSTOMER\_COMMENTS  
REQUEST\_TYPE (Required for request changes)  
RELATED\_REF (Required for request changes)

### 2. **Response** (acknowledgment)

RECORD\_STATUS



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CONTINUATION\_FLAG  
ASSIGNMENT\_REF (assigned by TSIP)  
SELLER\_CODE  
SELLER\_DUNS  
PATH\_NAME  
POINT\_OF\_RECEIPT  
POINT\_OF\_DELIVERY  
SOURCE  
SINK  
CAPACITY\_REQUESTED  
SERVICE\_INCREMENT  
TS\_CLASS  
TS\_TYPE  
TS\_PERIOD  
TS\_WINDOW

TS\_SUBCLASS  
STATUS\_NOTIFICATION  
START\_TIME  
STOP\_TIME  
BID\_PRICE  
PRECONFIRMED  
ANC\_SVC\_LINK  
POSTING\_REF  
SALE\_REF  
REQUEST\_REF  
DEAL\_REF  
CUSTOMER\_COMMENTS  
REQUEST\_TYPE  
RELATED\_REF  
ERROR\_MESSAGE

### **4.3.6.2 Status of Customer Purchase Request (*transstatus*)**

The **Status of Customer Purchase Request** (*transstatus*) is provided upon the request of any Customer or Provider to indicate the current status of one or more reservation records. Users may also view any transaction's status. However, the SOURCE and SINK may be masked for User requests until Transmission Providers must make source and sink information available at the time the request status posting is updated to show that a transmission request is confirmed.

Continuation records may be returned in association with a transmission reservation to convey information regarding: 1) sale or assignment of transmission rights on the secondary market (reassignments), 2) profiled requests, or 3) service over multiple paths. Each continuation record associated with a transmission reservation shall be identified by the CONTINUATION\_FLAG Data Element set to 'Y' and include the ASSIGNMENT\_REF Data Element.

When a transmission reservation request acquires its rights to transmission service as the result of a sale or assignment of transmission rights on the secondary market, the



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identity of the original reservation, capacity, and time interval over which rights are assigned to the new reservation are defined by the Data Elements REASSIGNED\_REF, REASSIGNED\_CAPACITY, REASSIGNED\_START\_TIME, and REASSIGNED\_STOP\_TIME. These Data Elements will be returned in continuation records when more than one set of reassignment information is associated with a reservation.

If the transmission reservation has an associated profile, either as a result of the submission of CAPACITY\_REQUESTED varying over time (support for Customer reservation profiles is at the discretion of the Provider) or due to the Provider offering partial service specifying a CAPACITY\_GRANTED varying over time, then CAPACITY\_GRANTED, CAPACITY\_REQUESTED, START\_TIME and STOP\_TIME for the segments of the profile will be returned in continuation records. If the Provider supports negotiation of price on each segment of a Customer profiled request, BID\_PRICE and OFFER\_PRICE will also be returned with CAPACITY\_REQUESTED, CAPACITY\_GRANTED, START\_TIME and STOP\_TIME.

If the Provider supports reservations submitted on multiple paths, continuation records specifying PATH\_NAME, POINT\_OF\_RECEIPT, and POINT\_OF\_DELIVERY associated with the reservation would be returned in continuation records. The AFFILIATE\_FLAG will be set by the TSIP to indicate whether or not the Customer is an affiliate of the Primary Provider. The NEGOTIATED\_PRICE\_FLAG will be set by the TSIP to indicate whether the OFFER\_PRICE is higher, lower, or the same as the BID\_PRICE. Any time that a confirmed transmission reservation's rights to schedule up to the amount of CAPACITY\_GRANTED is reduced, either due to secondary market sales, partial displacements, Provider initiated "recalls" of capacity, etc., the IMPACTED Data Element shall be incremented. Specific information regarding the MW level and reason for reduction in reserved capacity is viewable using the *reduction* Template.

Template: **transstatus**

### 1. Query

SELLER\_CODE\*  
SELLER\_DUNS\*  
CUSTOMER\_CODE\*  
CUSTOMER\_DUNS\*  
PATH\_NAME\*  
POINT\_OF\_RECEIPT\*  
POINT\_OF\_DELIVERY\*  
SERVICE\_INCREMENT\*  
TS\_CLASS\*  
TS\_TYPE\*  
TS\_PERIOD\*  
TS\_WINDOW\*  
TS\_SUBCLASS\*  
STATUS\*  
START\_TIME (Beginning time of service)  
STOP\_TIME  
START\_TIME\_QUEUED (Beginning time queue)  
STOP\_TIME\_QUEUED



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NEGOTIATED\_PRICE\_FLAG  
ASSIGNMENT\_REF  
REASSIGNED\_REF  
RELATED\_REF  
SALE\_REF  
REQUEST\_REF  
DEAL\_REF  
COMPETING\_REQUEST\_FLAG  
TIME\_OF\_LAST\_UPDATE

### 2. **Response**

CONTINUATION\_FLAG  
ASSIGNMENT\_REF  
SELLER\_CODE  
SELLER\_DUNS  
CUSTOMER\_CODE  
CUSTOMER\_DUNS  
AFFILIATE\_FLAG (Set by TSIP)  
PATH\_NAME  
POINT\_OF\_RECEIPT  
POINT\_OF\_DELIVERY  
SOURCE  
SINK  
CAPACITY\_REQUESTED  
CAPACITY\_GRANTED  
SERVICE\_INCREMENT  
TS\_CLASS  
TS\_TYPE  
TS\_PERIOD  
TS\_WINDOW  
TS\_SUBCLASS  
NERC\_CURTAILMENT\_PRIORITY  
OTHER\_CURTAILMENT\_PRIORITY  
START\_TIME  
STOP\_TIME  
CEILING\_PRICE  
OFFER\_PRICE  
BID\_PRICE  
PRICE\_UNITS  
PRECONFIRMED  
ANC\_SVC\_LINK  
ANC\_SVC\_REQ  
POSTING\_REF  
SALE\_REF  
REQUEST\_REF  
DEAL\_REF  
IMPACTED (Greater than 0, if another reservation impacts this reservation)



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COMPETING\_REQUEST\_FLAG  
REQUEST\_TYPE  
**ORIGINAL, RESALE, REDIRECT, MATCHING, DEFERRAL, RENEWAL,  
{registered}**  
RELATED\_REF  
NEGOTIATED\_PRICE\_FLAG ("L" if Seller accepted Price is lower than  
OFFER\_PRICE in *transoffering* Template; "H" if higher; otherwise blank)  
STATUS =  
**RECEIVED, QUEUED, INVALID, STUDY, REBID, COUNTEROFFER,  
ACCEPTED, DECLINED, SUPERSEDED, REFUSED, CONFIRMED,  
WITHDRAWN, DISPLACED, ANNULLED, RETRACTED**  
STATUS\_NOTIFICATION  
STATUS\_COMMENTS  
TIME\_QUEUED  
RESPONSE\_TIME\_LIMIT  
TIME\_OF\_LAST\_UPDATE  
PRIMARY\_PROVIDER\_COMMENTS  
SELLER\_REF  
SELLER\_COMMENTS  
CUSTOMER\_COMMENTS  
SELLER\_NAME  
SELLER\_PHONE  
SELLER\_FAX  
SELLER\_EMAIL  
CUSTOMER\_NAME  
CUSTOMER\_PHONE  
CUSTOMER\_FAX  
CUSTOMER\_EMAIL  
REASSIGNED\_REF  
REASSIGNED\_CAPACITY (Capacity from each previous transaction)  
REASSIGNED\_START\_TIME  
REASSIGNED\_STOP\_TIME

### 4.3.6.3 Seller Approval of Purchase (transsell)

Seller Approval of Purchase (Input) (*transsell*) is input by a Seller to modify the status and queue of a request by a Customer.

The following fields may be submitted in continuation records for the *transsell* Template to convey transmission rights from multiple original transmission reservations to this new reservation: REASSIGNED\_REF, REASSIGNED\_CAPACITY, REASSIGNED\_START\_TIME, and REASSIGNED\_STOP\_TIME. Use of continuation records is only supported when using the CSV format upload of Template data.

If the Provider/Seller cannot accommodate the Customer's CAPACITY\_REQUESTED and is obligated or elects to offer the Customer partial service that varies over the total period of the reservation, CAPACITY\_GRANTED, START\_TIME and STOP\_TIME Data Elements may be repeated in continuation records.

If the Provider/Seller supports the negotiation of price on individual segments of a profiled reservation request (support for reservation profiles is at the discretion of the



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Provider), OFFER\_PRICE, START\_TIME and STOP\_TIME Data Elements may be submitted in continuation records to modify the Seller's offer price associated with the profile segment(s) corresponding to START\_TIME and STOP\_TIME. OFFER\_PRICE associated with each segment of a profiled request must match the corresponding BID\_PRICE for the reservation request's STATUS to be set to ACCEPTED.

SELLER\_CODE and SELLER\_DUNS shall be determined from the registered connection used to input the request. The SELLER\_REF Data Element may be set by the SELLER to a seller specific internal tracking number. If the reservation is subject to the right of first refusal pending a status change to Displaced, the COMPETING\_REQUEST\_FLAG shall be set to Y, and SELLER\_COMMENTS shall be updated with a reference to the competing requests ASSIGNMENT\_REF.

If the reservation is subject to the right of first refusal pending a status change to Superseded, the COMPETING\_REQUEST\_FLAG shall be set to Y, the OFFER\_PRICE shall be updated, the SELLER\_COMMENTS shall be updated with a reference to the competing requests ASSIGNMENT\_REF, and the STATUS shall be set to COUNTEROFFER. Once the disposition of the request is finalized, the COMPETING\_REQUEST\_FLAG shall be reset to N and any appropriate status change shall be made.

The Seller may accept a reservation only when the BID\_PRICE and the OFFER\_PRICE are the same.

Template: **transsell**

### 1. Input

CONTINUATION\_FLAG  
ASSIGNMENT\_REF (Required)  
START\_TIME  
STOP\_TIME  
OFFER\_PRICE  
CAPACITY\_GRANTED  
STATUS =  
**RECEIVED, INVALID, STUDY, COUNTEROFFER, ACCEPTED,  
REFUSED, SUPERSEDED, DECLINED, ANNULLED, RETRACTED,  
DISPLACED**  
STATUS\_COMMENTS  
ANC\_SVC\_LINK  
ANC\_SVC\_REQ  
COMPETING\_REQUEST\_FLAG  
NEGOTIATED\_PRICE\_FLAG  
SELLER\_REF  
SELLER\_COMMENTS  
RESPONSE\_TIME\_LIMIT  
REASSIGNED\_REF  
REASSIGNED\_CAPACITY (Previous capacity to be reassigned)  
REASSIGNED\_START\_TIME  
REASSIGNED\_STOP\_TIME



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2. Response

RECORD\_STATUS  
CONTINUATION\_FLAG  
ASSIGNMENT\_REF  
START\_TIME  
STOP\_TIME  
OFFER\_PRICE  
CAPACITY\_GRANTED  
STATUS =  
**RECEIVED, INVALID, STUDY, COUNTEROFFER, ACCEPTED,  
REFUSED, SUPERSEDED, DECLINED, ANNULLED, RETRACTED,  
DISPLACED**  
STATUS\_COMMENTS  
ANC\_SVC\_LINK  
ANC\_SVC\_REQ  
COMPETING\_REQUEST\_FLAG  
NEGOTIATED\_PRICE\_FLAG  
SELLER\_REF  
SELLER\_COMMENTS  
RESPONSE\_TIME\_LIMIT  
REASSIGNED\_REF  
REASSIGNED\_CAPACITY (Previous capacity to be reassigned)  
REASSIGNED\_START\_TIME  
REASSIGNED\_STOP\_TIME  
ERROR\_MESSAGE

4.3.6.4 Customer Confirmation of Purchase (Input) (transcust)

Customer Confirmation of Purchase (Input) (*transcust*) is input by the Customer to state his agreement or withdrawal of a purchase after the Seller has indicated that the purchase request is approved.

Only the BID\_PRICE, STATUS, STATUS\_COMMENTS, ANC\_SVC\_LINK, and CUSTOMER\_COMMENTS Data Elements can be modified in this Template.

The PRECONFIRMED Data Element may only be set to a value of 'Y' using this Template. Once the Customer has set PRECONFIRMED to 'Y', either on the original submission of the *transrequest* Template or via this Template, its value cannot be reset to 'N'. CUSTOMER\_CODE and CUSTOMER\_DUNS shall be determined from the registered connection used to input the request.

The Customer must change the BID\_PRICE to be equal to the OFFER\_PRICE before the reservation request's STATUS can be set to CONFIRMED.

If the Provider/Seller supports the negotiation of price on individual segments of a profiled reservation request (support for reservation profiles is at the discretion of the Provider), BID\_PRICE, START\_TIME and STOP\_TIME Data Elements may be submitted in continuation records to modify the Customer's bid price associated with the profile segment(s) corresponding to START\_TIME and STOP\_TIME.



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BID\_PRICE associated with each segment of a profiled request must match the corresponding OFFER\_PRICE for the reservation request's STATUS to be set to CONFIRMED.

Template: **transcust**

### 1. Input

CONTINUATION\_FLAG  
ASSIGNMENT\_REF (Required)  
START\_TIME  
STOP\_TIME  
REQUEST\_REF  
DEAL\_REF  
BID\_PRICE  
PRECONFIRMED  
STATUS=  
**REBID, CONFIRMED, WITHDRAWN**  
STATUS\_COMMENTS  
ANC\_SVC\_LINK  
STATUS\_NOTIFICATION If left blank, then original URL from the *transrequest* will be used  
CUSTOMER\_COMMENTS

### 2. Response

RECORD\_STATUS  
CONTINUATION\_FLAG  
ASSIGNMENT\_REF  
START\_TIME  
STOP\_TIME  
REQUEST\_REF  
DEAL\_REF  
BID\_PRICE  
PRECONFIRMED  
STATUS=  
**REBID, CONFIRMED, WITHDRAWN**  
STATUS\_COMMENTS  
ANC\_SVC\_LINK  
STATUS\_NOTIFICATION  
CUSTOMER\_COMMENTS  
ERROR\_MESSAGE

#### 4.3.6.5 Seller to Reassign Service Rights to Another Customer (transassign)

Seller to Reassign Service Rights to Another Customer (Input) (*transassign*) is used by the seller to ask the Transmission Services Information Provider to reassign some or all



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of the seller's rights to Services to another Customer, for seller confirmed transactions that have occurred off the OASIS Node.

The TSIP shall assign a unique ASSIGNMENT\_REF in the response (acknowledgment) and enter the status CONFIRMED as viewed in the *transstatus* Template. SELLER\_CODE and SELLER\_DUNS shall be determined from the registered connection used to input the request.

Only the following fields may be redefined in a continuation record for the *transassign* input Template: CAPACITY\_REQUESTED, CAPACITY\_GRANTED, START\_TIME, STOP\_TIME, REASSIGNED\_REF, REASSIGNED\_CAPACITY, REASSIGNED\_START\_TIME, and REASSIGNED\_STOP\_TIME. The REQUEST\_TYPE of "RESALE" is implied through execution of this Template.

Template: **transassign**

### 1. Input

CONTINUATION\_FLAG  
CUSTOMER\_CODE  
CUSTOMER\_DUNS  
PATH\_NAME  
POINT\_OF\_RECEIPT  
POINT\_OF\_DELIVERY  
SOURCE  
SINK  
CAPACITY\_REQUESTED  
CAPACITY\_GRANTED  
SERVICE\_INCREMENT  
TS\_CLASS  
TS\_TYPE  
TS\_PERIOD  
TS\_WINDOW  
TS\_SUBCLASS  
START\_TIME  
STOP\_TIME  
OFFER\_PRICE  
ANC\_SVC\_LINK (optional: filled in if assignment is different than original transmission reservation)  
POSTING\_NAME  
REASSIGNED\_REF  
REASSIGNED\_CAPACITY (Capacity being sold from each previous assignment)  
REASSIGNED\_START\_TIME  
REASSIGNED\_STOP\_TIME  
SELLER\_COMMENTS  
SELLER\_REF

### 2. Response (acknowledgment)

RECORD\_STATUS



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CONTINUATION\_FLAG  
ASSIGNMENT\_REF (assigned by TSIP)  
CUSTOMER\_CODE  
CUSTOMER\_DUNS  
PATH\_NAME  
POINT\_OF\_RECEIPT  
POINT\_OF\_DELIVERY  
SOURCE  
SINK  
CAPACITY\_REQUESTED  
CAPACITY\_GRANTED (Total capacity being reassigned)  
SERVICE\_INCREMENT  
TS\_CLASS  
TS\_TYPE  
TS\_PERIOD  
TS\_WINDOW  
TS\_SUBCLASS  
START\_TIME  
STOP\_TIME  
OFFER\_PRICE  
ANC\_SVC\_LINK  
POSTING\_NAME  
REASSIGNED\_REF  
REASSIGNED\_CAPACITY (Capacity being sold from each previous assignment)  
REASSIGNED\_START\_TIME  
REASSIGNED\_STOP\_TIME  
SELLER\_COMMENTS  
SELLER\_REF  
ERROR\_MESSAGE

#### 4.3.7 Seller Posting of Transmission Services

Sellers shall use the following Templates for providing sell information. They may aggregate portions of several previous purchases to create a new service, if this capability is provided by the Transmission Services Information Provider:

##### 4.3.7.1 Seller Capacity Posting (transpost)

Seller Capacity Posting (Input) (*transpost*) shall be used by the Seller to post the transmission capacity for resale on to the OASIS Node.

SELLER\_CODE and SELLER\_DUNS shall be determined from the registered connection used to input the request.

Template: **transpost**

#### 1. Input

PATH\_NAME



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POINT\_OF\_RECEIPT  
POINT\_OF\_DELIVERY  
INTERFACE\_TYPE  
CAPACITY  
SERVICE\_INCREMENT  
TS\_CLASS  
TS\_TYPE  
TS\_PERIOD  
TS\_WINDOW  
TS\_SUBCLASS  
ANC\_SVC\_REQ  
START\_TIME  
STOP\_TIME  
OFFER\_START\_TIME  
OFFER\_STOP\_TIME  
SALE\_REF  
OFFER\_PRICE  
SERVICE\_DESCRIPTION  
SELLER\_COMMENTS

### 2. **Response** (Acknowledgment)

RECORD\_STATUS  
POSTING\_REF (Assigned by TSIP)  
PATH\_NAME  
POINT\_OF\_RECEIPT  
POINT\_OF\_DELIVERY  
INTERFACE\_TYPE  
CAPACITY  
SERVICE\_INCREMENT  
TS\_CLASS  
TS\_TYPE  
TS\_PERIOD  
TS\_WINDOW  
TS\_SUBCLASS  
ANC\_SVC\_REQ  
START\_TIME  
STOP\_TIME  
OFFER\_START\_TIME  
OFFER\_STOP\_TIME  
SALE\_REF  
OFFER\_PRICE  
SERVICE\_DESCRIPTION  
SELLER\_COMMENTS  
ERROR\_MESSAGE

#### **4.3.7.2 Seller Capacity Modify (transupdate)**



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Seller Capacity Modify (Input) (**transupdate**) shall be used by a Seller to modify a posting of transmission capacity. SELLER\_CODE and SELLER\_DUNS shall be determined from the registered connection used to input the request.

Template: **transupdate**

1. **Input**

POSTING\_REF (Must be provided)  
CAPACITY (only if modified)  
START\_TIME (only if modified)  
STOP\_TIME (only if modified)  
OFFER\_START\_TIME (only if modified)  
OFFER\_STOP\_TIME (only if modified)  
ANC\_SVC\_REQ (only if modified)  
SALE\_REF (only if modified)  
OFFER\_PRICE (only if modified)  
SERVICE\_DESCRIPTION (only if modified)  
SELLER\_COMMENTS (only if modified)

2. **Response** (acknowledgment)

RECORD\_STATUS  
POSTING\_REF  
CAPACITY  
START\_TIME  
STOP\_TIME  
OFFER\_START\_TIME  
OFFER\_STOP\_TIME  
ANC\_SVC\_REQ  
  
SALE\_REF  
OFFER\_PRICE  
SERVICE\_DESCRIPTION  
SELLER\_COMMENTS  
ERROR\_MESSAGE

**4.3.8 Purchase of Ancillary Services**

**4.3.8.1 Customer Requests to Purchase Ancillary Services (ancrequest)**

Customer Requests to Purchase Ancillary Services (**ancrequest**) (Input, Template Upload) is used by the customer to request ancillary services that have been posted by a seller of those services. The response simply acknowledges that the Customer's request was received by the OASIS Node. It does not imply that the Seller has received



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the request. The same requirements exist for the use of STATUS\_NOTIFICATION as for **transrequest**. Submitting values into the reference Data Elements is optional. CUSTOMER\_CODE and CUSTOMER\_DUNS shall be determined from the registered connection used to input the request.

Supporting "profiles" of ancillary service, which request different capacities (and optionally price) for different time periods within a single request, is at the discretion of the Primary Provider. Continuation records may be used to indicate requests for these service profiles. Each segment of a profile is represented by the Data Elements CAPACITY, START\_TIME, and STOP\_TIME, which define the intervals in time over which a non-zero MW demand is being requested. The initial segment of a profile is defined by the CAPACITY, START\_TIME and STOP\_TIME Data Elements specified in the first/only record submitted; subsequent segments are specified in continuation records each containing the appropriate CAPACITY, START\_TIME and STOP\_TIME values defining the segment. Provider's may optionally support price negotiation on segments of a profiled reservation request. In this case, the BID\_PRICE Data Element is also included in each continuation record. If the BID\_PRICE Data Element is not specified in the continuation records, the BID\_PRICE specified in the first/only record submitted will be applied to the entire reservation request.

The START\_TIME and STOP\_TIME indicate the requested period of service.

When the request is received at the OASIS Node, the TSIP assigns a unique ASSIGNMENT\_REF value and queues the request with a time stamp. The STATUS for the request is QUEUED.

Specification of a value YES in the PRECONFIRMED field authorizes the TSIP to automatically change the STATUS field in the **ancstatus** Template to CONFIRMED when that request is ACCEPTED by the Seller.

Template: **ancrequest**

### 1. Input

CONTINUATION\_FLAG  
SELLER\_CODE  
SELLER\_DUNS  
CONTROL\_AREA  
ANC\_SERVICE\_POINT  
CAPACITY  
SERVICE\_INCREMENT  
AS\_TYPE  
STATUS\_NOTIFICATION  
START\_TIME  
STOP\_TIME  
BID\_PRICE  
PRECONFIRMED  
POSTING\_REF (Optionally set by Customer)  
SALE\_REF (Optionally set by Customer)  
REQUEST\_REF (Optionally set by Customer)  
DEAL\_REF (Optionally set by Customer)  
CUSTOMER\_COMMENTS



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2. **Response** (acknowledgment)

RECORD\_STATUS  
CONTINUATION\_FLAG  
ASSIGNMENT\_REF (assigned by TSIP)  
SELLER\_CODE  
SELLER\_DUNS  
CONTROL\_AREA  
ANC\_SERVICE\_POINT  
CAPACITY  
SERVICE\_INCREMENT  
AS\_TYPE  
STATUS\_NOTIFICATION  
START\_TIME  
STOP\_TIME  
BID\_PRICE  
PRECONFIRMED  
POSTING\_REF  
SALE\_REF  
REQUEST\_REF  
DEAL\_REF  
CUSTOMER\_COMMENTS  
ERROR\_MESSAGE

**4.3.8.2 Ancillary Services Status (ancstatus)**

Ancillary Services Status (*ancstatus*) is used to provide the status of purchase requests regarding the ancillary services that are available for sale by all Service Providers. Continuation records may be returned in association with a ancillary services reservation to convey information regarding: 1) sale or assignment of ancillary rights on the secondary market (reassignments), or 2) profiled requests. When an ancillary reservation request is the result of a sale or assignment of transmission or ancillary rights on the secondary market, the identity of the original reservation, capacity, and time interval over which rights are assigned to the new reservation are defined by the Data Elements REASSIGNED\_REF, REASSIGNED\_CAPACITY, REASSIGNED\_START\_TIME, and REASSIGNED\_STOP\_TIME. These Data Elements will be returned in continuation records when more than one set of reassignment information is associated with a reservation. If the reservation has an associated profile (support for reservation profiles is at the discretion of the Provider), CAPACITY, START\_TIME and STOP\_TIME for the segments of the profile will be returned in continuation records. If the Provider supports negotiation of price on each segment of a profiled request, BID\_PRICE and OFFER\_PRICE will also be returned with CAPACITY, START\_TIME and STOP\_TIME.

The AFFILIATE\_FLAG will be set by the TSIP to indicate whether or not the Customer is an affiliate of the Seller.

The values of STATUS and processes for setting STATUS are the same as for *transstatus*.



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Template: **ancstatus**

### 1. **Query**

SELLER\_CODE\*  
SELLER\_DUNS\*  
CUSTOMER\_CODE\*  
CUSTOMER\_DUNS\*  
CONTROL\_AREA  
ANC\_SERVICE\_POINT  
SERVICE\_INCREMENT  
AS\_TYPE  
STATUS  
START\_TIME  
STOP\_TIME  
START\_TIME\_QUEUED  
STOP\_TIME\_QUEUED  
NEGOTIATED\_PRICE\_FLAG  
ASSIGNMENT\_REF  
REASSIGNED\_REF  
SALE\_REF  
REQUEST\_REF  
DEAL\_REF  
TIME\_OF\_LAST\_UPDATE (only if TIME\_OF\_LAST\_UPDATE is posted by record)

### 2. **Response**

CONTINUATION\_FLAG  
ASSIGNMENT\_REF  
SELLER\_CODE  
SELLER\_DUNS  
CUSTOMER\_CODE  
CUSTOMER\_DUNS  
AFFILIATE\_FLAG (Set by TSIP)  
CONTROL\_AREA  
ANC\_SERVICE\_POINT  
CAPACITY  
SERVICE\_INCREMENT  
AS\_TYPE  
START\_TIME  
STOP\_TIME  
CEILING\_PRICE  
OFFER\_PRICE  
BID\_PRICE  
PRICE\_UNITS  
PRECONFIRMED  
POSTING\_REF



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SALE\_REF  
REQUEST\_REF  
DEAL\_REF  
NEGOTIATED\_PRICE\_FLAG ("L" if Seller accepted Price is lower than  
OFFER\_PRICE in *ancoffering* Template; "H" if higher; otherwise blank)  
STATUS=  
**QUEUED, INVALID, RECEIVED, STUDY, REBID, COUNTEROFFER,  
ACCEPTED, REFUSED, CONFIRMED, WITHDRAWN, SUPERSEDED,  
DECLINED, ANNULLED, RETRACTED, DISPLACED**  
STATUS\_NOTIFICATION  
STATUS\_COMMENTS  
TIME\_QUEUED  
RESPONSE\_TIME\_LIMIT  
TIME\_OF\_LAST\_UPDATE  
PRIMARY\_PROVIDER\_COMMENTS  
SELLER\_COMMENTS  
CUSTOMER\_COMMENTS  
SELLER\_NAME  
SELLER\_PHONE  
SELLER\_FAX  
SELLER\_EMAIL  
CUSTOMER\_NAME  
CUSTOMER\_PHONE  
CUSTOMER\_FAX  
CUSTOMER\_EMAIL  
REASSIGNED\_REF  
REASSIGNED\_CAPACITY  
REASSIGNED\_START\_TIME  
REASSIGNED\_STOP\_TIME

### 4.3.8.3 Seller Approves Ancillary Service (ancsell)

Seller Approves Ancillary Service (***ancsell***) is used by the Seller to confirm acceptance after the Seller has approved the purchase of ancillary service.

The following fields may be submitted in continuation records for the ancshell Template to convey ancillary rights from multiple original ancillary service reservations to this new reservation: REASSIGNED\_REF, REASSIGNED\_CAPACITY, REASSIGNED\_START\_TIME, and REASSIGNED\_STOP\_TIME. If the Provider/Seller supports the negotiation of price on individual segments of a profiled reservation request (support for reservation profiles is at the discretion of the Provider), OFFER\_PRICE, START\_TIME and STOP\_TIME Data Elements may be submitted in continuation records to modify the Seller's offer price associated with the profile segment(s) corresponding to START\_TIME and STOP\_TIME. OFFER\_PRICE associated with each segment of a profiled request must match the corresponding BID\_PRICE for the reservation request's STATUS to be set to ACCEPTED.

SELLER\_CODE and SELLER\_DUNS shall be determined from the registered connection used to input the request.



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Template: **ancsell**

### 1. **Input**

CONTINUATION\_FLAG  
ASSIGNMENT\_REF (Required)  
START\_TIME  
STOP\_TIME  
OFFER\_PRICE  
STATUS = **INVALID, RECEIVED, STUDY, COUNTEROFFER,  
SUPERSEDED, ACCEPTED, REFUSED, DECLINED, ANNULLED,  
RETRACTED, DISPLACED**  
STATUS\_COMMENTS  
NEGOTIATED\_PRICE\_FLAG  
RESPONSE\_TIME\_LIMIT  
SELLER\_COMMENTS  
REASSIGNED\_REF  
REASSIGNED\_CAPACITY  
REASSIGNED\_START\_TIME  
REASSIGNED\_STOP\_TIME

### 2. **Response** (acknowledgment)

RECORD\_STATUS  
CONTINUATION\_FLAG  
ASSIGNMENT\_REF  
START\_TIME  
STOP\_TIME  
OFFER\_PRICE  
STATUS =  
**INVALID, RECEIVED, STUDY, COUNTEROFFER, SUPERSEDED,  
ACCEPTED, REFUSED, DECLINED, ANNULLED, RETRACTED,  
DISPLACED**  
STATUS\_COMMENTS  
NEGOTIATED\_PRICE\_FLAG  
RESPONSE\_TIME\_LIMIT  
SELLER\_COMMENTS  
REASSIGNED\_REF  
REASSIGNED\_CAPACITY  
REASSIGNED\_START\_TIME  
REASSIGNED\_STOP\_TIME  
ERROR\_MESSAGE

#### **4.3.8.4 Customer accepts Ancillary Service (anccust)**

Customer accepts Ancillary Service (**anccust**) is used by the customer to confirm acceptance after the seller has approved the purchase of ancillary service.



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The Customer must change the BID\_PRICE to be equal to the OFFER\_PRICE before the reservation request's STATUS can be set to CONFIRMED. If the Provider/Seller supports the negotiation of price on individual segments of a profiled reservation request (support for reservation profiles is at the discretion of the Provider), BID\_PRICE, START\_TIME and STOP\_TIME Data Elements may be submitted in continuation records to modify the Customer's bid price associated with the profile segment(s) corresponding to START\_TIME and STOP\_TIME. BID\_PRICE associated with each segment of a profiled request must match the corresponding OFFER\_PRICE for the reservation request's STATUS to be set to CONFIRMED. CUSTOMER\_CODE and CUSTOMER\_DUNS shall be determined from the registered connection used to input the request.

Template: **anccust**

### 1. **Input**

CONTINUATION\_FLAG  
ASSIGNMENT\_REF (Required)  
START\_TIME  
STOP\_TIME  
REQUEST\_REF  
DEAL\_REF  
BID\_PRICE  
PRECONFIRMED  
STATUS=  
**REBID, CONFIRMED, WITHDRAWN**  
STATUS\_COMMENTS  
STATUS\_NOTIFICATION (If left blank, then the original URL from the ancrequest will be used)  
CUSTOMER\_COMMENTS

### 2. **Response** (Acknowledgment)

RECORD\_STATUS  
CONTINUATION\_FLAG  
ASSIGNMENT\_REF  
START\_TIME  
STOP\_TIME  
REQUEST\_REF  
DEAL\_REF  
BID\_PRICE  
PRECONFIRMED  
STATUS =  
**REBID, CONFIRMED, WITHDRAWN**  
STATUS\_COMMENTS  
STATUS\_NOTIFICATION  
CUSTOMER\_COMMENTS  
ERROR\_MESSAGE



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#### 4.3.8.5 Seller to Reassign Service Rights to Another Customer (*ancassign*)

Seller to Reassign Service Rights to Another Customer (Input) (*ancassign*) is used by the seller to ask the Transmission Services Information Provider to reassign some or all of the seller's rights to Services to another Customer, for seller confirmed transactions that have occurred off the OASIS Node.

Implementation of this Template is optional until such time that a business case requiring the use of such a facility to selectively reassign ancillary services is clearly demonstrated.

The TSIP shall assign a unique ASSIGNMENT\_REF in the response (acknowledgment) and enter the status CONFIRMED as viewed in the *ancstatus* Template.

SELLER\_CODE and SELLER\_DUNS shall be determined from the registered connection used to input the request.

Only the following fields may be redefined in a continuation record for the *ancassign* input Template:

CAPACITY, START\_TIME, STOP\_TIME, REASSIGNED\_REF, REASSIGNED\_CAPACITY, REASSIGNED\_START\_TIME, and REASSIGNED\_STOP\_TIME.

SELLER\_CODE and SELLER\_DUNS shall be determined from the registered connection used to input the request.

Template: **ancassign**

##### 1. Input

CONTINUATION\_FLAG  
CUSTOMER\_CODE  
CUSTOMER\_DUNS  
CONTROL\_AREA  
ANC\_SERVICE\_POINT  
CAPACITY  
SERVICE\_INCREMENT  
AS\_TYPE  
START\_TIME  
STOP\_TIME  
OFFER\_PRICE  
POSTING\_NAME  
REASSIGNED\_REF  
REASSIGNED\_CAPACITY (Capacity being sold from each previous assignment)  
REASSIGNED\_START\_TIME  
REASSIGNED\_STOP\_TIME  
SELLER\_COMMENTS

##### 2. Response (acknowledgment)

RECORD\_STATUS  
CONTINUATION\_FLAG  
ASSIGNMENT\_REF (assigned by TSIP)



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CUSTOMER\_CODE  
CUSTOMER\_DUNS  
CONTROL\_AREA  
ANC\_SERVICE\_POINT  
CAPACITY (Total capacity being reassigned)  
SERVICE\_INCREMENT  
AS\_TYPE  
START\_TIME  
STOP\_TIME  
OFFER\_PRICE  
POSTING\_NAME  
REASSIGNED\_REF  
REASSIGNED\_CAPACITY (Capacity being sold from each previous assignment)  
REASSIGNED\_START\_TIME  
REASSIGNED\_STOP\_TIME  
SELLER\_COMMENTS  
ERROR\_MESSAGE

#### 4.3.9 Seller Posting of Ancillary Services

##### 4.3.9.1 Seller Ancillary Services Posting (*ancpost*)

Seller Ancillary Services Posting (*ancpost*) is used by the Seller to post information regarding the different services that are available for sale by third party Sellers of ancillary services. SELLER\_CODE and SELLER\_DUNS shall be determined from the registered connection used to input the request.

Template: **ancpost**

#### 1. Input

CONTROL\_AREA  
SERVICE\_DESCRIPTION  
CAPACITY  
SERVICE\_INCREMENT  
AS\_TYPE  
START\_TIME  
STOP\_TIME  
OFFER\_START\_TIME  
OFFER\_STOP\_TIME  
SALE\_REF  
OFFER\_PRICE  
SELLER\_COMMENTS

#### 2. Response (acknowledgment)

RECORD\_STATUS  
POSTING\_REF (Assigned by TSIP)



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CONTROL\_AREA  
SERVICE\_DESCRIPTION  
CAPACITY  
SERVICE\_INCREMENT  
AS\_TYPE  
START\_TIME  
STOP\_TIME  
OFFER\_START\_TIME  
OFFER\_STOP\_TIME  
SALE\_REF  
OFFER\_PRICE  
SELLER\_COMMENTS  
ERROR\_MESSAGE

#### 4.3.9.2 Seller Modify Ancillary Services Posting (**ancupdate**)

Seller Modify Ancillary Services Posting (**ancupdate**) is used by the Seller to modify posted information regarding ancillary services that are available for sale by a third party Seller.

SELLER\_CODE and SELLER\_DUNS shall be determined from the registered connection used to input the request.

Template: **ancupdate**

##### 1. **Input**

POSTING\_REF (Required)  
CAPACITY (only if modified)  
SERVICE\_DESCRIPTION (only if modified)  
START\_TIME (only if modified)  
STOP\_TIME (only if modified)  
OFFER\_START\_TIME (only if modified)  
OFFER\_STOP\_TIME (only if modified)  
SALE\_REF (only if modified)  
OFFER\_PRICE (only if modified)  
SELLER\_COMMENTS (only if modified)

##### 2. **Response (acknowledgment)**

RECORD\_STATUS  
POSTING\_REF  
CAPACITY  
SERVICE\_DESCRIPTION  
START\_TIME  
STOP\_TIME  
OFFER\_START\_TIME  
OFFER\_STOP\_TIME  
SALE\_REF



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OFFER\_PRICE  
SELLER\_COMMENTS

#### 4.3.10 Informal Messages

##### 4.3.10.1 Provider/Customer Want Ads and Informal Message Posting Request (messagepost)

Provider/Customer Want Ads and Informal Message Posting Request (*messagepost*) is used by Providers and Customers who wish to post a message. The valid entries for CATEGORY shall be defined by providers and shall be listed in the List of CATEGORY Template.

CUSTOMER\_CODE and CUSTOMER\_DUNS shall be determined from the registered connection used to input the request.

When the OASIS node is out of service and transmission requests are received by the TP by phone or fax then the CATEGORY=OASIS\_MAINTENANCE\_OUTAGE will be used to document the outage.

The VALID\_FROM\_TIME will be the time the outage started and VALID\_TO\_TIME will be the time the outage ended. A list of all transactions that occurred during the outage and entered afterwards will be available through a query of the *transstatus* Template using START\_TIME\_QUEUED=<VALID\_FROM\_TIME> and STOP\_TIME\_QUEUED=<VALID\_TO\_TIME>.

Template: **messagepost**

##### 1. Input

SUBJECT  
CATEGORY  
VALID\_FROM\_TIME  
VALID\_TO\_TIME  
MESSAGE (must be specified)

##### 2. Response (acknowledgment)

RECORD\_STATUS  
POSTING\_REF (assigned by information provider)  
SUBJECT  
CATEGORY  
VALID\_FROM\_TIME  
VALID\_TO\_TIME  
MESSAGE  
ERROR\_MESSAGE

##### 4.3.10.2 Message (message)

Message (*message*) is used to view a posted Want Ad or Informal Message. The CATEGORY Data Element can be queried.



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Template: **message**

1. **Query**

CUSTOMER\_CODE  
CUSTOMER\_DUNS  
POSTING\_REF  
CATEGORY  
VALID\_FROM\_TIME  
VALID\_TO\_TIME  
TIME\_POSTED

2. **Response**

CUSTOMER\_CODE  
CUSTOMER\_DUNS  
POSTING\_REF  
SUBJECT  
CATEGORY  
VALID\_FROM\_TIME  
VALID\_TO\_TIME  
TIME\_POSTED  
CUSTOMER\_NAME  
CUSTOMER\_PHONE  
CUSTOMER\_FAX  
CUSTOMER\_EMAIL  
MESSAGE

### 4.3.10.3 Provider/Sellers Message Delete Request (**messagedelete**)

Provider/Sellers Message Delete Request (***messagedelete***) is used by Providers and Sellers who wish to delete their message. The POSTING\_REF number is used to determine which message.

CUSTOMER\_CODE and CUSTOMER\_DUNS shall be determined from the registered connection used to input the request.

Template: **messagedelete**

1. **Input**

POSTING\_REF

2. **Response** (Acknowledgment)

RECORD\_STATUS  
POSTING\_REF  
ERROR\_MESSAGE



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#### 4.3.10.4 Personnel Transfers (personnel)

The **personnel** Template is used to indicate when personnel are transferred between the merchant function and the Transmission Provider function as required by FERC Statutes and Regulations (18 CFR 37.4(b)(2)) .

Template: **personnel**

##### 1. Query

TIME\_OF\_LAST\_UPDATE  
START\_TIME\_POSTED  
STOP\_TIME\_POSTED

##### 2. Response

POSTING\_NAME  
EMPLOYEE\_NAME  
FORMER\_POSITION  
FORMER\_COMPANY  
FORMER\_DEPARTMENT  
NEW\_POSITION  
NEW\_COMPANY  
NEW\_DEPARTMENT  
DATE\_TIME\_EFFECTIVE  
TIME\_POSTED  
TIME\_OF\_LAST\_UPDATE

#### 4.3.10.5 Discretion (discretion)

The **discretion** Template is used to describe the circumstances when discretion was exercised in applying terms of the tariff, as described in the FERC Statutes and Regulations (18 CFR 37.4(b)(5)(iii)).

Template: **discretion**

##### 1. Query

START\_TIME\_POSTED  
STOP\_TIME\_POSTED  
START\_TIME  
STOP\_TIME  
SERVICE\_TYPE  
SERVICE\_NAME  
TIME\_OF\_LAST\_UPDATE

##### 2. Response



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POSTING\_NAME  
RESPONSIBLE\_PARTY\_NAME (name of person granting discretion)  
SERVICE\_TYPE (ancillary or transmission)  
SERVICE\_NAME (make consistent with offering Templates)  
TARIFF\_REFERENCE  
START\_TIME  
STOP\_TIME  
DISCRETION\_DESCRIPTION  
TIME\_POSTED  
TIME\_OF\_LAST\_UPDATE

#### 4.3.10.6 Standards of Conduct (stdconduct)

The *stdconduct* Template indicates when information is disclosed in a manner contrary to the standards of conduct, as described in the FERC Statutes and Regulations (18 CFR 37.4(b)(4)(ii)).

Template: **stdconduct**

1. **Query**

START\_TIME\_POSTED  
STOP\_TIME\_POSTED  
TIME\_OF\_LAST\_UPDATE

2. **Response**

POSTING\_NAME  
RESPONSIBLE\_PARTY\_NAME  
STANDARDS\_OF\_CONDUCT\_ISSUES  
TIME\_POSTED  
TIME\_OF\_LAST\_UPDATE

#### 4.3.11 Audit Log

The OASIS audit log report facility shall be implemented by the definition of the following Templates:

<i>Transofferingaudit</i>	- audit counterpart to <i>transoffering</i>
<i>Ancofferingaudit</i>	- audit counterpart to <i>ancoffering</i>
<i>Scheduledetailaudit</i>	- audit counterpart to <i>scheduledetail</i>
<i>Securityaudit</i>	- audit counterpart to <i>security</i>
<i>Systemdataaudit</i>	- audit counterpart to <i>systemdata</i>
<i>Transstatusaudit</i>	- audit counterpart to <i>transstatus</i>
<i>Ancstatusaudit</i>	- audit counterpart to <i>ancstatus</i>
<i>Personnelaudit</i>	- audit counterpart to <i>personnel</i>
<i>Discretionaudit</i>	- audit counterpart to <i>discretion</i>
<i>Stdconductaudit</i>	- audit counterpart to <i>stdconduct</i>



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Each of these audit Templates is an extension to the OASIS Template definitions of their non-audit counterparts. The requirements for implementation of the audit Templates is defined in the following sections.

#### **4.3.11.1 Query Variables**

Each of the audit Templates defined shall support exactly the same set of Query Variables as defined for their non-audit Template counterpart. As with the standard Template definitions, audit reports may be downloaded in Comma Separated Value (CSV) format by the specification of the OUTPUT\_FORMAT=DATA Query Variable, or may be viewed using a web browser when OUTPUT\_FORMAT=HTML is specified.

#### **4.3.11.2 Audit Report Response Format**

Audit report information shall be returned in response to a valid query request made to any of the audit Templates defined. Query variables may be specified as allowed by each individual Template and shall have the effect of limiting the scope of audit data returned to that set of information selected by that combination of additional Query Variables.

The response to an audit query shall consist of ordered sets of information reflecting both the current information as posted on OASIS and the full history of changes made to that information. These ordered sets of information are organized around the individual postings or "records" returned in response to the applicable non-audit Template. For example, execution of the *transstatus* (or *ancstatus*) Template returns a set of individual records identified by unique ASSIGNMENT\_REF. The *transstatusaudit* Template response is then organized by ASSIGNMENT\_REF and would show all changes made to those Data Elements associated with each individual ASSIGNMENT\_REF record.

Execution of the *transoffering* (or *ancoffering* or *systemdata*) Template returns a set of individual records identified by unique POSTING\_REF. The *transofferingaudit* Template response is then organized by POSTING\_REF and would show all changes made to those Data Elements associated with each individual POSTING\_REF record. The specific audit report response format is detailed in the following sections.

#### **4.3.11.3 Comma Separated Value (CSV) Format**

A CSV formatted audit Template response shall comply with all the general provisions and specifications defined previously for a CSV formatted response. The CSV response records shall be organized in sets of records containing both the latest information posted on OASIS and all changes made to that information over time.

##### **4.3.11.3.1 CSV Response Header Records**

The following additional Data Element names shall be included as the first set of Data Elements in the COLUMN\_HEADERS record and the corresponding Data Element



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values shall be included in each subsequent Data Record (row) returned in the audit response:

RECORD\_TYPE

TIME\_OF\_LAST\_UPDATE

MODIFYING\_COMPANY\_CODE

MODIFYING\_NAME

These Data Elements shall precede the standard Data Elements associated with the specific Template being invoked.

The RECORD\_TYPE Data Element shall take on one of the following restricted values:

**I** - denotes a record of information as it appeared on its initial Insertion (posting) on OASIS

**U** - denotes a record of information as it appeared immediately following an Update to the posted information

**D** - denotes a record of any Deleted information as it last appeared on OASIS.

The TIME\_OF\_LAST\_UPDATE Data Element shall contain the time that the Template Data Elements were inserted, updated or deleted to the values reported in that record (row) of the response. This Data Element is identical to the standard Template TIME\_OF\_LAST\_UPDATE Data Element, and is included as part of the fixed audit specific Data Element columns to aid users in sorting the audit response records.

The MODIFYING\_COMPANY\_CODE and MODIFYING\_NAME Data Elements shall contain the identity of the entity (by the appropriate 4-6 character customer/provider code) and the person that inserted, updated or deleted the Data Elements to the values reported in that record (row) of the response. In the event the modification of posted information cannot be associated with a specific OASIS user (e.g., as a result of an automated back-end process), the MODIFYING\_NAME Data Element may be null.

Immediately following the MODIFYING\_NAME column header, each of the standard non-audit counterpart Template's Data Elements shall be listed in the exact sequence defined for that non-audit Template.

Finally, OASIS implementations may include additional Data Elements identified by unique column headers appended after the fixed audit and standard Template Data Elements. These additional Data Elements may be used to convey implementation specific information maintained in the OASIS database in association with the data being audited.

### 4.3.11.3.2 CSV Data Records

In formatting an audit response, OASIS shall collect and order information into sets of Data Records (rows). Each set of records returned shall include a record corresponding to the information as original inserted into the OASIS database denoted by a RECORD\_TYPE of "I", and as many additional records with RECORD\_TYPE of "U" corresponding to each update made to that information over time. If applicable, a record may also be returned in the set with a RECORD\_TYPE of "D" if the corresponding information was effectively deleted from the database. The number of sets of audit report records returned in response to an audit query shall be determined by the number and type of additional Template Query Variables specified by the user.



#### 4.3.11.3.3 CSV Continuation Records

Continuation records are used in certain standard Phase 1-A Templates to report repeating Data Elements associated with a single OASIS transaction such as demand profiles or the reassignment of rights on the secondary market. The first (CONTINUATION\_FLAG=N) record and all associated continuation (CONTINUATION\_FLAG=Y) records shall be treated as a group when generating the response to an audit query. To minimize the volume of information reported in an audit response, implementations may elect to suppress repeating the contents of information contained in continuation records if none of the Data Elements associated with those continuation records were modified. If, however, the Data Element(s) to be reported by an audit record are contained in one or more of the continuation records (e.g., a change was made to a transmission reservation's demand profile), the first (CONTINUATION\_FLAG=N) record followed by the entire group of continuation (CONTINUATION\_FLAG=Y) records shall be reported.

#### 4.3.11.3.4 CSV Response Header Records

Finally, OASIS implementations may include additional Data Elements identified by unique column headers appended after the fixed audit and standard Template Data Elements. These additional Data Elements may be used to convey implementation specific information maintained in the OASIS database in association with the data being audited.

#### 4.3.11.4 HTML Output

Specification of the Query Variable OUTPUT\_FORMAT=HTML shall minimally result in an audit report formatted identically to the CSV Format (OUTPUT\_FORMAT=DATA) with the exception that the response shall be returned using the HTTP header "**Content-type: text/plain**" specification. This will result in the CSV Data Records being rendered in simple text within the user's web-browser. More sophisticated HTML formatted responses to audit queries may be provided by the TSIPs at their discretion.

#### 4.3.11.5 Special Audit Template Considerations

##### **Transoffering**

The *transoffering* Template is used to convey information on transmission services offered for sale as well as the availability of transmission capability (TTC/ATC). The proposed audit reporting scheme may prove inadequate to generate audits of both the commercial aspects of offers posted on OASIS (i.e., price, etc.) and the reliability aspects associated with those offers (i.e., ATC) depending on how these two different types of information are represented internally by each OASIS node.

For those OASIS implementations that handle TTC/ATC information separately from the posting of commercial offers of service, audit reports generated by the *transofferingaudit* Template may be limited to only reporting changes to the Data Elements associated with the commercial aspects of the offer (e.g., OFFER\_PRICE, OFFER\_START\_TIME, etc.), and may return a null value for the CAPACITY Data



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Element. These nodes shall use the **systemdataaudit** Template audit reporting facility to allow for the full auditing of changes made to TTC and ATC postings as required under Federal Regulations.

### Scheduledetail

The **scheduledetail** Template combines information from one or more transmission reservations and transmission security event postings (e.g., TLRs) with information posted on actual scheduled use of the transmission system. Audit information related to changes made to a given transmission reservation shall be auditable using the **transstatusaudit** Template. Audit information related to the posting of transmission security events that led to a curtailment or interruption of service, or the denial of a request to schedule service shall be auditable using the **securityaudit** Template. Therefore, the **scheduledetailaudit** Template shall only be required to report changes to the following Data Elements associated with the **scheduledetail** Template:

TRANSACTION\_ID  
START\_TIME  
STOP\_TIME  
SCHEDULE\_REQUESTED  
SCHEDULE\_GRANTED  
ASSIGNMENT\_REF  
PROVIDER\_ACTION  
SCHEDULE\_LIMIT  
CURTAILMENT\_OPTIONS  
SECURITY\_REF

## 4.4 FILE REQUEST AND FILE DOWNLOAD EXAMPLES

In the examples, the end-of-line (eol) character is represented by the character," 5 ". This symbol may appear different on displays or printouts.

### 4.4.1 File Example for Hourly Offering

Example of the request to Primary Provider, aaa, and response for Seller, wxyz, for PATH\_NAME "W/AAAA/PATH-ABC// " for April 10, 1996 from 8 a.m. to 3 p.m. (Note that the PATH\_NAME consists of a REGION\_CODE, PRIMARY\_PROVIDER\_CODE, PATH\_CODE, and an OPTIONAL\_CODE, separated with a slash, "/".)

The VERSION for this release is 1.4. The request is in the form of a URL query string and the response is an ASCII delimited file.

#### 1. Query

```
http://(OASIS Node name)/OASIS/aaa/data/transoffering?  
ver=1.2&templ=transoffering&fmt=data&pprov=AAAA  
&pprovduns=123456789&path=W/AAA/ABC//&seller=WXYZAA  
&sellerduns=987654321&POR=aaa&POD=bbb&servinre=hourly&
```



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TSCLASS1=firm &TSCLASS2=non-  
firm&tz=PD&stime=19960410080000PD&sptime= 19960410150000PD

**2. Response Data**

REQUEST-STATUS=2005 (*Successful*)  
TIME\_STAMP=19960409113526PD 5  
VERSION=1.45  
TEMPLATE=transoffering5  
OUTPUT\_FORMAT=DATA 5  
PRIMARY\_PROVIDER\_CODE=AAAA5  
PRIMARY\_PROVIDER\_DUNS=1234567895  
DATA\_ROWS=145  
S&CP Version 1.4 July 26 , 2000 94  
COLUMN\_HEADERS=TIME\_OF\_LAST\_UPDATE,SELLER\_CODE,SELLER\_DUNS,  
PATH\_NAME,  
POINT\_OF\_RECEIPT,POINT\_OF\_DELIVERY,INTERFACE\_TYPE,OFFER\_START\_T  
IME, OFFER\_STOP\_TIME,  
START\_TIME,STOP\_TIME, CAPACITY, SERVICE\_INCREMENT, TS\_CLASS,  
TS\_TYPE, TS\_PERIOD,  
TS\_SUBCLASS, SALE\_REF, POSTING\_REF, CEILING\_PRICE, OFFER\_PRICE,  
PRICE\_UNITS,  
SERVICE\_DESCRIPTION,SELLER\_NAME,SELLER\_PHONE,SELLER\_FAX,  
SELLEREMAIL,  
SELLER\_COMMENTS 5  
19960409030000PD,WXYZ,987654321,W/AAA/ABC//,N/A,N/A,E,1996040208  
0000PD,19960410080000PD,19960410  
080000PD,19960410090000PD,300, HOURLY, FIRM, POINT\_TO\_POINT,  
OFF\_PEAK, N/A, N/A, A001,  
1.50,1.35,MW,N/A,N/A,N/A,N/A,N/A,10% DISCOUNT 5  
19960409030000PD,WXYZ,987654321,W/AAA/ABC//,N/A,N/A,E,1996040208  
0000PD,19960410080000PD,19960410  
080000PD,19960410090000PD,300, HOURLY, NON-FIRM, POINT\_TO\_POINT,  
OFF\_PEAK, N/A, N/A,A001,1.50,  
1.35,MW,N/A,N/A,N/A,N/A,N/A, 10% DISCOUNT 5  
19960409030000PD,WXYZ,987654321,W/AAA/ABC//,N/A,N/A,E,1996040208  
0000PD,19960410080000PD,19960410  
090000PD,1996041010000PD,300, HOURLY, FIRM, POINT\_TO\_POINT,  
OFF\_PEAK, N/A,  
N/A,A001,1.50,1.35,MW,N/A,N/A,N/A,N/A,N/A,10% DISCOUNT 5  
19960409030000PD,WXYZ,987654321,W/AAA/ABC//,N/A,N/A,E,1996040208  
0000PD,19960410080000PD,19960410  
090000PD,1996041010000PD,300, HOURLY, NON-FIRM, POINT\_TO\_POINT,  
OFF\_PEAK, N/A, N/A,A001,1.50,  
1.35,MW,N/A,N/A,N/A,N/A,N/A, 10% DISCOUNT 5  
19960409030000PD,WXYZ,987654321,W/AAA/ABC//,N/A,N/A,E,1996040208  
0000PD,19960410080000PD,19960410



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100000PD,19960410110000PD,300, HOURLY, FIRM, POINT\_TO\_POINT,
OFF\_PEAK, N/A,
N/A,A001,1.50,1.35,MW,N/A,N/A,N/A,N/A,N/A,10% DISCOUNT 5
19960409030000PD,WXYZ,987654321,W/AAA/ABC//,N/A,N/A,E,1996040208
0000PD,19960410080000PD,19960410
100000PD,19960410110000PD,300, HOURLY, NON-FIRM, POINT\_TO\_POINT,
OFF\_PEAK, N/A, N/A,A001,1.50,
1.35,MW,N/A,N/A,N/A,N/A,N/A, 10% DISCOUNT 5
19960409030000PD,WXYZ,987654321,W/AAA/ABC//,N/A,N/A,E,1996040208
0000PD,19960410080000PD,19960410
110000PD,19960410120000PD,300, HOURLY, FIRM, POINT\_TO\_POINT,
OFF\_PEAK, N/A,
N/A,A001,1.50,1.35,MW,N/A,N/A,N/A,N/A,N/A,10% DISCOUNT 5
19960409030000PD,WXYZ,987654321,W/AAA/ABC//,N/A,N/A,E,1996040208
0000PD,19960410080000PD,19960410
110000PD,19960410120000PD,300, HOURLY, NON-FIRM, POINT\_TO\_POINT,
OFF\_PEAK, N/A, N/A,A001,1.50,
1.35,MW,N/A,N/A,N/A,N/A,N/A, 10% DISCOUNT 5
...
...
...
19960409030000PD,WXYZ,987654321,W/AAA/ABC//,N/A,N/A,E,1996040208
0000PD,19960410080000PD,19960410
140000PD,19960410150000PD,300, HOURLY, FIRM, POINT\_TO\_POINT,
OFF\_PEAK, N/A,
N/A,A001,1.50,1.35,MW,N/A,N/A,N/A,N/A,N/A,10% DISCOUNT 5
19960409030000PD,WXYZ,987654321,W/AAA/ABC//,N/A,N/A,E,1996040208
0000PD,19960410080000PD,19960410
140000PD,19960410150000PD,300, HOURLY, NON-FIRM, POINT\_TO\_POINT,
OFF\_PEAK, N/A, N/A,A001,1.50,
1.35,MW,N/A,N/A,N/A,N/A,N/A, 10% DISCOUNT 5

4.4.2 File Example for Hourly Schedule Data

This example shows a request for the hourly schedule data from Primary Provider, AAAA, related to the seller, WXYZ, for the period 10 a.m. to 3 p.m. on April 10, 2000. There are two identical requests examples using two slightly different methods. The first request is using a HTTP URL request string through an HTML GET method. The second request is a similar example using fetch\_http from a file using a POST method.

1. Query

URL Request (HTTP method=GET) http://(OASIS Node name)/OASIS/aaaa/data/scheduledetail? ver=1.4& pprov=AAAA& templ=scheduledetail& fmt=data &pprovduns=123456789 &path=W/AAA/ABC//& seller=WXYZ &por=BBB &pod=CCC& tz=PD& stime=20000410100000PD& sptime=20000410150000PD



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URL Request (HTTP method=POST) \$ fetch\_http http://(OASIS Node name)/OASIS/aaaa/data/OASISdata -f c:/OASIS/wxyz/upload/infile.txt Where in-file.txt contains the following: ver=1.4& pprov=AAAA& templ=scheduledetail& fmt=data &pprovduns=123456789 &path=W/AAA/ABC//& seller=WXYZ &por=BBB &pod=CCC& tz=PD& stime=20000410100000PD& sptime=20000410150000PD

2. Response Data

REQUEST\_STATUS=2005
ERROR\_MESSAGE=No error.5
TIME\_STAMP=20000410160523ES5
VERSION=1.45
TEMPLATE=scheduledetail5
OUTPUT\_FORMAT=DATA5
PRIMARY\_PROVIDER\_CODE=AAAA5
PRIMARY\_PROVIDER\_DUNS=1234567895
RETURN\_TZ=PD5
DATA\_ROWS=35
COLUMN\_HEADERS=CONTINUATION\_FLAG, TIME\_OF\_LAST\_UPDATE, SCHEDULE\_REF, TRANSACTION\_ID, PATH\_NAME, POINT\_OF\_RECEIPT, POINT\_OF\_DELIVERY, GCA\_CODE, LCA\_CODE, SOURCE, SINK, SCHEDULE\_PRIORITY, START\_TIME, STOP\_TIME, SCHEDULE\_REQUESTED, SCHEDULE\_GRANTED, ASSIGNMENT\_REF, SELLER\_CODE, SELLER\_DUNS, CUSTOMER\_CODE, CUSTOMER\_DUNS, AFFILIATE\_FLAG, SERVICE\_INCREMENT, TS\_CLASS, TS\_TYPE, TS\_PERIOD, TS\_WINDOW, TS\_SUBCLASS, NERC\_CURTAILMENT\_PRIORITY, OTHER\_CURTAILMENT\_PRIORITY, CAPACITY\_USED, PROVIDER\_ACTION, SCHEDULE\_LIMIT, CURTAILMENT\_OPTIONS, SECURITY\_REF, INITIATING\_PARTY, RESPONSIBLE\_PARTY, PROCEDURE\_NAME, PROCEDURE\_LEVEL, FACILITY\_LOCATION, FACILITY\_NAME, FACILITY\_CLASS, FACILITY\_LIMIT\_TYPE5
N, 20000409030000PD,12345,2233, W/AAA/ABC//, BBB, CCC,,,,,1, 20000410100000PD, 20000410110000PD,300,300,856743, wxyz,987654321, WXYZAA,987654322, Y, HOURLY, NON\_FIRM, POINT\_TO\_POINT, OFF\_PEAK, FIXED,,1,1,300,,,,,,,,,,,,,5
N, 20000409030000PD,12346,2233, W/AAA/ABC//, BBB, CCC,,,,,1, 20000410130000PD, 20000410140000PD,300,300,856743,wxyz,987654321, WXYZAA,987654322, Y, HOURLY, NON\_FIRM, POINT\_TO\_POINT, OFF\_PEAK, FIXED,,1,1,300,,,,,,,,,,,,,5
N, 20000409030000PD,12347,2233, W/AAA/ABC//, BBB, CCC,,,,,1, 20000410140000PD, 20000410150000PD,300,300,856743,wxyz,987654321, WXYZAA,987654322, Y, HOURLY, NON\_FIRM, POINT\_TO\_POINT, OFF\_PEAK, FIXED,,1,1,300,,,,,,,,,,,,,5

4.4.3 Customer Posting a Transmission Service Offering



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This example shows how a Customer would post for sale the transmission service that was purchased previously. The Seller would create a file and upload the file using the FETCH\_HTTP program to send a file to the OASIS Node of the Primary Provider.

### 1. Input:

```
VERSION=1.45
TEMPLATE=transpost5
OUTPUT_FORMAT=DATA 5
PRIMARY_PROVIDER_CODE=AAAA5
PRIMARY_PROVIDER_DUNS=1234567895
DATA_ROWS=15
COLUMN_HEADERS=PATH_NAME, POINT_OF_RECEIPT, POINT_OF_DELIVERY,
INTERFACE_TYPE, CAPACITY, SERVICE_INCREMENT, TS_CLASS, TS_TYPE,
TS_PERIOD, TS_SUBCLASS, START_TIME, STOP_TIME, OFFER_START_TIME,
OFFER_STOP_TIME, SALE_REF, OFFER_PRICE, SERVICE_DESCRIPTION,
SELLER_COMMENTPF5 WXYZ,987654321,W/AAA/ABC//,N/A,N/A,E,150,
HOURLY, FIRM, POINT_TO_POINT, OFF_PEAK, N/A,,
19960402080000PD,19960410080000PD,
19960410080000PD,19960410150000PD, A123,.90,N/A,"As Joe said, ""It is a
good buy"""5
FETCH_HTTP Command to send posting $ fetch_http http://(OASIS Node
name)/OASIS/abcd/data/transrequest -f c:/OASIS/abcd/upload/post.txt
```

### 2. Response Data

```
REQUEST-STATUS=200 5 (Successful)
TIME_STAMP=19960409113526PD 5
VERSION=1.45
TEMPLATE=transpost5
OUTPUT_FORMAT=DATA 5
PRIMARY_PROVIDER_CODE=AAAA5
PRIMARY_PROVIDER_DUNS=1234567895
DATA_ROWS=15
COLUMN_HEADERS=RECORD_STATUS, PATH_NAME, POINT_OF_RECEIPT,
POINT_OF_DELIVERY, INTERFACE_TYPE, CAPACITY, SERVICE_INCREMENT,
TS_CLASS, TS_TYPE, TS_PERIOD, TS_SUBCLASS, START_TIME, STOP_TIME,
OFFER_START_TIME, OFFER_STOP_TIME, SALE_REF, OFFER_PRICE,
SERVICE_DESCRIPTION, SELLER_COMMENTS, ERROR_MESSAGE5
200,WXYZ,987654321,W/AAA/ABC//,N/A,N/A,E,150, HOURLY, FIRM,
POINT_TO_POINT, OFF_PEAK, N/A, 19960402080000PD,19960410080000PD,
19960410080000PD,19960410150000PD, A123,.90,N/A, "As Joe said, ""It is a
good buy""", No Error5
```

#### 4.4.4 Example of Re-aggregating Purchasing Services using Reassignment

The following examples do not show the complete Template information, but only show those elements of the Template of interest to the example.



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a. Customer #1, "BestE" requests the purchase of 150 MW Firm ATC for 8 a.m. to 5 p.m. for \$1.00 from a Primary Provider (*transrequest*).

```
TEMPLATE=transrequest5
CUSTOMER_CODE=BestE5
CAPACITY=1505
TS_CLASS="FIRM"5
START_TIME="1996050708000000PD"5
STOP_TIME="1996050717000000PD"5
BID_PRICE="$1.00"5
```

The Information Provider assigns ASSIGNMENT\_REF = 5000 on acknowledgment.

b. Customer #1 purchases 120 MW ATC Non-firm for 3 p.m. to 9 p.m. for \$.90 (*transrequest*). The Information Provider assigns the ASSIGNMENT\_REF=5001 when the request for purchase is made and is shown in the acknowledgment.

```
TEMPLATE="transrequest"5
CUSTOMER_CODE="BestE"5
CAPACITY=1205
TS_CLASS="NON-FIRM"5
START_TIME="1996050715000000PD"5
STOP_TIME="1996050721000000PD"5
BID_PRICE="$1.05"5
```

c. Customer #1 becomes Seller #1 and post the Transmission service of 100 MW ATC Non-firm capacity from 8 a.m. to 9 p.m. for resale at \$.90/MW-hour.

```
TEMPLATE="transpost"5
SELLER_CODE="BestE"5
CAPACITY=1005
TS_CLASS="NON-FIRM"5
START_TIME="1996050708000000PD"5
STOP_TIME="1996050721000000PD"5
SALE_REF="BEST100"5
OFFER_PRICE=.905
SELLER_COMMENTS="aggregating two previous purchases"5
```

d. Customer #2 then requests purchase of 100 MW Non-firm from Reseller #1 from 8 a.m. to 6 p.m. for \$0.90/MW-hour (*transrequest*).

```
TEMPLATE="transrequest"5
CUSTOMER_CODE="Whlsle"5
SELLER_CODE="BestE"5
CAPACITY=1005
TS_CLASS="NON-FIRM"5
S&CP Version 1.4 July 26 , 2000 98
START_TIME="1996050708000000PD"5
STOP_TIME="1996050721000000PD"5
SALE_REF="BEST100"5
DEAL_REF="WPC100"5
BID_PRICE=.905
```



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CUSTOMER\_COMMENTS="Only need service until 6 p.m."5

The Information Provider provides the ASSIGNMENT\_REF=5002 for this transaction.

e. Seller informs the Information Provider of the reassignment of the previous transmission rights when the seller accepts the customer purchase request (*transsell*).

TEMPLATE="transsell"5  
CUSTOMER\_CODE="Whlsle"5  
SELLER\_CODE="BestE"5  
ASSIGNMENT\_REF=50025  
STATUS="Accepted"5  
REASSIGNED\_REF1=50005  
REASSIGNED\_CAPACITY1=1005  
REASSIGNED\_START\_TIME1="199605070800PD"5  
REASSIGNED\_STOP\_TIME1="199605071700PD"5  
REASSIGNED\_REF2=50015  
REASSIGNED\_CAPACITY2=1005  
REASSIGNED\_START\_TIME2="199605071700PD"5  
REASSIGNED\_STOP\_TIME2="199605071800PD"5

### 4.4.5 File Examples of the Use of Continuation Records

#### a. Basic Continuation Records

**The first example** of the use of Continuation Records is for the *transrequest* Template submitted by a Seller for purchase of a transmission reservation spanning 16 hours from 06:00 to 22:00 with "ramped" demand at beginning and end of time period. Two additional reservations appear prior to and following the profile to demonstrate the handling of ASSIGNMENT\_REF by the OASIS Node. Only the following fields may be redefined in a continuation record for the *transrequest* Template:

CAPACITY\_GRANTED, START\_TIME, STOP\_TIME. Specification of any values corresponding to COLUMN\_HEADERS other than CAPACITY-GRANTED, START\_TIME, and STOP\_TIME will be ignored, however commas must be included to properly align the CAPACITY\_GRANTED, START\_TIME and STOP\_TIME fields.

#### Input:

VERSION=1.45  
TEMPLATE=transrequest5  
OUTPUT\_FORMAT=DATA5  
PRIMARY\_PROVIDER\_CODE=AEP5  
PRIMARY\_PROVIDER\_DUNS=1234567895  
RETURN\_TZ=ES5  
DATA\_ROWS=75



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COLUMN\_HEADERS=CONTINUATION\_FLAG, SELLER\_CODE,SELLER\_DUNS,
PATH\_NAME, POINT\_OF\_RECEIPT, POINT\_OF\_DELIVERY, SOURCE,
SINK,CAPACITY\_REQUESTED, SERVICE\_INCREMENT, TS\_CLASS, TS\_TYPE,
TS\_PERIOD, TS\_WINDOW, TS\_SUBCLASS,
STATUS\_NOTIFICATION,START\_TIME,STOP\_TIME,BID\_PRICE,
PRECONFIRMED, ANC\_SVC\_LNK, POSTING\_REF, SALE\_REF, REQUEST\_REF,
DEAL\_REF, CUSTOMER\_COMMENTS, REQUEST\_TYPE,REASSIGNED\_REF5
N, AEP,123456789, ABC/XY, CE, MECS,,35, DAILY, FIRM, POINT\_TO\_POINT,
FULL\_PERIOD, FIXED,,
pub/AEP/incoming,20000423000000ES,20000424000000ES,24.5, Y,
SC:(AEP:RQ);RV:(AEP:RQ);RF:(FT);EI:(FT);SP:(FT);SU:(FT);, P0123 , S123, R765,
D123, Standard daily reservation, ORIGINAL,5
N, AEP,123456789, ABC/XY, CE, AMPO,,5, HOURLY, NON-FIRM,
POINT\_TO\_POINT, FULL\_PERIOD, FIXED,,
pub/AEP/incoming,20000423060000ES,20000423070000ES,2.5, Y,
SC:(AEP:RQ);RV:(AEP:RQ);RF:(FT);EI:(FT);SP:(FT);SU:(FT);, P0123 , S123, R765,
D123, First piece of profile spanning 5 records, ORIGINAL,5
Y,,,,,,,,10,,,,,,,,,20000423070000ES,20000423080000ES,,,,,,,,, Second piece,,5
Y,,,,,,,,15,,,,,,,,,20000423080000ES,20000423200000ES,,,,,,,,, Third piece,,5
Y,,,,,,,,10,,,,,,,,,20000423200000ES,20000423210000ES,,,,,,,,, Fourth piece,,5
Y,,,,,,,,5,,,,,,,,,20000423210000ES,20000423220000ES,,,,,,,,, Fifth piece,,5
N, AEP,123456789, ABC/XY, CE, MECS, , ,20, HOURLY, NON-FIRM,
POINT\_TO\_POINT, FULL\_PERIOD, FIXED,,
pub/AEP/incoming,20000423040000ES,20000423160000ES,2, Y,
SC:(AEP:RQ);RV:(AEP:RQ);RF:(FT);EI:(FT);SP:(FT);SU:(FT);, P0123 , S123, R765,
D123, Standard hourly reservation after profiled reservation, ORIGINAL,5

Response:

REQUEST\_STATUS=2005
ERROR\_MESSAGE=Successfully updated.5
TIME\_STAMP=20000422160523ES5
VERSION=1.45
TEMPLATE=transrequest5
OUTPUT\_FORMAT=DATA5
PRIMARY\_PROVIDER\_CODE=AEP5
PRIMARY\_PROVIDER\_DUNS=1234567895
RETURN\_TZ=ES5
DATA\_ROWS=75
COLUMN\_HEADERS=RECORD\_STATUS, CONTINUATION\_FLAG,
ASSIGNMENT\_REF, SELLER\_CODE,SELLER\_DUNS, PATH\_NAME,
POINT\_OF\_RECEIPT, POINT\_OF\_DELIVERY, SOURCE,
SINK,CAPACITY\_REQUESTED, SERVICE\_INCREMENT, TS\_CLASS, TS\_TYPE,
TS\_PERIOD, TS\_WINDOW, TS\_SUBCLASS,
STATUS\_NOTIFICATION,START\_TIME,STOP\_TIME,BID\_PRICE,
PRECONFIRMED, ANC\_SVC\_LNK, POSTING\_REF, SALE\_REF, REQUEST\_REF,
DEAL\_REF, CUSTOMER\_COMMENTS, REQUEST\_TYPE,REASSIGNED\_REF,
ERROR\_MESSAGE5



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200,N,8234, AEP,123456789, ABC/XY, CE, MECS,,35, DAILY, FIRM,
POINT\_TO\_POINT, FULL\_PERIOD, FIXED,,
pub/AEP/incoming,20000423000000ES,20000424000000ES,24.5, Y,
SC:(AEP:RQ);RV:(AEP:RQ);RF:(FT);EI:(FT);SP:(FT);SU:(FT);, P0123 , S123, R765,
D123, Standard daily reservation, ORIGINAL,, No error5
200,N,8235, AEP,123456789, ABC/XY, CE, AMPO,,5, HOURLY, NON-FIRM,
POINT\_TO\_POINT, FULL\_PERIOD, FIXED,,
pub/AEP/incoming,20000423060000ES,20000423070000ES,2.5, Y,
SC:(AEP:RQ);RV:(AEP:RQ);RF:(FT);EI:(FT);SP:(FT);SU:(FT);, P0123 , S123, R765,
D123, First piece of profile spanning 5 records, ORIGINAL,, No error5
200,Y,8235,,,,,,10,,,,,,20000423070000ES,20000423080000ES,,,,,, Second
piece,,, No error5
200,Y,8235,,,,,,15,,,,,,20000423080000ES,20000423200000ES,,,,,, Third
piece,,, No error5
200,Y,8235,,,,,,10,,,,,,20000423200000ES,20000423210000ES,,,,,, Fourth
piece,,, No error5
200,Y,8235,,,,,,5,,,,,,20000423210000ES,20000423220000ES,,,,,, Fifth
piece,,, No error5
200,N,8236, AEP,123456789, ABC/XY, CE, MECS,,20, HOURLY, NON-FIRM,
POINT\_TO\_POINT, FULL\_PERIOD, FIXED,,
pub/AEP/incoming,20000423040000ES,20000423160000ES,2, Y,
SC:(AEP:RQ);RV:(AEP:RQ);RF:(FT);EI:(FT);SP:(FT);SU:(FT);, P0123 , S123, R765,
D123, Standard hourly reservation after profiled reservation, ORIGINAL,, No
error5

b. Submission of Reassignment Information - Case 1:

In the prior example, a reservation request was submitted to "Rseler" for 20MW
of Hourly Non-firm service from 04:00 to 16:00. Assume that Rseler has
previously reserved service for the CE-VP path for Daily Firm in amount of 50
MW on 4/23 under ASSIGNMENT\_REF=7019, and Hourly Non-Firm in amount
of 10 MW from 08:00 to 20:00 on 4/23 under ASSIGNMENT\_REF=7880. Rseler
must designate which transmission service rights are to be reassigned to Cust
to satisfy the 20MW from 04:00 to 16:00. This reassignment information is
conveyed by Rseler using the transsell Template when the reservation request is
ACCEPTED. At the SELLER's discretion, rights are assigned from the Non-firm
reservation first (ASSIGNMENT\_REF=7880) with the balance taken up by the
Firm reservation (ASSIGNMENT\_REF=7019).

The only fields allowed in "continuation" records for transsell Template are
REASSIGNED\_REF, REASSIGNED\_CAPACITY, REASSIGNED\_START\_TIME ,
and REASSIGNED\_STOP\_TIME. Price may not be negotiated for each "segment"
in a capacity profile.

Input:

VERSION=1.45
TEMPLATE=transsell5
OUTPUT\_FORMAT=DATA5





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10MW on 4/23 for "off-peak" hours (00:00- 06:00 and 22:00-24:00) on POR/POD CE-VP. Rseler is assigning rights to 10MW from a prior reservation for the CE-VP path for Daily Firm in amount of 50 MW on 4/23 under ASSIGNMENT\_REF=7019 to Cust. AEP would submit the following information using the *transassign* Template to post this (re)sale. The only fields allowed in "continuation" records for the *transassign* Template are CAPACITY, START\_TIME, STOP\_TIME, REASSIGNED\_REF, REASSIGNED\_CAPACITY, REASSIGNED\_START\_TIME, and REASSIGNED\_STOP\_TIME. Even though there is a one-to-one correspondence between the segments of the new reservations and the reassignment of service from a prior reservation, it is entirely possible that a reservation spanning a single contiguous period would require multiple continuation records to convey reassignment information, and vice versa.

Fields for CUSTOMER\_NAME and SELLER\_NAME were used to convey user names for subsequent resolution of contact information from user registration.

### **Input:**

```
VERSION=1.45
TEMPLATE=transassign5
OUTPUT_FORMAT=DATA5
PRIMARY_PROVIDER_CODE=AEP5
PRIMARY_PROVIDER_DUNS=1234567895
RETURN_TZ=ES5
DATA_ROWS=25
COLUMN_HEADERS=CONTINUATION_FLAG, CUSTOMER_CODE,
CUSTOMER_DUNS, PATH_NAME, POINT_OF_RECEIPT, POINT_OF_DELIVERY,
SOURCE, SINK, CAPACITY_REQUESTED, CAPACITY_GRANTED,
SERVICE_INCREMENT, TS_CLASS, TS_TYPE, TS_PERIOD, TS_WINDOW,
TS_SUBCLASS, START_TIME, STOP_TIME, OFFER_PRICE, ANC_SVC_LNK,
POSTING_NAME, REASSIGNED_REF, REASSIGNED_CAPACITY,
REASSIGNED_START_TIME, REASSIGNED_STOP_TIME,
SELLER_COMMENTS, SELLER_REF5
N, ACSTMR,987654321, , CE, VP,,10,10, HOURLY, NON-FIRM,
POINT_TO_POINT, OFF_PEAK, FIXED,, 20000423000000ES,
20000423060000ES,2,
SC:(AEP:RQ);RV:(AEP:RQ);RF:(FT);EI:(FT);SP:(FT);SU:(FT);, Jane Doe ,7019,10,
20000423000000ES, 20000423060000ES, Seller comments go here, S1235
Y,,,,,,,,10,10,,,,,,,, 20000423220000ES, 20000424000000ES,,,,7019,10,
20000423220000ES, 20000424000000ES,,5
```

### **Response:**

```
REQUEST_STATUS=2005
ERROR_MESSAGE=Successfully updated.5
TIME_STAMP=20000422160523ES5
VERSION=1.45
TEMPLATE=transassign5
OUTPUT_FORMAT=DATA5
```



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```
PRIMARY_PROVIDER_CODE=AEP5
PRIMARY_PROVIDER_DUNS=1234567895
RETURN_TZ=ES5
DATA_ROWS=25
COLUMN_HEADERS=RECORD_STATUS,CONTINUATION_FLAG,ASSIGNMENT_
REF, CUSTOMER_CODE, CUSTOMER_DUNS, PATH_NAME,
POINT_OF_RECEIPT, POINT_OF_DELIVERY, SOURCE, SINK,
CAPACITY_REQUESTED, CAPACITY_GRANTED, SERVICE_INCREMENT,
TS_CLASS, TS_TYPE, TS_PERIOD,TS_WINDOW, TS_SUBCLASS, START_TIME,
STOP_TIME, OFFER_PRICE, ANC_SVC_LNK, POSTING_NAME,
REASSIGNED_REF, REASSIGNED_CAPACITY, REASSIGNED_START_TIME ,
REASSIGNED_STOP_TIME , SELLER_COMMENTS, SELLER_REF5,
ERROR_MESSAGE5
200,N,8207, ACSTMR,987654321, , CE, VP,,,10,10, HOURLY, NON-FIRM,
POINT_TO_POINT, OFF_PEAK,FIXED,, 20000423000000ES,
20000423060000ES,2,
SC:(AEP:RQ);RV:(AEP:RQ);RF:(FT);EI:(FT);SP:(FT);SU:(FT);, Jane Doe ,7019,10,
20000423000000ES, 20000423060000ES, Seller comments go here, S1235, No
error5
200,Y,8207,,,,,,,,,10,10,,,,,,,,, 20000423220000ES,
20000424000000ES,,,,,7019,10, 20000423220000ES, 20000424000000ES,,5,
No error5
```

### d. Query of Transmission Reservation Status:

The following typical response to a *transstatus* query might be delivered for 4/23 based on prior examples. Note that the only fields returned in "continuation" records are, ASSIGNMENT\_REF, , START\_TIME , STOP\_TIME , REASSIGNED\_REF, REASSIGNED\_CAPACITY, REASSIGNED\_START\_TIME, and REASSIGNED\_STOP\_TIME (price fields are debatable).

#### **Input:**

<appropriate query name/value pairs to return reservations for 4/23>

#### **Response:**

```
REQUEST_STATUS=2005
ERROR_MESSAGE=No error.5
TIME_STAMP=20000423160523ES5
VERSION=1.45
TEMPLATE=transstatus5
OUTPUT_FORMAT=DATA5
PRIMARY_PROVIDER_CODE=AEP5
PRIMARY_PROVIDER_DUNS=1234567895
RETURN_TZ=ES5
DATA_ROWS=115
```



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COLUMN\_HEADERS=CONTINUATION\_FLAG, ASSIGNMENT\_REF, SELLER\_CODE, SELLER\_DUNS, CUSTOMER\_CODE, CUSTOMER\_DUNS, AFFILIATE\_FLAG, PATH\_NAME, POINT\_OF\_RECEIPT, POINT\_OF\_DELIVERY, SOURCE, SINK, CAPACITY\_REQUESTED, CAPACITY\_GRANTED, SERVICE\_INCREMENT, TS\_CLASS, TS\_TYPE, TS\_PERIOD, TS\_WINDOW, TS\_SUBCLASS, NERC\_CURTAILMENT\_PRIORITY, OTHER\_CURTAILMENT\_PRIORITY, START\_TIME, STOP\_TIME, CEILING\_PRICE, OFFER\_PRICE, BID\_PRICE, PRICE\_UNITS, PRECONFIRMED, ANC\_SVC\_LINK, ANC\_SVC\_REQ, POSTING\_REF, SALE\_REF, REQUEST\_REF, DEAL\_REF, IMPACTED, REQUEST\_TYPE, RELATED\_REF, NEGOTIATED\_PRICE\_FLAG, STATUS, STATUS\_NOTIFICATION, STATUS\_COMMENTS, TIME\_QUEUED, TIME\_OF\_LAST\_UPDATE, PRIMARY\_PROVIDER\_COMMENTS, SELLER\_REF, SELLER\_COMMENTS, CUSTOMER\_COMMENTS, SELLER\_NAME, SELLER\_PHONE, SELLER\_FAX, SELLER\_EMAIL, CUSTOMER\_NAME, CUSTOMER\_PHONE, CUSTOMER\_FAX, CUSTOMER\_EMAIL, REASSIGNED\_REF, REASSIGNED\_CAPACITY, REASSIGNED\_START\_TIME, REASSIGNED\_STOP\_TIME5 N,8207, RSELLR,234567890, ACSTMR,987654321, N, , CE, VP, ,,10,10, HOURLY, FIRM, POINT\_TO\_POINT, OFF\_PEAK,,,,, 20000423000000ES, 20000423060000ES,2.25,2,2,\$/MW, N, SC:(AEP:AR:121);RV:(AEP:AR:122);RF:(FT);EI:(FT);SP:(FT);SU:(FT);, SC:M;RV:M;RF:U;EI:U;SP:U;SU:U;, ,S1235, , ,0, RESALE,, L, CONFIRMED,, , 20000422121354ES, 20000422123054ES, TP Comments,, Seller comments go here, Customer comments, Joe Smith, (888)-123-4567, (888)-123-1231, jsmith@xyz.com, Jane Doe, (999)-123-4567, (999)-123-8823,,7019,10, 20000423000000ES, 20000423060000ES5 Y,8207,,,,,,,,,10,10,,,,,,,,, 20000423220000ES, 20000424000000ES,,,,,,,,,,,,,,,,,,,,,7019,10, 20000423220000ES, 20000424000000ES5 N,8234, AEP,123456789, CUSTMR,345678912, N, , CE, MECS, ,,35,35, DAILY, FIRM, POINT\_TO\_POINT,FULL\_PERIOD,FIXED,,,,, 20000423000000ES, S&CP Version 1.4 July 26 , 2000 104 20000423060000ES,42,24.5,24.5,\$/MW, N, SC:(AEP:AR:123);RV:(AEP:AR:124);RF:(FT);EI:(FT);SP:(FT);SU:(FT);, SC:M;RV:M;RF:U;EI:U;SP:U;SU:U;, P0123 , S123, R765, D123,0, ORIGINAL,, L, CONFIRMED, pub/AEP/incoming,, 20000422131354ES, 20000422133354ES, Standard daily reservation,, System Operator, Customer comments, Frank Orth, (999)-123-4567, (999)-123-1231, jsmith@xyz.com, Jane Doe, (999)-123-4567, (999)-123-8823,,7019,10, 20000423000000ES, 20000423060000ES5 N,8235, AEP,123456789, CUSTMR,345678912, N, , CE, AMPO, ,,5,5, HOURLY, NON-FIRM, POINT\_TO\_POINT,FULL\_PERIOD,FIXED,,,,, 20000423060000ES, 20000423070000ES,2.5,2.5,2.5,\$/MW, N, SC:(AEP:AR:125);RV:(AEP:AR:126);RF:(FT);EI:(FT);SP:(FT);SU:(FT);, SC:M;RV:M;RF:U;EI:U;SP:U;SU:U;, P0123 , S123, R765, D123,0, ORIGINAL,, CONFIRMED, pub/AEP/incoming,, 20000422160523ES, 20000422170523ES, Profile verified,, First piece, Customer comments, System Operator, (888)-123-4567, (888)-123-1231, jsmith@xyz.com, Jane Doe, (999)- 123-4567, (999)-123-8823,,7019,10, 20000423000000ES, 20000423060000ES5



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Request No.: R04005

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Y,8235,,,,,,10,10,,,,,, 20000423070000ES,
20000423080000ES,,,,,,5 Y,8235,,,,,,15,15,,,,,,
20000423080000ES, 20000423200000ES,,,,,,5
Y,8235,,,,,,10,10,,,,,, 20000423200000ES,
20000423210000ES,,,,,,5 Y,8235,,,,,,5,5,,,,,,
20000423210000ES, 20000423220000ES,,,,,,5
N,8236, AEP,123456789, CUSTMR,345678912, N, , CE, VP, ,,20,20,
HOURLY,NON\_FIRM, POINT\_TO\_POINT,FULL\_PERIOD,FIXED,,,
20000424040000ES, 20000424160000ES,2.5,2.5,2.5,\$/MW, N,
SC:(AEP:AR:127);RV:(AEP:AR:128);RF:(FT);EI:(FT);SP:(FT);SU:(FT);,
SC:M;RV:M;RF:U;EI:U;SP:U;SU:U;, P0123 , S123, R765, D123,0, ORIGINAL,,,
CONFIRMED, pub/AEP/incoming,, 20000422160723ES, 20000422171523ES,
Bid price refused,, Negotiated OFFER\_PRICE accepted,, Joe Smith, (888)-123-
4567, (888)-123-1231, jsmith@xyz.com, Jane Doe, (999)-123-4567, (999)-123-
8823,,7019,20, 20000423040000ES, 20000423080000ES5
Y,8236,,,,,,7880,10, 20000423080000ES,
20000423160000ES5
Y,8236,,,,,,7019,10, 20000423080000ES,
20000423160000ES5
COLUMN\_HEADERS= CONTINUATION\_FLAG, ASSIGNMENT\_REF,
SELLER\_CODE, SELLER\_DUNS, CUSTOMER\_CODE, CUSTOMER\_DUNS,
AFFILIATE\_FLAG, PATH\_NAME, POINT\_OF\_RECEIPT, POINT\_OF\_DELIVERY,
SOURCE, SINK, CAPACITY, SERVICE\_INCREMENT, TS\_CLASS, TS\_TYPE,
TS\_PERIOD, TS\_SUBCLASS, START\_TIME , STOP\_TIME, CEILING\_PRICE,
OFFER\_PRICE, BID\_PRICE, PRECONFIRMED, ANC\_SVC\_LINK, POSTING\_REF,
SALE\_REF, REQUEST\_REF, DEAL\_REF, NEGOTIATED\_PRICE\_FLAG, STATUS,
STATUS\_COMMENTS, TIME\_QUEUED, TIME\_OF\_LAST\_UPDATE,
PRIMARY\_PROVIDER\_COMMENTS, SELLER\_COMMENTS,
CUSTOMER\_COMMENTS, SELLER\_NAME, SELLER\_PHONE, SELLER\_FAX,
SELLER\_EMAIL, CUSTOMER\_NAME, CUSTOMER\_PHONE, CUSTOMER\_FAX,
CUSTOMER\_EMAIL, REASSIGNED\_REF, REASSIGNED\_CAPACITY,
REASSIGNED\_START\_TIME , REASSIGNED\_STOP\_TIME5
N, 8207, Rseler, 456123789, ACust, 987654321, N, , CE, VP, , , 10, HOURLY,
FIRM, POINT\_TO\_POINT, OFF\_PEAK, N/A, 19970423000000ES,
19970423060000ES, 2.25, 2.00, 6.20, N,SC:(cust:SP);RV:(cust:SP);RF(cust:RQ);
EI:(cust:R123); SP:(custR234); SU:(cust:R345), , , , N, CONFIRMED, ,
19970422121354ES, , TP Comments, Seller comments go here, Customer
comments, Joe Smith, (888)-123-4567, (888)-123-1231, jsmith@xyz.com, Jane
Doe, (999)-123-4567, (999)-123- 8823, , 7019, 10, 19970423000000ES,
19970423060000ES 5
Y, , , , , , , , , , , , , , , , 10, , , , , 19970423220000ES, 19970424000000ES, , , , , ,
, , , , , , , , , , , , , , , , 7019, 10, 19970423220000ES, 19970424000000ES5
N, 8234, Rseler, 456123789, ACust, 987654321, N, , CE, MECS, , , 35 DAILY,
FIRM, POINT\_TO\_POINT, OFF\_PEAK, N/A, 19970423000000ES,
19970423060000ES, 42.00, 24.50, 24.50,
N,SC:(cust:SP);RV:(cust:SP);RF(cust:RQ); EI:(cust:R123); SP:(custR234);
SU:(cust:R345), , , , , N, CONFIRMED, , 19970422121354ES, , Standard daily
reservation, System Operator, Customer comments, Frank Orth, (999)-123-





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e. The Customer may WITHDRAW request via *transcust* Template at any time up to point where the Seller sets STATUS to ACCEPTED. f. Once the STATUS is CONFIRMED, the OFFER\_PRICE and CAPACITY\_GRANTED officially becomes the terms of the reservation.

#### 4.4.6.2 Negotiations without Preconfirmation

a. The Customer submits a transmission reservation request with the BID\_PRICE less than the CEILING\_PRICE via the *transrequest* Template. Initially the STATUS is set to QUEUED by the OASIS Node.

b. The Seller has the option of setting the STATUS via the *transsell* Template to one of the following: INVALID, RECEIVED, STUDY, ACCEPTED, DECLINED, COUNTEROFFER, or REFUSED. If INVALID (due to invalid entries in the request), DECLINED (due to the Seller determining that the proposed price is not acceptable and further negotiations are not desired), or REFUSED (due to the unavailability of the requested service) are set, the transmission reservation request is terminated.

c. The Seller has the option of entering a CAPACITY\_GRANTED and setting the STATUS to COUNTEROFFER via the *transell* Template if the seller can only provide partial service.

d. If the Seller set the STATUS to RECEIVED or STUDY, and determines that the BID\_PRICE is too low, the Seller sets the OFFER\_PRICE to the price desired, and sets the STATUS to COUNTEROFFER via the *transsell* Template. e. The Customer agrees to the OFFER\_PRICE, sets the BID\_PRICE equal to the OFFER\_PRICE, and sets the STATUS to CONFIRMED via the *transcust* Template.

f. The OFFER\_PRICE and CAPACITY\_GRANTED with the STATUS of CONFIRMED locks in the terms of the reservation.

#### 4.4.6.3 Multiple Step Negotiations

a. The Customer submits a transmission reservation request with the BID\_PRICE less than the CEILING\_PRICE via the *transrequest* Template. Initially the STATUS is set to QUEUED by the OASIS Node.

b. The Seller has the option of setting the STATUS via the *transsell* Template to one of the following: INVALID, RECEIVED, STUDY, ACCEPTED, DECLINED, COUNTEROFFER, or REFUSED. If INVALID, DECLINED, or REFUSED are set, the transmission reservation request is terminated.

c. The seller has the option of entering a CAPACITY\_GRANTED and setting the STATUS to COUNTEROFFER via the *transell* Template if the seller can only provide partial service. If ATC changes before the request reaches the STATUS of CONFIRMED, seller may change the CAPACITY\_GRANTED.

d. The Seller determines that the BID\_PRICE is too low, sets the OFFER\_PRICE to the desired value, and sets the STATUS to COUNTEROFFER via the *transsell* Template. e. The Customer responds to the new OFFER\_PRICE with an updated BID\_PRICE and sets the STATUS to REBID for re-evaluation by the Seller.

f. The Seller determines that the BID\_PRICE now is acceptable, and sets the STATUS to ACCEPTED via the *transsell* Template. The transition to ACCEPTED state requires the OFFER\_PRICE to be set to the BID\_PRICE: accepting a reservation with an



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OFFER\_PRICE different from BID\_PRICE would require the STATUS be set to COUNTEROFFER rather than ACCEPTED (see item c).

g. The Customer agrees to the OFFER\_PRICE and sets the STATUS to CONFIRM via the *transcust* Template.

h. The OFFER\_PRICE and CAPACITY\_GRANTED with the STATUS as CONFIRMED locks in the terms of the reservation.

#### 4.4.6.4 Negotiations Declined by Seller

a. The Customer submits a transmission reservation request with the BID\_PRICE less than the CEILING\_PRICE via the *transrequest* Template. Initially the STATUS is set to QUEUED by the OASIS Node.

b. The Seller has the option of setting the STATUS via the *transsell* Template to one of the following: INVALID, RECEIVED, STUDY, ACCEPTED, DECLINED, COUNTEROFFER, or REFUSED. If INVALID, DECLINED, or REFUSED are set, the transmission reservation request is terminated.

c. The Seller determines that the BID\_PRICE is too low, sets OFFER\_PRICE to his desired value, and sets STATUS to COUNTEROFFER via the *transsell* Template. d. The Customer responds to OFFER\_PRICE with updated BID\_PRICE and sets the STATUS to REBID via the *transcust* Template for re-evaluation by Seller.

e. The Seller breaks off all further negotiations by setting the STATUS to DECLINED, indicating that the price is unacceptable and that he does not wish to continue negotiations.

#### 4.4.6.5 Negotiations Withdrawn by Customer

a. The Customer submits a transmission reservation request with the BID\_PRICE less than the CEILING\_PRICE via the *transrequest*. Initially the STATUS is set to QUEUED by the OASIS Node.

b. The Seller has the option of setting the STATUS via the *transsell* Template to one of the following: INVALID, RECEIVED, STUDY, ACCEPTED, DECLINED, COUNTEROFFER, or REFUSED. If INVALID, DECLINED, or REFUSED are set, the transmission reservation request is terminated.

c. The Seller has the option of entering a CAPACITY\_GRANTED and setting the STATUS to COUNTEROFFER via the *transell* Template if the seller can only provide partial service.

d. The Seller determines that the BID\_PRICE is too low, sets the OFFER\_PRICE to his desired value, and sets the STATUS to COUNTEROFFER via the *transsell* Template.

e. The Customer responds to the OFFER\_PRICE with an updated BID\_PRICE and sets the STATUS to REBID for re-evaluation by Seller.

f. The Seller determines that the BID\_PRICE is still too low, sets the OFFER\_PRICE to another value, and sets STATUS to COUNTEROFFER via the *transsell* Template.

g. The Customer breaks off all further negotiations, either because the OFFER\_PRICE or CAPACITY\_GRANTED are unacceptable, by setting STATUS to WITHDRAWN (or the Customer/Seller could go through additional iterations of REBID/COUNTEROFFER until negotiations are broken off or the reservation is CONFIRMED).

#### 4.4.6.6 Negotiations Superseded by Higher Priority Reservation



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- a. The Customer submits a transmission reservation request with the `BID_PRICE` less than the `CEILING_PRICE` via the *transrequest* Template. Initially the `STATUS` is set to `QUEUED` by the OASIS Node.
- b. The Seller has the option of setting the `STATUS` via the *transsell* Template to one of the following: `INVALID`, `RECEIVED`, `STUDY`, `ACCEPTED`, `DECLINED`, `COUNTEROFFER`, or `REFUSED`. If `INVALID`, `DECLINED`, or `REFUSED` are set, the transmission reservation request is terminated.
- c. If the Seller determines that another reservation has higher priority and must displace this request, he sets the `STATUS` to `SUPERSEDED` and the negotiations are terminated.
- d. However, if desired and permitted by the tariff, the Seller may set the `STATUS` of a request in any of these previous states (including `COUNTEROFFER` and `ACCEPTED`) to `COUNTEROFFER` with an `OFFER_PRICE` which could avoid the request being superseded, thus allowing the Customer the choice of being `SUPERSEDED` or accepting the proposed `OFFER_PRICE`.

### 4.4.7 Audit Template examples

The following examples are included to show the general type of audit report responses that could be expected to be returned by implementations of the audit reporting Templates as documented above.

#### 4.4.7.1 Offerings

The following is an example of a hypothetical audit query for daily non-firm offerings to the "DDD" point of delivery for Monday August 17, 1998 (line breaks and indentations added to improve readability):

```
REQUEST_STATUS=200 5
ERROR_MESSAGE 5
TIME_STAMP=19980821091601ES 5
VERSION=1.4 5
TEMPLATE=transofferingaudit 5
OUTPUT_FORMAT=DATA 5
PRIMARY_PROVIDER_CODE=WXYZ 5
PRIMARY_PROVIDER_DUNS=78912345 5
RETURN_TZ=ES 5
DATA_ROWS=14 5
COLUMN_HEADERS=RECORD_TYPE,TIME_OF_LAST_UPDATE,MODIFYING_CO
MPANY_CODE,MODIFYING_NAME,
TIME_OF_LAST_UPDATE,SELLER_CODE,SELLER_DUNS,PATH_NAME,POINT_O
F_RECEIPT,POINT_OF_DELIVERY,
INTERFACE_TYPE,OFFER_START_TIME,OFFER_STOP_TIME,START_TIME,STO
P_TIME,CAPACITY,SERVICE_INCREMENT,
TS_CLASS,TS_TYPE,TS_PERIOD,TS_WINDOW,TS_SUBCLASS,ANC_SVC_REQ,S
ALE_REF,POSTING_REF,CEILING_PRICE,
OFFER_PRICE,PRICE_UNITS,SERVICE_DESCRIPTION,NERC_CURTAILMENT_P
RIORITY,OTHER_CURTAILMENT_PRIORITY,
```



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SELLER\_NAME,SELLER\_PHONE,SELLER\_FAX,SELLER\_EMAIL,SELLER\_COMMENTS 5  
U,19980815131756ES,WXYZ,Jane Doe,19980815131756ES,  
WXYZ,78912345,X/WXYZ/AAA-DDD//,AAA,DDD,E,19  
980814000000ES,19980817000000ES,19980817000000ES,19980818000000E  
S,800, DAILY,NON-FIRM,POINT\_TO\_P S&CP Version 1.4 July 26 , 2000 110  
OINT,FULL\_PERIOD,FIXED,,SC:M;RF:M,,48732,102.00,85.00,\$/MW-Day,,3,,  
Jane Doe,123-456-7813,123-456-7801, doej@wxyz.com 5  
U,19980815124022ES,WXYZ, Jane Doe,19980815124022ES,  
WXYZ,78912345,X/WXYZ/AAA-DDD//,AAA,DDD,E, 1  
9980814000000ES,19980817000000ES,19980817000000ES,19980818000000  
ES,850, DAILY,NON-FIRM,POINT\_TO\_  
POINT,FULL\_PERIOD,FIXED,,SC:M;RF:M,, 48732,102.00,85.00,\$/MW-Day,,3,,  
Jane Doe,123-456-7813,123-456-780 1,doej@wxyz.com,5  
U,19980814120018ES,WXYZ, Joe  
Smith,19980814120018ES,WXYZ,78912345,X/WXYZ/AAA-  
DDD//,AAA,DDD,E,1  
9980814000000ES,19980817000000ES,19980817000000ES,19980818000000  
ES,850, DAILY,NON-FIRM,POINT\_TO\_  
POINT,FULL\_PERIOD,FIXED,,SC:M;RF:M,,48732,102.00,90.00,\$/MW-  
Day,,3,,Joe Smith,123-456-7893,123-456-7801 ,smithj@wxyz.com 5  
I,19980813171204ES,WXYZ, Supervisor,19980813171204ES,  
WXYZ,78912345,X/WXYZ/AAA-DDD//,AAA,DDD,E,  
19980814000000ES,19980817000000ES,19980817000000ES,19980818000000  
0ES,850, DAILY,NON-FIRM,POINT\_TO\_  
\_POINT,FULL\_PERIOD,FIXED,,SC:M;RF:M,,48732,102.00,95.00,\$/MW-Day,,3,,  
Supervisor,123-456-7890,123-456-78 01 5  
U,19980815124022ES,WXYZ, Jane Doe,19980815124022ES,  
WXYZ,78912345,X/WXYZ/BBB-DDD//,BBB,DDD,E,19  
980814000000ES,19980817000000ES,19980817000000ES,19980818000000E  
S,1200, DAILY,NON-FIRM,POINT\_TO\_  
POINT,FULL\_PERIOD,FIXED,,SC:M;RF:M,,48783,102.00,85.00,\$/MW-  
Day,,3,,Jane Doe,123-456-7813,123-456-7801, doej@wxyz.com 5  
U,19980814120022ES,WXYZ,Joe  
Smith,19980814120022ES,WXYZ,78912345,X/WXYZ/BBB-  
DDD//,BBB,DDD,E,19  
980814000000ES,19980817000000ES,19980817000000ES,19980818000000E  
S,1200,DAILY,NON-FIRM,POINT\_TO\_  
POINT,FULL\_PERIOD,FIXED,,SC:M;RF:M,,48783,102.00,90.00,\$/MW-  
Day,,3,,Joe Smith,123-456-7893,123-456-7801 ,smithj@wxyz.com 5  
I,19980813171210ES,WXYZ,Supervisor,19980813171210ES,WXYZ,78912345,X  
/WXYZ/BBB-DDD//,BBB,DDD,E,19  
980814000000ES,19980817000000ES,19980817000000ES,19980818000000E  
S,1200,DAILY,NON-FIRM,POINT\_TO\_  
POINT,FULL\_PERIOD,FIXED,,SC:M;RF:M,,48783,102.00,95.00,\$/MW-  
Day,,3,,Supervisor,123-456-7890,123-456-780 1,5  
U,19980816101000ES,WXYZ,Supervisor,19980816101000ES,WXYZ,78912345,  
X/WXYZ/CCC-DDD//,CCC,DDD,E,19



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980814000000ES,19980817000000ES,19980817000000ES,19980818000000E  
S,85,DAILY,NON-FIRM,POINT\_TO\_PO  
INT,FULL\_PERIOD,FIXED,,SC:M;RF:M,,48820,102.00,102.00,\$/MW-  
Day,,3,,Supervisor,123-456-7810,123-456-7801,  
5U,19980814143807ES,WXYZ,Supervisor,19980814143807ES,WXYZ,78912345  
,X/WXYZ/CCC-DDD//,CCC,DDD,E,19  
980814000000ES,19980817000000ES,19980817000000ES,19980818000000E  
S,90,DAILY,NON-FIRM,POINT\_TO\_PO  
INT,FULL\_PERIOD,FIXED,,SC:M;RF:M,,48820,102.00,102.00,\$/MW-  
Day,,3,,Supervisor,123-456-7890,123-456-7801,  
5U,19980814120023ES,WXYZ,Joe  
Smith,19980814120023ES,WXYZ,78912345,X/WXYZ/CCC-  
DDD//,CCC,DDD,E,19  
980814000000ES,19980817000000ES,19980817000000ES,19980818000000E  
S,110,DAILY,NON-FIRM,POINT\_TO\_P  
OINT,FULL\_PERIOD,FIXED,,SC:M;RF:M,,48820,102.00,90.00,\$/MW-Day,,3,,Joe  
Smith,123-456-7893,123-456-7801,s mithj@wxyz.com 5  
I,19980813171214ES,WXYZ,Supervisor,19980813171214ES,WXYZ,78912345,X  
/WXYZ/CCC-DDD//,CCC,DDD,E,19  
980814000000ES,19980817000000ES,19980817000000ES,19980818000000E  
S,110,DAILY,NON-FIRM,POINT\_TO\_P  
OINT,FULL\_PERIOD,FIXED,,SC:M;RF:M,,48820,102.00,95.00,\$/MW-  
Day,,3,,Supervisor,123-456-7890,123-456-7801, 5  
U,19980815124023ES,WXYZ,Jane  
Doe,19980815124023ES,WXYZ,78912345,X/WXYZ/WXYZ-DDD//,WXYZ,DDD,  
E,19980814000000ES,19980817000000ES,19980817000000ES,19980818000  
000ES,340,DAILY,NON-FIRM,POINT\_T  
O\_POINT,FULL\_PERIOD,FIXED,,SC:M;RF:M,,48855,102.00,85.00,\$/MW-  
Day,,3,,Jane Doe,123-456-7813,123-456-78 01,doej@wxyz.com 5  
U,19980814120023ES,WXYZ,Joe  
Smith,19980814120023ES,WXYZ,78912345,X/WXYZ/WXYZ-  
DDD//,WXYZ,DDD,  
E,19980814000000ES,19980817000000ES,19980817000000ES,19980818000  
000ES,340,DAILY,NON-FIRM,POINT\_T  
O\_POINT,FULL\_PERIOD,FIXED,,SC:M;RF:M,,48855,102.00,90.00,\$/MW-  
Day,,3,,Joe Smith,123-456-7893,123-456-7 801,smithj@wxyz.com 5  
I,19980813171222ES,WXYZ,Supervisor,19980813171222ES,WXYZ,78912345,X  
/WXYZ/WXYZ-DDD//,WXYZ,DDD,  
E,19980814000000ES,19980817000000ES,19980817000000ES,19980818000  
000ES,340, DAILY,NON-FIRM,POINT\_T  
O\_POINT,FULL\_PERIOD,FIXED,,SC:M;RF:M,,48855,102.00,95.00,\$/MW-  
Day,,3,,Supervisor,123-456-7890,123-456-7 801,5

From this audit report, the daily non-firm offerings on the four paths to "DDD" (AAA-DDD, BBB-DDD, CCC-DDD, and WXYZ-DDD) were all originally posted by WXYZ's "Supervisor" at approximately 17:12 on 8/13 at a price of \$95.00 /MW-Day discounted from a ceiling price of \$102.00.



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At approximately 12:00 on 8/14, Joe Smith changed the offer price to \$90.00 on all four paths.

At 14:14 on 8/14, "Supervisor" adjusted the capacity available on path X/WXYZ/CCC-DDD// to 90 MW (POSTING\_REF = 48820) and set the offer price up to match the tariff ceiling rate (presumably due to the path now being constrained and released from the requirement to have discounted service offered at the same rate as all other unconstrained paths to DDD). Capacity on this path was last updated to a value of 85 MW at 10:10 on 8/16, which is the current information posted on OASIS for this path at the time of the query.

Jane Doe adjusted the price on the three presumably unconstrained paths to DDD at 12:40 on 8/15 to \$85.00, which may have been in response to a negotiation for service on one of these paths. No further updates have occurred to the offerings on paths BBB-DDD and WXYZ-DDD since that time.

Finally, the capacity available on path X/WXYZ/AAA-DDD// was updated by Jane Doe from 850 to 800 MW at 13:17 on 8/15, which may have corresponded with final confirmation of a reservation at a negotiated discount by the customer that initiated the price change from \$90.00 to \$85.00.

4.4.7.2 Reservations

The following is an example of a hypothetical audit query for a specific transmission service reservation (line breaks and indentations added to improve readability):

REQUEST\_STATUS=200,,,,,,5
ERROR\_MESSAGE=,,,,,,5
TIME\_STAMP=19980821092048ES,,,,,,5
VERSION=1.4,,,,,,5
TEMPLATE=transstatusaudit,,,,,,5
OUTPUT\_FORMAT=DATA,,,,,,5
PRIMARY\_PROVIDER\_CODE=WXYZ,,,,,,5
PRIMARY\_PROVIDER\_DUNS=78912345,,,,,,5
RETURN\_TZ=ES,,,,,,5
DATA\_ROWS=9,,,,,,5
COLUMN\_HEADERS=,5
RECORD\_TYPE,TIME\_OF\_UPDATE,MODIFYING\_COMPANY\_CODE,MODIFYING\_NAME,
CONTINUATION\_FLAG,ASSIGNMENT\_REF,SELLER\_CODE,SELLER\_DUNS,CUS TOMER\_CODE,
CUSTOMER\_DUNS,AFFILIATE\_FLAG,PATH\_NAME,POINT\_OF\_RECEIPT,POINT\_OF\_DELIVERY,
SOURCE,SINK,CAPACITY,SERVICE\_INCREMENT,TS\_CLASS,TS\_TYPE,TS\_PERIOD,TS\_WINDOW,
TS\_SUBCLASS,NERC\_CURTAILMENT\_PRIORITY,OTHER\_CURTAILMENT\_PRIORITY,START\_TIME,
STOP\_TIME,CEILING\_PRICE,OFFER\_PRICE,BID\_PRICE,PRICE\_UNITS,PRECONFIRMED,ANC\_SVC\_LINK,ANC\_SVC\_REQ,POSTING\_REF,SALE\_REF,REQUEST\_REF,DEAL\_REF,NEGOTIATED\_PRICE\_FLAG,
STATUS,STATUS\_NOTIFICATION,STATUS\_COMMENTS,TIME\_QUEUED,RESPO



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NSE\_TIME\_LIMIT,
TIME\_OF\_LAST\_UPDATE,PRIMARY\_PROVIDER\_COMMENTS,SELLER\_COMMENTS,
CUSTOMER\_COMMENTS,SELLER\_NAME,SELLER\_PHONE,SELLER\_FAX,SELLER\_EMAIL,
CUSTOMER\_NAME,CUSTOMER\_PHONE,CUSTOMER\_FAX,CUSTOMER\_EMAIL,
REASSIGNED\_REF, REASSIGNED\_CAPACITY,
REASSIGNED\_START\_TIME,REASSIGNED\_STOP\_TIME5
U,19980815131629ES,DEFPM,Alan
Trader,N,104392,WXYZ,78912345,DEFPM,912876543,N,X/WXYZ/AAA-
DDD//,A AA,DDD,AAA,ZZZ,50,DAILY,NON-
FIRM,POINT\_TO\_POINT,FULL\_PERIOD,FIXED,,3,,19980817000000ES,199808
18000000ES,102.00,85.00,85.00,\$/MW-
Day,N,,SC:M;RF:M,,,,,CONFIRMED,,,19980815121510ES,19980815144100ES,
19980815131629ES,,,,Jane Doe,123-456-7813,123-456-
7801,doej@wxyz.com,Alan Trader,312-678-9104,312-678-9100,a
.trader@defmarketing.com,,,,5
U,,,,Y,,,,,,,,,75,,,,,,,,,19980818000000ES,19980819000000ES,,,,,,,,,
,,,,,5
U,,,,Y,,,,,,,,,100,,,,,,,,,19980819000000ES,19980820000000ES,,,,,,,,,
,,,,,5
U,19980815125042ES,WXYZ,Jane
Doe,N,104392,WXYZ,78912345,DEFPM,912876543,N,X/WXYZ/AAA-
DDD//,AAA ,DDD,AAA,ZZZ,50,DAILY,NON-
FIRM,POINT\_TO\_POINT,FULL\_PERIOD,FIXED,,3,,19980817000000ES,1998081
8 000000ES,102.00,85.00,82.00,\$/MW-
Day,N,,SC:M;RF:M,,,,,COUNTEROFFER,,,19980815121510ES,1998081514410
0 ES,19980815125042ES,,,,Jane Doe,123-456-7813,123-456-
7801,doej@wxyz.com,Alan Trader,312-678-9104,312-678-910
0,a.trader@defmarketing.com,,,,5
U,19980815124811ES,DEFPM,Alan
Trader,N,104392,WXYZ,78912345,DEFPM,912876543,N,X/WXYZ/AAA-
DDD//,A AA,DDD,AAA,ZZZ,50,DAILY,NON-
FIRM,POINT\_TO\_POINT,FULL\_PERIOD,FIXED,,3,,19980817000000ES,199808
18000000ES,102.00,85.00,82.00,\$/MW-
Day,N,,SC:M;RF:M,,,,,REBID,,,19980815121510ES,19980815144100ES,19980
815124811ES,,,,Jane Doe,123-456-7813,123-456-7801,doej@wxyz.com,Alan
Trader,312-678-9104,312-678-9100,a.trader @defmarketing.com5
U,19980815124100ES,WXYZ,Jane
Doe,N,104392,WXYZ,78912345,DEFPM,912876543,N,X/WXYZ/AAA-
DDD//,AAA ,DDD,AAA,ZZZ,50,DAILY,NON-
FIRM,POINT\_TO\_POINT,FULL\_PERIOD,FIXED,,3,,19980817000000ES,1998081
8 000000ES,102.00,85.00,80.00,\$/MW-
Day,N,,SC:M;RF:M,,,,,COUNTEROFFER,,,19980815121510ES,1998081514410
0 ES,19980815124100ES,,,,Jane Doe,123-456-7813,123-456-
7801,doej@wxyz.com,Alan Trader,312-678-9104,312-678-910
0,a.trader@defmarketing.com5



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I,19980815121510ES,DEFPM,Alan
Trader,N,104392,WXYZ,78912345,DEFPM,912876543,N,X/WXYZ/AAA-
DDD//,A AA,DDD,AAA,ZZZ,50,DAILY,NON-
FIRM,POINT\_TO\_POINT,FULL\_PERIOD,FIXED,,3,,19980817000000ES,199808
18000000ES,102.00,90.00,80.00,\$/MW-
Day,N,,SC:M;RF:M,,,,,QUEUED,,19980815121510ES,,19980815121510ES,,,C
ompany Default,123-456-7800,123-456-7801,,Alan Trader,312-678-9104,312-
678-9100,a.trader@defmarketing.com5
I,,,Y,,,,,,,,,75,,,,,,,,,19980818000000ES,19980819000000ES,,,,,,,,,
,,5
I,,,Y,,,,,,,,,100,,,,,,,,,19980819000000ES,19980820000000ES,,,,,,,,,
,,5

First, this example shows the handling of continuation records which conveyed a time varying demand of 50 MW on 8/17, 75 MW on 8/18, and 100 MW on 8/19. This demand profile was initially entered with the original reservation request (transrequest Template) at 12:15 on 8/15 by Alan Trader. Since the Data Elements associated with the profile were never modified, the intervening audit response records do not repeat the data from these continuation records.

As part of the original reservation, Alan Trader attempted to negotiate a price for service of \$80.00 /MW-Day. Jane Doe responded to this request with a counter offer at the rate of \$85.00 /MW-Day at 12:41 on 8/15. Since the status of COUNTEROFFER constitutes acceptance of all terms of the reservation except price (i.e., transmission capability has been evaluated and is available), the RESPONSE\_TIME\_LIMIT Data Element has been updated to reflect the time by which the customer must confirm service (assuming the establishment of customer confirmation time limits is approved by FERC).

At 12:48, Alan Trader attempted to negotiate further for a rate of \$82.00 /MWDAY and the reservation status was set to REBID. Jane Doe responded at 12:50 with a second counter offer restating a rate of \$85.00, which Alan Trader finally agreed to at 13:16 on 8/15. The current posted information on OASIS shows this final CONFIRMED reservation.

4.5 INFORMATION SUPPORTED BY WEB PAGE

Information that must be posted on INFO.HTM, as per Section 3.4 b, includes:

There shall be a reference in INFO.HTM to a common source of interconnection wide curtailment and interruption information, such as the NERC Transmission Loading Relief (TLR) web site.

There shall be a reference in INFO.HTM to information related to the Transmission Provider's methodology for computing and application of Capacity Benefit Margin (CBM) and Transmission Reliability Margin (TRM). If the Transmission Provider does not use CBM or TRM in their assessment of Available Transmission Capability (ATC), that information shall also be in INFO.HTM.

There shall be a reference in INFO.HTM to the location of the list of system studies conducted. There shall be a reference in INFO.HTM to the location of the



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company's organizational chart, job descriptions and personnel names as referenced in Section 3.4 k.

There shall be a reference on INFO.HTM to information on requesting the text file of the tariffs and service agreements.

## 5. PERFORMANCE REQUIREMENTS

A critical aspect of any system is its performance. Performance encompasses many issues, such as security, sizing, response to user requests, availability, backup, and other parameters that are critical for the system to function as desired. The following sections cover the performance requirements for the OASIS Nodes .

### 5.1 SECURITY

Breaches of security include many inadvertent or possibly even planned actions. Therefore, several requirements shall be implemented by the TSIPs to avoid these problems:

- a. **Provider Update of TS Information:** Only Providers, including Secondary Providers, shall be permitted to update their own TS Information.
- b. **Customer Input Only ASCII Text:** TSIPs shall be permitted to require that inputs from Customers shall be filtered to permit only strict ASCII text (strip bit 8 from each byte).
- c. **Provider Updating Over Public Facilities:** If public facilities are involved in the connection between a Provider and the OASIS Node, the Provider shall be able to update his TS Information only through the use of ASCII or through encrypted files.
- d. **User Registration and Login:** All Users shall be required to register and login to a Provider's Account before accessing that Provider's TS Information.
- e. **User Passwords:** All Users shall enter their personal password when they wish access to TS Information beyond the lowest Access Privilege.
- f. **Service Request Transactions:** Whenever Service Request transactions are implemented entirely over OASIS Nodes, both an individual Customer password for the request, and an individual Provider password for the notification of acceptance shall be required.
- g. **Data Encryption:** Sophisticated data encryption techniques and the "secure id" mechanisms being used on the public Internet shall be used to transfer sensitive data across the Internet and directly between OASIS Nodes.
- h. **Viruses:** Since only data is being transmitted between the OASIS Nodes and the Users, viruses are unlikely to be passed between them. Therefore, TSIPs shall be responsible for ensuring that the OASIS Nodes are free from viruses, but need not screen data exchanges with Users for viruses.
- i. **Performance Log:** TSIPs shall keep a log on User usage of OASIS resources.
- j. **Disconnection:** TSIPs shall be allowed to disconnect any User who is degrading the performance of the OASIS Node through the excessive use of resources, beyond what is permitted in their Service Level Agreement.



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k. **Premature Access:** The TSIP log shall also be used to ensure that Users who are affiliated with the Provider's company (or any other User) do not have access to TS information before it is publicly available.

l. **Firewalls:** TSIPs shall employ security measures such as firewalls to minimize the possibility that unauthorized users shall access or modify TS Information or reach into Provider or User systems. Interfaces through Public Data Networks or the Internet shall be permitted as long as these security requirements are met.

m. **Certificates and Public Key Standards (optional):** Use of alternative forms of login and authentication using certificates and public key standards is acceptable.

**5.2 ACCESS PRIVILEGES**

Users shall be assigned different Access Privileges based on external agreements between the User and the Provider. These Access Privileges are associated with individual Users rather than just a company, to ensure that only authorized Users within a company have the appropriate access.

The following Access Privileges shall be available as a minimum:

- a. **Access Privilege Read-Only:** The User may only read publicly available TS Information.
- b. **Access Privilege for Transactions:** The Customer is authorized to transact Service Requests.
- c. **Access Privilege Read/Write:** A Secondary Provider shall have write access to his own Provider Account on an OASIS Node.

**5.3 OASIS RESPONSE TIME REQUIREMENTS**

TSIPs can only be responsible for the response capabilities of two portions of the Internet-based OASIS network:

- The adequacy of the TSIP's internet interconnection(s) for reasonable high-volume utilization
- The response capabilities of the OASIS Node functions to process interactions with Users

**5.3.2 Measurement Criteria for Internet Connections**

An OASIS node's Internet connection(s) should not exceed 60% sustained utilization. To determine the sustained utilization, TSIPs shall retain usage records and logs related to the Internet service.

**5.3.3 Measurement Criteria for OASIS Node functions**

It is required that OASIS query functions meet or exceed the response times listed below during the normal conduct of business.

Template or GUI equivalent	Average Response not fewer than:	90% of Responses not fewer than:
----------------------------	----------------------------------	----------------------------------



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Table with 3 columns: Template Name, Rows/Minute, and another Rows/Minute. Rows include transstatus and transofferring.

It should be recognized that during periods of minimal interactivity there might be heavier loading due to automated processes gathering larger volumes of data or due to OASIS node housekeeping services.

To assess whether these performance capabilities are obtainable, an OASIS application shall collect and log pertinent statistics on an hourly basis about each invocation of the primary types of data queries on the Templates transstatus and transofferring.

5.4 OASIS PROVIDER ACCOUNT AVAILABILITY

The following are the OASIS Provider Account availability requirements:

a. OASIS Provider Account Availability: The availability of each OASIS Provider account on an OASIS Node shall be at least 98.0% (downtime of about 7 days per year).

Availability is defined as:

% Availability = (1 - Cumulative Provider Account Downtime) \* 100 / Total Time

A Provider account shall be considered to be down, and downtime shall be accumulated, upon occurrence of any of the following:

1. One or more Users cannot link and log on to the Provider account. The downtime accumulated shall be calculated as:

Σ for affected Users of 1/n \* (Login Time), which is the time used by each affected User to try to link and log on to the Provider account, and where "n" is the total number of Users actively registered for that Provider account.

2. One or more Users cannot access TS Information once they have logged on to a Provider account. The downtime accumulated shall be calculated as:

Σ for affected Users of 1/n \* (Access Time), which is the time used by each affected User to try to access data, and where "n" is the total number of Users actively registered for that Provider.



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Σ A **five (5) minute** penalty shall be added to the cumulative downtime for every time a User loses their connection to a Provider's account due to an OASIS Node momentary failure or problem.

### 5.5 BACKUP AND RECOVERY

The following backup and recovery requirements shall be met:

a. **Normal Backup of TS Information:** Backup of TS Information and equipment shall be provided within the OASIS Nodes so that no data or transaction logs are lost or become inaccessible by Users due to any single point of failure. Backed up data shall be no older than **30 seconds**. Single points of failure include the loss of one:

- Disk drive or other storage device
- Processor
- Inter-processor communications (e.g. LAN)
- Inter-OASIS communications
- Software application
- Database
- Communication ports for access by Users
- Any other single item which affects the access of TS Information by Users

b. **Spurious Failure Recovery Time:** After a spurious failure situation, all affected Users shall regain access to all TS Information **within 30 minutes**. A spurious failure is a temporary loss of services which can be overcome by rebooting a system or restarting a program. Permanent loss of any physical component is considered a catastrophic failure.

c. **Long-Term Backup:** Permanent loss of critical data due to a catastrophic failure shall be minimized through off-line storage on a **daily basis** and through off-site data storage on a **periodic basis**.

d. **Catastrophic Failure Recovery:** Recovery from a catastrophic failure or loss of an OASIS Node may be provided through the use of alternate OASIS Nodes which meet the same availability and response time requirements. TSIPs may set up prior agreements with other TSIPs as to which Nodes will act as backups to which other Nodes, and what procedure will be used to undertake the recovery. Recovery from a catastrophic failure shall be designed to be achieved **within 24 hours**.

### 5.6 TIME SYNCHRONIZATION

The following are the time requirements:

a. **Time Synchronization:** Time shall be synchronized on OASIS Nodes such that all time stamps will be accurate to within "0.5 second of official time. This synchronization may be handled over the network using NTP, or may be synchronized locally using time standard signals (e.g. WWVB, GPS equipment).

b. **Network Time Protocol (NTP):** OASIS Nodes shall support the Internet tool for time synchronization, Network Time Protocol (NTP), which is described in RFC-1305, version 3, so that Users shall be able to request the display and the downloading of current



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time on an OASIS Node for purposes of user applications which might be sensitive to OASIS time.

### 5.7 TS INFORMATION TIMING REQUIREMENTS

The TS Information timing requirements are as follows, except they are waived during emergencies.

- a. **TS Information Availability:** The most recent Provider TS information shall be available on the OASIS Node within 5 minutes of its required posting time at least 98% of the time. The remaining 2% of the time the TS Information shall be available within 10 minutes of its scheduled posting time.
- b. **Notification of Posted or Changed TS Information:** Notification of TS Information posted or changed by a Provider shall be made available within 60 seconds to the log. S&CP Version
- c. **Acknowledgment by the TSIP:** Acknowledgment by the TSIP of the receipt of User Purchase requests shall occur within 1 minute. The actual negotiations and agreements on Purchase requests do not have time constraints.

### 5.8 TS INFORMATION ACCURACY

The following requirements relate to the accuracy of the TS information:

- a. **TS Information Reasonability:** TS information posted and updated by the Provider shall be validated for reasonability and consistency through the use of limit checks and other validation methods.
- b. **TS Information Accuracy:** Although precise measures of accuracy are difficult to establish, Providers shall use their best efforts to provide accurate information.

### 5.9 PERFORMANCE AUDITING

The following are the performance auditing requirements:

- a. **User Help Desk Support:** TSIPs shall provide a "Help Desk" that is available at least during normal business hours (local time zone) and normal work days.
- b. **Monitoring Performance Parameters:** TSIPs shall use their best efforts to monitor performance parameters. Any User shall be able to read or download these performance statistics.

### 5.10 MIGRATION REQUIREMENTS

Whenever a new version of the S&CP is to be implemented, a migration plan will be developed for cutting over to the new version.



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**ATTACHMENT C**

**DATA ELEMENT DICTIONARY**  
**APPENDIX A OF STANDARDS AND COMMUNICATIONS PROTOCOLS**  
**June 26, 2000**  
**Version 1.4**

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<b>Data Dictionary Element Name</b>	<b>Alias</b>	<b>Field Format : minimum characters {type of ASCII} maximum characters</b>	<b>Restricted Values</b>	<b>Definition of Data Element</b>
AFFILIATE_FLAG	AFFLAG	{ALPHANUMERIC}3	Valid Values YES NO	Set to YES if customer is an affiliate of the provider
ANC_SERVICE_POINT	ANCPOINT	0{ALPHANUMERIC} 12	Free form text, null can be used if there is no ancillary service point other than the control area	Name of ancillary service point within a control area, such as a POR/POD/SOURCE/SINK from which the ancillary service is provided
AS_TYPE	ASTYPE	1{ALPHANUMERIC} 20	Valid types • EI • SP • SU • RV • RF • SC • DT • TL • BS • {Registered}	EI - Energy Imbalance SP - Spinning Reserve SU - Supplemental Reserve RV - Reactive supply and Voltage Control RF- Regulation and Frequency response SC- Scheduling, system Control and Dispatch DT - Dynamic Transfer TL - Real power Transmission Loss BS - System Black Start capability {Registered} must be registered with www.tsin.com and listed in the ANCSERV Template



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ANC_SVC_LINK	ANCSVCLI NK	0{ALPHANUMERIC} 300	Formatted string as follows:  SC:(AA[:xxx[:yyy[:nnn]]]); RV:(AA[:xxx[:yyy[:nnn]]]); RF:(AA[:xxx[:yyy[:nnn]]]); EI:(AA[:xxx[:yyy[:nnn]]]); SP:(AA[:xxx[:yyy[:nnn]]]); SU:(AA[:xxx[:yyy[:nnn]]]); {Registered}:(AA[:xxx[:yyy[:nnn]]])	The method for linking ancillary services to a transmission service request. The provider and capacity of each ancillary service is identified using the formatted string: SC:(AA[:xxx[:yyy[:nnn]]]); RV:(AA[:xxx[:yyy[:nnn]]]); RF:(AA[:xxx[:yyy[:nnn]]]); EI:(AA[:xxx[:yyy[:nnn]]]); SP:(AA[:xxx[:yyy[:nnn]]]); SU:(AA[:xxx[:yyy[:nnn]]]); {Registered}:(AA[:xxx[:yyy[:nnn]]]) where AA is the appropriate PRIMARY_PROVIDER_CODE, SELLER_CODE, or CUSTOMER_CODE, and represents the company providing the ancillary services. "AA" may be unspecified for "xxx" type identical to "FT", in which case the ":" character must be present and precede the "FT" type. If multiple "AA" terms are necessary, then each "AA" grouping will be enclosed within parenthesis, with the overall group subordinate to the AS_TYPE specified within parenthesis and where xxx represents either: _ "FT" to indicate that the Customer will determine ancillary services at a future time, or
ANC_SVC_LINK (cont.)				_ _ "SP" to indicate that the Customer will self-provide the ancillary services, or



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				<p>"RQ" to indicate that the Customer is asking the OASIS Nodeto initiate the process for making an ancillary services reservation with the indicated Provider or Seller on behalf of the Customer. The Customer must then continue the reservation process with the Provider or Seller. If the transmission services request is for preconfirmed service, then the ancillary services shall also be preconfirmed, or "AR" to indicate an assignment r e f e r e n c e number seq u e n c e follows.The terms "yyy" and "nnn" are subordinate to the xxx type of "AR". yyy represents the ancillary services r e s e r v a t i o n number (ASSIGNMENT_REF) and nnn represents the capacity of the reserved ancillary services. Square brackets are used to indicated optional elements and are not used in the actual linkage itself. Specifically, the :yyy is applicable to only the "AR" term and the :nnn may optionally be left off if the capacity of ancillary services is the same as for the transmission services, and optionally multiple ancillary reservations may be i n d i c a t e d by additional (xxx[:yyy[:nnn]]) enclosed within</p>
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ANC_SVC_REQ	ANCSVCRE Q	0{ALPHANUMERIC} 100	EI:{M,R,O,U}; SP:{M,R,O,U}; SU:{M,R,O,U}; RV:{M,R,O,U}; RF:{M,R,O,U}; SC:{M,R,O,U}; {registered}:{M,R,O,U }	Ancillary services required for a transmission services offering. The appropriate letter {M,R,O,U} will be assigned to each of the six Proforma FERC ancillary services (see AS_TYPE), where the letters mean the following: • (M) Mandatory, which implies that the Primary Provider must provide the ancillary service • (R) Required, which implies that the ancillary service is required, but not necessarily from the Primary Provider • (O) Optional, which implies that the ancillary service is not necessarily required, but could be provided • (U) Unknown, which implies that the requirements for the ancillary service are not known at this time
ASSIGNMENT_REF	AREF	1{ALPHANUMERIC} 12	Unique value	A unique reference number assigned by a Transmission Information Provider to provide a unique record for each transmission or ancillary service request. A single transmission or ancillary service request will be over a contiguous time period, i.e. from a START_TIME to an STOP_TIME.
ATTRIBUTE_UNITS	ATTRUNIT S	1{ALPHANUMERIC} 20	Free form text	System data attribute units
ATTRIBUTE_VALUE	ATTRVAL UE	1{NUMERIC}12	Real number	System data attribute value
BID_PRICE	BIDPR	1{NUMERIC}5 + A.@ + 2{NUMERIC}4	Positive number with 2 to 4 decimals	The current bid price of a Service in dollars and cents. Used by Customers to designate a price being bid.



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CAPACITY	CAP	0{NUMERIC}12	Number in units of MW	Transfer capability is the measure of the ability of the interconnected electric system to readily move or transfer power from one area to another over all transmission lines (or paths) between those areas under specified system conditions. In this context "area" may be an individual electric system, powerpool, control area, subregion, or NERC region or portion thereof.
CAPACITY_AVAILABLE	CAPAVAIL	0{NUMERIC}12	Non-negative number in units of MW	Amount of transmission capacity available after all the reductions are applied to CAPACITY_GRANTED over the time interval
CAPACITY_CURTAILED	CAPCUR	1{NUMERIC}12	Non-negative number in units of MW	The amount of transfer capability curtailed by the Primary provider for emergency reasons.
CAPACITY_GRANTED	CAPGRNT	0{NUMERIC}12	Non-negative number in units of MW	The amount of capacity granted by the seller equal to or less than CAPACITY_REQUESTED by the TC.
CAPACITY_REDUCED	CAPREDU	0{NUMERIC}12	Negative number in units of MW	Amount of transmission capacity reduced
CAPACITY_REQUESTED	CAPREQ	0{NUMERIC}12	Non-negative number in units of MW	Transmission capacity requested by the Transmission Customer (TC)
CAPACITY_SCHEDULED	CAPSCH	0{NUMERIC}12	Non-negative number in units of MW	Transfer capability scheduled on each path
CAPACITY_USED	CAPUSED	0{NUMERIC}12	Non-negative number in units of MW	CAPACITY_USED reflects the peak MW amount of the reservation used to support the scheduled transaction



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CATEGORY	CAT	0{ALPHANUMERIC} 25	Valid name from CATEGORY in LIST Template	A name to be used to categorize messages. Valid names would include: , <i>Want-Ad</i> , <i>Curtilment</i> , <i>Outage</i> , <i>OASIS_Maintenance_Outage</i>
CEILING_PRICE	CEILPR	1{NUMERIC}5 + "." + 2{NUMERIC}4	Positive number with 2 to 4 decimals	Ceiling price of the Service as entered by the Transmission Provider.
COLUMN_HEADERS	HEADERS	1{ALPHANUMERIC} Limited to all the elements names in one Template	Headers surrounded with A and separated by commas. Limited to valid Template element names. Must use full element name and not alias.	Example: COLUMN_HEADER=APATH_NAME", "POINT_OF_RECEIPT", "POINT_OF_DELIVERY", "SOURCE", "SINK"
COMPETING_REQU EST_FLAG	COMPREQ	1{ALPHANUMERIC} 1	"Y" or "N"	If "Y", indicates there is one or more competing requests for this reservation. The competing request AREFs are listed in the SELLER_COMMENTS
CONTINUATION_FL AG	CONT	1{ALPHANUMERIC} 1	"Y" or "N"	Indicates whether or not this record is a continuation from the previous record
CONTROL_AREA	AREA	1{ALPHANUMERIC} 20	Valid name of a control area	A part of the power system with metered tie lines and capable of matching generation and load while meeting scheduled interchange. Location of Ancillary Services is my CONTROL_AREA.
CURTAILMENT_OPT IONS	CUROPT	0{ALPHANUMERIC} 80	Free form text	Customer options, if any, to avoid curtailment
CUSTOMER_CODE	CUST	1{ALPHANUMERIC} 6	Unique value, registered on TSIN.COM	Any entity (or its designated agent) that is eligible to view OASIS information, to execute a service agreement, and/or to receive transmission service.



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CUSTOMER_COMMENTS	CUSTCOM	0{ALPHANUMERIC}255	Free-form text	Informative text. For information to be communicated between the customer and seller.
CUSTOMER_DUNS	CUSTDUNS	9{NUMERIC}9	Unique DUNS number	Unique DUNS number for a Customer
CUSTOMER_EMAIL	CUSTEMAIL	1{ALPHANUMERIC}25	Valid Internet E-Mail address	Internet E-Mail address of Customer contact person
CUSTOMER_FAX	CUSTFAX	14{ALPHANUMERIC}20	Area code and telephone number, plus any extensions (aaa)-nnn-nnnn xxxnn	FAX phone number of Customer contact person
CUSTOMER_NAME	CUSTNAME	1{ALPHANUMERIC}25	Free form text	Name of Customer contact person
CUSTOMER_PHONE	CUSTPHON	14{ALPHANUMERIC}20	Area code and telephone number, plus any extensions (aaa)-nnn-nnnn xxxnn	Telephone of Customer contact person
DATA_ROWS	ROWS	1{NUMERIC}unlimited	Positive Number	Number of records (rows) of data exclusive of header information that are to be uploaded or downloaded in a file.
DATE_TIME_EFFECTIVE	TIMEEFFECT	16{ALPHANUMERIC}16	Valid date and time in seconds yyyy+mo+dd+hh+mm+ss+tz	Date and time a message or service offer is in effect



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DEAL_REF	DREF	0{ALPHANUMERIC} 12	Unique value, Assigned by Customer	The unique reference assigned by a Customer to two or more service purchases to identify each of them as related to others in the same power service deal. These requests may be related to each other in time sequence through a single Provider, or as a series of wheels through multiple Providers, or a combination of both time and wheels. The User uses the DEAL_REF to uniquely identify a combination of requests relating to a particular deal.
DISCRETION_DESC RIPTION	DISCDESC	0{ALPHANUMERIC} 1000	Free form text	A detailed description of the discretion being reported
ELEMENT_NAME	ELEMENT	1{ALPHANUMERIC} 40	Valid Template element name	Template element name as indicated in data dictionary
EMPLOYEE_NAME	EMPNAME	1{ALPHANUMERIC} 25	Free form text	Name of person who is transferring from one position to another
ERROR_MESSAGE	ERROR	1{ALPHANUMERIC} 250	Free form text	Error message related to a RECORD_STATUS or REQUEST_STATUS
EVENT_ID	EVENTID	0{ALPHANUMERIC} 25	Free form text	The EVENT_ID Data Element is any regional or interconnection-wide recognized security event identifier for events that are of greater scope than those administered locally by the Provider (e.g., a NERC Security Coordinator assigned identifier corresponding to a particular implementation of the NERC TLR procedure).



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FACILITY_CLASS	FACCLASS	0{ALPHANUMERIC} 25	Free form text, for example: TRANSFORMER, LINE, FLOWGATE Or as defined in the LIST Template	Type of limiting device such as 'transformer', 'line' or 'flowgate'
FACILITY_LIMIT_TY PE	FACLIMTY P	0{ALPHANUMERIC} 25	thermal, stability, voltage or defined in LIST Template	For example: thermal, stability, voltage
FACILITY_LOCATIO N	FACLOC	0{ALPHANUMERIC} 8	Free form text, for example: INTERNAL EXTERNAL Or as defined in the LIST Template	Location of facility that caused the interruption, either internal to the TP or external to the TP grid
FACILITY_NAME	FACNAME	0{ALPHANUMERIC} 25	Free form text	Name of facility, such as name of path or name of flowgate
FORMER_COMPAN Y	FORMCO	1{ALPHANUMERIC} 25	Free form text	Former company of the person who is transferring
FORMER_DEPARTM ENT	FORMDEPT	1{ALPHANUMERIC} 52	Free form text	Former department of the person who is transferring
FORMER_POSITION	FORMPOS	1{ALPHANUMERIC} 25	Free form text	Former position held by the person who is transferring
GCA_CODE	GCA	1{ALPHANUMERIC} 4	Registered control area company code	Generator Control Area Code. Information from Tag



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IMPACTED	IMPACTED	0{NUMERIC}4	Number	Indicates whether the reservation has been impacted by another reservation. For an original reservation this counter is 0. This counter is incremented by 1 by TSIP on the parent request when its ASSIGNMENT_REF is entered in any other reservation's REASSIGNED_REF or RELATED_REF or in entered in any reduction.
IMPACTING_REF	IMPACTREF	0{ALPHANUMERIC} 12	Unique reference	IMPACTING_REF references the ASSIGNMENT_REF of the associated transmission reservation (if applicable that )caused the reduction in capacity
INITIATING_PARTY	INITPARTY	0{ALPHANUMERIC} 4	Free form text	Person's name or Company code for company responsible for initiating the change in capacity
INTERFACE_TYPE	INTERFAC E	0{ALPHANUMERIC} 1	I,E	Type of interface define by path: Internal (I) to a control area or External (E) to a control area
LCA_CODE	LCACODE	0{ALPHANUMERIC} 4	Valid registered control area code	Load Control Area registered code. Information comes from tag



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LIST_ITEM	ITEM	1{ALPHANUMERIC} 50	Free form text	Item from LIST, such as list of SELLER, list of PATH_NAME, list of POINT_OF_RECEIPT, list of POINT_OF_DELIVERY, list of SERVICE_INCREMENT, list of TS_CLASS, list of TS_TYPE, list of TS_PERIOD, list of TS_WINDOW, list of TS_SUBCLASS, list of AS_TYPE, list of REQUEST_TYPE, list of ANC_SERVICE_POINT, list of FACILITY_CLASS, list of FACILITY_LIMIT_TYPE, list of PROCEDURE_NAME, list of SYSTEM_ATTIBUTE, list of SECURITY_TYPE, list of FACILITY_LOCATION, list of NERC_CURTAILMENT_PRIORITY, list of OTHER_CURTAILMENT_PRIORITY, list of CATEGORY, list of TEMPLATE, list of LIST
LIST_ITEM_DESCRIP TION	ITEMDESC	0{ALPHANUMERIC} 100	Free form text	A detailed description of the LIST_ITEM



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LIST_NAME	LIST	1{ALPHANUMERIC} 50	LIST, SELLER, PATH, POR, POD,  SERVICE_INCREME NT, TS_CLASS, TS_TYPE, TS_PERIOD, TS_SUBCLASS, AS_TYPE, NERC_CURTAILMEN T_PRIORITY, REQUEST_TYPE, ANC_SERVICE_POINT, FACILITY_CLASS, FACILITY_LIMIT_TYPE, PROCEDURE_NAME, SYSTEM_ATTRIBUTE, SECURITY_TYPE, FACILITY_LOCATION, OTHER_CURTAILME NT_PRIORITY, CATEGORY, TEMPLATE	List of valid names for each of the types of lists. The minimum set of lists defined must be implemented.
MESSAGE	MSG	1{ALPHANUMERIC} 200	Free form text	An informative text message
MODIFYING_ COMPANY_CODE	MODCODE	1{ALPHANUMERIC} 6	Registered company code for a TP, SC or CA	Contains the registered company code that modified the transaction, used in the audit Templates
MODIFYING_NAME	MODNAME	0{ALPHANUMERIC} 25	free form text	Contain the name of the person that modified the transaction, used in the audit Templates



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MODIFICATION_REF	MODREF	1{ALPHANUMERIC} 12	Valid ASSIGNMENT_REF	Forward pointer. Pointing to next reservation that replaces the current reservation
NEGOTIATED_PRICE_FLAG	NGPRIFLG	0{ALPHANUMERIC} 1	H, L, or blank	Set to H if OFFER_PRICE is higher than the currently posted price; set to L if OFFER_PRICE is lower than the currently posted price
NERC_CURTAILMENT_PRIORITY	NERCURT	1{INTEGER}1	Integer	One of the NERC curtailment priorities, documented in LIST Template
NEW_COMPANY	NEWCO	1{ALPHANUMERIC} 25	Free form text	New company of the person who is transferring
NEW_DEPARTMENT	NEWDEPT	1{ALPHANUMERIC} 52	Free form text	New department of the person who is transferring
NEW_POSITION	NEWPOS	1{ALPHANUMERIC} 25	Free form text	New position held by the person who is transferring
OFFER_PRICE	OFFPR	1{NUMERIC}5 + "." + 2{NUMERIC}4	Positive number with 2 to 4 decimals	The current offered price of a Service in dollars and cents. Used by the Seller to indicate the offering price.
OFFER_START_TIME	OFFSTIME	0,16{ALPHANUMERIC}16	Valid Date and Time to seconds: yyyy+mo+dd+hh+mm+ss+tz	Start time of the window during which a Customer may request a discounted offer. If null, no restrictions on the start of the offering time is implied (other than tariff requirements).
OFFER_STOP_TIME	OFFSPTIME	0,16{ALPHANUMERIC}16	Valid Date and Time to seconds: yyyy+mo+dd+hh+mm+ss+tz	Stop time of the window during which a Customer may request a discounted offer. (Expiration time of an offer). If null, no restrictions on the end of the offering time is implied (other than tariff requirements).
OLD_DATA	OLDDATA	0{ALPHANUMERIC} 200	Any valid Data Element value	For audit log, the old value of a Template Data Element prior to being updated. This element is not applicable in the audit log for transaction events.



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OPTIONAL_CODE	N/A	0{ALPHANUMERIC} 25	Unique path name within region	OPTIONAL_CODE - 25 chars, unique for Path. If used for directionality, then the first 12 characters shall represent POR, followed by >->, followed by 12 characters which shall represent POD. Used by PATH_NAME.
OTHER_CURTAILMENT_PRIORITY	OTHCUR	0{ALPHANUMERIC} 8	Free form text	Other than NERC curtailment priorities, such as regional curtailment priorities. Suggested format region+number, for example MAPP4, WSCC7. Documented in LIST Template.
OUTPUT_FORMAT	FMT	4{ALPHANUMERIC} 4	HTML, DATA	Format of response: HTML = hypertext markup language for presentation using a web browser DATA = text for use in a downloaded file.
PATH_CODE	N/A	0{ALPHANUMERIC} 12	Unique code for each path as defined by primary provider	Unique code within a Region for each path. Used by PATH_NAME



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PATH_NAME	PATH	5{ALPHANUMERIC} 50	Unique value	The unique name assigned to a single transmission line or the set of one or more parallel transmission lines whose power transfer capabilities are strongly interrelated and must be determined in aggregate. These lines are typically described as being on a path, corridor or interconnection in some regions, or as crossing an interface or cut-plane in other regions. Multiple lines may be owned by different parties and require prorating of capability shares. The name is constructed from the following codes, with each code separated by a "/". Trailing “/@may be omitted, if there are no values for OPTION_CODE and SPARE_CODE: REGION_CODE - 2 chars, unique to OASIS System PRIMARY_PROVIDER_CODE - 4 chars, unique within Region PATH_CODE - 12 chars, unique for Primary Provider OPTIONAL_CODE - 25 chars, unique for Path. If used for directionality, then the first 12 characters shall represent POR, followed by >->, followed by 12 characters which shall represent POD SPARE_CODE - 3 chars.
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POINT_OF_DELIVERY	POD	1{ALPHANUMERIC} 12, Only non-numeric and non-alpha character allowed is ".".	Unique value within Primary Provider. Only special character allowed is ".", for example, ab.cde.123	Point of Delivery is one or more point(s) of interconnection on the Transmission Provider's transmission system where capacity and/or energy transmitted by the Transmission Provider will be made available to the Receiving Party. This is used along with Point of Receipt to define a Path and direction of flow on that path. For internal paths, this would be a specific location(s) in the area. For an external path, this may be an area-to-area interface.
POINT_OF_RECEIPT	POR	1{ALPHANUMERIC} 12 Only non-numeric and non-alpha character allowed is ".".	Unique value within Primary Provider. Only special character allowed is ".", for example, ab.cde.123	Point of Receipt is one or more point(s) of interconnection on the Transmission Provider's transmission system where capacity and/or energy transmitted will be made available to the Transmission Provider by the Delivering Party. This is used along with Point of Delivery to define a Path and direction of flow on that path. For internal paths, this would be a specific location(s) in the area. For an external path, this may be an area-to-area interface.
POSTING_NAME	POSTNAME	1{ALPHANUMERIC} 25	Free form text	Name of person who is posting the information on the OASISNode
POSTING_REF	POSTREF	1{ALPHANUMERIC} 12	Unique Value	Assigned by TSIP when Service or Message is received by TSIP. Unique reference can be used by the user to modify or delete the posting.



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PRECONFIRMED	PRECONF	2{ALPHA}3	YES or NO	Used by Customer to preconfirm sale in Template TRANSREQUEST or ANCREQUEST. If customer indicates sale is preconfirmed, then the response is YES and the customer does not need to confirm the sale.
PRICE_UNITS	UNITS	0(ALPHA)20	Free form text	The units used for CEILING_PRICE, OFFER_PRICE, and BID_PRICE. Examples: \$/MWhr, \$/MWmonth
PRIMARY_PROVIDE R_CODE	PROVIDER	1{ALPHANUMERIC} 4	Unique code	Unique code for each Primary Provider. Used by PATH_NAME and in URL. Registered as part of URL at www.tsin.com.
PRIMARY_PROVIDE R_COMMENTS	PPROVCO M	0{ALPHANUMERIC} 255	Free-form text	Informative text. Usually entered by the Primary Provider through a back end system. For information communicated between primary transmission provider and all other parties.
PRIMARY_PROVIDE R_DUNS	PPROVDU NS	9{NUMERIC}9	Valid DUNS number	Unique code for each Primary. Provided by Dun and Bradstreet.
PROCEDURE_NAME	PROCNAME	0{ALPHANUMERIC} 25	Free form text, for example NERC TLR Or as indicated in the LIST Template	Name of TLR or interruption procedure
PROCEDURE_LEVEL	PROCLVL	1{ALPHANUMERIC} 25	Valid NERC or local procedure level	NERC or local procedure level Example: 2a, 3
PROVIDER_ACTION	PROVACT	1{ALPHANUMERIC} 25	Free form text, for example: DENIED CURTAILED  INTERRUPTED	PROVIDER_ACTION indicates the particular action taken by the Transmission Provider with respect to the scheduled transaction; specific values to be returned are, DENIED if the schedule was not started as requested, CURTAILED if the scheduled MW was limited for reliability reasons, or INTERRUPTED if the scheduled MW was limited for economic reasons.



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REASSIGNED_CAPACITY	RASCAP	1{NUMERIC}12	Positive number, cannot exceed previous capacity	The amount of transfer capability that was reassigned from one entity to another.
REASSIGNED_REF	REREF	1{ALPHANUMERIC} 12	Unique value	REASSIGNED_REF contains the ASSIGNMENT_REF of any preceding (parent) requests that are affected by this request. Used only for secondary market sales.
REASSIGNED_START_TIME	RESSTIME	16{ALPHANUMERIC}16	Valid date and time to seconds: yyyy+mo+dd+hh+tz	Beginning date and time of the reassigned transmission service
REASSIGNED_STOP_TIME	RESSPTIME	16{ALPHANUMERIC}16	Valid date and time to hour: yyyy+mo+dd+hh+tz	Date and time of the end of the transmission service that is reassigned to another User.
RECORD_STATUS	RECSTATU	1{NUMERIC}3	Error number	Record status indicating record was successful or error code if unsuccessful. 200 = Successful
RECORD_TYPE	RECTYPE	1{ALPHA}1	Valid Types:  I U  D	Indicates the type of information reported in a response record generated by an audit Template. "I" designates information as it was initially inserted (posted) on OASIS; "U" designates information updated (modified) on OASIS; "D" designates deleted information as it appeared on OASIS just prior to being deleted (as appropriate).
REDUCTION_REASON	REDREAS	1{ALPHANUMERIC} 50	Free form text	Reason for the reduction
REDUCTION_TYPE	REDTYPE	1{ALPHANUMERIC} 25	Free form text	Type of reduction such as REDIRECT, INTERRUPTION, RESALE, DISPLACEMENT



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REGION_CODE	N/A	1{ALPHANUMERIC} 2	Unique within OASIS System	Defined for NERC regions, with the following defined: E - ECAR I - MAIN S - SERC T - ERCOT A - MAPP P - SPP M - MAAC N - NPCC W - WSCC F - FRCC Second character or digit reserved for subregion id as defined by each region.
RELATED_REF	RELREF	1{ALPHANUMERIC} 12	Unique reference	Contains the ASSIGNMENT_REF of any preceding (parent) requests that are affected by this request
REQUEST_REF	RREF	0{ALPHANUMERIC} 12	Unique value	A reference uniquely assigned by a Customer to a request for service from a Provider.
REQUEST_STATUS	RSTATUS	1{NUMERIC}3	Error number	Message status indicating message was successful (if all RECORD_STATUS show success) or error code if any RECORD_STATUS showed unsuccessful. 200 = Successful



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REQUEST_TYPE	REQTYPE	1{ALPHA}30	Valid Types: ORIGINAL RESALE RENEWAL MATCHING DEFERRAL REDRECT {Registered}	ORIGINAL - typical reservation requests submitted to the Primary Provider RESALE - secondary market requests submitted to a Transmission Customer as Secondary Transmission Provider RENEWAL - request to renew an expiring transmission reservation MATCHING - request to meet or exceed a competing request to retain transmission service (right of first refusal) DEFERRAL - request to defer or apply for extension on start of transmission service REDIRECT - request to redirect all or portion of a transmission reservation to an alternate POR/POD and/or make other changes to the terms of service as permitted {registered} - Primary Transmission Provider's may register values for REQUEST_TYPE to implement specific provisions of their Tariffs.
RESPONSE_TIME_LIMIT	RESPTL	16{ALPHANUMERIC}16	Valid date and time to seconds: yyyy+mo+dd+hh +mm+ss+tz	Date and time to seconds by when a response must be received from a Customer
RESPONSIBLE_PARTY	PARTY	1{ALPHANUMERIC}25	Free form text	The company code or the name of the person who initiated the reduction, e.g. the security coordinator code
RESPONSIBLE_PARTY_NAME	PARTNAME	1{ALPHANUMERIC}25	Free form text	The name of the person responsible for granting the discretion.
RETURN_TZ	TZ	2{ALPHANUMERIC}2	AD, AS, PD, PS, ED, ES, MD, MS, CD, CS, UT	A time zone code, indicating the base time zone, and whether daylight saving time is to be used. This field may be set by a Customer in a query. Returned date and time data is converted to this time zone.
SALE_REF	SREF	0{ALPHANUMERIC}12	Unique value	Identifier which is set by seller (including Primary Provider) when posting a service for sale
SCHEDULE_GRANTED	SCHEDGRNTED	0{NUMERIC}12	Non-negative number in units of MW	SCHEDULE_GRANTED reflects the MW value of energy actually scheduled by the Transmission Provider at either the point of receipt or delivery, whichever is larger, over the START_TIME/STOP_TIME time interval



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SCHEDULE_LIMIT	SCHEDULELIMIT	0{NUMERIC}12	Non-negative number in units of MW	SCHEDULE_LIMIT reflects the <b>maximum</b> MW value over the START_TIME/STOP_TIME interval that the Provider has determined can be scheduled
SCHEDULE_PRIORITY	SPRIORITY	0{NUMERIC}2	Positive Number	SCHEDULE_PRIORITY identifies the relative priority of this particular interchange transaction as compared to all other scheduled transactions with respect to the application of curtailments or interruptions. SCHEDULE_PRIORITY would typically reflect the curtailment priority Data Elements associated with the OASIS transmission reservation used to support the schedule (i.e., NERC_CURTAILMENT_PRIORITY or OTHER_CURTAILMENT_PRIORITY).
SCHEDULE_REF	SCHDREF	0{ALPHANUMERIC}20	Unique reference	Unique reference assigned by Transmission Provider to a posting of a schedule information
SCHEDULE_REQUESTED	SCHEDULEREQ	0{NUMERIC}12	Non-negative number in units of MW	Scheduled energy requested by the Transmission Customer (TC)
SECURITY_REF	SECREP	1{ALPHANUMERIC}10	Unique value	Unique value generated by company initiating the security for each security event in the SECURITY Template.
SECURITY_TYPE	SECTYPE	1{ALPHANUMERIC}	Free form text for example: OUTAGE LIMIT	SECURITY_TYPE identifies the type of information posted for the event; restricted values are OUTAGE for postings reflecting the state of critical transmission facilities, and LIMIT for postings reflecting the implementation of security procedures to limit or reduce scheduled transactions.
SELLER_CODE	SELLER	1{ALPHANUMERIC}6	Unique value	Organization name of Primary Provider or Reseller.
SELLER_COMMENTS	SELCOM	0{ALPHANUMERIC}255	Free-form text	Informative text provided by the Seller. For information communicated between the seller (either Primary Provider or reseller) to the customer of the services.
SELLER_DUNS	SELDUNS	9{NUMERIC}9	Valid DUNS number	Unique Data Universal Numbering System provided by Dun and Bradstreet. Code for a Primary Provider or Seller.
SELLER_EMAIL	SELEMAIL	5{ALPHANUMERIC}60	Valid network reference	E-Mail address of Seller contact person



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SELLER_FAX	SELFAX	14{ALPHANUMERIC} 20	Area code and telephone number, plus any extensions Example: (aaa)-nnn- nnnn xxxnn	The fax telephone number for contact person at Seller.
SELLER_NAME	SELNAME	1{ALPHANUMERIC}2 5	Free form text	The name of an individual contact person at the Seller.
SELLER_PHONE	SELPHONE	14{ALPHANUMERIC} 20	Area code and telephone number, plus any extensions (aaa)-nnn- nnnn xxxnn	The telephone number of a contact person as a Seller
SELLER_REF	SELREF	0{ALPHANUMERIC}1 2	Free-form text	Identifier which is set by seller (including Primary Provider) to uniquely identify reservation requests for seller's own internal use
SERVICE_DESC RIPTION	SVCDESC	0{ALPHANUMERIC} 200	Free-form text	Information regarding a service.
SERVICE_INCREMENT	SRVINCR	1{ALPHANUMERIC}8	Valid increments • HOURLY • Daily • Weekly • Monthly • Yearly • {Registered}	The transmission service increments provided. Five are pre-defined, while additional increments can be used if they are registered on TSIN.COM and shown in the Provider's LIST Template
SERVICE_NAME	SVCNAME	1{ALPHANUMERIC} 25	Free-form text	Name of service affected by the discretionary action
SERVICE_TYPE	SVCTYPE	1{ALPHANUMERIC} 25	Free-form text	Type of service affected by the discretionary action.



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SINK	SINK	0{ALPHANUMERIC}14	Valid area name	The area in which the SINK is located.
SOURCE	SOURCE	0{ALPHANUMERIC}14	Valid area name	The area in which the SOURCE is located.
SPARE_CODE	N/A	0{ALPHANUMERIC}3	Defined by region	Spare code to be used at a later time. Used by PATH_NAME
STANDARDS_OF_CONDUCT_ISSUES	STDISSUE	0{ALPHANUMERIC}800	Free-form text	Issues that were in violation of the FERC Standards of Conduct. This text may include a reference pointer to a more detailed description.
START_TIME	STIME	16{ALPHANUMERIC}16	Valid Date and Time to seconds: yyyy+mo+dd+hh +mm+ss+tz	Start date and clock time of a service. When used as a Query Variable, it requires the return of all items whose Stop time is after the Start time. Note that for some Templates when used as a Query Variable the time may be only valid up to the hour, day or month. If more data is given than is valid, the hour, day or month will be used to make the date and time inclusive, i.e. date or time will be truncated to valid hour, day or month.
START_TIME_POSTED	STIMEP	16{ALPHANUMERIC}16	Valid Date and Time to seconds: yyyy+mo+dd+hh +mm+ss+tz	Query parameter to indicate all the records are to be retrieved that were posted on or after this time.
START_TIME_QUEUED	STIMEQ	16{ALPHANUMERIC}16	Valid Date and Time to seconds: yyyy+mo+dd+hh +mm+ss+tz	Start date and clock time of a service, used for requesting transactions queued after this time



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STATUS	STATUS	5{ALPHANUMERIC}2 5	Valid field (QUEUED, INVALID, RECEIVED, STUDY, REBID, COUNTEROFFER, DECLINED, SUPERSEDED, ACCEPTED, REFUSED, CONFIRMED, WITHDRAWN, DISPLACED, ANNULLED, RETRACTED)	<p>QUEUED =</p> <p>INVALID =</p> <p>RECEIVED=</p> <p>STUDY=</p> <p>REFUSED =</p>	<p>initial status assigned by TSIP on receipt of "customer services purchase request". assigned by TSIP or Provider indicating an invalid field in the request, such as improper POR, POD, source, sink, etc. (Final state).</p> <p>assigned by Provider or Seller to acknowledge QUEUED requests and indicate the service request is being evaluated, including for completing the required ancillary services.</p> <p>assigned by Provider or Seller to indicate some level of study is required or being performed to evaluate service request.</p> <p>assigned by Provider or Seller to indicate service request has been denied due to lack of availability of transmission capability. SELLER_COMMENTS should be used to communicate details for denial of service. (Final state).</p>
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STATUS (cont.)				<p>COUNTEROFFER=</p> <p>REBID =</p> <p>SUPERSEDED =</p> <p>ACCEPTED =</p>	<p>assigned by Provider or Seller to indicate that a new OFFER_PRICE is being proposed or that CAPACITY_GRANTED is less than CAPACITY_REQUESTED assigned by Customer to indicate that a new BID_PRICE is being proposed.</p> <p>assigned by Provider or Seller when a request which has not yet been confirmed is preempted by another reservation request. (Final state).</p> <p>assigned by Provider or Seller to indicate the service request at the designated OFFER_PRICE and CAPACITY_GRANTED have been approved/accepted. If the reservation request was submitted PRECONFIRMED and CAPACITY_GRANTED is equal to CAPACITY_REQUESTED, the TSIP shall immediately set the reservation status to CONFIRMED. Depending upon the type of ancillary services required, the Seller may or may not require all ancillary service reservations to be completed before accepting a request.</p>
STATUS (cont.)				DECLINED =	<p>assigned by the Provider or Seller to indicate that the terms and conditions, such as the BID_PRICE, are unacceptable and that negotiations are terminated or</p>



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				<p>RETRACTED</p> <p>WITHDRAWN =</p> <p>CONFIRMED =</p> <p>DISPLACED =</p>	<p>that contractual terms have not been met. (Final state). assigned by Provider or Seller when the Customer fails to confirm or withdraw an accepted updated offer within the required time period. (Final state).</p> <p>assigned by the Customer at any point in request evaluation to withdraw the request from any further action. (Final state).</p> <p>assigned by the Customer in response to the Provider or Seller posting "ACCEPTED" status, to confirm service. Once a request has been "CONFIRMED", a transmission service reservation exists. (Final state, unless overridden by DISPLACED or ANNULLED state).</p> <p>DISPLACED = assigned by Provider or Seller when a "CONFIRMED" reservation from a Customer is displaced by a higher priority request, and the Customer is not offered or has not exercised right of first refusal (i.e. refused to</p>
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STATUS_COMMENTS	STACOM	0{ALPHANUMERIC} 255	Free form text	Informative: For information to be communicated by any party to all other parties.
STATUS_NOTIFICATION	STATNOT	0{ALPHANUMERIC} 200	http://URL:portnumber/directory/cgi script/query parameters or Mailto: <e-mail address>	The STATUS_NOTIFICATION Data Element shall contain the protocol field "http:", which designates the notification method/protocol to be used, followed by all resource location information required; the target domain name and port designations shall be inserted into the notification URL based on the Customer's Company registration information. The resource location information may include directory information, cgi script identifiers and URL encoded query string name/value pairs as required by the Customer's application. or mailto and email address for the status information the Customer wants to receive upon a change in STATUS of transstatus, or ancstatus
STOP_TIME	SPTIME	16{ALPHANUMERIC}16	Valid date and time yyyy+mo+dd+hh +mm+ss+tz	Stop date and clock time. When used as a Query Variable, it requires the return of all items which start before the Stop time. Note that for some Templates when used as a Query Variable the time may be only valid up to the hour, day or month. If more data is given than is valid, the hour, day or month will be used to make the date and time inclusive, i.e. date or time will be increased to include STOP_TIME.
STOP_TIME_POSTED	STPTIMEP	16{ALPHANUMERIC}16	Valid Date and Time to seconds:yyyy+mo+dd+hh +mm+ss+tz	Query parameter to indicate all the records are to be retrieved that were posted on or before this time.



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STOP_TIME_QUEUED	SPTIMEQ	16{ALPHANUMERIC}16	Valid Date and Time to seconds: yyyy+mo+dd+hh +mm+ss+tz	Stop date and clock time, used for requesting transactions queued before this time
SUBJECT	SUBJ	0{ALPHANUMERIC} 80	Free form text	Informative text used to summarize a topic in a message
SYSTEM_ATTRIBUTE	SYSATTR	0{ALPHANUMERIC}15	Valid values: CBM TRM TTC NATC RATC or listed in the LIST Template	Type of system data viewed by SYSTEMDATA Template: CBM - Capacity Benefit Margin TRM - Transmission Reliability Margin TTC - Total Transmission Capability NATC - Non-recallable (Firm) Available Transmission Capability RATC - Recallable (Non-firm) Available Transmission Capability {registered} - Provider specific registered name for the data posted
TARIFF_REFERENCE	TARIFF	0{ALPHANUMERIC} 150	Free form text. Name and description of Tariff	Tariffs approved by FERC
TEMPLATE	TEMPL	1{ALPHANUMERIC}20	Valid Name of Template from Section 4.3 or from LIST Template	The name of a logical collection of DATA_ELEMENTS in a User's interaction with an OASIS Node.
TIME_OF_LAST_UPDATE	TLUPDATE	16{ALPHANUMERIC}16	Valid date and time to seconds: yyyy+mo+dd+hh +mm+ss+tz	Date and time to seconds that data was last updated. May be used to search data updated since a specific point in time.



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TIME_POSTED	TIMEPST	16{ALPHANUMERIC}16	Valid Date and Time to seconds: yyyy+mo+dd+hh+mm+ss+tz	Date and time a message is posted
TIME_QUEUED	TIMEQ	16{ALPHANUMERIC}16	Valid Date and Time to seconds: yyyy+mo+dd+hh+mm+ss+tz	Date and time that the request was queued
TIME_STAMP	TSTAMP	16{ALPHANUMERIC}16	Valid date and Time to seconds yyyy+mo+dd+hh+mm+ss+tz	Time data is created
TRANSACTION_ID	TRANSID	1{ALPHANUMERIC}20	Unique value	Unique identifier associated with an interchange transaction that may span multiple SCHEDULE_REF records. May be the Tag id.
TS_CLASS	TSCLASS	1{ALPHANUMERIC}20	Valid classes: • FIRM • NON-FIRM • TTC • SECONDARY • Registered}	The transmission service classes provided. Four are pre-defined, while additional classes can be used if they are registered on TSIN.COM and shown in the Provider's LIST Template page. SECONDARY is defined as alternate points of receipt or delivery for POINT_TO_POINT, or as nondesignated resources for NETWORK service.
TS_PERIOD	TSPER	1{ALPHANUMERIC}20	Valid periods: • ON_PEAK • OFF_PEAK • FULL_PERIOD • {Registered}	The transmission service periods provided. Three are pre-defined, while additional periods can be used if they are registered on TSIN.COM and shown in the Provider's LIST Template
TS_SUBCLASS	TSSUBC	0{ALPHANUMERIC}20	Free Form	The transmission service subclasses provided. These are freeform.
TS_TYPE	TSTYPE	1{ALPHANUMERIC}20	Valid types • POINT_TO_POINT • NETWORK • ATC •	The transmission service types provided. Three are pre-defined, while additional types can be used if they are registered on TSIN.COM and shown in the Provider's LIST Template



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			{Registered}	
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TS_WINDOW	TSWIND	1{ALPHANUMERIC}20	Valid windows • FIXED • SLIDING • EXTENDED • NEXT_INCREMENT • {Registered }	The transmission service windows provided. Four are pre-defined, while additional windows can be used if they are registered on TSIN.COM and shown in the Provider's LIST Template
TZ	TZ	2{ALPHANUMERIC}2	Valid time zone and indication whether daylight savings time is to be used	Time zones: Atlantic time = AD, AS Eastern time = ED, ES Central time = CD, CS Mountain time = MD, MS Pacific time = PD, PS Universal time = UT
VALID_FROM_TIME	VALFTIME	16{ALPHANUMERIC}16	Valid date and time yyyy+mo+dd+hh +mm+ss+tz	Date and time after which the message is valid
VALID_TO_TIME	VALTTIME	16{ALPHANUMERIC}16	Valid date and time yyyy+mo+dd+hh +mm+ss+tz	Date and time before which the message is valid
VALUE	VALUE	1{NUMERIC}20	A number	FACILITY_ATTRIBUTE value
VALUE_UNITS	VALUEUTS	1{ALPHANUMERIC}20	Free form string	Unites used for VALUE
VERSION	VER	1{REAL NUMBER}6	Range of 1.0 to 9999.9	Specifies which version of the OASIS Standards and Communication Protocol to use when interpreting the request



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## Attachment D

### Revisions to Section 4.2.10.2 of the S&CP Document

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**Section 4.2.10.2 of the S&CP Document is revised to provide as follows:**

#### 4.2.10.2 Status Values

The possible STATUS values are:

QUEUED = initial status assigned by TSIP on receipt of "customer services purchase request."

INVALID = assigned by TSIP or Provider indicating an invalid field in the request, such as improper POR, POD, source, sink, etc. (Final state).

RECEIVED = assigned by Provider or Seller to acknowledge QUEUED requests and indicate the service request is being evaluated, including for completing the required ancillary services.

STUDY= assigned by Provider or Seller to indicate some level of study is required or being performed to evaluate service request.

REFUSED = assigned by Provider or Seller to indicate service request has been denied due to lack of availability of transmission capability. SELLER\_COMMENTS should be used to communicate details for denial of service. (Final state).

COUNTEROFFER = assigned by Provider or Seller to indicate that a new OFFER\_PRICE is being proposed.

REBID = assigned by Customer to indicate that a new BID\_PRICE is being proposed.

SUPERSEDED = assigned by Provider or Seller when a request which has not yet been confirmed is preempted by another reservation request. (Final state).

ACCEPTED = assigned by Provider or Seller to indicate the service request at the designated OFFER\_PRICE has been approved/accepted. If the reservation request was submitted PRECONFIRMED, the OASIS Node shall immediately set the reservation status to CONFIRMED. Depending upon the type of ancillary services required, the Seller may or may not require all ancillary service reservations to be completed before accepting a request.

DECLINED = assigned by Provider or Seller to indicate that the BID\_PRICE is unacceptable and that negotiations are terminated. SELLER\_COMMENTS should be used to communicate reason for denial of service. (Final state).



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**CONFIRMED** = assigned by Customer in response to Provider or Seller posting "ACCEPTED" status, to confirm service. Once a request has been "CONFIRMED," a transmission service reservation exists. (Final state, unless overridden by DISPLACED or ANNULLED state).

**WITHDRAWN** = assigned by Customer at any point in request evaluation to withdraw the request from any further action. (Final state).

**DISPLACED** = assigned by Provider or Seller when a "CONFIRMED" reservation from a Customer is replaced by a longer term reservation and the Customer has not exercised right of first refusal, if any (i.e., refused to match terms of new request). (Final state).

**ANNULLED** = assigned by Provider or Seller when, by mutual agreement with the Customer, a confirmed reservation is to be voided. (Final state).

**RETRACTED** = assigned by Provider or Seller when the Customer fails to confirm or withdraw the request within the required time period. (Final state).



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### ATTACHMENT E

**Oasis Version 1.4 corrections, outlined in a letter dated January 30, 2001, from Paul R. Sorenson, OSC Chair, to David P. Borgers, Office of the Secretary, Federal Energy Regulatory Commission**

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January 30, 2001

The Honorable David P. Boergers  
Office of the Secretary  
Federal Energy Regulatory Commission  
888 First Street, N. E.  
Washington, DC 20426

**References: FERC Open Access Same-Time Information System and Standards of Conduct, 18 CFR Part 37, Docket No. RM95-9-014, August 1, 2000**  
**Subject: OASIS Version 1.4 corrections**

Dear Secretary Boergers:

In implementing OASIS 1.4 the following minor errors in the Standards and Communications Protocols for OASIS Data Dictionary were found. The OASIS Standards Collaborative group (OSC, formerly known as the OASIS How Working Group) requests that the following corrections be incorporated into the Data Dictionary for implementation of OASIS Version 1.4:

- The attributes CAPACITY\_SCHEDULED, OLD\_DATA, VALUE, and VALUE\_UNITS are no longer used and should have been deleted from the Data Dictionary.
- The FACILITY\_NAME needs to be increased from 25 to 100 characters to accommodate the full length of the PATH\_NAME data element and allow for more detailed naming standards in the future.
- The definitions for INITIATING\_PARTY and RESPONSIBLE\_PARTY have been changed to avoid confusion in interpretation. These element identify a Control Area, Security Coordinator, etc., by their four character registered code and not a person.
- OTHER\_CURTAILMENT\_PRIORITY has been changed to a designation of "{registered}" to reflect the requirement to register any alternative curtailment priority attributes adopted by the Transmission Provider as called for under Standard 2.4 of the Business Practice Standards for OASIS Transactions Version 1.1.
- The attributes PROCEDURE\_NAME and PROCEDURE\_LEVEL are defined to either be the NERC Transmission Loading Relief (TLR) or WSCC Un-Scheduled Flow (USF) transmission security procedures and their corresponding curtailment levels, or a name and associated levels registered at tsin.com identifying local transmission security procedures implemented by the Transmission Provider.
- The maximum length of the SECURITY\_TYPE element was omitted, and the restricted values of "OUTAGE" and "LIMIT" were not clearly identified.
- The REQUEST\_TYPE value for REDIRECT requests was mistyped.



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- The data attribute TRANSACTION\_ID needs to be increased from 20 to 30 characters to accommodate the 23 character string length of the NERC Tag ID.

Attached are red-lined excerpts from the OASIS Data Dictionary reflecting the above changes.

Respectfully,

Paul R. Sorenson  
OSC Chair



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**ATTACHMENT F**

Open Access Same Time Information System  
Order No. 605

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**UNITED STATES OF AMERICA  
FEDERAL ENERGY REGULATORY COMMISSION  
87 FERC ¶ 61,224  
18 CFR Part 37**

**[Docket No. RM98-3-000; Order No. 605]**

**Open Access Same-Time Information System**

**FINAL RULE**

**(Issued May 27, 1999)**

AGENCY: Federal Energy Regulatory Commission.

ACTION: Final Rule.

SUMMARY: The Federal Energy Regulatory Commission (Commission) is amending its regulations to: (1) extend the retention period and availability of information on curtailments and interruptions; (2) allow the Commission staff and the public to access the supporting information on curtailments and interruptions, upon request; (3) codify that OASIS users are allowed to make file transfers and queries as defined in the Standards and Communications Protocols (S&CP) Document; (4) clarify that Responsible Parties are required to provide access to their OASIS sites for OASIS users making automated queries for extensive amounts of data; (5) add a provision to allow Responsible Parties, under certain circumstances, to limit a user's access to an OASIS node; and (6) add a provision to require OASIS users to notify Responsible Parties one month in advance of initiating a significant amount, or significantly increasing the use, of automated queries.



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EFFECTIVE DATE: This final rule will become effective on [insert date 30 days after publication of this final rule in the Federal Register].

FOR FURTHER INFORMATION CONTACT:

Marvin Rosenberg (Technical Information)  
Office of Economic Policy  
Federal Energy Regulatory Commission  
888 First Street, N.E.  
Washington, D.C. 20426  
(202) 208-1283

Paul Robb (Technical Information)  
Office of Electric Power Regulation  
Federal Energy Regulatory Commission  
888 First Street, N.E.  
Washington, D.C. 20426  
(202) 219-2702

Andrea Weinstein (Legal Information)  
Office of the General Counsel  
Federal Energy Regulatory Commission  
888 First Street, N.E.  
Washington, D.C. 20426  
(202) 208-1017

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UNITED STATES OF AMERICA  
FEDERAL ENERGY REGULATORY COMMISSION

Before Commissioners: James J. Hoecker, Chairman;  
Vicky A. Bailey, William L. Massey,  
Linda Breathitt, and Curt Hébert, Jr.

Open Access Same-Time Information System ) Docket No. RM98-3-000  
System )

Order No. 605

FINAL RULE

(Issued May 27, 1999)

BACKGROUND

This proceeding began with the issuance of a Notice of Proposed Rulemaking (NOPR) on July 29, 1998. <sup>1/</sup> The NOPR addressed three main Open Access Same-Time Information System (OASIS) <sup>1/</sup> issues: (1) the retention period and availability of information about curtailments and interruptions; (2) the ability of OASIS users to make file transfers and automated computer-to-computer file transfers and queries; and (3) limiting a user's access to an OASIS node.

We invited comments on enumerated issues, along with general comments. Comments were filed by 16 commenters. These comments were generally favorable to the proposed

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<sup>3/</sup> Open Access Same-Time Information System, Notice of Proposed Rulemaking, FERC Stats. & Regs. ¶ 32,531 (1998).

<sup>4/</sup> Open Access Same-Time Information System (Formerly Real-Time Information Networks) and Standards of Conduct, Order No. 889, FERC Stats. & Regs. ¶ 31,035 (1996), order on reh'g, Order No. 889-A, FERC Stats. & Regs. ¶ 31,049 (1997), order on reh'g, Order No. 889-B, 81 FERC ¶ 61,253 (1997).



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changes, although numerous disagreements remained as to the details. The comments will be discussed below on an issue-by-issue basis. <sup>1</sup>/

This final rule is being issued after a review of the comments filed in response to the Commission's NOPR issued in this proceeding on July 29, 1998. The final rule becomes effective on [insert date 30 days after publication of this final rule in the Federal Register].

### DISCUSSION

In this final rule, we are making revisions to 18 CFR Part 37. These revisions include: (1) amending the retention period for supporting information about curtailments and interruptions in § 37.6(e)(3)(ii); (2) amending § 37.6(e)(3)(ii) to allow the Commission staff and the public access to the supporting information on curtailments and interruptions, upon request; (3) amending § 37.6(a)(6) to allow OASIS users to make file transfers and queries as defined in the S&CP Document; (4) adding § 37.5(c) to require Responsible Parties to provide access to their OASIS sites for OASIS users making automated queries for extensive amounts of data; (5) adding § 37.5(d) and § 37.5(e) to allow Responsible Parties, under certain circumstances, to limit a user's access to an OASIS node; and (6) adding § 37.8(a) to require OASIS users to notify Responsible Parties one month in advance of initiating a significant amount, or significantly increasing the use, of automated queries.

#### **A. Access To, and Retention of Supporting Information on Curtailments and Interruptions**

##### **1. Retention Period**

The first issue is whether to extend the retention period of supporting information on curtailments and interruptions. Currently, our regulations at 18 CFR § 37.6(e)(ii) require that

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<sup>5</sup>/ In the discussion that follows, our references to comments are illustrative and not exhaustive. While we have identified all of the major issues raised by the commenters, we have not attempted to identify all commenters in instances where more than one comment makes the same point.



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Transmission Providers make available supporting information about curtailments and interruptions for 60 days after the occurrence of the curtailment or interruption, upon request by the affected customer. Our regulations at § 37.6(e)(i) require that a Transmission Provider post notice of the curtailment or interruption on the OASIS and state why the transaction could not be continued or completed. Furthermore, § 37.6(e)(ii) required that information to support the curtailment and the operating status of the facilities involved in the constraint must be maintained.

In the NOPR, we noted that issues concerning curtailments and interruptions have been the subject of a number of informal complaints to the FERC Enforcement Hotline. Accordingly, we proposed to revise our regulations to require that Transmission Providers retain supporting information about curtailments and interruptions for three years.

### **Comments**

A number of commenters supported the Commission's proposal to require Transmission Providers to retain the supporting information about curtailments and interruptions for three years. Numerous commenters believe that several aspects of the Commission's proposal need clarification.

The How Group <sup>6/</sup> recognizes that supporting data can be voluminous and it recommends the following clarification: OASIS systems are still required to provide curtailment information on-line in the current templates for ninety (90) days [18 CFR § 37.6(e)(3)(i)], and

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<sup>6/</sup> During a technical conference held by the Commission's staff in July 1995, a consensus developed that two industry groups should be formed, one dealing with "what" information should be posted on the network and the other dealing with "how" to design the OASIS. The "what" group would be facilitated by the North American Electric Reliability Council (NERC) and the "how" group would be facilitated by the Electric Power Research Institute. See Real-Time Information Networks, Notice of Timetable and Opportunity for Participation in Industry Working Groups, FERC Stats. & Regs. ¶ 35,029 (1995).



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supporting information must be retained off-line for three years. 1/ The How Group notes that their recommendation is consistent with the retention requirements for audit data. Cal ISO, MAIN and Southwest support the How Group's proposal. 1/

Cinergy is unclear as to where the information needs to be maintained. Cinergy requests that, if storage of the supporting information is to be off-line, then the Commission should require the Transmission Providers to provide near-term curtailment and interruption data on-line for at least 120 days. 1/

EPSA supports the Commission's proposal to amend its regulations to require that Transmission Providers retain supporting information about curtailments and interruptions for three years. EPSA, however, argues that three years may be insufficient in some circumstances. EPSA argues that Transmission Providers should be required to maintain the supporting data for so long as necessary if such data relates to a complaint pending before the Commission, or otherwise is needed to resolve issues in an ongoing proceeding. 1/

CSW and VEPCO argue that a three-year retention period is too long and that Transmission Providers would be transformed into archivists. 1/ CSW asserts that a one-year retention period is a more cost-effective approach. VEPCO recommends that the Commission keep the 60-day retention requirement. However, VEPCO notes that at a maximum, requiring retention for one year might be useful in comparing curtailments and interruptions on a seasonal basis.

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7/ How Group comments at 2.

8/ A list of Commenters' full names and corresponding abbreviations is contained in Attachment 1.

9/ See Cinergy comments at 2.

10/ EPSA comments at 4.

11/ See CSW comments at 2; VEPCO comments at 5-6.



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### **Commission Conclusion**

After considering the comments, we continue to believe that three years is an appropriate period for maintaining supporting information about curtailments and interruptions. As the How Group notes, the proposed three-year retention period for supporting curtailment and interruption data is consistent with the retention period for audit data. <sup>1/</sup> Therefore, we will modify the regulations at 18 CFR § 36(e)(3)(ii) to require that the information to support a curtailment or interruption must be retained off-line for three years. In our judgment, a three-year retention period is useful in comparing curtailments and interruptions over time.

In response to EPSA, we note that under the Federal Power Act, public utilities have record-keeping and reporting obligations and are subject to the Commission's investigation and enforcement powers. <sup>1/</sup> These requirements provide safeguards for the handling of documents during pending cases. In any event, we see no need at this time to adopt regulations specifically on retention of information relevant to pending proceedings on curtailments or interruptions.

#### **2. Access to and Availability of Supporting Information**

Currently, our regulations at § 37(e)(3)(ii) give access to the supporting curtailment and interruption information to affected customers, upon request. In the NOPR, we expressed concern that the regulations did not allow the Commission staff and the public access to the supporting information. We noted that lack of access to the supporting information limits the

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<sup>12/</sup> See 18 C.F.R. § 37.7 (1998).

<sup>13/</sup> See Federal Power Act, Section 301 (making and preservation of accounts, records, and memoranda; Commission's right to inspect and examine); Section 304 (periodic and special reports; obstruction of the making or keeping of required information unlawful); Section 307 (investigations) and Section 314 (enforcement). These Sections are codified at 16 U.S.C. §§ 825, 825c, 825f and 825m.



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Commission's ability to audit the circumstances under which a curtailment or interruption occurs, as well as the Commission's ability to identify compliance problems and resolve complaints. Therefore, we proposed to make the supporting information about curtailments and interruptions available on request, not only to affected customers, but also to the Commission staff and the public.

### **Comments**

EPMI strongly supports the Commission's proposal to require Transmission Providers to make the supporting information relating to curtailments and interruptions available to affected customers, the Commission Staff and the public. Due to the commercial sensitivity of the supporting curtailment and interruption information, however, EPMI proposes that the information not be made available for at least 30 days after the end of the month in which the curtailment or interruption was imposed.

EEI recommends that access to information on curtailments and interruptions should only be available to Transmission Customers. EEI argues that there are serious risks to the reliability of the interconnected transmission system that could result from disclosure to the general public. EEI recommends that the Commission modify section 37.6(e)(3)(ii) to provide the information to "any other transmission customer who: (i) demonstrates a legitimate basis for requesting the information and (ii) agrees to keep the information on curtailment or interruptions confidential, provided that the information may be disclosed to the Commission pursuant to 18 CFR § 388.112." <sup>1/</sup> VEPCO recommends the same modifications to this section of our regulations.

### **Commission Conclusion**

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<sup>14/</sup> EEI comments at 3-4.



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First, disclosure of supporting curtailment and interruption data to the Commission will provide useful information for discerning patterns of undue discrimination. With access to the additional information, the Commission will have a greater ability to examine the circumstances under which a curtailment or interruption occurred. This in turn, will lead to early identification of compliance problems and faster resolution of complaints. Accordingly, we will revise § 37.6(3)(ii) to include the Commission staff.

Second, commenters raised two types of arguments concerning the Commission's proposal to allow the public access to the supporting information on curtailments and interruptions, upon request: (1) commercial sensitivity; and (2) reliability of the transmission system.

We have given careful consideration to the possible harmful commercial effects of disclosing supporting curtailment and interruption information to the public. We believe that the disclosure of this information to the public will provide useful information to the public for discerning any patterns of undue discrimination in the rendering of transmission services. Thus, disclosure to the public should promote non-discrimination and lead to better competitive utilization of transmission systems.

The Commission considers the reliability of the interconnected transmission system to be of utmost importance. NERC and the industry have made significant efforts to ensure that reliability of the transmission system is maintained and that reliability criteria are compatible with competitive markets. <sup>1/</sup> NERC and its member Regional Reliability Councils have worked cooperatively and effectively to provide reliability standards for public utilities. Furthermore, these entities have not cited any risks to reliability from disclosure of this information. Currently, Transmission Providers already post curtailment-related information on the OASIS

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<sup>15/</sup> See Order No. 888-A, FERC Stats. & Regs. ¶ 31,048 at 30,185 (1997).



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including the Available Transmission Capacity for a constrained path. Also, section 213(b) of the Federal Power Act requires transmitting utilities to make annual filings informing the "public of potentially available transmission capacity and known constraints." <sup>16/</sup> However, we are taking the precaution of requesting the Market Interface Committee (MIC) <sup>17/</sup> to review and specify the supporting information about curtailments and interruptions that should be maintained. <sup>18/</sup> In these circumstances, the Commission believes that the disclosure of information on curtailments and interruptions to the public is appropriate at this time.

### **3. Additional Information on the Congested Path**

In the NOPR, we proposed that the information under 18 CFR § 37.6(e)(3)(ii) should include information on any other uses of the congested path at the time of the curtailment or interruption. We noted that it would be helpful to know whether the curtailment or interruption was imposed on other users. Furthermore, information on any other uses of the congested path at the time of the curtailment or interruption would not be burdensome to assemble.

#### **Comments**

Many commenters supported the Commission's proposal to include additional information on other uses of the congested path at the time of curtailment or interruption.

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<sup>16/</sup> 16 U.S.C. 8241 (1994).

<sup>17/</sup> The Commercial Practices Working Group (CPWG) was an independent industry-initiated and managed group committed to providing an open forum dedicated to the development and consensus-based business practices in support of reliable and competitive bulk electricity markets. CPWG's membership included members from various segments of the wholesale electric industry, including Transmission Providers and Customers. Recently, the CPWG has been reconstituted and its functions taken over by a replacement group, the MIC, sponsored by NERC.

<sup>18/</sup> See *infra* section 3.



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Many commenters argued that the supporting information must be clearly defined and consistent across all nodes.

Cinergy asserts that it is not always possible for Transmission Providers to know all of the uses of a given path due to the dynamic nature of the power system. <sup>19/</sup> Cinergy recommends that the Commission clarify that the information furnished for congested paths be scheduled uses only.

Dynegy states that OASIS operators should be required to provide information with respect to the depth of transmission loading relief (TLR) cuts, i.e., whether transactions are being cut hourly or daily, as well as the number of transactions and the total amount in megawatts of each curtailment. <sup>20/</sup>

EPMI proposes that the Commission require hourly load data and generation output levels. EPMI further proposes that the names of impacted parties to the curtailment and the magnitude of the curtailment should be disclosed. <sup>21/</sup>

PECO submits that each Transmission Provider's OASIS site should identify, for each incident for which transmission TLR procedures are invoked, resulting in a halting or curtailment: 1) each transaction that is halted or curtailed; 2) the time at which halting or curtailment commenced; 3) the time at which the halting or curtailment terminated; 4) which Security Coordinator instituted the TLR procedures that led to such a halt or curtailment; 5) the name of the transmission facility or flowgate for which the TLR procedures were instituted; 6) what level in the TLR procedures has been called; 7) what paths are affected by the TLR procedures; 8) the quantity of megawatts per hour necessary to halt or curtail in order to

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<sup>19/</sup> See Cinergy comments at 2-3.

<sup>20/</sup> See Dynegy comments at 2.

<sup>21/</sup> See EPMI comments at 3-4.



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achieve the desired relief for the constrained transmission facility or flowgate; 9) the total aggregate of megawatts per hour halted or curtailed; and 10) the quantity of megawatts per hour that are made available as a result of such halt or curtailment that would not have otherwise been available. 1/

### **Commission Conclusion**

We believe that additional information about the state of the transmission system will enable customers to make better decisions about the quality of the transmission service they intend to purchase. We further believe that additional supporting information concerning curtailments and interruptions will make it easier to document unduly discriminatory practices concerning facilities critical to transmission capacity. However, a thorough consideration of this issue necessitates a more extensive record than we have before us at this time. To this end, we conclude that the industry is best situated to identify what other supporting information concerning curtailments and interruptions would be helpful and appropriate. We request that the MIC and the How Group prepare a report within three months from the date of publication of this final rule in the Federal Register outlining what additional supporting information about curtailments and interruptions should be posted on the OASIS and available for query. This report should address the scope of the information to support curtailments and interruptions and also include templates for queries of the additional information and for responses containing the information.

### **B. File Transfers, Automated Queries, and Extensive Requests for Data**

When the Commission first proposed OASIS, it envisioned two primary methods of accessing information on OASIS. First, small customers would generally retrieve and post information using the interactive features of OASIS. Second, medium and large customers

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22/ See PECO comments at 2.



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would generally use computer-to-computer communications to upload and download files. Using computer-to-computer communications, a customer could send a request (automated query) to an OASIS node's computer and the node's computer would respond with the requested files (download). To facilitate these file uploads and downloads, the Commission previously requested that the How Group develop standardized templates for OASIS transactions.

### **1. File Transfers and Automated Queries**

In the NOPR, the Commission noted that it received Hotline calls showing misunderstandings about the use of file transfers and automated queries. In the NOPR, we proposed to add 18 CFR § 37.6(a)(6) to allow OASIS users to make file transfers and automated computer-to-computer file transfers and queries of the nodes.

#### **Comments**

Cal ISO, MAPP and the How Group submitted comments on this issue. All three note that the S&CP Document has definitions and standards for "file transfers" and they recommend that the Commission replace references to "file transfers" with references to the upload and download specifications in the S&CP.

#### **Commission Conclusion**

At the outset, we note that the commenters correctly recognize that the S&CP Document contains definitions and standardized procedures for file transfers. The Commission did not intend to propose file transfers that were not defined in the S&CP Document. Accordingly, we will amend § 37.6 (a)(6) to clarify that OASIS nodes must allow OASIS users to make file transfers and queries as defined in the S&CP Document.

### **2. Extensive Requests for Data and Limits on OASIS Use**



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In the NOPR, we proposed to add a provision, 18 CFR § 37.5(c), to clarify that Responsible Parties are required to provide access to their OASIS sites for OASIS users making automated queries and extensive requests for data. In the NOPR, we also proposed to add a provision, 18 CFR § 37.5(d), to permit Responsible Parties, under certain circumstances, to restrict access by OASIS users who use the system in a grossly inefficient manner and degrade the performance of the node. We suggested that if a Responsible Party and an OASIS user could not resolve the matter informally, the Responsible Party would be able to seek Commission approval to limit the grossly inefficient use of the system. Comments on this issue fall into three categories: (a) disagreements with the proposal to require Commission approval before limits can be placed on individual OASIS users; (b) limits on heavy OASIS usage; and (c) the meaning of grossly inefficient use.

**a. Prior Commission Approval for OASIS Limits**

In the NOPR, we proposed that Commission approval be needed for imposition of limits on a user's access to OASIS because we wanted to avoid unwarranted limits on access. Furthermore, we wished to assure OASIS users that they would not be disconnected without cause.

**Comments**

All commenters recognize that there are circumstances under which a user's automated query capability should be limited. However, commenters disagree over whether limits should be imposed before or after notification and concurrence by the Commission. EPSA, EPMI and Power Navigator agree with the Commission's proposal to require Transmission Providers to obtain Commission approval before limiting a user's access to an OASIS node for grossly inefficient usage. Dynegy cautions that permitting Transmission Providers to limit OASIS use



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presents the potential for abuse and Transmission Providers could punish certain customers.

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The How Group, Cal ISO, Cinergy, MAPP, VEPCO, Southern Company and Southwest support allowing Responsible Parties to limit access to an OASIS node prior to Commission notification and approval. The How Group states that because OASIS nodes operate 24 hours a day, seven days a week and process transmission requests as they are received, the nodes are vulnerable to excessive demands by individual customers and therefore, limits on access should be available without Commission authorization. 1/

Furthermore, MAPP, MAIN, Cinergy, VEPCO and the How Group argue that mistakes and bugs in computer programs used to make the automated requests can inadvertently result in a request for more information than the user desires or the same data is repeatedly requested. These commenters argue that node performance could be seriously impaired unless Responsible Parties have the ability to limit a user's access before obtaining Commission concurrence. MAPP further cites the rapid responses associated with computer-to-computer communications and claims that a delay in disconnecting requests due to mistakes or bugs can inadvertently bring down a whole OASIS node. 1/ Cinergy proposes that requests be terminated when it is clear that computer bugs or mistakes have occurred.

MAIN proposes that when a user's request seriously impacts node performance, the Responsible Party administering the node and the user should try to resolve the problem together. Cal ISO proposes that Responsible Parties should follow specific procedures, including promptly notifying the Commission about OASIS limits, working with the user to

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23/ See Dynegy comments at 4.

24/ See How Group comments at 3-4.

25/ See MAPP comments at 4.



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solve the problem and providing the Commission with a closure report that describes the problem and the resolution. <sup>1</sup>/ The How Group and MAPP also propose specific procedures for Responsible Parties to follow when they block access to OASIS nodes.

### **Commission Conclusion**

We are persuaded that Responsible Parties should be permitted, without prior Commission concurrence, to limit access by users who seriously degrade node performance. At the same time, we must ensure that limits on usage are imposed for good reason and that reasonable efforts are made by both parties to resolve problems. Restrictions and disconnections from OASIS should occur in only very limited circumstances. When a problem arises due to grossly inefficient use, all parties should first attempt to resolve the problem in a cooperative manner without OASIS restriction or limitation. If the problem is not resolved in a timely fashion, a Responsible Party can limit a user's access without prior Commission approval. Notification of the restriction must be made to the Commission within two business days of the incident and include a description of the problem and whether a resolution was reached. A closure report describing how the problem was resolved must be filed with the Commission within one week of the incident.

If the problem requires Commission resolution, the Responsible Party will have the obligation to demonstrate to the Commission that the limited user seriously impacted the performance of the node, the node is properly sized for the number of users and types of customers and that the Responsible Party made a good faith effort to resolve the problem. In response, the user will have the obligation of demonstrating to the Commission that its queries were efficient and were the result of reasonable business needs. We anticipate in cases where

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<sup>26</sup>/ See Cal ISO comments at 7-8.



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a Responsible Party has no interest in generation that these types of disputes can be resolved without resort to Commission processes.

Similarly, for errors in queries, the Responsible Party can block the affected query and notify the user of the nature of the error. Users should correct the error before making any additional query. If there is a dispute over whether an error occurred, then the rules for grossly inefficient use would apply.

### **b. Limits on Heavy Use of OASIS**

In the NOPR, the Commission proposed not to limit heavy use of automated computer-to-computer uploads and downloads (queries and responses) that arise from legitimate ordinary course of business needs. The NOPR distinguished between heavy use in the ordinary course of business and grossly inefficient use.

### **Comments**

Detroit Edison, Southern Company, EPMI and EPSA agree with the Commission that heavy use alone should not justify disconnection from an OASIS node. Southern Company notes that the Commission's requirements regarding automated queries are consistent with the industry's movement toward conducting business on a moment-to-moment basis. Southern Company argues that moment-to-moment transactions can only be accommodated if large volumes of automated information can be transmitted by an OASIS node. Southern requests that the Commission emphasize automated query access over browser access. <sup>1</sup>/

Power Navigator describes its experiences with OASIS nodes when using automated queries. Power Navigator states that it has been disconnected from an OASIS node, as a punitive measure after a problem was resolved and also, Power Navigator has been restricted

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<sup>27</sup>/ See Comments of Southern Company at 7.



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by a node to only one automated query a day. <sup>1</sup>/ Furthermore, Power Navigator was disconnected from an OASIS node because of queries deemed inefficient without notice and the opportunity to make the query more efficient.

Southern Company reports that it has also experienced problems using automated queries and file transfers on several OASIS nodes. Southern argues that the "inability of these OASIS nodes to meet the minimum requirements of the S&CP Document regarding automated queries and file transfers increases the transaction costs of market participants by increasing manpower and the time required to gather and analyze information." <sup>1</sup>/ Southern notes that the Commission has not sufficiently defined "minimum performance requirements" and that the lack of specificity has resulted in some OASIS nodes lacking sufficient capacity to accommodate bulk transactions. Southern Company requests that the Commission develop, or encourage the industry to develop, a benchmark program to determine if a node satisfies the minimum performance requirements.

MAIN argues that even well-designed automated queries can significantly degrade OASIS performance. MAIN states that OASIS requires a substantial database and MAIN maintains the database on a daily basis. During periods of maintenance, the ability of computer systems to respond to queries and requests is inherently limited. Thus, MAIN claims that even well-designed automated queries can significantly degrade OASIS performance during periods of database maintenance. <sup>1</sup>/ MAIN notes that it was forced to put limits on "traffic from particular Internet addresses that sent repeated and multiple queries to the MAIN

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<sup>28</sup>/ See Comments of Power Navigator at 1-2.

<sup>29</sup>/ Comments of Southern Company at 6-7.

<sup>30</sup>/ See comments of MAIN at 6-7.



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OASIS node." <sup>1/</sup> The result is that MAIN restricts access by automated queries ten and one-half hours a day. MAIN suggests that some problems caused by automated queries could be reduced if users were required to furnish Transmission Providers with adequate and timely advance notice of usage requirements. MAIN would use this information in planning for system upgrades and other system modifications.

The How Group raises the question of what constitutes basic service and disagrees with the Commission's interpretation that the basic service level agreement allows large volume, computer-to-computer usage of OASIS to meet ordinary legitimate business needs of users. The How Group argues that the basic service level agreement only provides for average or normal uses of the system. The How Group further argues that the performance requirements in the S&CP Document are based on average, expected usage levels and cover average or normal users of the system. <sup>1/</sup>

### **Commission Conclusion**

We continue to believe that large volume usage and automated computer-to-computer file transfers and queries do not constitute the kind of excessive use of resources warranting limitation or disconnection, as discussed in the previous section. Thus, a particular user's heavy use of an OASIS node, even if it would require the node to be upgraded, would not, by itself, be a basis for limitation or disconnection.

However, based on the comments, we are convinced that the standards for node performance and bandwidth need refinement. We therefore request the MIC and the How Group to develop standards for node response time, node capabilities and the bandwidth of the node's connection to the Internet. We further request that the MIC and the How Group report

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<sup>31/</sup> Id. at 7.

<sup>32/</sup> See comments of How Group at 6.



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back to the Commission within three months from the date of publication of this final rule in the Federal Register. The standards should explicitly incorporate the concept of requiring nodes to meet the legitimate, ordinary course of business needs of users.

The new standards should take into account the industry's experience with OASIS. The MIC and How Group have the option of proposing a redefinition of the existing standards 1/ or if appropriate, they can develop a new approach. If the existing approach is used, the MIC and the How Group should consider that the assumption in the existing standard of 5 percent of customers in communication with a node at any time was developed before OASIS was implemented. The MIC should determine if a higher or lower percentage is more appropriate. Furthermore, the 28,800 bps/customer, used in the existing standards was a relatively fast

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- 33/ The existing standards are as follows: Transmission Services Information Providers can only be responsible for the response capabilities of two portions of the Internet-based OASIS network:
- The response capabilities of the OASIS node server to process interactions with users; and
  - The bandwidth of the connection(s) between the OASIS node server and the Internet.
- Therefore, the OASIS response time requirements are as follows:
- a. OASIS Node Server Response Time: The OASIS node server shall be capable of supporting its connection(s) to users with an average aggregate data rate of at least "A" bits per second. "A" is defined as follows:

$$A = N * R \text{ bits/sec}$$

where: N = 5% of registered Customers and  
R = 28,800 bits/sec per Customer.

- b. OASIS Node Network Connection Bandwidth: The bandwidth "B" of the OASIS node connection(s) to the Internet shall be at least:

$$B = 2 * A \text{ bits/sec.}$$

See Standards & Communications Protocol Document (Version 1.3) at section 5.3 (1998). Version 1.3 of the S&CP Document is posted on the Commission Issuance Posting System (accessed through the Commission's Internet Home Page at <http://ferc.fed.us>) or may be inspected in the Commission's Public Reference Room.



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modem speed in 1996 when the OASIS standards were formulated. <sup>1</sup>/ Today, many customers use faster connections to the Internet.

Furthermore, we agree with MAIN's suggestion that OASIS nodes would better meet user needs for automated queries if users notify Responsible Parties prior to increasing their demands significantly. We will, therefore, require users to notify a node of anticipated usage one month in advance of initiating a significant amount of queries or when users expect their use of automated queries to increase significantly. We believe it is appropriate to allow each node to determine reasonable criteria for such notification because nodes have varying requirements. Responsible Parties will post on their OASIS nodes the criteria under which users must notify them of increased usage of automated queries.

**c. "Grossly Inefficient" usage of OASIS**

In the NOPR, we proposed to not limit heavy use of automated queries that arose from legitimate, ordinary business needs. We distinguished between legitimate OASIS uses and grossly inefficient uses. By using the term grossly inefficient, we intended to address situations where a user fails to adopt more efficient methods of accessing a node or obtaining information in favor of very inefficient methods that may needlessly degrade or damage the node.

**Comments**

Cinergy, Detroit Edison, MAIN, Southern Company and VEPCO argue that unless the Commission clarifies the definition of "grossly inefficient" and what constitutes degradation of service on an OASIS node, there will be continued disputes over automated queries.

**Commission Conclusion**

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<sup>34</sup>/ See Order No. 889, FERC Stats & Regs. at 31,623.



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We continue to believe that it would be impracticable to delineate all instances of "gross inefficiency". At the same time, we have narrowed the definition of grossly inefficient use by adding the new error category, by clarifying that heavy volume usage and automated computer-to-computer file transfers and queries do not constitute grossly inefficient use and by requiring OASIS users to notify Responsible Parties in advance of substantial increases in automated query usage. We believe that these actions reduce the areas of dispute.

Examples of grossly inefficient use include: (1) when a user seeks data in a resource-intensive wasteful way even though the same data could be obtained as quickly in a far less resource-consuming manner; and (2) when an OASIS user seeks updates more frequently than information on the OASIS is updated. This list, however, is not exhaustive and questions as to whether a particular user's access or use of the node is "grossly inefficient" will be resolved on a case-by-case basis. We also believe that Responsible Parties should use the disconnection procedures as a last resort.

### **C. Other Issues**

MAIN proposed that users of automated query systems be charged for their use. <sup>1/</sup> Similarly, CSW proposes an industry-wide OASIS usage charge whereby subscribers pay more when they use an OASIS node continuously and/or intensively.

We note that the issue of OASIS cost recovery was addressed in Orders No. 889 <sup>1/</sup> and 889-A. <sup>1/</sup> In those orders, we concluded that the cost of developing an OASIS should be included in unbundled transmission rates and that variable costs of operating an OASIS should be recovered, to the extent possible, in usage fees. We left it to individual rate

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<sup>35/</sup> MAIN comments at 12.

<sup>36/</sup> See Order No. 889, FERC Stats. & Regs. ¶ 31,035 at 31,624-26.

<sup>37/</sup> See Order No. 889-A, FERC Stats. & Regs. ¶ 31,049 at 30,576-77.



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proceedings to determine which OASIS costs can be identified as varying with usage and how to set the recovery of these fees. However, the concept of automated queries has been a basic part of the functionality of OASIS since its inception and special charges for legitimate, ordinary course of business queries should not be imposed. <sup>1/</sup>

A few other commenters raised issues that were not discussed in the NOPR. For example, Dynegy asks the Commission to revisit the posting of generator run status on OASIS nodes. <sup>1/</sup> In addition, Southern Company complains that some Transmission Providers require users of their system to purchase expensive proprietary security software from third party vendors and that this practice imposes limits on OASIS. EPMI requests that the Commission require Transmission Providers to acknowledge receipt of faxed or electronically transferred OASIS requests when the request is received. <sup>1/</sup>

All of these issues are beyond the scope of this proceeding and therefore, we will not address them at this time. Commenters will have the opportunity to raise these issues, as well as submit comments on additional issues, during the OASIS Phase II proceedings.

### REGULATORY FLEXIBILITY ACT

The Regulatory Flexibility Act (RFA) <sup>1/</sup> requires any proposed or final rule issued by the Commission to contain a description and analysis of the impact that the proposed or final rule would have on small entities or to contain a certification that the rule, if promulgated, will not have a significant economic impact on a substantial number of small entities. Order No. 889

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<sup>38/</sup> This would also include automated queries by the public.

<sup>39/</sup> Dynegy comments at 5.

<sup>40/</sup> EPMI comments at 4.

<sup>41/</sup> 5 U.S.C. §§ 601-612.



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contained a certification under § 605(b) of the RFA that the OASIS Final Rule would not have a significant economic impact on small entities within the meaning of the RFA. 1/

As discussed above, this proposal would make minor revisions to Part 37. Given that we do not expect these minor revisions to have any significant economic impact and given that we have granted waivers from the requirements of the OASIS Final Rule to small entities where appropriate, and will continue to do so, we hereby certify that the proposed changes in 18 CFR Part 37 would not have a significant economic impact on a substantial number of small entities and that no regulatory flexibility analysis is required pursuant to 5 U.S.C. § 603.

### ENVIRONMENTAL STATEMENT

As explained in Order Nos. 888-A and 889-A, Order Nos. 888 and 889 were the joint subjects of the Final Environmental Impact Statement issued in Docket Nos. RM95-8-000 and RM94-7-001 on April 12, 1996. Given that this final rule makes only minor changes in the regulations, none of which would have any environmental impact, no separate environmental assessment or environmental impact statement is being prepared for this final rule.

### PUBLIC REPORTING BURDEN

As discussed previously, this final rule makes minor revisions to 18 CFR 37.6(e)(3)(ii). We do not believe that extending the retention period or extending the category of persons who may request the information on curtailments or interruptions will measurably increase the public reporting burden.

Nor do we believe our rule to amend 18 CFR 37.5 and 37.6 to clarify the required minimum access that Responsible Parties must provide to OASIS users, or to allow (under certain circumstances) limitations on access by grossly inefficient users, will increase the public reporting burden.

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42/ See Order No. 889, FERC State. & Regs. at 31,628.



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Consequently, the public reporting burden associated with issuance of this final rule is unchanged from our estimation in Order Nos. 889, 889-A, and 889-B. <sup>1/</sup> The Commission has conducted an internal review of this conclusion and thereby has assured itself that there is specific, objective support for this information burden estimate. Moreover, the Commission has reviewed the collection of information required by Order Nos. 889, 889-A, and 889-B, and has determined that the collection of information is necessary and conforms to the Commission's plan, as described in those prior orders, for the collection, efficient management, and use of the required information.

### INFORMATION COLLECTION STATEMENT

As explained in Order Nos. 889-A and 889-B, Order No. 889 contained an information collection statement for which the Commission obtained approval from the Office of Management and Budget (OMB). <sup>1/</sup> Given that the changes on curtailments and interruptions make only minor revisions to the regulations, we do not believe that these changes would require any revision to the information collection statement approved by OMB for Order No. 889. Nor do we believe that our revisions to 18 CFR 37.5 and 37.6, to clarify the required minimum access Responsible Parties must provide to OASIS users, or to allow (under certain circumstances) limitations on access by grossly inefficient users, would require any revision to the information collection statement approved by OMB for Order No. 889. Accordingly, we conclude that OMB approval for this final rule will not be necessary. However, the Commission will send a copy of this final rule to OMB, for informational purposes only.

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<sup>43/</sup> Order No. 889, FERC Stats. & Regs. ¶ 31,035 at 31,587-88, Order No. 889-A, FERC Stats. & Regs. ¶ 31,049 at 30,549-50, Order No. 889-B, 81 FERC ¶ 61,253 at 62,171 (1998).

<sup>44/</sup> OMB Control No. 1902-0173.



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Interested persons may obtain information on the reporting requirements and associated burden estimates by contacting the Federal Energy Regulatory Commission, 888 First Street, N.E., Washington, D.C. 20426 [Attention: Michael Miller, Office of the Chief Information Officer, (202) 208-1415], and the Office of Management and Budget [Attention: Desk Officer for the Federal Energy Regulatory Commission (202) 395-3087 (telephone), 202-395-7285 (facsimile)]. In addition, interested persons may file written comments on the collections of information required by this rule and associated burden estimates by sending written comments to the Desk Officer for FERC at: Office of Management and Budget, Room 10202 NEOB, Washington, D.C. 20503, within 30 days of publication of this document in the Federal Register. Three copies of any comments filed with the Office of Management and Budget also should be sent to the following address: Secretary, Federal Energy Regulatory Commission, Room 1A, 888 First Street, N.E., Washington, D.C. 20426.

### EFFECTIVE DATE AND CONGRESSIONAL NOTIFICATION

This rule will take effect on [insert date 30 days after publication in the Federal Register]. The Commission has determined, with the concurrence of the Administrator of the Office of Information and Regulatory Affairs of the Office of Management and Budget, that this rule is not a "major rule" within the meaning of section 351 of the Small Business Regulatory Enforcement Fairness Act of 1996. <sup>1/</sup> The Commission will submit the rule to both houses of Congress and the Comptroller General prior to its publication in the Federal Register.

This final rule will not have an adverse effect on Year 2000 readiness. This rule makes only minor revisions to our regulations and no major system changes to OASIS are required. Furthermore, commenters did not cite any adverse effects of the rule on their Year 2000 preparation.

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<sup>45/</sup> 5 U.S.C. 804(2).



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In this rule, we are extending the retention period and the availability of supporting information on curtailments and interruptions. These changes will not jeopardize work on the Year 2000 problem. Currently, our regulations require that the supporting information about curtailments and interruptions be maintained for 60 days and available to affected customers. We are extending the retention period to three years and we are allowing the Commission Staff and the public access to the information. Because Transmission Providers already must maintain information on curtailments and interruptions, extending the retention period and the access to this information will not affect Year 2000 preparations.

In addition, we are asking the How Group/MIC to prepare a report outlining what additional supporting information about curtailments and interruptions should be posted on the OASIS. We request that the report be prepared within 3 months from the date of publication of this final rule in the Federal Register. Therefore, the report will be received by the Commission in early September and final implementation, including the adoption of new templates, will not occur until after January 2000.

We also believe that the provision to allow (under certain circumstances) limitations on OASIS access by grossly inefficient users will not have any effect on Year 2000 readiness. The procedures we are adopting in 18 C.F.R. § 37.5(d) and § 37.5(e) will not add any new information technology requirements. Instead, these regulations enable Responsible Parties to disconnect or limit an OASIS user's access to the node.

Finally, we are adopting a new procedure whereby OASIS users notify Responsible Parties one month prior to increasing their automated query demands. Each OASIS node will determine reasonable criteria for such notification and the methods for notification will be posted on the OASIS. We believe that this new provision will not hinder Year 2000 efforts.



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Posting the notification criteria on the OASIS is only a minor administrative change and this requirement should not divert resources from Year 2000 efforts.

List of Subjects in 18 CFR Part 37

Open Access Same-Time Information System.

By the Commission. Commissioner Bailey concurred with a separate statement attached.  
( S E A L )

Linwood A. Watson, Jr.,  
Acting Secretary.

In consideration of the foregoing, the Commission amends Part 37 in Chapter I, Title 18, Code of Federal Regulations, as set forth below.



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**PART 37 -- OPEN ACCESS SAME-TIME INFORMATION SYSTEMS AND STANDARDS OF  
CONDUCT FOR PUBLIC UTILITIES**

1. The authority citation for Part 37 continues to read as follows: 16 U.S.C. 791-825r, 2601-2645; 31 U.S.C. 9701; 42 U.S.C. 7101-7352.

2. Section 37.5 is amended by redesignating paragraph (c) as paragraph (f), and by adding paragraphs (c), (d) and (e) to read as follows:

§ 37.5 Obligations of Transmission Providers and Responsible Parties

\* \* \* \*

(c) A Responsible Party may not deny or restrict access to an OASIS user merely because that user makes automated computer-to-computer file transfers or queries, or extensive requests for data.

(d) In the event that an OASIS user's grossly inefficient method of accessing an OASIS node or obtaining information from the node seriously degrades the performance of the node, a Responsible Party may limit a user's access to the OASIS node without prior Commission approval. The Responsible Party must immediately contact the OASIS user to resolve the problem. Notification of the restriction must be made to the Commission within two business days of the incident and include a description of the problem. A closure report describing how the problem was resolved must be filed with the Commission within one week of the incident.

(e) In the event that an OASIS user makes an error in a query, the Responsible Party can block the affected query and notify the user of the nature of the error. The OASIS user must correct the error before making any additional queries. If there is a dispute over whether an error has occurred, the procedures in the preceding paragraph apply.



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(f) Transmission Providers must provide "read only" access to the OASIS to Commission staff and to the staff of State regulatory authorities, at no cost, after such staff members have complied with the requisite registration procedures.

3. Section 37.6 is amended by revising paragraphs (a), (a)(4), (a)(5), and (e)(3)(ii), and adding (a)(6) to read as follows:

§ 37.6 Information to be posted on the OASIS

(a) The information posted on the OASIS must be in such detail and the OASIS must have such capabilities as to allow Transmission Customers to:

\* \* \* \*

(4) Clearly identify the degree to which transmission service requests or schedules were denied or interrupted;

(5) Obtain access, in electronic format, to information to support available transmission capability calculations and historical transmission service requests and schedules for various audit purposes; and

(6) Make file transfers and automated computer-to-computer file transfers and queries as defined by the Standards and Communications Protocols Document.

\* \* \* \*

(e) \* \* \*

(3) \* \* \*

(ii) Information to support any such curtailment or interruption, including the operating status of the facilities involved in the constraint or interruption, must be maintained and made available upon request, to the curtailed or interrupted customer, the Commission's Staff, and any other person who requests it, for three years.



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4. Section 37.8 is added to read as follows:

§ 37.8            Obligations of OASIS Users

(a)        Each OASIS user must notify the Responsible Party one month in advance of initiating a significant amount of automated queries. The OASIS user must also notify the Responsible Party one month in advance of expected significant increases in the volume of automated queries.



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**Attachment 1**

List of Commenters to the NOPR

<u>Number</u>	<u>Commenter Name</u>	<u>Abbreviation</u>
1)	California Independent System Operator, Corp.	(Cal ISO)
2)	Cinergy Services, Inc.	(Cinergy)
3)	CSW Operating Companies	(CSW)
4)	Detroit Edison Company	(Detroit Edison)
5)	Dynegy, Inc.	(Dynegy)
6)	Edison Electric Institute	(EEI)
7)	Electric Power Supply Association	(EPSA)
8)	Enron Power Marketing, Inc.	(EPMI)
9)	Mid-America Interconnected Network, Inc.	(MAIN)
10)	Mid-Continent Area Power Pool	(MAPP)
11)	OASIS How Working Group	(How Group)
12)	PECO Energy Co-Power Team	(PECO)
13)	Power Navigator	(Power Navigator)
14)	Southern Company Services, Inc.	(Southern Company)
15)	Southwest Power Pool	(Southwest)
16)	Virginia Electric & Power Co.	(VEPCO)



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Open Access Same-Time Information System ) Docket No. RM98-3-000

(Issued May 27, 1999)

BAILEY, Commissioner, concurring

I support this rulemaking, which amends the Commission's regulations to improve in several respects the operation and effectiveness of OASIS sites. I write separately only to explain my support for one aspect of the final rule.

The Commission revises its OASIS regulations to allow access to supporting information on curtailments and interruptions, upon request, to Commission staff and the public, as well as to affected customers. Slip op. at 8-10. The Commission makes this revision despite the articulated concern of two intervenors -- EPMI and EEI -- that this type of information is commercially sensitive (EPMI) and, if disclosed, might impair the reliability of the interconnected transmission system (EEI).

In my judgment, the Commission's and the public's need for this type of information -- for the purpose of detecting any undue discrimination in any pattern or practice of transmission curtailment -- outweighs the articulated concern for the commercial and reliability implications of disclosure. Significantly, intervenor concerns of commercial and reliability sensitivity here are presented with little explanation and vigor.

In contrast, I have dissented in other cases where the commercial and competitive implications of information disclosure have been well defined and vigorously argued. See Open Access Same-Time Information System and Standards of Conduct, 83 FERC ¶ 61,360 at 62,467-69 (1998), reh'g denied, 85 FERC ¶ 61,139 at 61,493 (1999); American Electric Power Company and Central and South West Corp., 86 FERC ¶ 61,091 at 61,334 (1999). I continue to believe that it is important for the Commission, when confronted with concern for the competitive implications of information disclosure, to balance carefully those concerns against the usefulness of that information in fulfilling the Commission's regulatory responsibilities. Here, unlike in other cases in which I have dissented, I am comfortable with the Commission's conclusion that the balance tips in favor of immediate disclosure.

Vicky A. Bailey
Commissioner



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Vicky A. Bailey
Commissioner



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CAPACITY_SCHEDULED	CAPSCH	0{NUMERIC}12	Non-negative number in units of MW	Transfer capability scheduled on each path
FACILITY_NAME	FACNAME	0{ALPHANUMERIC}25 100	Free form text	Name of facility, such as name of path or name of flowgate
INITIATING_PARTY	INITPARTY	0{ALPHANUMERIC}4	Free form text Registered company code for a TP, SC or CA	Person's name or Company code for company responsible for initiating the change in capacity execution of a transmission security procedure.
OLD_DATA	OLDDATA	0{ALPHANUMERIC}2 00	Any valid Data Element value	For audit log, the old value of a Template Data Element prior to being updated. This element is not applicable in the audit log for transaction events.
OTHER_CURTAILMENT_PRIORITY	OTHCUR	0{ALPHANUMERIC}8	Free form text Valid Values: {Registered}	Other than NERC curtailment priorities, such as regional curtailment priorities. Suggested format region+number, for example MAPP4, WSCC7. Documented in LIST Template and registered with central registry.



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PROCEDURE_NAME	PROCNAME	0{ALPHANUMERIC}2 5	Free form text, for example Valid Names: NERC TLR WSCC USF {Registered} Or as indicated in the LIST Template	Name of a transmission security procedure: - NERC TLR as defined in NERC Policy 9 - WSCC USF as defined in W SCC Policy - Local procedure as registered by Transmission Providers Name of TLR or interruption procedure
PROCEDURE_LEVEL	PROCLVL	1{ALPHANUMERIC}2 5	Valid NERC or local procedure level Valid Levels: (NERC TLR Levels) {WSCC USF Levels} {Registered}	Levels or stages associated with actions to be taken in implementation of a transmission security procedure as defined in: - NERC Policy 9 for the NERC TLR procedure - WSCC Policy for the WSCC USF procedure  - Local procedures as registered by Transmission Providers  NERC or local procedure levels. Example: 2a, 3



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REQUEST_TYPE	REQTYPE	1{ALPHA}30	Valid Types: ORIGINAL RESALE RENEWAL MATCHING DEFERRAL REDIRECT {Registered}	ORIGINAL – typical reservation requests submitted to the Primary Provider RESALE – secondary market requests submitted to a Transmission Customer as Secondary Transmission Provider RENEWAL – request to renew an expiring transmission reservation MATCHING – request to meet or exceed a competing request to retain transmission service (right of first refusal) DEFERRAL – request to defer or apply for extension on start of transmission service REDIRECT – request to redirect all or portion of a transmission reservation to an alternate POR/POD and/or make other changes to the terms of service as permitted {registered} – Primary Transmission Provider's may register values for REQUEST_TYPE to implement specific provisions of their Tariffs.
RESPONSIBLE_PARTY	INITPARTY	0{ALPHANUMERIC}2 54	Free form text Registered company code for a TP, SC or CA	The company code or the name of the person entity who initiated the reduction, e.g. the security coordinator code responsible for administering a transmission security procedure.



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SECURITY_TYPE	SECTYPE	1{ALPHANUMERIC}6	Free form text for example: <b>Valid Values:</b> OUTAGE LIMIT	SECURITY_TYPE identifies the type of information posted for the event; restricted values are OUTAGE for postings reflecting the state of critical transmission facilities, and LIMIT for postings reflecting the implementation of security procedures to limit or reduce scheduled transactions.
TRANSACTION_ID	TRANSID	1{ALPHANUMERIC}2030	<b>Free form text</b> Unique value	Unique identifier <b>Identifier</b> associated with an interchange transaction that may span multiple SCHEDULE_REF records. May be the Tag id. <b>May be the NERCTag id as specified in the NERCElectronic Tagging Functional Specification.</b>
VALUE	VALUE	1{NUMERIC}20	A number	FACILITY_ATTRIBUTE value
VALUE_UNITS	VALUEUTS	1{ALPHANUMERIC}2 0	Free form string	Unites used for VALUE



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**ATTACHMENT G**  
**FERC Order 889**

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UNITED STATES OF AMERICA 75 FERC 61,078  
FEDERAL ENERGY REGULATORY COMMISSION

18 CFR Part 37

[Docket No. RM95-9-000]

Open Access Same-Time Information System (formerly Real-Time Information Networks) and Standards of Conduct

ORDER NO. 889

FINAL RULE

(Issued April 24, 1996)

AGENCY: Federal Energy Regulatory Commission.

ACTION: Final Rule.

SUMMARY: The Federal Energy Regulatory Commission is amending 18 CFR to add Part 37 containing rules establishing and governing an Open Access Same-time Information System (OASIS) (formerly real-time information networks) and prescribing standards of conduct. Under this final rule, each public utility (or its agent) that owns, controls, or operates facilities used for the transmission of electric energy in interstate commerce will be required to create or participate in an OASIS that will provide open access transmission customers and potential open access transmission customers with information, provided by electronic means, about available transmission capacity, prices, and other information that will enable them to obtain open access non-discriminatory transmission service. This final rule requires (1) each public utility subject to the rule to implement standards of conduct to functionally separate transmission and wholesale power merchant functions and (2) the creation of a basic OASIS system. In addition, some of the standards and formats for OASIS nodes are prescribed in a document entitled OASIS



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Standards and Communication Protocols that is being issued with the final rule. The Commission also is establishing further procedures to complete the standards for displays and formats. The development of OASIS requirements will continue in a Phase II, in which the Commission will continue to develop the requirements for a fully functional OASIS.

EFFECTIVE DATES: This final rule will become effective on [insert date 60 days from the date of publication in the Federal Register]. Compliance with the standards of conduct and operation of an OASIS meeting the requirements of this final rule must commence on or before November 1, 1996. A technical conference on any remaining issues will be held on June 17, 1996.

ADDRESSES: The technical conference will be held at the Commission's headquarters at 888 First Street, N.E., Washington, D.C. 20426.

FOR FURTHER INFORMATION CONTACT:

Marvin Rosenberg (Technical Information)  
Office of Economic Policy  
Federal Energy Regulatory Commission  
888 First Street, N.E.  
Washington, DC 20426  
(202) 208-1283

William C. Booth (Technical Information)  
Office of Electric Power Regulation  
Federal Energy Regulatory Commission  
888 First Street, N.E.  
Washington, DC 20426  
(202) 208-0849

Gary D. Cohen (Legal Information)  
Office of the General Counsel  
Federal Energy Regulatory Commission  
888 First Street, N.E.  
Washington, DC 20426  
(202) 208-0321

SUPPLEMENTARY INFORMATION: In addition to publishing the full text of this document in the Federal Register, the Commission also provides all interested persons an opportunity to inspect or copy the contents of this document during normal business hours in the Public Reference Room at 888 First Street, N.E., Washington, D.C. 20426.



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UNITED STATES OF AMERICA
FEDERAL ENERGY REGULATORY COMMISSION

Before Commissioners: Elizabeth Anne Moler, Chair;
Vicky A. Bailey, James J. Hoecker,
William L. Massey, and Donald F. Santa, Jr.

Open Access Same-time Information )
System (formerly Real-time ) Docket No. RM95-9-000
Information Networks) and )
Standards of Conduct )

ORDER NO. 889

FINAL RULE

(Issued April 24, 1996)

I. INTRODUCTION

The Federal Energy Regulatory Commission (Commission) is promulgating new regulations amending 18 CFR to add Part 37 containing rules establishing and governing transmission information networks and standards of conduct. The Commission is issuing this final rule in tandem with its final rule on Open Access Transmission and Stranded Costs (Open Access Final Rule). 46/ This final rule applies to any public utility that offers open access transmission services under the Open Access Final Rule pro forma tariff. Under the Open Access Final Rule, the open access pro forma tariff may be used by wholesale transmission customers and by retail transmission customers that are able to receive unbundled retail transmission either voluntarily from the public utility or as a result of a state retail access program.

46/ See Promoting Wholesale Competition Through Open Access Non-Discriminatory Transmission Services by Public Utilities and Recovery of Stranded Costs by Public Utilities and Transmitting Utilities, Final Rule, FERC Stats. & Regs. ¶ 31,036 (April 24, 1996); this document is being published concurrently in the Federal Register.



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This final rule is being issued after a review of the comments filed in response to the Commission's notice of proposed rulemaking issued in this proceeding on December 13, 1995 (RIN NOPR). 47/

This final rule becomes effective on [insert date 60 days after publication of this final rule in the Federal Register]. By November 1, 1996, all affected public utilities must file procedures with the Commission that will enable customers and the Commission to determine whether they are in compliance with the standards of conduct requirements contained herein.

Additionally, under this final rule, each public utility as defined in section 201(e) of the Federal Power Act, 16 U.S.C. 824(e) (1994), (or its agent) that owns, controls, or operates facilities used for the transmission of electric energy in interstate commerce (each Transmission Provider) must develop or participate in an Open Access Same-time Information System (OASIS). 48/ This final rule establishes

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47/ Real-Time Information Networks and Standards of Conduct, Notice of Proposed Rulemaking, 60 FR 66182 (December 21, 1995), FERC Stats. & Regs. ¶ 32,516 (December 13, 1995).

48/ In the notice of technical conference that initiated this proceeding, see infra n. 12, we chose the term "Real-Time Information Network" to describe the electronic information system envisioned by that notice. We invited comments on whether we should substitute another term in place of RIN. In response, a number of commenters suggested that "RIN" was not a suitable name for the electronic information network envisioned by the RIN NOPR, mainly because while some RIN postings may be made "real-time" most will not and that, therefore, RIN is a misnomer.

After a review of suggested replacements presented in the comments, we will abandon the name "RIN" in favor of Open Access Same-time Information System, suggested by Virginia Electric Power Company (VEPCO), for several reasons. First, as noted above, the information system being developed in this proceeding



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Phase I OASIS rules that require the creation of a basic OASIS. <sup>49/</sup> The basic OASIS required by this final rule must be in place and operational by November 1, 1996. The development of OASIS requirements will continue in Phase II, during which the Commission will develop the requirements for a fully functional OASIS.

While the final rule set forth in this order is consistent with the proposal described in the RIN NOPR, it also resolves certain issues that were described in the RIN NOPR but left undecided, and adds clarifications and revisions, as suggested by the comments. As proposed in the RIN NOPR, the final rule describes what information must be provided on an OASIS, how an OASIS must be implemented and used, and contains a code of conduct applicable to all transmission providing public utilities.

As proposed in the RIN NOPR, we are issuing this final rule along with a separate document entitled OASIS Standards and Communication Protocols (Standards and Protocols) to help ensure that each OASIS will provide information in a uniform manner. However, the standards and protocols are not yet complete. Consequently, we are inviting the How Group <sup>50/</sup> to submit an additional report, on or before May 28, 1996, to help us resolve these deficiencies. We will also hold a technical conference on **June 17, 1996** to resolve any remaining issues and to allow input from interested persons. We will issue a revised Standards and Protocols document as soon as possible thereafter.

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actually will be a "same-time" information system, and not a "real-time" system. Second, VEPCO correctly points out that the system will be part of an existing network (the Internet) and not a new network. Third, the name "OASIS" highlights that the system relates to open access.

<sup>49/</sup> Any entity may, for good cause, seek a waiver of the requirements established by this final rule, either as to the creation of an OASIS or for reporting requirements.

<sup>50/</sup> See, infra, n. 13.



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We are moving promptly to complete the standards and protocols to ensure that the OASIS will be operational and in compliance with this final rule by November 1, 1996. In selecting this date, we have balanced the need to have a functional system of fair and non-discriminatory information in place to support the Open Access Final Rule against the comments that argued that implementation of an OASIS could not be accomplished in 60 days and to avoid implementation during the peak winter or summer months.

II. **PUBLIC REPORTING BURDEN**

The final rule requires Transmission Providers to participate in an OASIS, designed to provide open access transmission users and potential open access transmission users with information by electronic means about available transmission capacity and prices.

The RIN NOPR contained an estimated annual public reporting burden associated with a final rule consistent with the RIN NOPR. In response to the RIN NOPR, NRECA 51/ filed comments with the Commission that argued that the Commission's estimated public reporting burden should have taken into account that Question 45 of the RIN NOPR asked whether OASIS rules should be extended to apply to non-public utilities that own or control facilities used for the transmission of electric power in interstate commerce. 52/ Based on this inquiry, NRECA argued that the public burden estimate should have been based on the assumption that the proposed OASIS rules would be extended to apply to non-public utilities (even though this was not proposed by the Commission). The Commission's task in preparing a public burden estimate at the NOPR stage was to estimate the annual public reporting burden associated with a final rule consistent with the RIN NOPR. This is what the Commission did. An estimate based on

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51/ Attached to this document is a list of the commenters and the abbreviations used to designate them. Several of the comments were filed late. We, nevertheless, will consider these comments.

52/ NRECA also submitted a letter to the Office of Management and Budget (OMB) that raised the same issue.



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deviations from the NOPR proposal, as NRECA suggested, would have been inappropriate. At the same time, however, by asking Question 45, we identified the issue and gave the commenters an opportunity to be heard before making a final decision.

Our final rule, like the RIN NOPR, applies only to public utilities, and not to non-public utilities. However, as discussed in this order and as commented upon by various non-public utilities, in the Open Access Final Rule we are including a reciprocity provision in public utility open access tariffs under which all those who elect to take service under the open access tariff (including non-public utilities) will have to offer reciprocal service including an information network, unless they are granted a waiver of the reciprocity provision in the tariff. <sup>53/</sup> Consequently, we have increased the estimate of number of respondents in this rulemaking to reflect the additional burden on those non-public utilities that seek service under open access tariffs. However, this is offset by our current expectation that there will be far fewer OASIS sites than we originally anticipated in the RIN NOPR. The How Group estimates there will be between 20-35 OASIS sites nationwide. <sup>54/</sup> Using the higher number, the burden of running each OASIS will be shared, on average, by four respondents. This is reflected in the burden hour and cost estimates.

Our burden hour and cost estimates include the information gathering requirements imposed on public utilities that do not develop their own OASIS. Additionally, we have refined our estimate of the annual public reporting burden to account for revisions that this final rule makes to the RIN NOPR.

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<sup>53/</sup> As explained in the Open Access Final Rule, non-public utilities that do not want to meet the reciprocity condition may choose not to take service under an open access tariff. In that circumstance, the public utility may, if it chooses, voluntarily provide transmission service on a unilateral basis to the non-public utility.

<sup>54/</sup> How Group comments at 19.



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Estimated Annual Burden:

Table with 5 columns: Data Collection, No. of Respondents, No. of Responses, Hours per Response, Total annual hours. Rows include Reporting and Recordkeeping.

Total Annual Hours for Collection (Reporting + Recordkeeping, (if appropriate)) = 321,580

Data collection costs: The Commission projects the average annualized cost per respondent to be the following:

Table with 2 columns: Cost Category, Amount. Rows include Annualized Capital/Startup Costs, Annualized Costs (Operations & Maintenance), and Total Annualized Costs.

Internal Review

The Commission has reviewed the collection of information required by this final rule and has determined that the collection of information is necessary and conforms to the Commission's plan, as described in this final rule, for the collection, efficient management, and use of the required information. The Commission has assured itself, by means of its internal review, that there is specific, objective support for the information burden estimate set forth above. 55/

Persons wishing to comment on the collections of information required by this final rule should direct their comments to the Desk Officer FERC, Office of Management and Budget, Room 3019NEOB, Washington, D.C. 20503, phone 202-395-3087, facsimile: 202-395-7285 or via the Internet at hillier\_\_t@a1.eop.gov. Comments must be filed with the Office of Management and Budget within 60 days of publication of this document in the Federal Register. A copy of any comments filed with the Office of Management and Budget also should be sent to the following address at the Commission: Federal

55/ See 44 U.S.C. § 3506(c).



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Energy Regulatory Commission, Information Services Division, Room 41-17, 888 First Street, N.E., Washington, DC. 20426. For further information, contact Michael Miller, 202-208-1415.

### III. DISCUSSION

#### A. **BACKGROUND**

This proceeding began with the issuance of our proposed Open Access rule (Open Access NOPR) 56/ and a notice of technical conference to consider whether a RIN (now an OASIS) or some other option would be the best means to ensure that potential customers of transmission services could obtain access to transmission service on a non-discriminatory basis. 57/ The notice of technical conference was followed by procedures and input (described in the RIN NOPR) that led to the issuance of the RIN NOPR.

Open access non-discriminatory transmission service requires that information about the transmission system must be made available to all transmission customers at the same time. This means that public utilities must make available to others the same transmission information that is available to their own employees and that is pertinent to decisions they make involving the sale or purchase of electricity. The RIN NOPR suggested requirements representing the first steps towards accomplishing these objectives.

The RIN NOPR addressed four main issues: the types of information that need to be posted on an OASIS; technical issues concerning the development and implementation of an OASIS; the development of a basic OASIS in Phase I and the development of a fully functional OASIS in Phase II; and proposed

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56/ See Promoting Wholesale Competition Through Open Access Non-Discriminatory Transmission Services by Public Utilities and Recovery of Stranded Costs by Public Utilities and Transmitting Utilities, Notice and Supplemental Notice of Proposed Rulemaking, 60 FR 17662 (April 7, 1995), FERC Stats. & Regs. ¶ 32,514 (March 29, 1995).

57/ Real-Time Information Networks, Notice of Technical Conference and Request for Comments, 60 FR 17726 (April 7, 1995).



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standards of conduct to prevent employees of a public utility (or any of its affiliates) engaged in marketing functions from obtaining preferential access to OASIS-related information.

The Commission's consideration of the first two of these issues relied heavily on the efforts of two industry-led working groups that presented recommendations to the Commission. 58/ Additionally, the RIN NOPR invited commenters to address specific questions on various issues and invited comments generally on the entire proposal.

As discussed in the RIN NOPR, the handling of various types of information that might be posted on an OASIS depends on substantive determinations being made in the Commission's Open Access

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58/ The North American Electric Reliability Council (NERC) acted as a facilitator for an industry-led independent working group, representing diverse interests, to help participants reach consensus, and to help them prepare a report to the Commission on what information should be posted on a RIN (the "What Group"). The Electric Power Research Institute (EPRI) facilitated a similar working group (the "How Group") that sought consensus on how to implement a system that would accomplish these objectives. Both groups submitted reports to the Commission describing their progress in reaching consensus on their respective issues. As explained in the RIN NOPR, after determining that the working groups had balanced representation from diverse interests and had operated in an open, inclusive manner, the Commission used the working groups' recommendations as the starting point for developing the RIN NOPR.

A fuller description of the working groups' composition and activities is contained in the RIN NOPR and in the reports that those groups submitted to the Commission for its review (attached to the RIN NOPR as Appendices "A" and "B" and made publicly available at the Commission's offices and through the Commission Issuance Posting System (CIPS)).



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rulemaking proceeding. <sup>59/</sup> For this reason, the RIN NOPR attempted to identify the issues that might be affected by decisions that would be made in the Open Access rulemaking and invited comment on the mechanics of implementing whatever determinations ultimately would be reached in the Open Access rulemaking, without attempting to prejudge the merits of the underlying legal and policy issues.

Additionally, the RIN NOPR included (as Appendix "C") a set of upload and download templates for comment to ensure that all data definitions are the same and that the information presented on the OASIS will be uniform and clearly understood.

The Commission's RIN NOPR, issued on December 13, 1995, invited comments on enumerated questions, along with general comments. Comments were filed by over 100 commenters. These comments were generally favorable to the OASIS concept, although numerous disagreements remained as to the details. The comments will be discussed below on an issue-by-issue basis. <sup>60/</sup>

In the RIN NOPR, we invited the two industry-led working groups to continue their efforts to reach consensus and to report to us on their progress. On March 7, 1996, the How Group submitted a report giving proposed revisions to their original report. <sup>61/</sup> The How Group also submitted a report on April 15, 1996 making recommendations on additional issues on which the group had reached consensus.

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<sup>59/</sup> For example, the information about ancillary services that must be posted on an OASIS depends on what ancillary services a public utility must provide. Likewise, the information about discounts that must be posted on an OASIS depends on whether discounting is allowed.

<sup>60/</sup> In the discussion that follows, our references to comments are illustrative and not inclusive. While we have intended to identify all of the major issues raised by the commenters, we have not attempted to identify all commenters in instances where more than one comment makes the same point.

<sup>61/</sup> The participants in the How Group submitted a report entitled Consensus Comments of the Wholesale



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**B. SUMMARY OF THE REGULATIONS AND THEIR IMPLEMENTATION**

The Commission is issuing this final rule with the Open Access Final Rule to implement the legal and policy determinations being made in the Open Access Final Rule. <sup>62/</sup> This final rule contains three basic provisions that, taken together, will ensure that transmission customers have access to transmission information enabling them to obtain open access transmission service on a non-discriminatory basis. This final rule is necessary, therefore, to meet the legal requirement, discussed in the Open Access Final Rule, that the Commission remedy undue discrimination in interstate transmission services by public utilities.

The first provision establishes standards of conduct. These standards are designed to ensure that a public utility's employees (or any of its affiliates' employees) engaged in transmission system operations function independently of the public utility's employees (or of any of its affiliates' employees) who are engaged in wholesale purchases and sales of electric energy in interstate commerce. Such separation is vital if we are to ensure that the utility does not use its access to information about transmission to unfairly benefit its own or its affiliates' sales. Entities subject to these rules are to achieve compliance with the standards of conduct by November 1, 1996.

The second provision sets out basic rules requiring that jurisdictional utilities that own or control transmission systems set up an OASIS. Under these rules, the utilities are required to provide certain types of information on that electronic information system as to the status of their transmission systems and are

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Electric Power Industry on behalf of the "industry management process (interim) on how to implement transmission services information networks."

<sup>62/</sup> For example, a number of smaller public utilities and non-public utilities have argued that they should be exempted from the OASIS requirements. The Open Access Final Rule provides that public utilities may seek waivers of some or all of the requirements of the Open Access rules. This would include the OASIS requirement. Similarly, the Open Access Final Rule provides that non-public utilities may seek waivers of the tariff reciprocity provision as applied to them.



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required to do so in a uniform manner. With these requirements, we are opening up the "black box" of utility transmission system information. When in place, the OASIS will allow transmission customers to determine the availability of transmission capacity and will help ensure that public utilities do not use their ownership, operation, or control of transmission to deny access unfairly. Entities subject to this rule are to have a basic OASIS, meeting the requirements of this final rule, in operation by November 1, 1996.

The third component involves the various standards and protocols referenced in the regulations that are necessary to ensure that the OASIS system presents information in a consistent and uniform manner. As proposed in the RIN NOPR, this final rule references a publication entitled OASIS Standards and Communication Protocols.<sup>63/</sup> This publication contains the above-mentioned standards and communication protocols. The publication details the Phase I requirements for technical issues related to the implementation and use of an OASIS (i.e., a compilation of OASIS standards and communication protocols). Because of their level of detail, the standards and protocols referenced in the regulations will be contained in the Standards and Protocols document and will not be set out in the Code of Federal Regulations.

In developing the standards and protocols, we have been greatly assisted by the industry. However, more work needs to be done before the necessary standards and protocols are complete. For this we will again look to the industry and its working groups. The Commission believes a standard or uniform set of protocols is essential. The industry is best situated not only to develop the necessary standards but to develop them where possible with a consensus. Consequently, we are asking the How Group to provide us with additional recommendations on those technical issues remaining to be resolved. After receiving this report, we will hold a technical conference. In the meantime, to enable utilities to begin the process of implementing their OASIS, we will publish the standards and protocols that have been developed to date.

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<sup>63/</sup> This title differs slightly from the title we suggested for this document in the RIN NOPR. We are making this change to reflect more accurately the contents of the document as it has evolved.



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We must also provide for the contingency that, over time, the standards and protocols may need to be revised. To this end,

NERC, in its comments, proposed to continue the industry-based process for developing OASIS requirements begun by the two industry working groups. NERC argued that the Commission should abandon its intention to approve standards developed by industry-wide consensus and to make decisions in those areas where consensus is not achieved. Instead, NERC argued that the Commission should authorize an industry group, facilitated by NERC and EPRI, to set and enforce detailed standards under broad policy guidelines fixed by the Commission.

As we have needed the contributions of the industry to develop the standards and protocols, we will continue to need that assistance in the future to develop a consensus wherever possible. We need to strike a balance between standardization to make OASIS work and encouraging innovation. To this end we encourage all industry participants to continue seeking consensus and reporting proposals to the Commission for our consideration. We welcome the continued work of all industry participants on revising and improving standards and establishing appropriate methods for recommending standards in the future. We will continue to give careful consideration to all consensus recommendations presented by the industry group(s), provided that they continue to invite balanced participation in an open process.

However, we reject entirely the notion that the Commission need not approve the Standards and Protocols and that these matters can be left to the industry for implementation and self-policing. Although we continue to seek industry consensus, the Commission must reserve final decisions to itself. We cannot turn over the process of approving and enforcing OASIS requirements to the industry. The Commission does not believe that resolution of the outstanding issues or future changes will occur more quickly without Commission oversight. 64/Nor do we believe that merely by announcing broad policy guidelines we would

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64/ To the contrary, our experience with the natural gas pipeline industry persuades us that an expedited schedule is more likely with active Commission oversight than otherwise.



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be creating a mechanism that would be sufficient to allow the Commission to revise regulations quickly. Accordingly, we will not abdicate our responsibility to decide these issues ourselves; nor shall we delegate responsibility for making these decisions to anyone else.

With respect to the as yet unresolved technical issues, we invite the How Group to report to us on or before May 28, 1996 on these issues (and to attach any comments it has received from any interested person with opposing views). Prior to issuing a revised Standards and Protocols document, we will hold a technical conference on these issues on **June 17, 1996**. This short time frame is necessary if the OASIS is to be properly operational by November 1, 1996.

The Commission recognizes that the standards and protocols necessarily will evolve over time. The Commission is committed to a process for reviewing and, if necessary, revising and improving the Standards and Protocols on a regular basis after implementation. We are sensitive to the fact that business practices and technology will continue to change under open access and that a mechanism to make changes to the regulations and to the accompanying standards and protocols on an expedited basis may be needed. It would be premature at this time, however, to determine the appropriate mechanism for making such changes, because the method could vary depending on the type of change contemplated. In filing its report, we ask that the How Group advise us on this issue. We will welcome discussions and comments on mechanisms for revising the standards and protocols on an ongoing basis at the **June 17, 1996** technical conference.

In the sections that follow, we discuss, section-by-section, the regulations we are adopting with this final rule; how the costs of implementing the requirements of these regulations are to be recovered; and the details of implementation.

### C. SECTION 37.1 -- APPLICABILITY



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This section is unchanged substantively from what we proposed in the RIN NOPR. As proposed previously, the rules in Part 37 apply to any public utility that owns or controls facilities used for the transmission of electric energy in interstate commerce. <sup>65/</sup>

In proposing these regulations, we stated that issues relating to potential gaps in providing comparable open access to wholesale transmission services or to transmission information that may arise because the requirements do not apply to non-public utilities would be addressed in the Open Access rulemaking proceeding. We also invited comment on whether the Commission should extend OASIS requirements to non-public utilities that own or control facilities used for the transmission of electric energy in interstate commerce (Question 45) and on whether the reciprocity condition of the proposed Open Access rule dictates that a non-public utility should have an OASIS (Question 46).

### Comments

The responses to Question 45 split along industry lines. Generally, public utilities subject to OASIS rules advocated that the Commission should impose OASIS requirements on non-public utilities. They argued that applying OASIS requirements to non-public utilities would promote competition and a "level playing field." These commenters argue that all companies should pay the costs of developing and operating an OASIS and should be required to divulge information to their competitors on it.

Along these lines, Allegheny argued that, in order to provide a level playing field between public utilities and their competitors, the proposed standards of conduct should be expanded to include personnel of any entity that trades on an OASIS. Allegheny suggested, therefore, that the standards of conduct be

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<sup>65/</sup> We are, however, modifying this provision to clarify that it is intended to include public utilities that "operate" facilities used for the transmission of electric energy in interstate commerce. We are also clarifying that these regulations apply to transactions performed under the pro forma tariff required in Part 35 of the Commission's regulations.



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rewritten to be applicable to non-public utilities through a requirement that they sign confidentiality agreements as a condition of obtaining access to OASIS.

Those favoring applying OASIS rules to non-public utilities argued that a significant portion of the wholesale transmission market is owned by non-public utilities (ConEd estimates that non-public utilities, excluding cooperatives, control about 25 percent of the circuit miles of transmission lines nationwide). They argued that, without information about these lines, accurate calculations of available transmission capability cannot be made. However, those advocating that the Commission should assert jurisdiction over non-public utilities were divided between those who maintained that the Commission has authority to do so directly under § 311 of the Federal Power Act (FPA) 66/ and those who maintained that the Commission does not have such authority. The latter group suggested that the Commission's authority is not clearcut and, to avoid needless delay and litigation, the Commission should rely on the reciprocity condition in the pro forma tariffs to extend OASIS requirements to non-public utilities. 67/ ConEd argued that we should state that compliance with OASIS requirements is required by both § 311 and reciprocity.

The larger non-public utilities argued that, while the Commission lacks authority to impose OASIS rules under § 311 of the FPA, they nevertheless will voluntarily comply with the rules because this would be in their own best interest. By contrast, a number of small non-public utilities argued that they should be exempt from OASIS rules, particularly the standards of conduct, for the same reasons that smaller public utilities argued that they should be exempted from the requirements of the Open Access

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66/ 16 U.S.C. § 825j. Section 311 authorizes the Commission to obtain information (and conduct appropriate investigations) about, among other matters, the transmission of electric energy throughout the United States, regardless of whether such transmission is otherwise subject to the Commission's jurisdiction, and to report to Congress the results of any investigations it carries out under the authority of this provision.

67/ See discussion of Question 46, infra.



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Final Rule. The smaller non-public utilities stressed that they do not "control" many of their transmission lines and that many of their lines lack commercial interest. They recommended the development of a joint or regional OASIS that would make participation in an OASIS easier and argued that, as to smaller non-public utilities, the rules requiring a separation of functions are unduly burdensome and their scant benefits would be outweighed by their costs to consumers.

NRECA argued that the availability of transmission service under § 211 of the FPA is sufficient to prevent abuses. By contrast, Com Ed argued that Commission orders in § 211 proceedings come too late to prevent abuses.

In Question 46 of the RIN NOPR, we asked whether, based on reciprocity, we should require non-public utilities to develop or participate in an OASIS. <sup>68/</sup> The responses to this question generally are split along the same lines as the responses to Question 45, with non-public utilities pointing out that most would participate voluntarily in an OASIS because it would be in their best interest to do so.

APPA asserted that voluntary participation would suffice to accomplish the Commission's goals and seeks assurance that compliance with OASIS requirements by non-public utilities would be deemed by the Commission to satisfy the reciprocity condition in the pro forma tariffs. APPA also asserted that participation in a regional OASIS would make compliance easier for non-public utilities and would help them deal better with operational issues such as parallel flows. At the same time, NE Public Power District argued that, although it is willing to participate in an OASIS voluntarily, the Commission lacks authority to compel publicly-owned non-public utilities to comply with OASIS regulations.

In contrast, a number of public utilities maintained that non-public utilities cannot provide comparable open-access non-discriminatory service unless they comply with the same OASIS rules as do public utilities. PJM argued that, although public utilities and non-public utilities differ in their ownership, this does not provide a rational basis to exclude non-public utilities from participation in an OASIS.

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<sup>68/</sup> The discussion of questions 45 and 46 by commenters often overlapped.



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Carolina P&L argued that the same concerns that motivated the Commission to propose the standards of conduct dictate that the rules should apply equally to non-public utilities.

Others argued that, if non-public utilities need not comply with the same OASIS rules applicable to public utilities, the non-public utilities would have the benefit of an uneven playing field that would give them a competitive advantage. Along these lines, EGA argued that, in pursuing a competitive wholesale market, the Commission should apply OASIS rules equally to all entities that own wholesale transmission facilities. Mid-American stressed the need for reciprocity by pointing out (as others did in response to Question 45) that a significant portion of wholesale transmission facilities nationwide, including some in pivotal areas, are owned by non-public utilities. VEPCO urged that any entity that owns transmission facilities, is affiliated with an entity that owns transmission facilities, controls transmission facilities through a lease or contract, or signs a contract for transmission services, should be required to establish or participate in an OASIS that is compatible with the industry standards established by the Commission in the final rule in this proceeding as a condition of being eligible to use a Transmission Provider's OASIS.

OK Com stated that it would support the Commission's assertion of jurisdiction over non-public utilities, provided that the Commission makes a finding that the non-participation of a transmission owning entity in an OASIS would have a substantial detrimental impact on potential customers attaining open-access non-discriminatory service throughout the Nation. Com Ed argued that the Commission needs to ensure that non-public utilities do not circumvent the rule by making purchases and sales through intermediaries.

Larger non-public utilities, such as Public Generating Pool, suggested that the participation of larger non-public utilities is much more important, in terms of promoting competition in the wholesale market, than is participation by smaller non-public utilities, whose systems are predominantly small distribution systems that are not essential to the larger regional power market. Public Generating Pool proposed that small non-public utilities should be able to seek an exemption and that regional transmission groups should decide whether it is necessary for a small non-public utility to participate in the regional



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OASIS. Public Generating Pool also suggested that, if the Commission prefers, decisions as to who is required to implement an OASIS could be based on objective factors, such as market share or concentration. Other non-public utilities, such as Seattle and Tallahassee, stress the need for flexibility (in providing sufficient time for compliance and in allowing deviations from the rule) in any requirement that non-public utilities make changes to their system.

Discussion

After reviewing these comments we have concluded that we will not directly assert jurisdiction over non-public utilities under § 311 of the FPA to ensure compliance with OASIS requirements. We will, instead, rely on the reciprocity provision of the pro forma tariff that requires a non-public utility to offer comparable transmission service to the Transmission Provider as a condition of obtaining open access service. If a non-public utility chooses to take open access service, and therefore is subject to the tariff reciprocity condition, it will need to meet the OASIS requirements in new Part 37, unless the Commission grants a waiver of this condition. Although, as pointed out by ConEd, non-public utilities control a significant percentage of the circuit miles of transmission lines nationwide, and fully accurate calculations of available capacity on public utilities' lines cannot be made without information about these lines, we believe reciprocity provides a sufficient incentive for non-public utilities to meet the OASIS requirements imposed on public utilities.

We note that in our Open Access Final Rule we have concluded that certain of the requirements we are imposing on public utilities may not be appropriate for small utilities. This conclusion applies equally to the treatment of small public utilities and small non-public utilities. Accordingly, we have established a mechanism in the Open Access proceeding that allows small public utilities and small non-public utilities to seek waivers based on the same criteria. 69/

D. **SECTION 37.2 -- PURPOSE**

Section 37.2 sets out the fundamental purpose of this part

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69/ Open Access Final Rule at section IV.K.



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-- to ensure that all potential customers of open access transmission service have access to the information that will enable them to obtain transmission service on a non-discriminatory basis. Comments in response to the RIN NOPR did not take issue with the proposed language of § 37.2 and we are adopting this provision largely without change.

We wish to clarify, however, that while the OASIS requirements imposed by this final rule establish a mechanism by which Transmission Customers may reserve transmission capacity, they do not require the replacement of existing systems for scheduling transmission service and conducting transmission system operations at this time. We believe that it may be appropriate to include energy scheduling as part of the OASIS requirements developed for Phase II. In the meantime, if we conclude that an existing system is operated in an unduly discriminatory manner, we will pursue changes to such a system in a separate proceeding.

**E. SECTION 37.3 -- DEFINITIONS**

This section defines six terms used throughout this Part -- "Transmission Provider", "Transmission Customer", "Responsible Party", "Resellers", "Wholesale Merchant Function", and "Affiliate". The comments in response to the RIN NOPR did not take issue with the proposed definitions. 70/ Consequently, this final rule adopts these definitions largely without change. To prevent confusion, the definition of Transmission Customer has been revised to include potential customers, i.e., those who can

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70/ MidAmerican Energy suggested, however, that a definition for "Transmission System Operator" be added. We will not do so because we do not use this term anywhere in the OASIS regulations. MidAmerican's purpose in making this suggestion may have been to exclude the posting on the OASIS of transactions involving the use of transmission for purchases made for native load (this issue was also brought up by CCEM, EGA, MidAmerican, NYPP, and NIEP). We address the issue of native load purchases in the Open Access Final Rule.



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execute service agreements or can receive services as well as those who actually do so. And, we have modified the definition of "Affiliate" to more closely track provisions of the FPA and the Public Utility Holding Company Act.

**F. SECTION 37.4 -- STANDARDS OF CONDUCT**

This section sets out the standards of conduct necessary to ensure that Transmission Providers do not use their unique access to information unfairly to favor their own merchant functions, or those of their affiliates, in selling electric energy in interstate commerce. Although preserving the substance of what was proposed, the final rule has been reorganized.

Paragraph (a) sets out the general rules that require the separation of transmission and merchant functions and that recognize in emergency circumstances system operators may take whatever steps are necessary to keep the system in operation.

Paragraph (b) sets out the specific rules governing employee conduct under five headings covering prohibited practices, transfers of employees, access to information, disclosure, and conduct in implementing tariffs. These provisions correspond to elements of paragraph (a), as well as paragraphs (b) through (h) and (j) of the standards proposed in the RIN NOPR.

Paragraph (c) requires that there be written procedures implementing the standards of conduct and that these must be kept in a public place and filed with the Commission. Paragraph (c) corresponds to paragraph (k) of the standards proposed in the RIN NOPR.

In the RIN NOPR, the Commission proposed standards of conduct for public utilities patterned after those promulgated for natural gas pipelines. <sup>71/</sup> The proposed standards of conduct would require Transmission Providers to separate their wholesale merchant functions (i.e., wholesale purchases or

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<sup>71/</sup> In the RIN NOPR, the proposed standards of conduct were set out in § 37.6. See RIN NOPR text at section III.E (60 FR at 66196) and the proposed regulation at 18 CFR § 37.6 (60 FR at 66199). We are renumbering this provision as § 37.4 in this final rule.



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wholesale sales of electric energy in interstate commerce) from their wholesale transmission system operations and reliability functions. Employees performing wholesale merchant functions would be required to obtain information on wholesale transmission services only through an OASIS, on the same basis available to all other OASIS users. The standards of conduct were intended to prevent employees of the Transmission Provider that perform wholesale merchant functions or employees of any affiliate from having preferential access to any relevant information about the Transmission Provider's wholesale transmission availability and costs, or uses or possible uses of the Transmission Provider's transmission system by non-affiliates. 72/

We accompanied this proposal with two questions that asked whether the proposed standards of conduct should be modified and whether they sufficiently addressed functional unbundling (Questions 41 and 42). We also asked whether our proposal might interfere with system reliability (see Question 43).

The responses basically fell into three categories. 73/ First, a number of smaller public utilities argued that they should be granted waivers (or be deemed exempt) from the proposed standards of conduct

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72/ Because the Open Access Final Rule pro forma tariff may include certain retail transmission customers, this final rule's OASIS information requirements will apply to applicable retail as well as wholesale services and information.

73/ Among the over 100 comments filed, only Dayton P&L, among public utilities, questioned the Commission's underlying authority to mandate control room unbundling. Dayton P&L's short conclusory statements in this proceeding were not accompanied by even a cursory explanation of its reasoning or by any legal analysis or supporting citations.

Although Dayton P&L offered no support for its position in this proceeding, it did (along with other parties) devote extensive discussion to the more general issue of the Commission's authority to order open access transmission in its initial comments in



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because these standards would compel them to hire additional staff not justified by their small market share or by the small revenues they derive from providing wholesale transmission services. These comments suggested that the standards should not apply to public utilities that lack operational control over the facilities used for wholesale transmission service, or to public utilities that do not exceed given thresholds for market share, percent of revenues, or total revenues from wholesale transmission services.

Second, a number of large utilities basically were satisfied with the proposed rules and offered specific suggestions for revisions. Third, commenters raised the issue of whether to require the separation of generation and transmission functions. 74/ We discuss these three categories below.

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the Open Access rulemaking proceeding. We reject Dayton P&L's unsubstantiated conclusion, urged in this proceeding, that we lack authority to order control room unbundling for the same reasons that we reject their more general and more extensive arguments on the Commission's authority in the Open Access Final Rule. See Open Access Final Rule at section IV.B.

74/ A number of comments raised the issue of whether the OASIS regulations would promote ISOs (independent system operators) and whether participation in an ISO would exempt an entity from compliance with OASIS requirements. In this regard, a number of comments suggested that the proposed standards of conduct will result in the widespread transfer of transmission functions to the control of ISOs and predicted that the need for the standards of conduct will diminish as ISOs become more prevalent. In this context, IN Com supported the formation of ISOs, because this would reduce the need for state commissions to monitor functional unbundling and would help in resolving jurisdictional questions.

The concept of ISOs is addressed in the Open Access Final Rule. As to the prediction that the rise in the number of ISOs will make the standards of conduct unnecessary, or should offer a basis for an exemption from the standards of conduct, we would characterize



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1. **Requests by Smaller Public Utilities for Waivers from the Standards of Conduct**

Turning first to the arguments of smaller public utilities that they should be exempt from the standards of conduct, we note that this issue also arose in the Commission's Open Access rulemaking proceeding. As described in the Open Access Final Rule, we will publish a list of jurisdictional public utilities that must comply with these rules. At the same time, we establish a mechanism that allows small public utilities to seek a waiver. In appropriate circumstances, the Commission would waive some or all of the Open Access requirements, subject to future reconsideration as warranted by circumstances. <sup>75/</sup>

A related issue involves the concerns of small non-public utilities about their obligation under the reciprocity condition. We have decided in the Open Access rulemaking proceeding that we would use these same criteria to decide whether a small non-public utility should be granted a waiver from all or part of the reciprocity condition contained in public utility open access tariffs. Such waivers could be sought of the requirements to have open access tariffs, provide ancillary services, establish an OASIS, or separate functions.

A full explanation of the waiver mechanism is contained in the Open Access Final Rule. <sup>76/</sup> We will use these same standards to determine whether small public utilities have complied with the OASIS requirements and to determine whether small non-public utilities have met their contractual obligation to comply with OASIS requirements as a condition of service under open access tariff reciprocity provisions.

2. **Suggested Revisions to the Standards of Conduct and Timing**

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the potential of ISOs somewhat differently. In our view, a properly constituted ISO could be a mechanism, not for an exemption, but as a means to comply with the standards of conduct.

<sup>75/</sup> Open Access Final Rule at section IV.K.

<sup>76/</sup> Id.



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For the most part, we have adopted the standards of conduct as proposed, making technical and conforming revisions. In a few instances, in response to comments, we have made substantive changes. These changes, and the suggestions that led us to make them, are discussed below, along with some suggestions that we rejected.

1. As proposed, the regulations would prohibit preferential access to the system control room and "other facilities of the public utility" that differs from the access available to other potential transmission users. AEP suggested that it is not clear whether this was intended to restrict access to all other facilities or is meant to restrict access to other similar facilities, (i.e., those facilities that, like the control room, are involved in transmission operations and reliability functions). Consistent with this latter interpretation, AEP suggested that the restriction be modified to apply to the system control room and "similar facilities used for transmission operations or reliability functions." We agree with AEP's interpretation of the scope of this restriction and adopt the suggested revision in section 37.4(b)(1)(ii) of the final rule.

2. Section 37.4(c) of the proposed standards of conduct would prohibit contacts (off OASIS) between employees of the public utility engaged in transmission system operations and employees of the public utility engaged in wholesale marketing functions, and employees of any affiliate no matter how employed. AEP, Com Ed, and Ohio Edison argued that this provision is too broad and would exclude contacts between transmission system operators and employees of affiliates engaged in various activities, many of which are unrelated to a public utility's merchant functions. For example, an energy services subsidiary might be engaged in building a power plant in a foreign country. AEP argued that there would be no reason to deny employees engaged in such an activity access to utility personnel involved in transmission or reliability functions. Com Ed suggested that this provision should be modified to prevent contacts between system operators and employees engaged in wholesale marketing functions, regardless of whether those marketing employees are engaged in those activities on behalf of either the utility or its affiliates. Thus, under this argument, contacts between system operators and affiliate employees not engaged in wholesale marketing functions would not be prohibited.



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We agree with AEP, Com Ed, and Ohio Edison that our proposed standards of conduct were overly broad because they prohibited contacts between system operators and affiliate employees engaged in functions completely unrelated to a public utility's wholesale power and energy marketing functions. We will revise the proposed standards of conduct accordingly.

AEP also argued that employees of the affiliate may be involved in the wholesale merchant function, but not in the utility's market area. For example, an employee of an affiliate might be involved in a different geographic area, far from the system's transmission grid. AEP argued that there would be no need to isolate such activities from the utility's transmission operations. To cover such situations, AEP suggested that the language be modified to read "employees of any affiliate of the public utility, to the extent that such employees are engaged in wholesale merchant functions in the utility's market area."

We reject AEP's suggestion. Although public utilities may still have the ability to exert market dominance in particular markets, they also will now have the ability to participate in transactions across the nation. We fully expect -- and our experience with the WSPP demonstrates -- that in the move to a competitive wholesale bulk power market, public utilities will have extensive market areas in which to make offers. Thus, there is no reason to limit the scope of the standards of conduct as recommended by AEP.

We also have clarified section 37.4(b)(3)(i) to explain that employees engaged in merchant trading functions must not have preferential access to any information about the Transmission Provider's transmission system that is not available to all users of an OASIS. However, the standards of conduct do not foreclose customers, including merchant employees, from obtaining information about the status of their particular contracted for transaction from Transmission Provider employees engaged in system operation and reliability functions. The information provided in status reports must present the same types of information, in the same level of detail, to any customer presenting a similar request. The standards do, however, preclude merchant employees from obtaining preferential access to information about the Transmission Provider's system (not directly linked to their particular transaction) from any nonpublic



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source as well as market information acquired from nonaffiliated customers or potential nonaffiliated customers or developed by the Transmission Provider in its role as a Transmission Provider (except to the limited extent that this information is required to be posted on the OASIS). <sup>77/</sup>

3. APPA argued that the rules should prohibit preferential treatment of wholesale purchases or sales by any utility. APPA interpreted the originally proposed language to mean that preferential treatment would be permitted, as long as the preference would not be extended to the public utility itself or an affiliate. APPA and Com Ed argued that preferential treatment of any wholesale customer over the interests of any other wholesale customer must not be allowed. Com Ed adds that absent clarification, relationships of reciprocal favoritism could develop in the industry, to the detriment of all other customers.

We find this contingency is possible. While the standards of conduct set guidelines for Transmission Providers and their affiliates in handling their wholesale merchant functions; public utilities are also governed by section 205(b) of the Federal Power Act. Section 205(b) prohibits public utilities from granting any undue preference or advantage to any person or subjecting any person to any undue prejudice or disadvantage with respect to any transmission or sale subject to the jurisdiction of the Commission. This provision remains in full force and effect and prohibits preferential treatment in transactions regardless of whether those transactions are specifically addressed in the standards of conduct.

4. In section 37.6(i) of the RIN NOPR we proposed that public utilities offer customers discounts comparable to those that the public utility offers to its own power customers or those of an affiliate. AEP suggested that this limitation on allowable discounts be expressly limited to discounts on wholesale transmission services. We agree and are revising this provision accordingly. Discounts for jurisdictional power sales are not governed by this final rule but by section 205(b) of the FPA and related precedent on power sales.

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<sup>77/</sup> See § 37.4(b)(4)(iii); see text accompanying n. 33, infra.



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5. Allegheny suggested that the Commission should find that there will no longer be a presumption of discriminatory dealing between utility affiliates in generation and transmission services when network owners comply with the standards of conduct. Allegheny has presented no basis for making such a finding and we decline to do so.

6. Com Ed, Duke, and NEPOOL suggested that the proposed standards should not be interpreted to prevent employees of the utility engaged in wholesale marketing functions from obtaining information about their competitors from non-affiliated third party sources such as the trade press. Com Ed also suggested that the utility should be allowed freedom to give out information about its transmission functions off OASIS (e.g., in briefings at public meetings) as long as the utility's wholesale marketing employees do not obtain preferential access to those forums. Ohio Edison suggested that the proposed standards of conduct should be revised to preclude only "substantive access" to the system control room. Ohio Edison argued that access for matters unrelated to transmission matters, such as training programs, should be permitted.

We have two points we wish to make regarding these related suggestions. First, we clarify that the rules do not prohibit access to information contemporaneously available without restriction to other members of the general public. (See section 37.4(b)(1)(ii) dealing with access to information). Second, these rules are intended to be interpreted consistent with common sense, prudence, and caution.

Our standards of conduct are intended to prevent preferential access to information related to transmission prices and availability by employees of the public utility or any affiliate engaged in wholesale merchant functions. Preferential access means that information is obtained from those with access to information about the public utility's transmission system operations that is not equally available to other customers. It is obvious, at least to us, that this does not bar wholesale merchant employees from reading the trade press or from sitting in the audience of a publicly-announced and available lecture delivered by the public utility's transmission operator or a third party in an open forum. However, the onus is on the



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public utilities subject to these standards to conduct their affairs in compliance with these rules, and they should exercise care and prudence in so doing.

We decline, therefore, to specify in these regulations whether, for example, a "public meeting" must be preceded by advance notice, to whom that notice must be provided, and what that notice would need to spell out. We do not believe that it would be appropriate to burden our rules with this kind of minutiae in a misplaced effort to anticipate every possible contingency. Such regulatory overkill is unwarranted and counterproductive. Moreover, those subject to the regulations may, like other members of the public, call the Enforcement Task Force Hotline to obtain informal advice on implementing the standards of conduct.

7. VEPCO suggested that, rather than prohibiting contacts between system operators and employees of the public utility and any affiliates engaged in wholesale merchant functions, the Commission could reach the same result by allowing system operators to disclose, through informal communications, information about the status of the transmission system, provided that they then post this information on OASIS.

We find this suggestion untenable. First, such disclosures would necessarily be posted after-the-fact, and thus the information would not be conveyed to all potential customers at the same time. Second, such a provision would be very difficult to enforce. Third, the same information could just as easily be divulged on the OASIS to all customers, rather than "reported" on the OASIS after-the-fact.

8. Com Ed suggested that the reference in subsections (a) and (d) of the proposed standards to "reliability functions" should be clarified to apply only to transmission functions and not to generation functions. We disagree. As discussed below, system operations and reliability functions include both transmission and generation functions.

9. Con Ed suggested that the standards of conduct should include a disclaimer that utilities will not be liable for the reliability or accuracy of data posted on the OASIS as an accommodation to third parties. We agree that the responsibility for assuring the reliability and accuracy of data supplied by third parties



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rests with those third parties and not with the public utility that posts this information on the OASIS as an accommodation. We do not, however, view this as a standard of conduct issue. Instead, we address this point in our discussion of what information is to be posted under § 37.6(g).

10. Ohio Edison suggested that posting the names of personnel transferring between departments would make these employees targets for recruitment by competitors. Notwithstanding this concern, we believe that this information must be posted on the OASIS to make possible "gaming of the system" through spurious revolving door tactics more visible.

11. Ohio Edison also suggested that the phrase in subsection (b) of the proposed standards ". . . must rely upon the same information relied upon by the public utility's wholesale transmission customers" should be modified to read ". . . must have available only the same information available to the public utility's wholesale transmission customers." Ohio Edison argued that the Transmission Provider has no way of knowing what information its customers "relied upon" and that it should not be held to an undefinable subjective standard. We agree. Accordingly, we adopt Ohio Edison's suggestion in section 37.4(b)(3)(i) of the final rule and omit the phrase "rely upon."

12. Ohio Edison also suggested that if its suggestion (in the previous item) is adopted, then the language in section 37.4(b) beginning with the language in parenthesis becomes redundant and should be deleted. We disagree and will retain that language in section 37.4(b)(3)(ii) of the final rule. We believe the language adds necessary clarification.

13. Montana Power suggested that, if off-OASIS communications between the utility's system operators and wholesale marketing personnel are prohibited, these kinds of communications should also be prohibited between system operators and all transmission users. Montana Power would prefer, however, that these communications be permissible. Likewise, Duke suggested that we change the regulations so that if an employee of an unrelated third party calls the transmission-related employees, for example, to better understand the public utility's transmission system, such communications should be permitted to be conducted off the OASIS. Duke maintains that the free flow of information should not be discouraged so



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long as functional unbundling is implemented and affiliate abuse is avoided. NEPOOL suggested that the rules dictating the Transmission Provider's release of information should apply to all Transmission Customers, not just to the Transmission Provider's employees, as affiliates, engaged in wholesale merchant functions.

Our proposed standards of conduct were designed, and our final standards are being implemented, to prevent Transmission Providers from giving themselves an undue preference over their customers through the exchange of "insider" information between the company's system operators and employees of the public utility, or any affiliate, engaged in wholesale marketing functions. Thus, the rules place restrictions on preferential communications from the system operators to only those merchant employees. The rules were not designed to prevent system operators from having communications with third parties. We do not generally see this as an area that needs regulatory oversight. As discussed above, we have revised the regulations to ensure no discriminatory treatment and we remind public utilities subject to these regulations that section 205(b) of the FPA prohibits undue discrimination. This should suffice.

14. NUSCO suggested that the Commission should distinguish: (1) the functional separation of generation marketing related to operation of the transmission system and administration of transmission tariffs (which are relatively short-term activities); from (2) the coordination of marketing with the system planning function (a long-term activity encompassing both generation and transmission). Similarly, the FL Com is concerned that the standards of conduct might impede system reliability, and argued that marketers and system operators should be able to confer concerning the company's long-term planning activities that require knowledge about the company's generation and transmission systems. NEPOOL expresses similar concerns.

By contrast, Com Ed suggested that the proposed standards of conduct will not impair planning because, like a one-way street, they allow information to be conveyed from employees engaged in merchant functions to system operators, while at the same time prohibiting information to be conveyed in the opposite direction. Com Ed submitted that the inter-relationship between the areas of strategic



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planning, resource planning and long-range transmission planning require the flow of information to transmission personnel. Future acquisitions of capacity may constitute a resource taken into account in planning and may have an impact on the transmission system that needs to be accounted for by transmission planners. Thus, Com Ed argued that there should be no restriction on the flow of information about future purchases or sales from the merchant function to the transmission function, although restrictions on the flow of information to the merchant function should be adopted as proposed.

We agree with Com Ed that, as we proposed in the RIN NOPR, the flow of information, through the OASIS, from employees engaged in wholesale merchant functions to system operators should remain permissible, to allow proper system planning, while at the same time restricting information being conveyed off the OASIS from system operators to utility and affiliate employees engaged in wholesale merchant functions, to prevent preferential access to transmission information. Consequently, we reject the proposals offered by NUSCO, FL Com, and NEPOOL in this regard.

15. Omaha PPD argued that information regarding the scheduling of power transfers, economic dispatch, and economic conditions have nothing to do with the information that is needed regarding the availability of transmission capability. Omaha PPD suggested, therefore, that any information relating to economic operation or the commercial state of a utility be removed from the standards of conduct. By contrast, NUCOR suggested that, since economic dispatch is premised on real-time marginal production cost data and generating unit economics, the comparability standard mandates that utilities provide the same generation cost data to other market participants. Similarly, NUCOR argued that, because economic dispatch also is dependent on the economics of off-system purchases and sales, data pertaining to such purchases and sales also must be made generally available.

Except for postings for certain ancillary services, the RIN NOPR did not propose the posting on an OASIS of data on generation and we are not persuaded, at this juncture, to do more. Our decision is based on a balancing of the need for the information, the claimed commercial sensitivity of the information, and



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the desire to avoid, to the extent possible, having public utilities reporting generation data that their competitors may not be required to report.

16. VEPCO suggested that the regulations should prohibit system operators from disclosing information to wholesale marketing employees or other customers about the ancillary services offered by third parties because they are not permitted to disclose the same information about their companies' own products. VEPCO further suggested that the prohibition against discussing the companies' own products should be removed.

We find these suggestions inconsistent with the kinds of safeguards we are trying to provide through these standards of conduct. In any event, as discussed below in our discussion of items to be posted on the OASIS, we are requiring that this kind of information be posted on the OASIS, and thus companies will be able to get their message out that these services are available.

17. Duke suggested that the proposed subsection dealing with the impartial application of tariff provisions should be revised to make clear it is the customer (and not the employees) who is to be treated on a fair and impartial basis. We agree and the final rule in section 37.4(b)(5)(ii) adopts this suggestion.

18. VEPCO suggested that the rules requiring a separation of functions should be suspended if additional employees trained in system operations (but normally assigned to marketing functions) should be needed to assist in handling system operation functions during emergencies affecting system reliability. VEPCO also suggested that the Commission should allow transmission and generation operators to engage in emergency energy transactions and hourly non-firm energy transactions.

It is not the purpose of these rules to compromise reliability. In emergency circumstances affecting system reliability, system operators may take whatever steps are necessary to keep the system in operation. Consequently, we are adding a provision to the standards of conduct that specifically grants system operators the authority to take whatever steps are necessary to maintain system reliability during an emergency, notwithstanding that this could otherwise constitute a violation of the standards of conduct. Transmission Providers will be required to report to the Commission and on the OASIS each emergency



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that resulted in any deviation from the standards of conduct, within 24 hours of such deviation. If we see a pattern of activities that suggested that "emergencies" are not authentic, we will take strong action against the offending public utilities.

Because we are adding a provision that allows actions to be taken in response to emergencies, we are deleting the phrase "to the maximum extent practicable" that had appeared in section 37.6(a) of the standards of conduct proposed in the RIN NOPR.

19. Continental Power Exchange argued that, just as merchant traders should be prohibited from access to the control center, system operators should be prohibited from access to the trading floor. United Illuminating agreed that separation of functions needs to apply to separation of transmission and customer supply functions. Continental Power Exchange also suggested that discounts should be offered unilaterally to all customers without prior notice and without two-way negotiation. Continental Power Exchange further suggested that short-term transactions should be deemed approved upon request, unless the utility specifically notifies the customer that the transaction will be denied. Continental Power Exchange argued that this would streamline the proposed procedures and make OASIS transactions faster and more manageable.

We will not, at this time, adopt Continental Power Exchange's suggestion to create an absolute prohibition against system operators having access to the trading floor because we are concerned about information divulged by system operators and not about information acquired by them. However, any non-public contacts between system operators and merchant traders creates the risk that there will be improper communications between these employees and the burden is on Transmission Providers subject to the standards of conduct to devise procedures that will prevent improper contacts. We expect, therefore, that the Transmission Providers themselves will devise procedures that will either prohibit or, at a minimum, severely restrict access to the trading floor by system operators.



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As to Continental Power Exchange's other suggestions, we will not adopt these suggestions at this time, but may come back to them as the process evolves and the feasibility of back and forth negotiations is tested by experience.

20. SoCal Edison and Tucson Power suggested that, while the proposed 60-day deadline for filing procedures to implement the standards is adequate, the Commission needs to be flexible on implementing other changes, such as reconfiguring and relocating control rooms and other facilities, and training and recruiting new employees.

Although we originally proposed to require compliance with the standards of conduct starting 60 days from the publication of this final rule, on further consideration we have decided to put off the requirement that they be implemented until the implementation of OASIS, that is by November 1, 1996. As a practical matter, the standards of conduct cannot be implemented apart from the electronic communication systems of a functioning OASIS; the two work together. In addition, the extra time will permit utilities the opportunity to fully implement the requirements of the standards of conduct. Although the result will be a window of time during which open access transmission tariffs will not be supported by standards of conduct (or OASIS), we must recognize that the changes we are mandating for the industry cannot be implemented overnight; a transition period is required.

21. Finally, after a review of the comments, we have added an additional provision to the standards of conduct (section 37.4(b)(5)(vi) of the final rule) dealing with the posting of any additional market information developed by a Transmission Provider in its role as a Transmission Provider and shared with employees of its, or an affiliate's, merchant function.

We have expressed concern in a number of recent orders about the possibility of the dissemination of market information by a public utility with market-based rate authority. <sup>78/</sup> To guard against the

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<sup>78/</sup> See, e.g., *Illinova Power Marketing, Inc.*, 74 FERC ¶ 61,313, slip op. at 4-6 (1996); *USGen Power Services, L.P.*, 73 FERC ¶ 61,302 at 61,845 (1995).



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possibility of affiliate abuse, we have required such public utilities to commit in their codes of conduct with affiliates to share market information only if they make the same information publicly available to non-affiliates at the same time. We have not dictated the means by which public utilities are to make this information simultaneously available to all.

This same concern for the unequal distribution of market information, in a manner that may benefit select recipients with commercial or competitive information that is not equally available to others, leads us, after a review of the comments, to extend the standards of conduct to cover any market information gathered by Transmission Providers in the course of responding to transmission or ancillary service inquiries.

Our concern, based in part on our experience with implementing and monitoring electronic bulletin boards developed for use by the natural gas pipeline industry, is that there remains the incentive for a Transmission Provider to share with its own merchant employees, or those of an affiliate, any information it has developed (not limited to transmission system information) in responding to requests made over the OASIS. This is particularly a concern with respect to market information developed in the course of denying a request for transmission service.

While we have developed procedures dealing with the obligations of Transmission Providers in responding to requests for service, we believe that these procedures, alone, may not be sufficient to eliminate the possibility of an unfair competitive advantage to employees of the Transmission Provider (or an affiliate) engaged in merchant functions, by virtue of access to market information not shared with others.

Accordingly, we will add to the standards of conduct a provision that precludes a Transmission Provider from sharing market information acquired from nonaffiliated Transmission Customers or potential nonaffiliated Transmission Customers or developed in the course of responding to requests for transmission or ancillary service. In this manner, we can be better assured that employees of the Transmission Provider or an affiliate engaged in merchant operations do not develop a competitive advantage by virtue of



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operation of an OASIS. The Transmission Provider may only reveal information about transmission requests as provided in the provisions of this rule (section 37.6 (e)) dealing, generally, with responses to transmission and ancillary service requests and, specifically, with transaction confidentiality (except to the limited extent that this information is required to be posted on the OASIS).

3. **Whether to Require the Separation of Generation and Transmission Functions**

In the RIN NOPR we proposed standards of conduct that would require Transmission Providers and their affiliates to separate system operation and reliability functions from wholesale merchant functions. Both transmission and generation functions are included within system operation and reliability functions. The RIN NOPR, notwithstanding Questions 42 and 43, did not propose that these functions (transmission and generation) be separated. Nor did we propose that Transmission Providers divest their ownership of generation assets.

We received numerous comments in response to our questions 42 and 43 that asked whether, if the Commission would go beyond unbundling transmission and generation merchant functions to order the unbundling of generation and transmission operations, this would necessitate revision of the proposed standards of conduct and whether this would adversely affect reliability. <sup>79/</sup> After reviewing the comments, we conclude that we should require -- with these final rules -- only the unbundling of the transmission operations and wholesale marketing functions of public utilities and their affiliates, as

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<sup>79/</sup> The commenters nearly universally focused their presentations on why the Commission should not order an unbundling of generation and transmission operations, rather than addressing the precise topic we set out. In any event, the issue is now moot, as we have decided not to order Transmission Providers to separate their generation and transmission operations at this time. If, however, with experience we discover that the steps we are ordering here are not adequate to remedy undue discrimination, we can revisit this issue.



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proposed in the RIN NOPR. We do not extend these rules to require the unbundling of transmission and generation control functions or to mandate the divestiture by Transmission Providers of their generation assets.

We will require the functional unbundling of transmission operations and wholesale marketing functions because we are persuaded that this will prevent abuses based on preferential access to information and other discriminatory behavior, without compromising system reliability. The standards of conduct are designed to accomplish this: (a) by requiring that transmission-related information be made available to all customers (including employees of the public utility, and any affiliate, engaged in merchant functions) through OASIS postings available to all customers at the same time and on an equal basis; and (b) by prohibiting the employees of Transmission Providers and any affiliates from disclosing (or obtaining) non-public transmission-related information, through communications not posted on the OASIS.

### G. SECTION 37.5 -- OBLIGATIONS OF TRANSMISSION PROVIDERS

This section of the final rule adopts, without substantive change, the provisions proposed as section 37.4 (Standardization of Data Sets and Communication Protocols) and section 37.5 (Obligations of Transmission Providers) in the RIN NOPR. The final rule requires, in paragraph (a), that a Transmission Provider must provide for the operation of an OASIS either individually or jointly with other Transmission Providers and it must do so in accord with the requirements of Part 37. Paragraph (b)(1) requires that the OASIS must give access to relevant standardized information pertaining to the status of the transmission system as well as to the types and prices of services. Finally, in paragraph (b)(2), the rule requires that the OASIS must be operated in compliance with the protocols set out in the publication, OASIS Standards and Communication Protocols.

In the RIN NOPR, we explained that each Transmission Provider would be responsible for compliance, regardless of whether it establishes its own OASIS or participates in a joint OASIS. <sup>80/</sup> The

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<sup>80/</sup> NRECA commented that the Commission should ensure that expenses by a joint OASIS are subject to the



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final rule does not change this. In a related provision, we proposed, in § 37.1, that Part 37 would apply to any public utility that owns, operates, or controls facilities used for the transmission of electric energy in interstate commerce. However, as noted by many commenters, it is quite probable that individual public utilities may turn the operation of their transmission system and information system over to an ISO or other joint or regional entity. (This has been provided for in the definition of the term "Responsible Party").

This raises the issue of the Commission's jurisdiction over such entities.

Under section 201(e) of the FPA, a "public utility" means,

any person who owns or operates facilities subject to the jurisdiction of the Commission under this Part (other than facilities subject to such jurisdiction solely by reason of section 210, 211, or 212). [81/]

To the extent that anyone is given control and decision making authority over the transmission operations of a public utility's transmission facilities, it clearly would "operate" public facilities, within the meaning of section 201(e), and therefore would be subject to the Commission's jurisdiction. 82/ To the extent that a public utility turns over its operations to an ISO or any other joint entity to satisfy the Open Access and OASIS requirements, the ISO or any other entity would fall within the definition of a "public utility" under § 201 of the FPA and thus would be subject to the OASIS regulations of Part 37.

**H. SECTION 37.6 -- INFORMATION TO BE POSTED ON AN OASIS**

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Commission's jurisdiction and audit authority. We agree. We will treat this as a normal ratemaking expense issue and will allocate such costs on a case-by-case basis when such expenses are presented to us for our review.

81/ 16 U.S.C. § 824.

82/ See, e.g., Bechtel Power Corporation, order granting declaratory order and disclaiming jurisdiction, 60 FERC ¶ 61,156 at 61,572 (1992) (on control issue), and FPC v. Florida Power & Light Company, 404 U.S. 453 (1972) (on defining jurisdictional facilities).



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In the RIN NOPR, we proposed, in sections 37.7 through 37.14, rules governing: (1) the information that must be posted on an OASIS; (2) the procedures for the posting and updating of information on the OASIS; (3) the posting of discounts; (4) procedures for Transmission Providers to respond to customer requests for transmission service; (5) procedures for communicating denials of requests for service and curtailments; and (6) the posting of information about scheduling and affiliate transactions. These provisions have been consolidated and are now covered in § 37.6 of the regulations adopted by this final rule.

As discussed in more detail below, section 37.6 has eight paragraphs. Paragraph (a) lists the objectives of an OASIS. Paragraph (b) lists what must be posted for public transmission capability -- that is, available transmission capability (ATC) and total transmission capability (TTC) -- as well as how and when this information is to be updated. Paragraph (c) sets out the requirements for posting transmission service products, including resold capacity as well as their prices. Paragraph (d) provides the same for offerings of ancillary services. Paragraph (e) sets out the requirements for posting transmission service requests and responses including service denials and curtailment or interruption of transmission. Paragraph (f) provides requirements for posting transmission service schedules. Paragraph (g) deals with posting other transmission-related communications. Finally, paragraph (h) sets out the requirements for auditing information.

Some of the proposed provisions have not been adopted. These include requirements concerning an application procedure for requesting transmission service (§ 37.9(b)(5) of the proposed regulations); requirements imposed on the reseller to notify the Transmission Provider of certain information (§ 37.9(c)(3) of the proposed regulations); and the steps that must be followed by the Transmission Provider and Requester in their negotiations (§ 37.12 of the proposed regulations). These did not prescribe information that must be posted; rather, they were concerned with how parties should conduct business in an open access environment. These matters are considered in the Open Access Final Rule.

### 1. **OASIS Objectives** (§ 37.6(a))



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The Commission proposed five objectives for the OASIS in the RIN NOPR. <sup>83/</sup> Few comments were received on these objectives; none were substantive. Thus, we adopt these objectives without substantive revision in the final rule.

2. **Posting Transmission Capability** (§ 37.6(b))

a. ATC for Network Integration Service

The RIN NOPR discussed requiring the posting of available transmission capability for network service. As we acknowledged in the RIN NOPR, <sup>84/</sup> before-the-fact measurement of the availability of network transmission service is difficult. Nonetheless, it is important to give potential network customers under the Commission's pro forma tariff (as discussed in the Open Access Final Rule) <sup>85/</sup> an easy-to-understand indicator of service availability. To this end, the Commission requested comments on how best to post the availability of network transmission service on the OASIS (Question 3).

NERC reiterated the statement in the What Group report that “it does not seem possible to post the availability of Network Integration Transmission Service” on an OASIS. No other commenter disagreed.

NERC went on to describe some of the challenges involved with calculating available transmission capability (ATC) for network integration service. Network service is a complex, long-term relationship between a requester and provider that must be investigated in detail because it involves the specification of multiple points of receipt or delivery or both. Because of the long-term nature of network service, the planning process involves a complex interrelationship of future loads and resources, with an impact on the network that is extremely location dependent. A major difficulty in estimating network ATC is the lack of specific locations for which to calculate an impact on the network. Each network service

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<sup>83/</sup> See RIN NOPR text at section III.C (60 FR at 66188) and the proposed regulation at 18 CFR 37.7 (60 FR 66200).

<sup>84/</sup> See RIN NOPR text at section III.C (60 FR at 66188).

<sup>85/</sup> See Open Access Final Rule at sections IV.G and IV.H.



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request would be unique, with different sets of integrated loads and generating stations affecting the network, including its constrained paths, differently.

The Commission also asked if there were any alternative service that is more suitable to measurement than the current version of network service. Some commenters said that it might be possible to devise a concept which supports better measurement of network-like service availability, but devising and implementing such a new concept within the proposed initial implementation time line for OASIS is not feasible. The Commission is not, at this time, persuaded to require the posting of ATC for network service.

b. Minimizing the Reporting of ATC  
(§§ 37.6(b)(1) and (3))

In the RIN NOPR, the Commission requested comments on ways to minimize the burden of ATC calculations, while ensuring that wholesale Transmission Customers have the information they need (Question 5).

Commenters suggested a number of ways to minimize the reporting of ATC, including less frequent updates, developing standardized methods for calculating ATC, and encouraging regional efforts. Most of the comments discussed ways to limit the number of paths for which ATC has to be posted.

The What Group proposed that ATC be posted only for paths as "business needs" arise. This proposal was intended to limit the number of paths for which ATC must be posted. A "business need" was defined, in part, by a Transmission Customer requesting information about a path. A number of commenters supported the proposal to limit paths based on "business need." 86/

The Commission suggested in the RIN NOPR a different approach to the problem. Calculating ATC and updating frequency could be based, instead, on the level of activity and constraints on a given

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86/ See, e.g., Arizona, ConEd, NEPOOL, NE Public Power District, NERC and Western Group comments.



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path. This approach was supported by a number of commenters. 87/ A number of commenters wanted to leave to the Transmission Provider the decision of which paths to post ATC. 88/

Detroit Edison, Oklahoma G&E and PSNM suggested that customers could also identify paths, along with a process for deleting them. NEPOOL and Detroit Edison stated that they will post ATC for all control area interfaces and any internal constraints. The Western Group had a similar proposal.

NE Public Power District, NERC and NSP commented that ATCs should be posted only for constrained paths. PJM and WP&L proposed that, for unconstrained paths, static numbers or limits could be used and would be updated infrequently. VEPCO suggested that paths be coded by the quality of the ATC calculation used and that high quality effort be used only when ATC is less than 25 percent of the total transmission capability. ConEd suggested that posting could be sorted by frequency of update so that busier paths would be at the top of the list.

Dayton P&L suggested mandatory information on ATC be limited to: (1) identification of the interface; (2) firm and non-firm ATC (hourly for the current day, daily for the next seven days, weekly for the next four weeks, monthly for the next 12 months); and (3) price for each service.

MAPP summarized the issue well when it stated "[t]he burden of ATC calculations will be determined by the number of paths for which ATC is being calculated and posted, the accuracy needed and the frequency of required update."

The proposed regulations have been modified to implement the alternative approach suggested by the Commission in the RIN NOPR. The regulations in § 37.6(b)(1) define the paths for which ATC and TTC must be posted. These are called "posted paths."

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87/ See Basin EC, Duke, NE Public Power District, Tallahassee, Union Electric, and VEPCO comments. Only Arizona said it was a bad idea because it would be too subjective and confusing.

88/ See Central Illinois Public Service, Detroit Edison, Omaha PPD, PSNM, Texas Utilities, Union Electric, and VEPCO comments.



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A transmission path becomes a "posted path" in one of three ways. First, ATC and TTC must be posted for any path between two control areas. Second, posting is required for any path for which transmission service has been denied, curtailed or subject to interruption during any hour or part of an hour for a total of 24 hours in the last 12 months. In counting up to 24, curtailment for any part of an hour counts for a whole hour. Finally, Transmission Customers can request that ATC and TTC be posted for any other transmission path. Customer requested postings may be dropped if no customer has taken service on the path in the last 180 days.

The regulations in § 37.6(b)(3) define two classes of posted paths based on usage: "unconstrained" and "constrained". A constrained posted path is one for which ATC has been less than or equal to 25 percent of TTC for at least one of the last 168 hours or is calculated to be 25 percent or less of its associated posted TTC during the next 7 days. An unconstrained posted path is any posted path that is not a constrained posted path.

For constrained posted paths, ATC and TTC for firm and non-firm service would have to be posted for the next 168 hours and, thereafter, to the end of a 30-day period. In addition, ATC and TTC for firm and non-firm service must be posted for the current month and the next twelve months. However, this monthly posting for ATC and TTC for non-firm service is required only if requested by a customer. If the Transmission Provider charges separately for on-peak and off-peak periods in its tariff, ATC and TTC will be posted daily for each period. A posting for a constrained posted path must be updated when transmission service on the path is reserved or service ends or when the path's TTC changes by more than 10 percent.

For an unconstrained posted path, ATC and TTC for firm transmission service and non-firm transmission service would be required to be posted for the next seven days and for the current month and the next twelve months. <sup>89/</sup> If the Transmission Provider charges separately for on-peak and off-peak

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<sup>89/</sup> The terms "firm point-to-point transmission service" and "non-firm point-to-point transmission service" are



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periods in its tariff, ATC and TTC will be posted for the current day and the next six days following for each period. Postings for an unconstrained posted path must be updated when the ATC changes by more than 20 percent of the path's TTC.

We will not require ATC and TTC to be posted on the OASIS more than thirteen months in advance, with the following exception. If planning and specific requested transmission studies have been done, seasonal capability shall be posted for the year following the current year and for each year following to the end of the planning horizon, but not to exceed 10 years.

c. Methodology for Calculating ATC and TTC  
(§ 37.6(b)(2))

In the RIN NOPR, the Commission discussed the requirements for calculating ATC and TTC. <sup>90/</sup> Recognizing that formal methods do not currently exist to calculate ATC and TTC, the Commission requested comment on how to develop a consistent, industry-wide method of calculation (Question 4).

Most commenters recommended that the Commission defer to NERC regarding the development of a consistent, industry-wide method of calculation. NERC, in turn, recommended that the Commission give deference to NERC's ongoing, industry-wide effort. NERC's Transmission Transfer Capability Task Force (TTC Task Force), with an expanded roster to include representation from all segments of the electric industry, was formed to develop uniform definitions for determining ATC and related terms. Because the TTC Task Force will not be finished with its assignment until May 1996, NERC recommended that the OASIS final rule not contain specific definitions of terms such as ATC, but instead be limited to a general framework within which the same information can be made available to all transmission users at the same time.

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defined in the definition section of the pro forma tariff for point-to-point service.

<sup>90/</sup> See RIN NOPR text at section III.C (60 FR at 66188) and the proposed regulation at 18 CFR 37.9(b)(2) (60 FR 66200).



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The Commission encourages industry efforts to develop consistent methods for calculating ATC and TTC. Consequently, the final rule follows the proposed regulations in requiring that ATC and TTC be calculated based on a methodology described in the Transmission Provider's tariff and that it be "based on current industry practices, standards and criteria." (Section 37.6(b)(2)(i)). 91/

As provided in the pro forma tariff, Transmission Providers may themselves purchase only transmission capability that is posted as available. This requirement should create an adequate incentive for them to calculate ATC and TTC as accurately and as uniformly as possible.

d. Accommodating Flow-Based Pricing

In the RIN NOPR, the Commission asked for comment on what requirements would have to be changed if the electric power industry moves to regional pricing, flow-based pricing, or other pricing models that depart from the "contract path" approach (Question 2). 92/

Many commenters expressed the need for OASIS flexibility to support both contract path and actual flow models. 93/ Com Ed stated that, so long as the OASIS is flexible, appropriate postings involving ATC, price, and related information will develop for use with tariffs using flow-based pricing.

The Commission concludes that the proposed regulations were general enough to accommodate flow-based pricing methods. Therefore, we have provided no special provision regarding flow-based pricing in the final rule. Any OASIS-related issue that arises when flow-based proposals are made can be

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91/ The pro forma tariff in the Open Access Final Rule provides that Transmission Providers must develop a method for calculating ATC and TTC and must include a description of this methodology in their tariffs.

92/ See RIN NOPR text at section III.C (60 FR at 66186).

93/ See, e.g., Consumers Power, Basin EC, ERCOT, NEPOOL, PA Com, How Group, NIEP, NYPP, NERC, Ohio Com, OK Com, Oklahoma G&E, PSNM, Texas Utilities, Western Group, PacifiCorp, and PJM comments.



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dealt with at that time. We cannot accurately foresee what issues may arise concerning flow-based pricing because this is an evolving area.

e. Actual Flow Data

The RIN NOPR proposed the posting of actual path flow data to better inform Transmission Customers about the true network impacts of taking service on a contract path basis. <sup>94/</sup> The Commission asked whether there are any difficulties, technical or otherwise, associated with posting actual path flows (Question 20).

In response, commenters stated that such posting is technically difficult, but possible. However, they question the value and usefulness of such postings. <sup>95/</sup> Commenters stated that information on actual path flows is voluminous, excessive, and burdensome to post.

Allegheny stated that actual flow information could be commercially sensitive depending on the degree to which a generator's output can be determined from it. Oklahoma G&E stated that actual flows are meaningless unless accompanied by voltage, line thermal limits, and line first contingency incremental transfer capability. NERC commented that actual path flow postings would be irrelevant or even misleading to the Transmission Customer and should not be required. NERC added, however, that the Commission should not preclude such postings either. The How Group pointed out that, from a technical standpoint, posting actual path flows significantly increases the level of detail in information about transmission service. APPA answered that some regions already have the capability to post actual flows, but functional separation diminished the need for the Commission to require the posting of actual flows.

The final rule does not require the posting of actual path flows. As long as ATC and TTC are calculated to reflect network conditions, including parallel path constraints, actual flow data need not be

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<sup>94/</sup> See RIN NOPR text at section III.C (60 FR at 66191).

<sup>95/</sup> See, e.g., Allegheny, Arizona, Central Illinois Public Service, Carolina P&L, Florida Power Corp, Montana Power, NERC, Omaha PPD, Texas Utilities, Union Electric, and VEPCO comments.



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posted. The Commission may reassess this issue after reviewing the proposals of the TTC Task Force on methods for calculating ATC and TTC expected in May 1996.

f. Providing Supporting Information (§ 37.6(b)(2)(ii))

In the RIN NOPR, we proposed that public utilities must post all data used in calculating the ATC and TTC and make such data publicly available. 96/ The Commission received a number of comments on this proposal.

A majority of commenters stated that supporting data should not be available on the OASIS. 97/ About half of the commenters argued that the data should be available off-line. 98/ Others suggested that procedures and software used in calculating ATC and TTC must be posted. 99/ NYPP suggested that a bibliography of supporting information should be maintained on the OASIS.

Having this information available is essential for building and maintaining trust in the information posted on the OASIS. Transmission Providers generally seem willing to provide this information after-the-fact and off-line. Since this information would be used only after-the-fact and can be voluminous, the final regulations require that ATC and TTC supporting information be made available by the Responsible Party within one week of posting, on request, in their original electronic format and at the cost of reproducing the materials. A requirement specifying how long the information must be retained also has been added.

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96/ See RIN NOPR text at section III.C (60 FR at 66190) and the proposed regulation at 18 CFR 37.9(b)(6) (60 FR 66200).

97/ See, e.g., Allegheny, Central Illinois Public Service, Continental Power Exchange, EPRI, Florida Power Corp, MAPP, NERC, NE Public Power District, NYPP, Ohio Edison, PSNM, VEPCO, Western Group, and WP&L comments.

98/ See, e.g., Allegheny, ConEd, Detroit Edison, Duke, EPRI, Idaho, MAPP, NEPOOL, NE Public Power District, Ohio Edison, PSNM, VEPCO, and Western Group comments.

99/ See, e.g., Duke, EPRI, Idaho, PSNM, Western Group comments.



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g. Long-Term Studies (§ 37.6(b)(2)(iii))

The RIN NOPR proposed that any planning or specifically requested studies of the transmission network performed by the Transmission Provider be posted on a same-time basis. <sup>100/</sup> This would include only those parts of customer-specific interconnection studies that relate to network impacts.

The majority of commenters responded that transmission planning studies should not be posted on the OASIS. ConEd and MAPP suggested an index to be maintained on the OASIS. NEPOOL, Tallahassee, and Montana Power suggested that summaries should be maintained on the OASIS.

As with the ATC supporting information, having this information available is essential for building and maintaining trust in the ATC and TTC posted on the OASIS. Since this information would be used only after-the-fact and can be voluminous, the final regulations require that final transmission studies be available from the Responsible Party on request in original electronic format and at the cost of reproducing the materials. A list of available studies is to be posted on the OASIS. A requirement specifying how long the studies must be retained also has been added.

3. Posting Transmission Service Products and Prices (§ 37.6(c))

Paragraph 37.6(c) of the regulations adopts several of the proposed provisions. It requires Transmission Providers to post prices and a summary of the terms and conditions of transmission products. In addition, Transmission Providers must provide a downloadable file of their complete tariffs. Furthermore, customers who use an OASIS to resell transmission capacity must submit relevant information about their resale transactions to the Transmission Provider for posting to the same OASIS as used by the Transmission Provider in originally offering that capacity. As proposed in the RIN NOPR, the Transmission Provider must post this information about resales on the same display page, using the same tables, as similar capacity being sold by it. Similarly, the information must be contained in the same

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<sup>100/</sup> See RIN NOPR text at section III.C (60 FR at 66191) and the proposed regulation at 18 CFR 37.8(c) (60 FR 66200).



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downloadable files as the Transmission Provider's own available capacity. A customer who does not use an OASIS to arrange a resale of transmission capacity must, nevertheless, inform the original Transmission Provider of the transaction within the time limits prescribed by the "Sale or Assignment of Transmission Service" section of the pro forma tariff.

The proposed standards of conduct required a Transmission Provider that offers any discount on behalf of its power customers or those of an affiliate, to post offers for similar service containing comparable discounts, at the same time, to all Transmission Customers.

As to discounts that the Transmission Provider has agreed to give to any Transmission Customer (affiliated or unaffiliated), the Commission proposed requiring that these discounts be posted within 24 hours after the agreement is entered (measured from when ATC is adjusted in response to the agreement), and that they remain posted for 30 days. The Commission sought comment on whether all transmission discounts should be posted on the OASIS, or only those provided to the Transmission Provider or its affiliates (Question 14).

Most commenters, including representatives with diverse interests such as APPA, EEI, Continental Power Exchange, EGA, EEI, NIEP, and NRECA, argued that discounts must be made available to all customers. NRECA especially, was concerned about the potential for selective discounting. The Ohio Com, clearly concerned about allowing Transmission Providers to negotiate privately, asked that we clarify how discounting would work, and EGA raised some practical concerns about how the Commission's proposal would work. EGA asked whether, when a discount is offered to an affiliate, discounts must be offered to others on the same path, all paths, or only paths needed to get to the buyer to whom the affiliate is selling. This issue is addressed in the Open Access Final Rule, which concludes that such discounts must be offered to all customers on all unconstrained paths.

Several commenters were against discounting, but would accept discounts if they were made available to all customers. 101/ Several commenters agreed with the proposal to require posting of

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101/ See ERCOT, MidAmerican, NUCOR, and Public Generating



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discounts offered to affiliates and delaying the reporting of discounts to others. 102/ However, CCEM wants to change the 24-hour delay period to 30 days.

SCE&G and Union Electric would allow discounting but not post them on the OASIS. Central Hudson would post only affiliate discounts. SMUD argued that selective discounting is good and stated that, if public utilities must offer discounts to everyone, no discounts would be offered to anyone.

The question of whether discounts may be offered is discussed in the Open Access Final Rule. 103/ If a Transmission Provider offers a discount for transmission service to its own power customers or those of an affiliate, it must, at the same time, post on the OASIS an offer to provide the same discount to all eligible customers on the same path and on all unconstrained transmission paths. As to discounts for ancillary services, if a Transmission Provider offers a rate discount to an affiliate, or attributes a discounted ancillary service rate to its own transactions, the Transmission Provider must, at the same time, post on the OASIS an offer to provide the same discount to all eligible customers. If a Transmission Provider offers discounts to non-affiliates, it must offer to do so on a basis that is not unduly discriminatory. Any discounts under § 37.6(c)(3) offered to affiliates or to the Transmission Provider's own power customers must be posted on the OASIS when they are offered pursuant to § 37.4(b)(5)(v). Discounts offered to non-affiliates must be posted within 24 hours of when ATC is adjusted in response to the transaction.

4. **Posting Ancillary Service Offerings and Prices** (§ 37.6(d))

Transmission Providers are required to post on the OASIS information about all ancillary services required by the Open Access Final Rule to be provided or offered to customers. 104/ A Transmission

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Pool comments.

102/ See CCEM, OK Com, and Tallahassee comments.

103/ See generally Open Access Final Rule at sections IV.D and IV.G.

104/ See generally Open Access Final Rule at section IV.D.



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Provider may, at its discretion, post information on the OASIS about other interconnected operation services, offered by itself or third parties, that are not services required by the Open Access Final Rule to be offered to customers. However, if a Transmission Provider elects to post these optional services for any party, including itself, then it must post on its OASIS, for a reasonable cost based fee, the same type of information about comparable optional ancillary services offered by third parties.

In the RIN NOPR, we proposed the posting of price and other information about ancillary services. <sup>105/</sup> We requested comment on: (1) the information needed about ancillary services (Question 12); (2) how often the information should be updated (Question 13); and (3) where on the information network offers of ancillary services by entities other than the Transmission Provider should be placed (Question 9).

While there is near consensus among commenters on the need to update ancillary services information as it changes, there is widespread disagreement on what information about ancillary services should be posted and where on the OASIS offers by other entities to provide ancillary services should be placed. Some commenters request that the Commission allow flexibility because the information requirement may depend upon the industry structure that develops in response to the Open Access Final Rule. NERC asserted that it is impractical to expect the initial OASIS to be the vehicle for posting information on the availability and price of all ancillary services.

Ancillary service providers are required to post all pertinent information about their ancillary service offerings (e.g., a description of the service being offered, its availability, and its price) so that Transmission Customers may compare offers and decide which offer best suits their needs. Information about ancillary services should be updated as it changes. Postings by customers and third parties should be on the same page, and in the same format, as postings of the Transmission Provider.

5. **Posting Transmission Service Requests and Responses** (§ 37.6(e))

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<sup>105/</sup> See RIN NOPR text at section III.C (60 FR at 66190).



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Section 37.6(e) requires that all requests by customers for transmission service that the Transmission Provider offers under the pro forma tariff must be made on the OASIS. The Responsible Party is required to provide to others on the OASIS the essential information relating to such requests, with the identity of the parties masked, if requested. Additionally, the section sets out the steps that must be followed in processing such requests, including the posting of curtailments, interruptions, or denials of service. <sup>106/</sup> The final OASIS regulations require that a record of transactions not resulting in agreements also be kept for audit purposes. We now discuss some special issues arising under this provision and the comments relating to those provisions.

a. Posting Curtailments and Interruptions  
(§ 37.6(e)(3))

We proposed requiring that, when a transaction is curtailed, a Transmission Provider must post the reason that the transaction was curtailed and the available options, if any, for adjusting the operation of the Transmission Provider's system to increase transfer capability in order to accommodate the transaction. <sup>107/</sup> Since scheduling and the curtailment of schedules would not be done through the information network initially, this curtailment data would be for information purposes only.

The Commission requested comments on what information about curtailments should be communicated on an OASIS (Question 7). Only Union Electric, among the commenters who answered this question, argued against posting information about curtailments or recording this information in an audit file. Among those who supported posting or recording, the differences were in how much information

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<sup>106/</sup> The Open Access Final Rule discusses curtailments at section IV.G and provides that a company's curtailment policy is to be described in its tariff.

<sup>107/</sup> "Curtailments" are service cutbacks made for system reliability reasons and are distinguishable from "interruptions", which are made pursuant to tariff conditions.



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should be provided, where the information should be placed, and who should have access to the information.

The comments expressed support for a Transmission Provider setting out in its tariff, or elsewhere, curtailment or interruption rules or constraint relief protocols. 108/ This would let a customer know what to expect when there is a constraint and would allow the Transmission Provider to be held to a formal set of procedures. Then, when a curtailment occurs, postings on the OASIS can refer to steps and reasons defined in the curtailment procedures.

Many commenters agreed that at least some basic information about curtailments needs to be posted or documented in the audit file. Several commenters pointed out that there may be some lag before these postings are placed on the OASIS because control room personnel may need time to determine and resolve the problem. 109/ Some commenters believed that these postings should be made available only to those curtailed. 110/

The proposed regulations addressed curtailments and denials of service together. In this final rule, denials are distinguished from curtailments of service. Transmission Providers are not required to offer options for making capacity available to those curtailed, but if options are offered, they must be offered to curtailed and interrupted customers at the same time.

As discussed in the Open Access Final Rule, transmission tariffs must include rules for curtailment and interruption of service, including clear steps or stages in the process for relieving constraints, and transmission service agreements must clearly identify the service's priority relative to concurrent services. Consistent with these requirements, the final rule here provides that, when

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108/ See APS, NERC, and NIEP comments.

109/ See Allegheny, Com Ed, CSW, NERC, NRECA, and SCE&G comments.

110/ See, e.g., Allegheny and Central Illinois Public Service comments.



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curtailments or interruptions take place, they must be posted as soon as possible and must include identification of the service (with the identity of the customer masked), the reason for the curtailment or interruption, and the tariff-defined step in the curtailment and interruption process. In the event that an emergency situation affecting system reliability delays this posting, the posting must be made as soon as practicable thereafter along with an explanation for the delayed posting.

Curtailments and interruptions will be recorded for audit purposes. This audit data should contain enough information about the timing of superseding requests and changes in ATC to document the reason for a curtailment or interruption. The final rule also provides that customers have the right to request an explanation of the reason for a curtailment or interruption.

b. Posting Denials of Requests for Service (§ 37.6(e)(2))

In the RIN NOPR, we proposed requiring that, when requests for service are denied, Transmission Providers must communicate to Transmission Customers through the OASIS: the reason(s) that the transaction(s) could not be accommodated; and the available options, if any, for adjusting the operation of the Transmission Provider's system to increase transfer capability to accommodate the transaction(s). The Commission requested comments on what information about denials of requests for service should be communicated on an OASIS (Question 7).

As with curtailments, only Union Electric out of the commenters who answered this question opposed posting information about denials of service on the OASIS or recording this information in an audit file. Many commenters agreed that at least some basic information about denials should be posted. Some commenters believed that these postings should be available only to those denied service. 111/

Service can be denied for two basic reasons: either (1) the customer requested more than the posted ATC or (2) after the request for service was made, conditions changed due to preexisting requests or

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111/ See Allegheny and Central Illinois Public Service comments.



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unforeseen events reducing capacity. Denials should be handled as part of the request and response process. A requester should receive a standardized reason for denial as part of the response. Denials would not be posted. Instead, denials must be recorded for audit purposes and maintained as provided in section 37.7(b). This data should contain the information about a denial needed to explain the reason for a denial. Under the final rules, customers have the right to request an explanation of the standardized reason for a denial.

c. Transaction Anonymity  
(§ 37.6(e)(3)(i))

In the RIN NOPR, we proposed that, generally, information concerning negotiations on transmission requests need not be posted unless an agreement to provide the transmission is reached. 112/ This information would be available only after-the-fact in the audit file. In addition, if an agreement is reached, the identity of parties to transmission transactions would be masked until 30 days after the date when the Transmission Provider's ATC was adjusted in response to the transaction. (This might be after the date when service begins). After that date, all transaction data would be made available. In addition, we proposed that transmission transaction prices be included in the information in the audit file. Price information concerning cost-based transmission services would not be considered commercially sensitive.

The Commission requested comment on what information should be considered commercially sensitive, the 30-day release period proposal, and on how and when commercially sensitive information should be released to concerned parties before the standard release period and whether affiliated transactions should be treated differently (Question 24).

Several commenters agreed that information about negotiations that do not reach agreement should not be reported. 113/ No commenter argued for making this information public.

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112/ See RIN NOPR text at section III.C (60 FR at 66191) and the proposed regulation at 18 CFR 37.14(d) (60 FR 66201).

113/ See, e.g., Allegheny, Detroit Edison, El Paso, NorAm,



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A number of commenters supported the 30-day delay on providing commercially sensitive information. 114/ Several, however, thought the information should be provided as soon as possible. 115/ Others thought it should be provided quarterly. 116/ WP&L proposed a 60-day delay. Dayton P&L said that the delay should depend on contract length. Union Electric suggested a delay of 30 days after the transaction begins and not after the ATC is adjusted.

Commenters split on the question of whether price data are commercially sensitive. 117/ Commenters listed several items as commercially sensitive that were proposed to be posted. These are ATC supporting information, 118/ transmission schedule information, 119/ generation run status, 120/ amount provided, 121/ terms and conditions, 122/ and duration. 123/

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and OK Com comments.

114/ See Allegheny, CCEM, El Paso, Oklahoma G&E, PJM, PSNM, and Western Group comments.

115/ See APPA, Continental Power Exchange, MidAmerican Energy, and NIEP comments.

116/ See Arizona, ConEd, and NorAm comments.

117/ EGA, NUCOR, NRECA, Omaha PPD, and PJM supported the proposition that the data are not commercially sensitive. Arizona, Central Illinois Public Service, Detroit Edison, OK Com, PSNM, Seattle, and Western Group argued that the data are commercially sensitive.

118/ See Carolina P&L and El Paso comments.

119/ See Central Illinois Public Service and OK Com comments.

120/ See Allegheny, Carolina P&L, CSW, Detroit Edison, EGA, NE Public Power District, and PJM comments.

121/ See, e.g., Allegheny and WP&L comments.

122/ See Central Illinois Public Service comments.



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NE Public Power District argued for full disclosure of all but generator information because, as a public entity, it must disclose such information. NIEP stated that comparability should be the ruling principle in information disclosure.

The final rule adopts the NOPR proposal and provides that the identity of parties to an agreement are confidential during ongoing negotiations and for 30 days from the time ATC is adjusted. Although not explicitly required in the new Part 37, the price of services offered on and agreed to through the OASIS are not considered commercially sensitive. 124/

6. **Posting Facility Status Information**

The RIN NOPR discussed the fact that the ATC of some transmission paths depends on generator run status or megawatt output, or both, as well as on other system elements. 125/ We proposed requiring Transmission Providers to post information about those system elements that have a direct and significant impact on ATC. Such elements could include generators, transmission lines, phase shifters, series and shunt capacitors, static VAR compensators, special protection systems or remedial action schemes. We, therefore, requested comment on whether it is sufficient to provide information only about planned outages and (for both planned and forced outages) return dates for system elements deemed to have a direct and significant impact on ATC and whether posting this information would cause any confidentiality concerns (Question 18). We also requested comment on how "significant and direct impact" should be defined (Question 19).

Additionally, we requested comment on whether it would be sufficient to post the changes to ATC corresponding to the planned outage or return dates of generators (Question 21); and whether, if operating

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123/ See Allegheny comments.

124/ We note, in this regard, that § 205(c) of the FPA requires public utilities to have their prices on file with the Commission and available for public inspection.

125/ See RIN NOPR text at section III.C (60 FR at 66191).



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guides, nomograms, operating studies, and similar information were posted, the run status of those generators with a significant and direct impact on ATC could be deduced (Question 22).

### Comments

A number of commenters stated that the posting of facility status information should not be a requirement. 126/ These commenters reasoned that the posted ATC and TTC values would reflect facility status impacts and that posting status information therefore would be unnecessary and burdensome, and would render the information network unmanageable. With regard to generator status and outage information, a number of respondents argued that generator status and outage-related information is commercially sensitive and confidential. 127/ They stated that posting generator-related information would give an unfair advantage to competitors. Some opposing the posting of generation-related information also added that the Commission's proposed standards of conduct would make it unnecessary to post this information because the Transmission Customer's and the Transmission Provider's wholesale marketing functions would rely on the same information. 128/ A number of Transmission Providers believed that facility status data can be archived and made available for after-the-fact audits. 129/

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126/ See Allegheny, Central Illinois Public Service, Com Ed, CSW, Dayton P&L, Detroit Edison, Duke, Montana Power, NERC, NYPP, Ohio Edison, PJM, PSNM, Texas Utilities, VEPCO, and WP&L comments.

127/ See Allegheny, Arizona, Central Illinois Public Service, ConEd, Carolina P&L, CSW, Dayton P&L, Detroit Edison, Florida Power Corp, NEPOOL, NE Public Power District, NERC, NYPP, Oklahoma G&E, Omaha PPD, PJM, Texas Utilities, Union Electric, VEPCO, and WP&L comments.

128/ See Central Illinois Public Service, Carolina P&L, and Ohio Edison comments.

129/ See ConEd, CSW, Florida Power Corp, NYPP, Ohio Edison, and PSNM comments.



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A second group of commenters believed that facility status information should be posted on the OASIS. 130/ With regard to generator status and outage data, Seattle responded that planned generator outage data should be updated as it changes and that an explanation of the impact of typical outage configurations should be made available to all transmission users in advance. APPA stated that the run status (on-line or off-line) of any generating unit should not be kept confidential. APPA argued that keeping such information confidential, under the guise of competitive necessity, is an excuse to protect opportunities to game the market. NCEMC stated that, because the transmission user needs to be able to do a reliability and risk assessment of various available power supply sources and transmission paths, it probably is not sufficient to post ATC changes corresponding to generation outages.

A third group of commenters suggested that, while generator status-related information should not be posted, information about transmission facilities with direct and significant impact on ATC and TTC could be posted. 131/ There were diverging views among the commenters as to whether posted ATC or TTC values would reveal the run status of generators if operating guides, nomograms, operating studies, and similar information were posted. A number of commenters responded that ATC and TTC are affected by many variables and, even though in some cases it may be possible to deduce the run status of certain generators from the posted ATC or TTC, these deductions would be uncertain. 132/

NERC responded that it may be possible, over time, to recognize patterns and supporting data that would indicate which generator went off-line, but not whether the reason is a planned outage, forced outage, reserve shutdown, or other reasons. NERC explained that a run status so deduced would itself be

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130/ See APPA, CCEM, EGA, NCEMC, NIEP, OK Com, Seattle, Tallahassee, and United Illuminating comments.

131/ See Arizona, Dayton P&L, MidAmerican, NEPOOL, PJM, and Western Group comments.

132/ See Arizona, CCEM, Central Illinois Public Service, Com Ed, ConEd, CSW, Detroit Edison, NEPOOL, NE Public Power District, VEPCO, and WP&L comments.



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an estimate and not as commercially sensitive as knowing the reason for that status. Florida Power Corp and Montana Power responded that customers will be able to deduce generation-related information from changes in ATC if guides, nomograms, or studies are posted and, therefore, such information should not be posted. By contrast, a number of commenters stated that nomograms, derating tables, and operating studies can be used to identify equipment that has a direct and significant impact on ATC and TTC. <sup>133/</sup> The Western Group responded that, where study results have been summarized in nomograms, derating tables, and operating guidelines and procedures, these summary forms should be made available as information on the OASIS.

A number of respondents answered that it is not necessary to define "significant and direct impact" because ATC and TTC are the only quantities that need to be posted. <sup>134/</sup> ConEd stated that the definition of "significant" should be consistent with local and regional procedures. Duke and Florida Power Corp commented that the Commission should work through NERC in developing appropriate definitions. NYPP, on the other hand, stated that "significant and direct impact" can be determined only on a case-by-case basis. Montana Power defined the term as a reduction of ATC that results in the denial of service. Continental Power Exchange proposed that any system element affecting ATC more than 10 percent should be considered significant. CSW proposed a 50 percent threshold. CSW further proposed to include those elements that can cause a reduction of more than 25 percent of the normal flows across an interface.

### Discussion

Additional information about the state of the transmission system will enable Transmission Customers to make better decisions about the quality of the transmission service they intend to purchase. However, the development and

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<sup>133/</sup> See APPA, Arizona, CCEM, Idaho, NEPOOL, Oklahoma Com, Seattle, and SoCal Edison comments.

<sup>134/</sup> See Allegheny, Com Ed, Detroit Edison, NERC, NE Public Power District, Ohio Edison, SCE&G, Texas Utilities, Union Electric, and VEPCO comments.



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implementation of Phase I OASIS, in what is a relatively short period of time, requires that we limit the posting requirements of the OASIS to the essentials. We believe that audit data and information required to be provided about the reasons for curtailments and interruptions will make it possible to document unduly discriminatory practices concerning facilities critical to transmission capability. Also, as pointed out by APPA, the standards of conduct that we put in place with this rule lessen the urgency of posting additional information concerning generating unit status and transmission component status. Consequently, the Commission will not require the posting of information about the run status of generation and transmission facilities for a Phase I OASIS. We may reconsider this subject for Phase II OASIS depending on the Phase I experience.

7. **Posting Transmission Service Schedules Information** (§ 37.6(f))

The final rule consolidates and renumbers §§37.14(b) and (c) of the RIN NOPR as § 37.6(f). This provision requires information on scheduled transmission service to be recorded by the entity scheduling the transmission service and requires that the information be made available for download on the OASIS by interested parties. It also provides that postings must be made within one week of the start of the transmission service schedule agreed upon by the parties. The comments in response to the RIN NOPR did not take issue with the proposal. Thus, the provision is adopted without substantial revision.

8. **Posting Other Transmission-Related Communications** (§ 37.6(g))

Section 37.6(g) basically adopts what we proposed for the posting of "want ads" and "other communications" in § 37.9(f) of the RIN NOPR. Postings made in this section carry no obligation to respond on the part of any market participant.

This section provides that "other communications related to transmission services" (such as using the OASIS as a transmission-related conference space or to provide transmission-related messaging services between OASIS users) and "want ads" must be posted by the Responsible Party.



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We received comments that urged the Commission to issue a disclaimer to the effect that, although Transmission Providers are responsible for posting other transmission-related communications at the request of third parties, it is the responsibility of the third parties requesting such postings to ensure the accuracy of the information to be posted. We agree that such a disclaimer is appropriate. We provide it in § 37.6(g)(2).

In addition, the final rule requires that transfers of personnel between the transmission and marketing functions are to be posted on the OASIS (§ 37.6(g)(3)). This incorporates the requirements of the standards of conduct at § 37.4(b)(2).

**I. SECTION 37.7 -- AUDITING TRANSMISSION SERVICE INFORMATION**

In the RIN NOPR, we proposed procedures that would govern the availability of records about auditing transmission service transactions. <sup>135/</sup> The Commission proposed requiring that historical data on postings, updates, and request/response communications be recorded for audit purposes, be downloadable from the OASIS in an appropriate format for 60 days, and be available for download on a rolling basis for three years from entry on the OASIS. These provisions are now contained in § 37.7 of the final rule. However, we have increased the time during which audit data must be available for download from 60 days to 90 days because this provides greater protection to customers.

ConEd suggested that the Commission should provide assurance to Transmission Providers that they will not be liable if they post data under the proposed audit provisions that is considered confidential by their customers. We do not believe that it would be appropriate for the Commission to issue this sort of blanket disclaimer in the absence of any particular facts or controversy. However, to the extent that a Transmission Provider posts data because this is required by the Commission's regulations, the

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<sup>135/</sup> See RIN NOPR text at section III.C (60 FR at 66191) and the proposed regulation at 18 CFR 37.14 (60 FR 66201).



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Transmission Provider may, of course, assert this as a defense against any legal action brought against it based on the disclosure.

**J. STANDARDS AND COMMUNICATION PROTOCOLS**

In this section, we discuss the major issues raised in response to our proposed standards and protocols. As proposed, these are being issued in the separate Standards and Protocols document that we are issuing together with this final rule. As already described, the final rule states explicitly that information is to be posted on the OASIS in conformance with the specifications of the Standards and Protocols.

The most recent How Report (filed on April 15, 1996) shows great strides toward reaching consensus on a set of implementable standards. However, it needs to be augmented in two ways.

First, there are some internal inconsistencies. For example, there are data elements that appear in the data dictionary that do not appear in the templates and vice versa. The data elements for DUNS numbers that appear in the data dictionary need to be added to the appropriate templates. Data elements for DUNS numbers for resellers need to be added to both the data dictionary and the appropriate templates. The October 16, 1995 How Report contained standards for Transmission Services Information Timing Requirements. The most recent report substantially changed these requirements. We request that the report we are asking the How Group to submit by May 28, 1996 reinstate these requirements or explain why they should be changed.

Second, and not surprisingly, the standards and protocols must now be conformed to the requirements of the final rule. For example, necessary changes include developing file and display templates for curtailments and interruptions, developing file and display templates to place primary and resale capacity on the same displays and in the same downloadable files, and developing file and display templates to place ancillary services provided by the primary provider and others on the same display page and in the same downloadable files.



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Under procedures we are instituting today, we expect the recommendations for standards and protocols to be conformed to the requirements of the final rule and for inconsistencies to be corrected in the next few months. We are issuing portions of the standards and protocols now to provide as much information as possible to allow the industry to begin the work of building necessary systems to make their OASIS nodes operational. This information, coupled with the requirements of the Open Access Final Rule and our additional procedures to complete the Standards and Protocols, should result in the OASIS nodes being operational within six months of the publication of this final rule in the Federal Register.

The April 15, 1996 How Report contains references to a yet to be established industry group, the [OASIS] Management Organization, that will maintain a registry of [OASIS] node names and perhaps perform other functions associated with maintaining a functioning [OASIS]. We agree that there is a need for an industry group to maintain a registry of OASIS node names and perform similar functions and expect that such a group will be established by the industry prior to the implementation of the OASIS requirements. The Standards and Protocols, therefore, contains a reference to this function. We expect that such a group would be composed of representatives of all segments of the electric industry and we expect to be apprised of the group's activities.

1. **Summary of Standards and Communication Protocol Requirements**

The Standards and Protocols, which we are adopting together with this final rule, require Transmission Providers to make their OASIS nodes accessible through the Internet. Each Responsible Party's OASIS is considered to be a separate node. An OASIS operated jointly by several utilities would be considered one node. By connecting each node through the Internet, transmission service information provided by each utility becomes part of a network.

We are requiring that nodes must support the use of Internet tools. The specific tools are described in the Standards and Protocols. OASIS users will access nodes using World Wide Web (WWW)



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browsers. 136/ Each node will display information using the Hypertext Mark-up Language (HTML) protocol required by World Wide Web browsers. Screen displays will consist of a series of pages that may be viewed by customers without requiring the page to be downloaded and viewed by separate software. The information on each page, but not the actual displays, will be standardized. Information must also be made available for downloading, in a standardized ASCII 137/ format.

In Phase I, customers will have access to the information required to be posted by this rule and will be able to use the OASIS to reserve transmission capacity. They will be able to request capacity either by completing a standardized form contained in an on-line HTML page or by uploading a filled-out form using HTTP. Customers who want to resell transmission capacity will upload (post) the relevant information to the same OASIS node used by the primary provider from whom they purchased the ATC. Customers will also be able to upload other communications (e.g., Want Ads) containing such information as requests to purchase transmission capacity.

OASIS nodes must provide direct connections to private networks if requested to do so. The cost of the connections will be paid for by the requestor and the networks are required to use Internet tools.

The Standards and Protocols contain a model of the information requirements that must be provided at each OASIS node. Customers are limited to obtaining information from HTML text displays

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136/ The World Wide Web is a system of computer resources that are accessed through the Internet.

A Browser is a computer program for retrieving and reading hypermedia documents from the WWW. A hypermedia document can contain text, graphics, video, sound or data. These documents are often linked to other documents.

137/ ASCII refers to the American Standard Code for Information Interchange, a code for character representation.



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and selecting from menus of downloadable files. Customers will receive the information either as HTML pages or as ASCII files in a predetermined form and layout.

For security purposes, and as an aid in auditing performance and transactions, all customers are required to register with the Responsible Party before they are permitted access to the utility's transmission service information on the OASIS. As registered subscribers, they will be allowed to read and download information, make requests for transmission service, place "Want Ads" and offer transmission service for resale. Commission staff and staff of state regulatory authorities are to obtain free "read only" access to the OASIS and members of the general public will also be provided "read only" access to the OASIS for the same usage fee paid by customers, once they have complied with the requisite registration procedures.

Responsible Parties are required to meet a number of performance standards and security precautions. Performance requirements include sizing OASIS nodes to handle the loading of registered subscribers, responding to subscriber requests, backing up the system, and other areas that are necessary for the system to function as desired.

2. **Number of OASIS Nodes** (Question 35)

The Commission proposed that Transmission Providers be permitted to combine their separate OASIS nodes into a single node. Thus, while there could be as many nodes as there are transmission-owning utilities, if utilities choose to combine together to create joint nodes, we could end up with a small number of nodes.

A small number of nodes would minimize the networking management requirements for the OASIS and would help ensure access to the information systems. On the other hand, the advantages of a small number of separate nodes must be weighed against the greater complexity and size of a joint node that would handle transactions for several large transmission-owning utilities at one node. The Commission requested comments on whether a small or large number of OASIS nodes should be encouraged.



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The majority of commenters preferred a small number of nodes, but would not necessarily have the Commission require a small number of nodes. <sup>138/</sup> Some commenters advocated regional nodes. <sup>139/</sup> PJM speculated that, even if the Commission does not encourage a small number of nodes, economies of scale and market efficiencies will lead to smaller numbers in the normal course of events. The How Group reported that significant consolidation is already occurring:

it appears there may be 1 node in ERCOT, 13-14 nodes in the Eastern Interconnection, and 6-20 nodes in the Western Interconnection. The resulting 20-35 nodes [nationwide] is a manageable number for Customers maneuvering through the system and at the same time minimizes the impact of possible security breaches or system failures by being sufficiently distributed. <sup>140/</sup>

Given these comments, we believe that the question of whether there should be a small number of nodes is one best left to the industry. At this stage, flexibility in such matters is important.

3. **Direct Connections to OASIS Nodes**  
(Question 36)

The Commission explained in the RIN NOPR that private networks and third party services can provide valuable contributions to the successful operation of an OASIS. <sup>141/</sup> The Commission, therefore, proposed to require utilities to provide direct connections to the OASIS without the need to obtain access through the Internet. We also proposed that the cost of these connections be paid for by the customers

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<sup>138/</sup> See, e.g., Allegheny, Central Hudson, Central Illinois Public Service, Com Ed, Continental Power Exchange, How Group, Florida Power Corp, Montana Power, NERC, NYPP, Ohio Edison, OK Com, PJM, PSNM, Seattle, Texas Utilities, and VEPCO comments.

<sup>139/</sup> See APPA, CCEM, ConEd, CSW, and MAPP comments.

<sup>140/</sup> How Group comments at 19.

<sup>141/</sup> For example, a private network could connect to one or more OASIS nodes and offer users off-the-Internet connections at faster speeds. Third parties could gather OASIS information and repackage it into customized displays favored by individual users.



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making the requests and that the networks be required to use the same Internet tools as the Internet connections.

Most commenters preferred that the Commission not require third-party connections to the OASIS in Phase I. <sup>142/</sup> Com Ed asserted that direct connections would provide only marginal benefits to the development of an OASIS, and that adding such non-essential goals to OASIS requirements would jeopardize utilities' ability to implement an OASIS on time. Montana Power argued that direct connections would provide affluent large marketers with information ahead of smaller users, and thus would give them market power.

On the other hand, other commenters argued that such connections are important. ConEd argued that direct connections would help minimize the number of different connections customers must have. Continental Power Exchange sees direct connections as allowing third parties to provide services that will add valuable contributions to the successful operation of an OASIS. The How Group reported that discussions among the parties in the group indicated that direct connections would not be a problem as long as the Responsible Party is compensated for the additional service and given a reasonable time to make the connection.

All commenters addressing the subject of who should pay for direct connections agreed that the cost should be paid by the requesting party. <sup>143/</sup>

CCEM and OK Com agreed that the direct connections should be required to use the Internet tools required for the Internet connection.

Finally, APPA asserted that, if private networks are created to provide direct connections that are operated by partners or affiliates of utilities, these networks could provide significant performance

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<sup>142/</sup> See, e.g., Allegheny, Com Ed, Montana, NERC, Ohio Edison, OK Com, PJM, PSNM, and VEPCO comments.

<sup>143/</sup> See APPA, CCEM, ConEd, Continental Power Exchange, How Group, and PJM comments.



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advantages for the Transmission Provider's merchant affiliates. APPA would require full public disclosure of such partnership or affiliate relationships by the service provider. We find that the How Group's position is reasonable. Direct connections are feasible if the provider is compensated for the additional service and is given a reasonable time to make the connection. We will, therefore, require direct connections in Phase I, upon request.

Moreover, such connections must be made available on an equal basis to all requesting customers. We note, however, that to the extent that the Transmission Provider is not the Responsible Party, a direct connection is available only from the Responsible Party. This being the case, APPA's concern that the Transmission Provider's merchant services may gain an advantage from an affiliate with a direct connection or private network does not appear to be warranted, as anyone can obtain a direct connection or the services of a private network.

4. **Value-Added OASIS Services Provided by Transmission Providers or Responsible Parties**

The Commission proposed in the RIN NOPR to permit Transmission Providers or Responsible Parties to provide value-added OASIS services, such as higher speed connections and automatic notification of changed data.

NTEC argued that, unless these services are offered on a non-discriminatory basis, public utilities could gain a competitive advantage by offering these services solely to affiliates. NTEC also requested the Commission to monitor the "basic" and "premium" service packages to ensure that customers need not pay a "premium" price to obtain basic services.

TAPS argued against any offering of value-added services. They argued that smaller customers may not be able to afford such services and that price could be used to discriminate against them. TAPS proposed that instead of permitting value-added services, the Commission should include all OASIS costs in transmission rates.

We agree with NTEC that value-added OASIS services should be offered on a non-discriminatory basis. If a value-added service is offered to anyone, it should be offered to everyone on the same terms and



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conditions. Regarding NTEC's concern over basic and premium services, we believe that the standards setting process will ensure that the basic package of OASIS services will provide all pertinent information and the means to retrieve it that are necessary for the functioning of the Open Access program.

The Commission will allow these services on a non-discriminatory basis. Such services will remain cost-based until the Commission is satisfied that market-based (value added) rates should be allowed for such services. Requests for market-based rates for such services will be addressed on a case-by-case basis.

5. **Transmission Services Information Timing Requirements** (Question 37)

In the NOPR, the Commission requested comments on several timing requirements for posting transmission service information. These are:

- (1) **Transmission Service Information Availability:** The most recent Provider transmission service information, including updates reflecting power system changes, shall be available to all Customers within 5 minutes of its scheduled posting time at least 98 percent of the time. The remaining 2 percent of the time the transmission service information shall be available within 10 minutes of its scheduled posting time;
- (2) **Notification of Posted or Changed Transmission Service Information:** Notification of transmission service information posted or changed by a Provider shall be made available within 60 seconds to all subscribed Customers who are currently connected; and
- (3) **Acknowledgment by the Transmission Service Information Provider:** Acknowledgment by the transmission service information provider of the receipt of Customer purchase request/response requests shall occur within 1 minute for Phase I. The actual negotiations and agreements on purchase request/response requests do not have time constraints. For Phase II, acknowledgment shall occur within 30 seconds.

Most commenters supported the Commission's proposals as proposed <sup>144/</sup> or with some modification. <sup>145/</sup> CCEM asserted that the proposed requirements for updating transmission service information contained in Item (1) would lead to stale information, and would result in customers using the

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<sup>144/</sup> See, e.g., APPA, Duke, How Group, Florida Power Corp, NYPP, and OK Com comments.

<sup>145/</sup> See CCEM, Com Ed, Continental Power Exchange, PSNM, and Western Group comments.



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telephone and not the OASIS. CCEM asserted that the Phase I tolerances should be reduced to 30 seconds and one minute respectively.

Continental Power Exchange asserted that items (1) and (2) are good starting points. The Western Group suggested that Item (1) would be adequate if it can be accomplished automatically. Otherwise, it would recommend reducing the 98 percent compliance requirement to 85 percent.

Some commenters agreed with the need for such standards, but opposed incorporating timing performance standards in Phase I standards. VEPCO asserted that these standards are too ambitious for Phase I. Tallahassee argued that these timing requirements may be too restrictive for small utilities whose staff and technology capabilities will be strained by this rule. Central Hudson proposed that response times be determined after OASIS is implemented and users are comfortable with what they would expect as adequate performance.

Most commenters agreed on the need for standards for how quickly providers should post transmission service information. Commenters argued that the requirements should be stricter, that they are too strict, or that they are just right.

The Commission stated that information posting performance requirements are needed to ensure that information is disseminated in a timely manner by Transmission Providers. The comments do not persuade us to change the proposed requirements. We note that the April 15, 1996 How Report drops these requirements. We request the How Group to reinstate these requirements in the report we are inviting them to file on or before May 28, 1996, or to explain why these requirements should be dropped.

Commenters raise several additional points that need to be addressed. First, Com Ed and others argued that these requirements should not be in force during emergencies. The Commission agrees.

Second, several commenters pointed out that the phrase "available to all Customers" contained in Item (1) is ambiguous and request that it should be replaced by "available on the [OASIS]." We agree.

Third, some commenters suggested that transmission service requests and schedules be approved automatically, on a first come, first served basis. The industry does not generally do business in this



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manner today, and the Commission will not require it in Phase I. We request the industry to address this issue when developing requirements for Phase II.

6. Common Codes

a. Company Codes

The Commission's experience with implementing standards for file transfers and electronic bulletin boards in the natural gas industry shows that the use of a common system of identifying companies enhances the efficiency of data transfers. The Commission is satisfied with the results of using DUNS numbers 146/ as the standard to uniquely identify pipelines and shippers in the natural gas transactions. 147/ The Commission proposed to require the use of DUNS numbers to identify transmission-owning utilities and customers on OASIS nodes.

Most commenters believed that DUNS numbers alone or DUNS numbers in combination with names should be used. 148/ The How Group asserted that using DUNS numbers will enhance the management of data from a computer perspective and allow flexibility of business applications of OASIS in the future. The How Group also asserted that having commonly used names is more user friendly and proposed that the list of names and DUNS numbers be maintained on a centralized registry.

Others believed that names alone would be sufficient. 149/ NERC and Ohio Edison believed that such standardization should be left to the industry.

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146/ DUNS numbers refer to the Data Universal Numbering System, maintained by Dun and Bradstreet.

147/ See Standards for Electronic Bulletin Boards Required Under Part 284 of the Commission's Regulations, Docket No. RM93-4-001, Order 563-A, FERC Stats. & Regs., Regulations Preambles, ¶ 30,994 at 31,034 (1994).

148/ See, e.g., Allegheny, CCEM, Com Ed, Continental Power Exchange, How Group, OK Com, and PJM comments.

149/ See Seattle, VEPCO, and Western Group comments.



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APPA asserted that DUNS numbers are primarily for private companies and do not include many public power systems. Instead of using DUNS numbers, APPA recommended using a numbering system derived from Energy Information Administration forms: EIA-861 (“Annual Electric Utility Report”) and EIA-867 (“Annual Nonutility Power Producer Report”) as these forms appear to be the most all-encompassing existing numbering system that could be used for OASIS identification. Dun and Bradstreet have informed staff that they will assign DUNS numbers, free of charge, to any entity requesting a number.

The Commission will require the DUNS numbers as the unique numerical identification of OASIS participants. The industry can proceed to develop a naming convention as suggested in the comments.

b. Common Location Codes

The Commission's experience in the natural gas industry demonstrates that a common method of uniquely identifying location points will be needed to facilitate movement of power across the grid. The Commission proposed to use a system to identify locations and paths on the electric transmission grid.

Nearly all commenters who discussed the issue argued that the Commission should not require common location codes. <sup>150/</sup> Several commenters argued that providing longitude and latitude information for power plants and substations raises serious national security issues. <sup>151/</sup>

Many commenters see the need for a common naming convention for paths and other facilities, such as that currently under development by the How Working Group. <sup>152/</sup>

The Commission is persuaded to drop the requirement for a system for location codes and requests the industry to continue development of a common naming convention to be implemented as soon as practicable.

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<sup>150/</sup> See Allegheny, APPA, CCEM, Continental Power Exchange, Duke, How Group, ERCOT, Florida Power Corp, NERC, PJM, VEPCO, and Western Group comments.

<sup>151/</sup> See How Group, FPC, and NERC comments.

<sup>152/</sup> See How Group, PSNM, and Western Group comments.



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7. **Data Definitions and File Formats Not Covered by the Revised How Report**

a. **Offers to Provide Ancillary Services Provided by an Entity Other Than the Transmission Provider (Question 11)**

In the RIN NOPR, the Commission requested the specifications needed to post this information in HTML displays and the formats needed to standardize uploadable and downloadable files containing this information. This final rule requires that information about ancillary services provided by an entity other than the Transmission Provider be posted on the OASIS by Responsible Parties and be displayed on the same page and in the same file format as that of the Transmission Provider.

Although we did receive comments on this issue from various parties, this was not an issue resolved by the revised How Report. We would prefer that the How Group attempt to reach consensus on this issue before we impose our own solution. Therefore, we will include this issue among those that we are requesting further input on before we address this issue in the Standards and Protocols.

b. **Offering of Primary and Secondary Capacity**

The Commission requested comments on how to redesign the download templates in Appendix C of the NOPR so that primary and secondary capacity can be offered through downloadable files that have the same format. The Commission also requested comments on how primary and secondary capacity can be displayed in the same tables on an OASIS node. Posting secondary capacity requires more information than for primary capacity and, thus, using the same formats would require many more fields. We need information on the design of those fields before we can set standards for the display of this information.

Although we did receive comments on this issue from various parties, this was not an issue resolved by the revised How Report. We would prefer that the How Group attempt to reach consensus on this issue before we impose our own solution. Therefore, we will include this issue among those that we are requesting further comment on before we address this issue in the Standards and Protocols.

8. **Formats for Downloadable Files Not Covered in the How Report**



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a. Standard Format for Data Used in Calculating ATC

(Question 16)

The Commission requested comments on how the data used in calculating ATC should be formatted and asked whether the information should be in free form text, predefined tables, or comma delimited ASCII files. We also asked whether, if the information is in free form text, it should be in plain ASCII text or in a word processor format, such as WordPerfect or Word. We deal with both of these issues in section H(2)(f) of this final rule and in the regulations at § 37.6(b)(2)(ii).

b. Standard Formats for Transmission Studies (Question 23)

The Commission requested comments on how transmission studies should be formatted for download from the OASIS. We deal with this issue in section H(2)(g) of this final rule and in the regulations at § 37.6(b)(2)(iii).

c. Standard Format for Electronic Submission to the Commission of Transmission Tariffs (Question 6)

In the RIN NOPR, the Commission proposed requiring that Transmission Providers provide downloadable files of their complete tariffs on the OASIS. <sup>153/</sup> The Commission requested that commenters propose a standard format for electronic submission of transmission tariffs to the Commission.

New formats continually are being developed by the computer industry and it would be worthwhile to address this issue again when the Commission addresses Phase II or remaining OASIS issues.

We will require utilities to provide tariff downloads from their OASIS in the same format that they use to file with the Commission.

9. Communication Protocol Issues

a. Internet Browsers

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<sup>153/</sup> See RIN NOPR text at section III.C (60 FR at 66186) and the proposed regulation at 18 CFR 37.9(c)(1) (60 FR 66200).



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There are a large number of Internet browsers available commercially and in the public domain. The How Report proposed that browsers support "at least" HTML version 3 and "optionally" support Secure Sockets Layer. The HTML standards used by browsers change from time to time, and, in addition, various browsers can support different extensions to the standards. The Commission does not want to stifle innovation, but at the same time it does want uniformity on the OASIS. The Commission does not want customers to be forced to use different browsers for different OASIS nodes. The Commission wants to ensure that a customer will be able to choose a browser and use it to access all OASIS nodes.

To this end, the Commission requested comments on how to ensure that a customer will be able to choose a browser and use it to access all OASIS nodes.

Most commenters agreed that requiring browsers to support HTML 3 would be sufficient to meet the needs of OASIS nodes and customers at this time. 154/

CSW reported that while the specifications for HTML 3 are still in draft mode, it is the first version of HTML to support the table feature for browsing that the How Working Group wants to use. NYPP would add encryption capabilities to the list of standards. Ohio Edison would require JAVA-enabled browsers. 155/

OK Com recommended that the Commission adopt a primary browser and two alternative browsers for use on OASIS nodes. PJM asserted that, by requiring OASIS nodes to accommodate browsers in common use, OASIS nodes would be able to become more sophisticated as the Internet itself becomes more sophisticated.

Com Ed, ConEd and PSNM would leave the standard to the How Group or an industry-wide OASIS Management Organization.

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154/ See, e.g., Allegheny, APPA, CCEM, and How Group comments.

155/ JAVA is a language that enables a browser to run programs embedded in a WWW page.



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Most commenters agreed with the How Report that, requiring OASIS nodes to support HTML 3 will allow browsers supporting this standard to view documents on the OASIS. The Commission will adopt the recommendation for HTML 3 contained in the How Report.

b. Bandwidth of Node Connections to the Internet

At issue is the speed at which OASIS users will receive information from OASIS nodes. A major determinant of the speed are the bandwidth connections between the OASIS node and the Internet. The How Report proposed a formula to compute the required minimum bandwidth based on the number of registered users of the node and the number of bits per second to be received by users during HTML displays and downloads of files. <sup>156/</sup> These information transfers would include both the receipt of HTML displays and downloads of files. The How Report proposed to use a rate of 8,000 bits per second to determine bandwidth. In the RIN NOPR, the Commission noted that an 8,000 bit per second transfer rate is much slower rate than the 28,800 bit per second transfer rate for telephone connections that many private individuals and customers use to connect to the Internet. The Commission expressed concern that using 8,000 bit per second as the basis for the bandwidth calculation will lead to connections that are too slow and proposed to use 28,800 bits per second.

Many commenters agreed with the Commission. <sup>157/</sup> Com Ed reported that a T1 communications line (1.54 million bits per second) could support 500 simultaneous customers using the Commission's proposal of using 28,800 bits per second in the bandwidth formula. Com Ed concluded that it is unlikely that an OASIS node will experience 500 simultaneous users and that a T1 line is a reasonable upper limit, at this time. The How Group reported that its members are currently paying between \$1,500 and \$3,000

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<sup>156/</sup> How Report at § 3.4.3.

<sup>157/</sup> See, e.g., Allegheny, APPA, CSW, OK Com, PJM, and Seattle comments.



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per month for T1 connections and concludes that it may be cost effective to oversize the bandwidth even though a high bandwidth does not automatically translate into higher access speeds or download rates.

Several commenters preferred the 8,000 bits per second originally proposed by the How Group. <sup>158/</sup> Ohio Edison suggested that using a speed of 28,800 will dramatically increase costs and may make joint OASIS nodes less attractive. The How Group asserted that experience has shown that 8,000 bits per second is a reasonable average rate for users of the Internet. VEPCO stated that, while many customers will initially use modems rated at 28,800 bits per second, their average data transfer rate will be lower due to a number of factors. Nevertheless, VEPCO asserted that an average of 8,000 bits per second is on the low end of acceptability, especially if large files are to be downloaded or if graphics files are to be viewed. Continental Power Exchange proposed that the 19,200 bits per second be used in the formula. It asserted that this is the fastest modem speed achievable with Microsoft's Windows 3.1.

APPA speculated that there may be some areas in remote locations that cannot secure a connection to the Internet with adequate bandwidth to support the 28,800 bit per second standard.

After considering the comments, the Commission continues to believe that 8,000 bits per second is too slow, especially when large files must be transferred and when information is needed promptly for business decisions. The Commission, therefore, will require that a rate of 28,800 bits per second be used in the minimum bandwidth calculation.

c. Data Compression Standards

In the RIN NOPR, the Commission expressed agreement with the How Report that data compression will speed up the transmission of files. <sup>159/</sup> We also expressed the belief that communication of OASIS information would be enhanced if every OASIS node used the same compression techniques.

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<sup>158/</sup> See ConEd, How Group, and Ohio Edison comments.

<sup>159/</sup> How Report § 3.3.8(c).



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The Commission requested comments on what data compression technique or techniques should be made standard for all OASIS nodes.

Most commenters recommended that the "ZIP" file compression standard be adopted as the common OASIS standard. 160/ The How Group pointed out that the ZIP format is available for most computer platforms. Some commenters, however, suggested that setting a common compression technique is too detailed for a Commission rulemaking. 161/

Most commenters supported using the "ZIP" file compression standard on OASIS. This format is widely used for data communication and the necessary software is available for most computer platforms. The Commission will, therefore, require that the ZIP standard be the data compression standard on OASIS nodes. The Commission agrees that requiring compression for files created for each HTTP request may be too complex for Phase I. However, utilities may want to compress large files that would be infrequently updated, such as tariffs. These files will benefit from file compression and will not be subject to the complexities of compressing the dynamically created HTTP files. The Commission will require that static files residing on OASIS nodes be compressed.

d. Other Communication Protocol Issues  
Raised by Commenters

i. **The Requirement to use FTP  
for File Transfers**

The October 16, 1995 How Report recommended requiring OASIS nodes to use the Internet File Transfer Protocol (FTP) for file uploads and downloads. In its comments, the How Group recommended changing the file transfer method originally proposed in the How Report from the FTP to the HTTP for data access, including files upload and download to and from OASIS nodes. We will accept this recommendation.

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160/ See APPA, CCEM, ConEd, and PSNM comments.

161/ See NERC and Ohio Edison comments.



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ii. **Field Size for Path Names**

The How Report proposed that path names be a 12-character alphanumeric string. The March 7, 1996 filing by its How Group recommends that the 12 characters be changed to 50 alphanumeric characters. Subsequent to the How Report, the How Group found that 12 characters were insufficient to accommodate path names and the associated regional identifiers.

We will await final recommendations concerning file formats before ruling on this issue.

iii. **Files Containing More Than  
100,000 Bytes**

The How Report recommended that customers not be required to download any single file that is larger than 100,000 bytes in order to access transmission information in electronic form. The implication is that all files larger than 100,000 bytes must be broken into sub-files.

Detroit Edison argued that there is no easy way to download only a section of a file and that customers may prefer to download one large file rather than 20 small ones.

We agree and will not require files to be broken into 100,000 byte segments at this time. In the event that a restriction on file size becomes needed, it can be addressed in Phase II.

K. **COST RECOVERY ISSUES**

1. **Costs of Developing and Running an OASIS**  
(Question 34)

Transmission-owning public utilities are entitled to recover the costs of developing and running an OASIS. Generally, these costs will be fixed costs not attributable to individual users. In the NOPR, the Commission proposed to include these costs in wholesale transmission rates. The Commission also proposed to allow costs that can be identified as varying with usage to be charged as usage fees to individual customers.

The commenters were nearly evenly split between those favoring and opposing the Commission's proposals. NIEP argued that rolling-in OASIS costs would distribute costs among all transmission users equally and would be the only fair method of allocating the cost of an OASIS. NIEP concludes that, if



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costs were directly assigned to individual transmission users, these users would be penalized by forcing them to pay the cost of providing information which is available to, and used by, all transmission users.

Many commenters objected to including OASIS costs in wholesale transmission rates. They argued that it is inappropriate to require network service customers (who may not participate in wholesale sales transactions) to absorb the cost of the OASIS. Indianapolis P&L claimed that it has no significant, unique transmission paths and uses its transmission assets to serve its native load customers. Consequently, most of its OASIS costs would be borne by its native load customers.

Many commenters suggested alternatives to rolling in OASIS costs. ConEd argued that, if all OASIS costs were included in wholesale transmission rates, OASIS costs might not be fully recovered since transmission use varies. To remedy this, ConEd proposed rolling in part of the costs with the remainder to be recovered through a monthly access fee. MAPP suggested usage fees based on cost causation, such as time access charges, fixed fees for transmission requests and fees based on energy scheduled over transmission secured on the OASIS. NSP suggested a fee structure like other on-line information services, such as America On Line, CompuServe, and Prodigy.

Several commenters saw other problems associated with utility recovery of OASIS costs. Some called attention to potential problems in recovering the costs of a joint OASIS. MAPP pointed out that a jointly operated OASIS will not have composite transmission tariffs from which to recover costs and that a method was needed for utilities to recover joint expenses. Detroit Edison speculated that a large number of the general public could be connected to an OASIS at one time and thus limit OASIS access to transmission users. To prevent this problem, Detroit Edison proposed that fees be established to prevent misuse or overuse of an OASIS.

It is appropriate that all wholesale transmission customers and all unbundled retail transmission customers should pay a share of OASIS development costs in their rates. Therefore, the Commission concludes that the cost of developing an OASIS should be included in unbundled transmission rates with variable costs of operating an OASIS to be recovered, to the extent possible, in usage fees. Individual rate



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proceedings will determine which OASIS costs can be identified as varying with usage and how to set the fees.

2. **Costs of Posting Resales of Capacity on the OASIS**  
(Question 40)

The Commission proposed that resales of capacity be posted on the same page, and using the same display and downloadable tables, as capacity being sold by the Transmission Provider. This posting incurs an expense on the part of the Responsible Party. The Commission proposed that each reseller must, therefore, pay the costs of posting its own offering.

Most commenters believed that those posting secondary services should pay the cost of posting. APPA proposed that the incremental cost of posting should be recovered as a special fee in the primary contract of transmission service. Ohio Edison proposed a fee for each posting with a "true up" mechanism to ensure that over time actual costs are recovered. Com Ed and WP&L suggested a fee that is a percentage of revenue received from the secondary postings.

NEPOOL suggested that this expense is unlikely to be significant and, therefore, could be included in rates. NRECA and NCEMC warned that posting fees not be set so high as to discourage resale of capacity. OK Com argued that it would be inappropriate to charge resellers of transmission capacity for posting if the Transmission Provider is not also required to pay a fee for posting.

After considering the comments, we have decided that there should be no added fee for posting capacity resales. All OASIS users, including the Transmission Provider, who post capacity pay all the fixed costs of OASIS in wholesale rates and pay usage-related variable costs in access fees. Thus, the costs of posting resale capacity are already recovered. To require resellers to pay additional fees for posting their products would provide OASIS operators with a cost advantage.

3. **Costs of Posting Ancillary Services on the OASIS**

The Commission proposed that entities posting offers to provide ancillary services on the OASIS should pay the costs associated with posting this information and requested comments on how to determine these costs.



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Commenters proposed various fee schemes to recover these costs. Some were based on the cost of developing and maintaining posting services, others were based solely on the incremental cost of posting a notice. Some proposed to roll the costs into wholesale transmission rates. Others proposed that utilities be allowed make a profit from this service.

Arizona proposed an incentive scheme to keep costs down, while Continental Power Exchange suggested that the method of calculating these costs be left to the industry. PJM proposed a fee based on the amount of person-hours and computer usage required by such posting. ConEd argued that utilities should be allowed to earn a profit on this service.

CSW submitted that posting costs cannot be broken out individually and proposed that the costs for an OASIS should be borne by all market participants on a fair basis. Florida Power Corp argued that an OASIS is not a newspaper, and that Transmission Providers are not in the publishing business; therefore, OASIS services, including the posting of ancillary services, should not be sold like classified ads. It proposed that the cost of operating an OASIS should be rolled into wholesale transmission rates. VEPCO also suggested that the cost of posting ancillary services should be included in the cost of the OASIS, with costs of specific evaluations of ancillary service offers to be determined and posted on the OASIS.

After assessing the comments, we find that the cost of developing the facilities needed to post ancillary services required to be provided by the Open Access Final Rule should be recovered through unbundled transmission rates. Any variable costs of posting these services will be included in the general OASIS usage fees. As for those ancillary services not required to be provided, 162/ OASIS operators may charge a cost based fee to those offering these services for the cost of posting.

### L. **SECTION 37.8 -- IMPLEMENTATION IN PHASES**

#### 1. **Phase I Implementation**

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162/ See Open Access Final Rule generally at section IV.D.



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Implementation of this rule and the initial standards and protocols will ensure that sufficient information is available to transmission customers to achieve comparable access to transmission information. They do not, however, provide all the desired performance requirements.

Because of the complexity of developing an OASIS, and the need to begin the transmission open access program promptly, the Commission proposed a phased approach to OASIS implementation. We proposed to require implementation of a Phase I OASIS as of the effective date of the final rule on non-discriminatory open access transmission and stranded costs (i.e., 60 days from publication of this order in the Federal Register).

### Comments

Many commenters argued that the proposed 60-day implementation period is unrealistic in light of the amount of work that must be done. ERCOT suggested that only portions of the Phase I implementation could be accomplished within the 60-day period. A vast majority of commenters suggested that an implementation period of six months would be required.

Arizona and ConEd pointed out that, while plans for implementation can begin in advance of the final rule, final specifications and designs depend on the resolution of several major Open Access Final Rule issues. ConEd also argued that all new systems require a "Beta" test stage in which the system can be tested before it is used in a production environment, and that a 60-day implementation period will not permit such testing. Similarly, NERC argued that more time is needed to make sure workable administrative procedures are in place for consistency in calculating, posting, and coordinating ATC. NEPOOL echoed these comments, reporting that an implementation period of less than six months would result in the development of OASIS nodes across the nation that lack uniformity as each region complies within a short deadline without time to coordinate with other areas.

Duke argued that a full six months will be needed because, in addition to the difficult task of implementing OASIS, the Open Access Final Rule will change the way the industry does business. Duke argued that the coordination of resources necessary to accommodate all of the discussions and decisions in



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developing joint OASIS nodes is a more lengthy process than development of an OASIS by each individual company. Duke asserted that a six-month implementation period is needed to permit joint OASIS projects to develop. 163/

SoCal Edison requested that the Commission delay implementation until the requirements of the CA Com's California Restructuring Order have been fully identified. Public Generating Pool argued that the Northwest governors have organized a review of the Northwest Power Act, the Bonneville Power Act, and the northwest electric system in general, to be completed by November 1996. Public Generating Pool argued that the Commission should consider possible contributions to be made by this forthcoming report and urged that the Commission not ignore this work based on a need to meet self-imposed unreasonable and unrealistic OASIS implementation dates.

The How Group, the Western Group and VEPCO suggested that, if the Commission cannot extend the implementation period to six months, then Phase I should itself be implemented in stages. The How Group suggested a three-stage process that would begin with a requirement for primary providers, within 120 days after issuance of the final rule, to post estimates of ATC and secondary capacity for resale that might not be accurate. This would be followed, within 180 days after issuance of the final rule, by the posting of fully accurate secondary capacity information and ATC information, and with Transmission Providers certifying, within 210 days of the final rule, that all functionality and performance requirements for OASIS have been met.

ConEd and Carolina P&L noted that OASIS implementation will cause changes to utility operations, and requested that the Commission schedule implementation during off-peak seasons, such as the spring or fall, when they claim transmission systems are under less stress.

Public Generating Pool and Tallahassee speculated that, if publicly-owned utilities are considered to be under the Commission's jurisdiction for OASIS purposes, they will need more than a six-month

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163/ NERC made this same point in its comments.



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implementation period because they may be required to obtain funding approval from state or local oversight commissions.

### **Discussion**

Commenters make persuasive arguments for permitting a six-month implementation period. They raise concerns that a shorter period will not permit adequate time to design, build and thoroughly test an OASIS. They also raise concerns that a shorter period will inhibit the development of joint OASIS and OASIS with a common look and feel. The Commission shares these concerns. We also want to take into account commenters' requests that implementation not be required during the peak winter or summer months. For this reason, we are requiring compliance by November 1, 1996, a specific date about six months from when we expect this final rule to become effective, chosen to avoid the winter and summer peak months. This date is provided in § 37.8 of the final rule, which modifies the provision originally set out in § 37.15 of the RIN NOPR.

In addition, we will provide additional procedures to allow the development of the remaining initial standards and protocols. As described above, we invite the How Group to report to us on or before May 28, 1996 on these issues (and to attach any comments it has received from any interested person with opposing views).

For these reasons, the Commission will require implementation of Phase I of OASIS to be operational by November 1, 1996..

### 2. **Phase II Implementation**

Once Phase I becomes operational, and the industry and public gain experience with it, the full information and functional requirements needed to support open access transmission service will become clearer. In the RIN NOPR, the Commission stated that it envisioned that Phase II would build on Phase I and requested that the industry continue the process of developing standards, and provide a consensus report to the Commission on Phase II recommendations by January 1, 1997.



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Most commenters argued that the proposed January 1997 date is too ambitious. Southern argued that this date does not provide enough time for the industry to gain experience with Phase I. Tallahassee and others suggested that Phase II should not be implemented until at least one year after Phase I is implemented. Continental Power Exchange asserted that Phase II will be a continuum of development from the first day of Phase I implementation. NRECA suggested that, if Phase I turns out to be inadequate, then Phase II should be accelerated.

We are sensitive to commenters' concerns about the time between the implementation of Phase I and Phase II. At the same time, the need for the additional functions and performance requirements proposed for Phase II will, we believe, need to be implemented quickly. Accordingly, the industry should continue the process of developing standards, and attempt to develop a consensus report on Phase II recommendations by no later than seven months after implementation of Phase I [insert date of first business day on or after 390 days after publication of the final rule in the Federal Register]. We anticipate that this report would be the basis for supplemental OASIS proceedings to Phase II OASIS requirements. The additional time should permit the industry to obtain sufficient experience with Phase I before it recommends specifications for Phase II.

We believe that it may be appropriate to require the scheduling of energy transfers on the OASIS in Phase II. Electronic scheduling of energy transfers over the OASIS would increase efficiency. We, therefore, request that the industry incorporate standards for the scheduling of energy transfers on OASIS into the Phase II report.

#### **IV. REGULATORY FLEXIBILITY ACT**

The Regulatory Flexibility Act (RFA) 164/ requires the Commission to describe the impact that any proposed or final rule would have on small entities or to certify that the rule, if promulgated, will not have a significant economic impact on a substantial number of small entities. The entities that would have to comply with the final rule are public utilities and transmitting utilities that do not fall within the RFA's

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164/ 5 U.S.C. §§ 601-612.



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definition of small entities. <sup>165/</sup> Therefore, under section 605(b) of the RFA, the Commission hereby certifies that this final rule will not have a significant economic impact on small entities within the meaning of the RFA. Accordingly, no regulatory flexibility analysis is required pursuant to section 603 of the RFA.

In its comments, NRECA questioned the Commission's conclusion that the RIN NOPR did not need to be accompanied by an RFA analysis. NRECA's argument was based on its concern that the Commission might extend OASIS requirements to non-public, not-for-profit cooperative utilities. NRECA argued that, if this were to happen, the Commission would then have to analyze the effect of the OASIS requirements on these utilities and show that the requirements would not have a substantial economic impact upon them. However, as proposed in the RIN NOPR, the Commission's OASIS regulations will apply only to public utilities that own, operate, or control transmission facilities subject to the Commission's jurisdiction. As noted immediately above, public utilities do not fall within the RFA's definition of a "small entity." In addition, as discussed earlier, and as discussed in the Open Access Final Rule, there will be a provision for a waiver for small entities. This responds to NRECA's concerns.

### V. ENVIRONMENTAL STATEMENT

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<sup>165/</sup> See 5 U.S.C. §§ 601(3) and 601(6) and 15 U.S.C. § 632(a). The RFA defines a small entity as one that is independently owned and not dominant in its field of operation. See 15 U.S.C. § 632(a). In addition, the Small Business Administration defines a small electric utility as one that disposes of 4 million MWh or less of electric energy in a given year. See 13 CFR 121.601 (Major Group 49-Electric, Gas and Sanitary Services) (1995).

In the Open Access Final Rule, issued contemporaneously with this final rule, we conclude that, under these definitions, the Open Access Final Rule would not have a significant economic impact on a significant number of small entities. As this final rule only implements the OASIS requirements of the Open Access Final Rule, the same conclusion is warranted here, for the same reasons.



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Commission regulations require that an environmental assessment or an environmental impact statement be prepared for a Commission action that may have a significant effect on the human environment. <sup>166/</sup> Although this final rule does not directly affect any physical transmission facilities, but merely requires the electronic posting by computers of certain information about transmission availability and prices, it nevertheless is covered by the Final Environmental Impact Statement issued in the Open Access NOPR proceeding in Docket Nos. RM95-8-000 and RM94-7-001 on April 12, 1996. Thus, no separate environmental assessment or environmental impact statement has been prepared in this proceeding.

### VI. INFORMATION COLLECTION STATEMENT

There are now approximately 328 public utilities, including marketers and wholesale generation entities. The Commission estimates that approximately 166 of these utilities own, operate, or control facilities used for the transmission of electric energy in interstate commerce and thus are subject to this rule. However, since the operation of an OASIS will be closely associated with control areas, we assume that an OASIS will be developed at the control area level and not by each public utility that owns, operates, or controls interstate transmission facilities. We also expect that some additional OASIS nodes will be created voluntarily by non-public utilities subject to these regulations under the reciprocity condition of the pro forma tariffs. We estimate, therefore, that 140 respondents will be required to collect information. We believe that this estimate is conservative (on the high side) because some regions are likely to develop a region-wide OASIS that will cover more than one control area. <sup>167/</sup>

This estimate is higher than the one we included in the RIN NOPR, where we estimated that there would be 84 respondents. We have adjusted our estimate in response to the arguments advanced by

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<sup>166/</sup> Regulations Implementing National Environmental Policy Act, Order No. 486, 52 FR 47897 (Dec. 17, 1987); 1986-90 Regulations Preambles, FERC Stats. & Regs. ¶ 30,783 (Dec. 10, 1987) (codified at 18 CFR Part 380).

<sup>167/</sup> See supra (discussion quoted from How Report at 80).



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NRECA and NE Public Power District, in separate letters to OMB, that the Commission's Information Collection Statement contained in the RIN NOPR failed to account for the proposal in the Open Access NOPR that, because of the reciprocity requirement, non-public utilities and cooperatives entering contracts for open access transmission services would be required to establish their own OASIS nodes or participate in a regional OASIS node.

NRECA also argued that the Commission's analysis must include not only those entities that are developing their own OASIS node, but also those entities who, while they are not developing and operating their own OASIS node, nevertheless will contribute data to their control area operators or regional OASIS operators. NRECA argued, therefore, that the Commission's estimate of the number of respondents should have taken this into account. It did.

Although not explicitly stated in the RIN NOPR, the Commission's Information Collection Statement, both in this final rule and in the RIN NOPR, has been based not only on the efforts by the respondents who will directly operate OASIS nodes but also reflects the collection of information from all significant participants in the transmission market.

Information Collection Statement:

*Title:* FERC-717, Real-Time Information Network Standards

*Action:* Final Rule

*OMB Control No:* 1902-0173

*Respondents:* Public Utilities that own and/or control facilities used for the transmission of electric energy in interstate commerce.

*Frequency of Responses:* On Occasion

*Necessity of the information:* The final rule requires affected public utilities to comply with requirements for an Open Access Same-time Information System (OASIS) established by the Commission to give potential customers access to information, by electronic means, that would ensure the availability of open access wholesale transmission service on a non-discriminatory basis. These requirements would support



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arrangements made for wholesale sales and purchases for third parties. Public utilities or their agents will be required to give competitors and other users of the transmission system access to the same information available to public utility personnel who initiate the acquisition or disposition of power in the wholesale market and at the same time. The Commission will use the information to monitor the networks to ensure that potential purchasers of transmission services obtain the services on a non-discriminatory basis. This final rule was developed after a review of comments filed in response to issuance of a notice of public rulemaking.

The Office of Management and Budget's (OMB) regulations, 168/ require OMB to approve certain information collection requirements imposed by agency rule. The information collection requirements in the final rule will be reported directly to transmission users and will be subject to subsequent audit by the Commission. The distribution of these data will help the Commission carry out its responsibilities under Part II of the FPA.

The Commission is submitting notification of this final rule to OMB. Interested persons may obtain information on the reporting requirements by contacting the Federal Energy Regulatory Commission, 888 First Street, N.E., Washington, D.C. 20426 [Attention Michael Miller, Information Services Division, (202) 208-1415], and to the Office of Management and Budget [Attention: Desk Officer for the Federal Energy Regulatory Commission (202) 395-3087].

**VII. EFFECTIVE DATE**

The regulations of new Part 37 will become effective on [insert date 60 days after the date of publication of this final rule in the Federal Register]. The Commission has determined, with the concurrence of the Administrator of the Office of Information and Regulatory Affairs of OMB, that the Open Access Final Rule and the OASIS final rule together constitute a "major rule" as defined in section

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168/ 5 CFR 1320.11.



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351 of the Small Business Regulatory Enforcement Act of 1996. 169/ The rule will be submitted to both Houses of Congress and the Comptroller General prior to its publication in the Federal Register. All of the requirements prescribed in the standards of conduct must be complied with and Phase I OASIS sites that meet the requirements prescribed in this final rule must be in operation by November 1, 1996.

### **List of Subjects in 18 CFR Part 37**

Open Access Same-Time Information System

By the Commission.

( S E A L )

Lois D. Cashell,  
Secretary.

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169/ 5 U.S.C. § 804(2).



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In consideration of the foregoing, the Commission amends Title 18, Code of Federal Regulations, to add a new Part 37, as set forth below.

PART 37 -- OPEN ACCESS SAME-TIME INFORMATION SYSTEMS AND STANDARDS OF CONDUCT FOR PUBLIC UTILITIES

Sec.

- 37.1 Applicability.
- 37.2 Purpose.
- 37.3 Definitions.
- 37.4 Standards of conduct.
- 37.5 Obligations of Transmission Providers and Responsible Parties.
- 37.6 Information to be posted on an OASIS.
- 37.7 Auditing Transmission Service Information.
- 37.8 Implementation schedule for OASIS requirements; phases.

AUTHORITY: 16 U.S.C. 791-825r, 2601-2645; 31 U.S.C. 9701; 42 U.S.C. 7101-7352.

§ 37.1 **Applicability.**

This part applies to any public utility that owns, operates, or controls facilities used for the transmission of electric energy in interstate commerce and to transactions performed under the pro forma tariff required in Part 35 of this Chapter.

§ 37.2 **Purpose.**

(a) The purpose of this part is to ensure that potential customers of open access transmission service receive access to information that will enable them to obtain transmission service on a non-discriminatory basis from any Transmission Provider. These rules provide standards of conduct and require the Transmission Provider (or its agent) to create and operate an Open Access Same-time Information System (OASIS) that gives all users of the open access transmission system access to the same information.

(b) The OASIS will provide information by electronic means about available transmission capability for point-to-point service and will provide a process for requesting transmission service. OASIS will enable Transmission Providers and Transmission Customers to communicate promptly requests and responses to buy and sell available transmission capacity offered under the Transmission Provider's tariff.



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### § 37.3 Definitions.

- (a) **Transmission Provider** means any public utility that owns, operates, or controls facilities used for the transmission of electric energy in interstate commerce.
- (b) **Transmission Customer** means any eligible customer (or its designated agent) that can or does execute a transmission service agreement or can or does receive transmission service.
- (c) **Responsible Party** means the Transmission Provider or an agent to whom the Transmission Provider has delegated the responsibility of meeting any of the requirements of this Part.
- (d) **Reseller** means any Transmission Customer who offers to sell transmission capacity it has purchased.
- (e) **Wholesale Merchant Function** means the sale for resale, or purchase for resale, of electric energy in interstate commerce.
- (f) **Affiliate** means: (1) for any exempt wholesale generator, as defined under section 32(a) of the Public Utility Holding Company Act of 1935, as amended, the same as provided in section 214 of the Federal Power Act; and
- (2) for any other entity, the term affiliate has the same meaning as given in § 161.2(a) of this Chapter.

### § 37.4 Standards of conduct.

A Transmission Provider must conduct its business to conform with the following standards:

- (a) **General Rules** (1) Except as provided in paragraph (a)(2) of this section, the employees of the Transmission Provider engaged in transmission system operations must function independently of its employees, or the employees of any of its affiliates, who engage in Wholesale Merchant Functions.
- (2) Notwithstanding any other provisions in this section, in emergency circumstances affecting system reliability, Transmission Providers may take whatever steps are necessary to keep the system in operation. Transmission Providers must report to the Commission and on the OASIS each emergency that resulted in any deviation from the standards of conduct, within 24 hours of such deviation.



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(b) Rules governing employee conduct (1) Prohibitions. Any employee of the Transmission Provider, or any employee of an affiliate, engaged in wholesale merchant functions is prohibited from: (i) conducting transmission system operations or reliability functions; and

(ii) having access to the system control center or similar facilities used for transmission operations or reliability functions that differs in any way from the access available to other open access Transmission Customers.

(2) Transfers. Employees engaged in either (i) wholesale merchant functions or (ii) transmission system operations or reliability functions are not precluded from transferring between such functions as long as such transfer is not used as a means to circumvent the standards of conduct of this section. Notices of any employee transfer to or from transmission system operations or reliability functions must be posted on the OASIS as provided in § 37.6 (g)(3). The information to be posted must include: the name of the transferring employee, the respective titles held while performing each function (i.e., on behalf of the Transmission Provider and wholesale merchant or affiliate), and the effective date of the transfer. The information posted under this section must remain on the OASIS for 90 days.

(3) Information Access. Any employee of the Transmission Provider, or of any of its affiliates, engaged in wholesale merchant functions: (i) shall have access to only that information available to the Transmission Provider's open access transmission customers (i.e., the information posted on an OASIS), and must not have preferential access to any information about the Transmission Provider's transmission system that is not available to all users of an OASIS; and

(ii) is prohibited from obtaining information about the Transmission Provider's transmission system (including information about available transmission capability, price, curtailments, ancillary services, and the like) through access to information not posted on the OASIS that is not otherwise also available to the general public without restriction, or through information through the OASIS that is not also publicly available to all OASIS users.



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(4) Disclosure. A Transmission Provider is responsible for ensuring compliance with the following provisions: (i) Any employee of the Transmission Provider, or any employee of an affiliate, engaged in transmission system operations or reliability functions may not disclose to employees of the Transmission Provider, or any of its affiliates, engaged in wholesale merchant functions any information concerning the transmission system of the Transmission Provider or the transmission system of another (including information received from non-affiliates or information about available transmission capability, price, curtailments, ancillary services, etc.) through non-public communications conducted off the OASIS, through access to information not posted on the OASIS that is not at the same time available to the general public without restriction, or through information on the OASIS that is not at the same time publicly available to all OASIS users (such as E-mail).

(ii) If an employee of the Transmission Provider engaged in transmission system operations or reliability functions discloses information not posted on the OASIS in a manner contrary to the requirements of the standards of conduct, the Transmission Provider must immediately post such information on the OASIS.

(iii) A Transmission Provider may not share any market information, acquired from nonaffiliated Transmission Customers or potential nonaffiliated Transmission Customers, or developed in the course of responding to requests for transmission or ancillary service on the OASIS, with its own employees (or those of an affiliate) engaged in merchant functions, except to the limited extent information is required to be posted on the OASIS in response to a request for transmission service or ancillary services.

(5) Implementing Tariffs. (i) Employees of the Transmission Provider engaged in transmission system operations or reliability functions must strictly enforce all tariff provisions relating to the sale or purchase of open access transmission service, if these provisions do not provide for the use of discretion.

(ii) Employees of the Transmission Provider engaged in transmission system operations must apply all tariff provisions relating to the sale or purchase of open access transmission service in a fair and



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impartial manner that treats all customers (including the public utility and any affiliate) in a non-discriminatory manner, if these provisions involve discretion.

(iii) The Transmission Provider must keep a log, available for Commission audit, detailing the circumstances and manner in which it exercised its discretion under any terms of the tariff.

(iv) The Transmission Provider may not, through its tariffs or otherwise, give preference to wholesale purchases or sales made on behalf of its own power customers, or those of an affiliate, over the interests of any other wholesale customer in matters relating to the sale or purchase of transmission service (including issues of price, curtailments, scheduling, priority, ancillary services, etc.).

(v) If the Transmission Provider offers a discount on purchases of transmission service made on behalf of its own power customers or those of any affiliate, then, at the same time, it must post on the OASIS an offer to provide the same discount to all Transmission Customers on the same path and on all unconstrained transmission paths.

(vi) If the Transmission Provider offers a rate discount on ancillary services to an affiliate, or attributes a discounted ancillary service rate to its own transactions, the Transmission Provider must, at the same time, post on the OASIS an offer to provide the same discount to all eligible customers.

(6) Books and Records. A Transmission Provider must maintain its books of account and records (as prescribed under Parts 101 and 125 of this Chapter) separately from those of its affiliates and these must be available for Commission inspection.

(c) Maintenance of written procedures. The Transmission Provider must maintain in a public place, and file with the Commission, current written procedures implementing the standards of conduct in such detail as will enable customers and the Commission to determine that the Transmission Provider is in compliance with the requirements of this section.

### § 37.5 **Obligations of Transmission Providers and Responsible Parties.**

(a) Each Transmission Provider is required to provide for the operation of an OASIS, either individually or jointly with other Transmission Providers, in accordance with the requirements of this Part.



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The Transmission Provider may delegate this responsibility to a Responsible Party such as another Transmission Provider, an Independent System Operator, a Regional Transmission Group, or a Regional Reliability Council.

(b) A Responsible Party must: (1) provide access to an OASIS providing standardized information relevant to the availability of transmission capacity, prices, and other information (as described in this Part) pertaining to the transmission system for which it is responsible; and

(2) shall operate the OASIS in compliance with the standardized procedures and protocols found in OASIS Standards and Communication Protocols, which can be obtained from the Public Reference and Files Maintenance Branch, Room 2A, Federal Energy Regulatory Commission, 888 First Street NE, Washington, DC 20426.

(c) Transmission Providers must provide "read only" access to the OASIS to Commission staff and the staffs of State regulatory authorities, at no cost, after such staff members have complied with the requisite registration procedures.

### § 37.6 **Information to be posted on an OASIS.**

(a) The information posted on the OASIS must be in such detail as to allow Transmission Customers to: (1) make requests for transmission services offered by Transmission Providers, Resellers and other providers of ancillary services;

(2) view and download in standard formats, using standard protocols, information regarding the transmission system necessary to enable prudent business decision making;

(3) post, view, upload and download information regarding available products and desired services;

(4) clearly identify the degree to which their transmission service requests or schedules were denied or interrupted; and



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(5) obtain access, in electronic format, to information to support available transmission capability calculations and historical transmission service requests and schedules for various audit purposes.

(b) Posting transmission capability. The transmission capability that is expected to be available on the Transmission Provider's system (ATC) and the total transmission capability (TTC) of that system shall be calculated and posted for each Posted Path as set out in this section.

(1) Definitions. For purposes of this section,

(i) Posted Path means any control area to control area interconnection; any path for which service is denied, curtailed or interrupted for more than 24 hours in the past 12 months; and any path for which a customer requests to have ATC or TTC posted. For this last category, the posting must continue for 180 days and thereafter until 180 days have elapsed from the most recent request for service over the requested path. For purposes of this definition, an hour includes any part of an hour during which service was denied, curtailed or interrupted.

(ii) Constrained Posted Path means any posted path having an ATC less than or equal to 25 percent of TTC at any time during the preceding 168 hours or for which ATC has been calculated to be less than or equal to 25 percent of TTC for any period during the current hour or the next 168 hours.

(iii) Unconstrained Posted Path means any posted path not determined to be a constrained posted path.

(2) Calculation methods, availability of information, and requests. (i) Information used to calculate any posting of ATC and TTC must be dated and time-stamped and all calculations shall be performed according to consistently applied methodologies referenced in the Transmission Provider's transmission tariff and shall be based on current industry practices, standards and criteria.

(ii) On request, the Responsible Party must make all data used to calculate ATC and TTC for any constrained posted paths publicly available (including the limiting element(s) and the cause of the limit (e.g., thermal, voltage, stability)) in electronic form within one week of the posting. The information is



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required to be provided only in the electronic format in which it was created, along with any necessary decoding instructions, at a cost limited to the cost of reproducing the material. This information is to be retained for six months after the applicable posting period.

(iii) System planning studies or specific network impact studies performed for customers to determine network impacts are to be made publicly available in electronic form on request and a list of such studies shall be posted on the OASIS. A study is required to be provided only in the electronic format in which it was created, along with any necessary decoding instructions, at a cost limited to the cost of reproducing the material. These studies are to be retained for two years.

(3) Posting. The ATC and TTC for all Posted Paths must be posted in megawatts by specific direction and in the manner prescribed in this subsection.

(i) Constrained Posted Paths.

(A) For Firm ATC and TTC: (1) The posting shall show ATC and TTC for a 30-day period. For this period postings shall be: by the hour, for the current hour and the 168 hours next following; and thereafter, by the day. If the Transmission Provider charges separately for on-peak and off-peak periods in its tariff, ATC and TTC will be posted daily for each period.

(2) Postings shall also be made by the month, showing for the current month and the 12 months next following.

(3) If planning and specific requested transmission studies have been done, seasonal capability shall be posted for the year following the current year and for each year following to the end of the planning horizon but not to exceed 10 years.

(B) For Non-Firm ATC and TTC. The posting shall show ATC and TTC for a 30-day period by the hour and days prescribed under paragraph (b)(3)(i)(A)(1) of this section and, if so requested, by the month and year as prescribed under paragraph (b)(3)(i)(A)(2) and (3) of this section.



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(C) Updating Posted Information for Constrained Paths. (1) The capability posted under paragraphs (b)(3)(i)(A) and (B) of this section must be updated when transactions are reserved or service ends or whenever the TTC estimate for the Path changes by more than 10 percent.

(2) All updating of hourly information shall be made on the hour.

(ii) Unconstrained Posted Paths. (A) Postings of ATC and TTC shall be by the day, showing for the current day and the next six days following and thereafter, by the month for the 12 months next following. If the Transmission Provider charges separately for on-peak and off-peak periods in its tariff, ATC and TTC will be posted for the current day and the next six days following for each period. These postings are to be updated whenever the ATC changes by more than 20 percent of the Path's TTC.

(B) If planning and specific requested transmission studies have been done, seasonal capability shall be posted for the year following the current year and for each year following until the end of the planning horizon but not to exceed 10 years.

(c) Posting Transmission Service Products and Prices. (1) Transmission Providers must post prices and a summary of the terms and conditions associated with all transmission products offered to Transmission Customers.

(2) Transmission Providers must provide a downloadable file of their complete tariffs in the same electronic format as the tariff is filed with the Commission.

(3) A Transmission Provider, within 24 hours of agreeing to sell transmission service to a non-affiliate at a discount (as measured from when ATC must be adjusted in response to the transaction), must post on the OASIS (and make available for download) information describing the transaction (including price, quantity, and any other relevant terms and conditions) and shall keep such information posted on the OASIS for at least 30 days. A record of the transaction must be retained and kept available as part of the audit log required in section 37.7. With respect to any discount offered to its own power customers or its affiliates, the Transmission Provider must, at the same time, post on the OASIS an offer to provide the same discount to all Transmission Customers on the same path and on all unconstrained transmission paths.



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(4) Customers choosing to use the OASIS to offer for resale transmission capacity they have purchased must post relevant information to the same OASIS as used by the one from whom the Reseller purchased the transmission capacity. This information must be posted on the same display page, using the same tables, as similar capability being sold by the Transmission Provider, and the information must be contained in the same downloadable files as the Transmission Provider's own available capability. A customer reselling transmission capacity without the use of an OASIS must, nevertheless, inform the original Transmission Provider of the transaction within the time limits prescribed by the "Sale or Assignment of Transmission Service" section of the pro forma tariff.

(d) Posting Ancillary Service Offerings and Prices. (1) Any ancillary service required to be provided or offered under the pro forma tariff prescribed by Part 35 of this Chapter must be posted with the price of that service.

(2) A Transmission Provider, within 24 hours of agreeing to sell an ancillary service to a non-affiliate at a discount, must post on the OASIS (and make available for download) information describing the transaction (including price, quantity, and any other relevant terms and conditions) and shall keep such information posted on the OASIS for at least 30 days. A record of the transaction must be retained and kept available as part of the audit log required in § 37.7. As to discounts for ancillary services, if a Transmission Provider offers a rate discount to an affiliate, or attributes a discounted ancillary service rate to its own transactions, the Transmission Provider must, at the same time, post on the OASIS an offer to provide the same discount to all eligible customers.

(3) Any other interconnected operations service offered by the Transmission Provider may be posted, with the price for that service.

(4) Any entity offering an ancillary service shall have the right to post the offering of that service on the OASIS if the service is one required to be offered by the Transmission Provider under the pro forma tariff prescribed by Part 35 of this Chapter. Any entity may also post any other interconnected operations



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service voluntarily offered by the Transmission Provider. Postings by customers and third parties must be on the same page, and in the same format, as postings of the Transmission Provider.

(e) Posting Specific Transmission Service Requests and Responses.

(1) General Rules. (i) All requests for transmission service offered by Transmission Providers under the pro forma tariff must be made on the OASIS. Requests for transmission service, and the responses to such requests, must be conducted in accordance with the Transmission Provider's tariff, the Federal Power Act, and Commission regulations.

(ii) In processing a request for transmission or ancillary service, the Responsible Party shall post the following information: the date and time when the request is made, its place in any queue, the status of that request, and the result (accepted, denied, withdrawn).

(iii) The identity of the parties will be masked -- if requested -- during the negotiating period and for 30 days from the date when the request was accepted, denied or withdrawn.

(2) Posting when a request for transmission service is denied. (i) When a request for service is denied, the Responsible Party must provide the reason for that denial as part of any response to the request.

(ii) Information to support the reason for the denial, including the operating status of relevant facilities, must be maintained for 60 days and provided, upon request, to the potential Transmission Customer.

(iii) Any offer to adjust operation of the Transmission Provider's System to accommodate the denied request must be posted and made available to all Transmission Customers at the same time.

(3) Posting when a transaction is curtailed or interrupted. (i) When any transaction is curtailed or interrupted, the curtailment or interruption must be posted (with the identities of the parties masked as required in § 37.6(e)(1)(iii)) and must state the reason why the transaction could not be continued or completed.



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(ii) Information to support any such curtailment or interruption, including the operating status of the facilities involved in the constraint or interruption, must be maintained for 60 days and provided, upon request, to the curtailed or interrupted customer.

(iii) Any offer to adjust the operation of the Transmission Provider's system to restore a curtailed or interrupted transaction must be posted and made available to all curtailed and interrupted Transmission Customers at the same time.

(f) Posting Transmission Service Schedules Information. Information on transmission service schedules must be recorded by the entity scheduling the transmission service and must be available on the OASIS for download. Transmission service schedules must be posted no later than seven calendar days from the start of the transmission service.

(g) Posting Other Transmission-Related Communications. (1) The posting of other communications related to transmission services must be provided for by the Responsible Party. These communications may include "want ads" and "other communications" (such as using the OASIS as a Transmission-related conference space or to provide transmission-related messaging services between OASIS users). Such postings carry no obligation to respond on the part of any market participant.

(2) The Responsible Party is responsible for posting other transmission-related communications in conformance with the instructions provided by the third party on whose behalf the communication is posted. It is the responsibility of the third party requesting such a posting to ensure the accuracy of the information to be posted.

(3) Posting Transfers. Notices of transfers of personnel as described in § 37.4(b)(2) shall be posted.

**§ 37.7 Auditing Transmission Service Information.**

(a) All OASIS database transactions, except other transmission-related communications provided for under § 37.6(g)(2), must be stored, dated, and time stamped.



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(b) Audit data must remain available for download on the OASIS for 90 days. The audit data are to be retained and made available upon request for three years from the date when they are first posted.

**§ 37.8 Implementation schedule for OASIS requirements; phases.**

Each Transmission Provider must develop or participate in an OASIS that meets the requirements of this Part and that is in operation by November 1, 1996. Each Transmission Provider must be in compliance with the standards of conduct prescribed in § 37.4 by November 1, 1996.



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[NOTE: This attachment will not appear in the Code of Federal Regulations.]

ATTACHMENT 1

List of Commenters to RIN NOPR

Table with 3 columns: Number, Commenter Name, and Abbreviation. It lists 36 commenters including ABB Systems Control, Allegheny Power Service Corporation, American Electric Power, American Public Power Association, City of Anaheim, CA, Arizona Public Service Company, Bangor Hydro-Electric Company, Basin Electric Power Cooperative, Bonneville Power Administration, California PUC, Carolina Power & Light Company, Central Hudson Gas & Electric Corp., Central Illinois Public Service Company, CINergy Corporation, Coalition for a Competitive Electric Market, Colorado Springs Utilities, Commonwealth Edison Company, Consolidated Edison Company, Consumers Power Company, Continental Power Exchange, CSW Companies, Dayton Power and Light Company, Detroit Edison Company, Duke Power Company, Edison Electric Institute, El Paso Electric Company, Electric Generation Association, Electric Reliability Council of Texas (ERCOT), Entergy Services, Inc., Florida Electric Power Coordinating Group, Florida Power Corporation, Florida PSC, Fuel Managers Association, "How" Industry Working Group (EPRI), Idaho Power Company, and Indiana Utility Regulatory Commission.

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37 Indianapolis Power & Light Company (Indianapolis P&L)  
38 Klein, Stanley A. (Klein)  
39 Long Island Lighting Company (LILCO)  
40 Madison Gas and Electric Company (Madison G&E)

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41 Maine Public Service Company (Maine Public Service)  
42 MidAmerican Energy Company (MidAmerican)  
43 Mid-Continent Area Power Pool (MAPP)  
44 Minnesota Power & Light Company (Minnesota P&L)  
45 Missouri Public Service Commission (MO & AK Com's)  
46 Montana Power Company (Montana Power)  
47 National Association of  
Regulatory Utility Commissioners (NARUC)  
48 National Independent Energy Producers (NIEP)  
49 National Rural Electric  
Cooperative Association (NRECA)  
50 Nebraska Public Power District (NE Public  
Power District)  
51 New England Power Pool (NEPOOL)  
52 New York Mercantile Exchange (NYMEX)  
53 New York Power Pool (NYPP)  
54 New York State Electric & Gas Corp. (NYSEG)  
55 New York State PSC (NY Com)  
56 NorAm Energy Services, Inc. (NorAm)  
57 North American Electric  
Reliability Council (NERC)  
58 North Carolina Electric  
Membership Corp. (NCEMC)  
59 Northeast Texas Electric  
Cooperative, Inc. (NTEC)  
60 Northeast Utilities (NU)  
61 Northern States Power Companies (NSP)  
62 Nucor Corporation (Nucor)  
63 Oak Ridge National Lab, Energy Division (Oak Ridge)  
64 Ohio Edison Company (Ohio Edison)  
65 Ohio PUC (Ohio Com)  
66 Oklahoma Corporation Commission (OK Com)  
67 Oklahoma Gas & Electric (Oklahoma G&E)  
68 Omaha Public Power District (Omaha PPD)  
69 Ontario Hydro (Ontario Hydro)  
70 Orange and Rockland Utilities, Inc. (Orange & Rockland)  
71 Oregon Trail Electric  
Consumers Cooperative (Oregon EC)  
72 Otter Tail Power Company (Otter Tail)  
73 Pacific Gas and Electric Company (PG&E)  
74 PacifiCorp (PacifiCorp)  
75 Pennsylvania - New Jersey - Maryland



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	Power Pool	(PJM)
76	Pennsylvania Public Utility Commission	(PA Com)
77	Public Generating Pool	(Public Generating Pool)
78	Public Service Company of New Mexico	(PSNM)
79	Sacramento Municipal Utility District	(SMUD)
80	Salt River Project	(Salt River)
81	San Diego Gas & Electric Company	(San Diego G&E)
82	Seattle City Light	(Seattle)
83	Services-Oriented Open Network Technologies, Inc.	(SONETECH)
84	Sierra Pacific Power Company	(Sierra)
85	South Carolina Electric & Gas Company	(SCE&G)
86	South Carolina Public Service Authority	(SC Public Service Authority)
87	Southern California Edison Company	(SoCal Edison)
88	Southern Company Services, Inc.	(Southern)
89	Southwest Transmission Dependent Utility Group	(Southwest TDU Group)
90	Southwestern Public Service Company	(Southwestern)
91	Sunflower Electric Power Cooperative	(Sunflower)
92	City of Tallahassee, FL	(Tallahassee)
93	Tampa Electric Company	(Tampa)
94	Tennessee Valley Authority	(TVA)
95	Texas Utilities Electric Company	(Texas Utilities)
96	Transmission Access Policy Study Group	(TAPS)
97	Tucson Power Electric Power Company	(Tucson Power)
98	Union Electric Company	(Union Electric)
99	United Illuminating Company	(United Illuminating)
100	U.S. Department of Energy, Office of Energy Research	(DOE)
101	UTC, The Telecommunications Association	(UTC)
102	Virginia Electric and Power Company	(VEPCO)
103	Western Group	(Western
Group)		
104	Wisconsin Power & Light	(WP&L)

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**ATTACHMENT H  
FERC ORDER 889  
Appendix A  
Data Dictionary**

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[NOTE: This appendix will not appear in the Code of Federal Regulations.]

**Appendix A**  
**Data Element Dictionary**

**April 24, 1996**

**Version 1.0**



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<b>Data Dictionary Element Name</b>	<b>Description</b>	<b>Field Format : minimum characters {type of ASCII} maximum characters</b>	<b>Units or Type</b>	<b>Restricted Values</b>	<b>Definition of Data Element</b>
ANCILLARY_SERVICES_CATEGORY (alias ANC_SERV_CAT)	Category of ancillary services (to be defined)	1{ALPHANUMERIC}20	Text	Free-form text	A reference to ancillary service categorized defined by the Provider
ANCILLARY_SERVICES_PROVIDER (alias ANC_SERV_PROVIDER)	Provider of ancillary services	1{ALPHANUMERIC}25	Name	Unique value	Name of a provider of ancillary services
ANCILLARY_SERVICES_REQUIREMENTS (alias ANC_SERV_REQ)	Requirements for Ancillary Services	1{ALPHANUMERIC} 50	Text	Free-form text	Requirements for Ancillary Services
ANCILLARY_SERVICES_TYPE (alias (ANC_SERV_TYPE)	Type of ancillary services (to be defined)	1{ALPHANUMERIC}14	Text	Free-form text	A reference to the ancillary service types defined by the Provider. This provides a sub-category for ANCILLARY_SERVICE_CATEGORY
ASSIGNABILITY	Assignability	2{ALPHA}3	Boolean	YES or NO	Identifies whether service is assignable or not.
ASSIGNMENT_REF (ALIAS ASSIGN_REF)	Reference for Assignment of ATC Rights	1{ALPHANUMERIC}12	Text	Unique value	A unique reference number assigned by a Transmission Information Provider to provide a unique record for each transmission service request.
BEGDATETZ (alias BEGDZ)	Beginning Date and Time	16 alphanumeric characters: yyyy+mo+dd+hh+mm+ss+tz	Time	Valid date and time	Beginning Date, time, and time zone. Military time is used. Example: 19960212145530PS
CAPACITY (alias CAP,ATC)	Available Transmission Capacity or Available Transfer Capability	1{NUMERIC}12	MW	Positive number	Transfer capability is the measure of the ability of the interconnected electric systems to reliably move or transfer power from one area to another over all transmission lines (or paths) between those areas under specified system conditions. In this context, 'area' may be an individual electric system, power pool, control area, subregion, or NERC region, or portion thereof.
CAPACITY_TYPE (alias CAP_TYPE,ATC_TYPE)	Type of Capacity	1{ALPHANUMERIC}14	Text	The value is selected from the _TYPE element described by the Provider in his Services_Transmission	The type of capacity being referenced. <i>Examples include Firm, Non-Firm; Firm-On-Peak, Firm-Off-Peak, Non-Firm-On-Peak, Non-Firm-Off-Peak;</i>



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COLUMN_HEADERS (alias HEADERS)	Column headers for data	1{ALPHANUMERIC}Unlimited	Text	Headers surrounded with " and seperated by commas	Example: "PATH_NAME", "POR", "POD", "SOURCE", "SINK"
COMMENTS	Comments	1{ALPHANUMERIC} 50	Text	Free-form text	Informative text.
COMPANY	Company of a Primary Provider, Secondary Provider, or Customer	1{ALPHANUMERIC}25	Name	Valid name of a Company	The name of a Company who has services for resell.
CONTACT	Contact name	1{ALPHANUMERIC}25	Name	Valid name of a person	The name of an individual contact.
CURTAILMENT_RESUMPTION (alias CURT_RESUMP)	Curtailement Resumption	1{NUMERIC}12	Priority number	Positive number	Priority in which service is resumed.
CURTAILMENT_MINIMUM_NOTICE (alias CURT_MIN_NOTICE)	Curtailement Minimum Notice	1{ALPHANUMERIC}16	Time in Hours	Positive number	Minimum time to provide notice of curtailement of service.
CURTAILMENT_PRIORITY (alias CP)	Curtailement Priority	1{NUMERIC}3	Priority number	Positive number	The order in which the schedules will be curtailed.
CURTAILMENT_QUEUE_ORDER (alias CURT_QUE_ORDER)	Curtailement Queue Order	1{NUMERIC}3	Queue number	Positive number	Priority in which curtailement of service occurs.
CURTAILMENT_REASON (alias CURT_REASON)	Curtailement Reasons	1{ALPHANUMERIC}25	Text	Free-form text	Reason for curtailement of service.
CUSTOMER	Name of Requester and Customer Identifier (authorization password or identifier code, which at least is non-displayable and should be encrypted)	1{ALPHANUMERIC}25	Name	Unique value	Any eligible company (or its designated agent) that is authorized to view OASIS information, to execute a service agreement, and/or to receive transmission service.
CUSTOMER_CODE (alias CUST_CODE)	Transmission Customer Code	1{NUMERIC}12	DUNS number	Unique number	Unique DUNS number for each Customer (if available)
CUSTOMER_PAYMENT (alias CUST_PAYMENT)	Customer Payment	1{ALPHANUMERIC}20	Text	Free-form text	Customer payment.
CUSTOMER_REQUIREMENT (alias CUST_REQUIREMENTS)	Customer Requirements	1{ALPHANUMERIC}20	Text	Free-form text	Customer requirements.
DATA_RECORDS	Data included in a file	1{APLPHANUMERIC}	Text or	Free-form text	Data included in a file



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		unlimited	numbers	or numbers	
DATETIMEZ (alias DTZ)	Date and Time Stamp	16 alphanumeric characters: yyyy+mo+dd+hh+mm+ss+tz	Time	Valid date and time	Date and Time Stamp of the information being presented to the Customer
DAY	Day	Query Variable	Numeric	The day is represented as an integer from 1 to 31. For some months, the maximum value may be less.	This specifies the day of the month from which the data is requested. DAY refers to a single day, while DAY-START and DAY-END refer to a range of days.
DAY-END, (alias EDAY)	Last day to show data	Query Variable	Numeric	The day is represented as an integer from 1 to 31. For some months, the maximum value may be less.	This specifies the day of the month from which the data is requested. DAY refers to a single day, while DAY-START and DAY-END refer to a range of days.
DAY-START, (alias SDAY)	First day to show data	Query Variable	Numeric	The day is represented as an integer from 1 to 31. For some months, the maximum value may be less.	This specifies the day of the month from which the data is requested. DAY refers to a single day, while DAY-START and DAY-END refer to a range of days.
dd	Days in date and time fields	2{NUMERIC}2	Time	Range of 0 to 31, validated against month	A numeric value represent the day in the month
DEAL_REFERENCE (alias DEALREF)	Deal Reference	1{ALPHANUMERIC}12	Text	Unique value	The unique reference assigned by a Customer to two or more SERVICE_PURCHASES to identify each of them as related to others in the same power service deal. These requests may be related to each



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					other in time sequence through a single Provider, or as a series of wheels through multiple Providers, or a combination of both time and wheels. The Customer uses the DEAL_REFERENCE to uniquely identify a combination of requests relating to a particular deal.
DISCOUNT	Discount	0{ALPHANUMERIC}20	Text	Free-form text	A description of any discount that applies.
DISCOUNT_PERCENT	Discount Percentage	0{NUMERIC}6	Percentage	Between 0 and 100	The percentage of any discount that applies.
DTMMTZ	Date and Time to minutes with time zone	14 alphanumeric characters: yyyy+mo+dd+hh+mm+tz	Time	Valid date and time	Date and time to the minute resolution and time zone. This specifies the time when the Capacity is available.
DTTZTS_EXPIRES	Date and time of expiration	14 alphanumeric characters: yyyy+mo+dd+hh+mm+tz	Time	Valid date and time	Represents when a Want Ad message expires (i.e., is removed from data storage).Date, time, and time zone. Military time is used. Example: 19960212145530PS
DTTZTS_POSTED	Date and time posted, oriented to computers	14 alphanumeric characters: yyyy+mo+dd+hh+mm+tz	Time	Valid date and time	Represents when a Want Ad message was posted. Date, time, and time zone oriented to computer interpretation. Military time is used. Example: 19960212145530PS
DTTZTS_QUEUED	Date and time entered into queue	16 alphanumeric characters: yyyy+mo+dd+hh+mm+ss+tz	Time	Valid date and time	Represents when a Customer Request or a Want Ad message was queued for processing. Date, time, and time zone oriented to computer interpretation. Military time is used. Example: 19960212145530PS
E-MAIL (aliad EMAIL)	E-mail address	5{ALPHANUMERIC}60	E-mail address	Valid network reference	E-MAIL address
ENDDATETZ (alias ENDDTZ)	Ending Date and Time	16 alphanumeric characters: yyyy+mo+dd+hh+mm+ss+tz	Time	Valid date and time	Ending Date, time, and time zone. Military time is used. Example: 19960212145530PS
FAX	Fax number	10{NUMERIC}10	Telephone number	Area code and telephone number	A telephone number for a fax machine.
hh	Hour in date and time	2{NUMERIC}2	Time	Range of 0 to	A numeric value represent the hour of the day with



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	fields			25	a range of 0 to 25. The value of 25 is necessary for observance of daylight savings time.
HOURL	Hour	Query Variable	Numeric	An integer value between 1 and 25 representing "hour-ending" time. Hour 1 refers to the time between 00:01 to 01:00. Hour 25 refers to the extra hour added when daylight savings time changes in the fall. Default is all hours of the day.	This specifies the hour of the day or range of hours in the day for each hour data is requested. HOURL refers to a single hour, while HOURL-START and HOURL-END refer to a range of hours
HOURL-END, (alias EHR)	Hour	Query Variable	Numeric	An integer value between 1 and 25 representing "hour-ending" time.	This specifies the hour of the day or range of hours in the day for each hour data is requested. HOURL refers to a single hour, while HOURL-START and HOURL-END refer to a range of hours
HOURL-START, (alias SHR)	Hour	Query Variable	Numeric	An integer value between 1 and 25 representing "hour-ending" time.	This specifies the hour of the day or range of hours in the day for each hour data is requested. HOURL refers to a single hour, while HOURL-START and HOURL-END refer to a range of hours
INCREASE_OBLIGATION (alias INC_OBLIG)	Increase Obligation	1{ALPHANUMERIC}12	Text	Free-form text	Increase obligation.
INTERFACE_TYPE (alias IT)	Internal or External interface to an area	1{ALPHA}1	Text	E = external I = internal	The value is either the character 'I' for Internal (Intra-control area-to-control area) or the character



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				O = other	'E' for External (Inter-control area-to-control area) or the character 'O' for Other.
KEYWORD	Keyword	0{ALPHANUMERIC}16	Text	Free-form text	A descriptive word for identification. Typically such that it would be specified for search for information.
mm	Minutes in date and time fields	2{NUMERIC}2	Time	Range of 0 to 59	A numeric value represent the minutes of the hour
mo	Month in date and time fields	2{NUMERIC}2	Time	Range of 1 to 12	A numeric value represent the month of the year
MONTH, (alias MON)	Month	Query Variable	Numeric	Month is specified as a numeric value between 1 and 12.	This specifies which month of data is requested. Normally, the date is further qualified by day (except when monthly data is requested. MONTH refers to a single month. MONTH-START and MONTH-END specify a range
MONTH-END, (alias EMON)	Last month to show data	Query Variable	Numeric	Month is specified as a numeric value between 1 and 12.	This specifies which month of data is requested. Normally, the date is further qualified by day (except when monthly data is requested. MONTH refers to a single month. MONTH-START and MONTH-END specify a range
MONTH-START, (alias SMON)	First month to show data	Query Variable	Numeric	Month is specified as a numeric value between 1 and 12.	This specifies which month of data is requested. Normally, the date is further qualified by day (except when monthly data is requested. MONTH refers to a single month. MONTH-START and MONTH-END specify a range
NO_OF_ROWS	Number of rows of data in a file	1{NUMERIC}4	Number	Range of 1 to 9999	Number of rows of data in a file
NO_PREV_ASSIGN_REF (alias NO_PAREF)	Number of previous assignment references	1{NUMERIC}4	Number	Range of 1 to 9999	The number of previous sales of transmission services that have been aggregated to form a new sale of a portion of those services.
OUTPUT_FORMAT (alias FMT)	Output Format	4{ALPHANUMERIC}4	Text	Values of: HTML, DATA,	Defines the format of the response. The information returned is used for either a Graphical User Interface (GUI) or as a File processed by a computer.
PATH_NAME (alias PATH)	Path name	5{ALPHANUMERIC}50	Name	Unique value	The unique name assigned to a single transmission line or the set of one or more parallel transmission lines whose power transfer capabilities are strongly



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Data Dictionary Element Name	Description	Field Format : minimum characters {type of ASCII} maximum characters	Units or Type	Restricted Values	Definition of Data Element
					<p>interrelated and must be determined in aggregate. These lines are typically described as being on a path, corridor or interconnection in some regions, or as crossing an interface or cut-plane in other regions. Multiple lines may be owned by different parties and require prorating of capability shares. The name is constructed from the following fields, with each code separated by a "/":</p> <p>REGION_CODE - 2 chars, unique to OASIS System            OWNER_CODE - 4 chars, unique within Region            PATH_CODE - 12 chars, unique for Owner            OPTIONAL_CODE - 25 chars, unique for Path. If used for directionality, then the first 12 characters shall represent POR, followed by '-', followed by 12 characters which shall represent POD            SPARE_CODE - 3 chars</p>
PHONE	Phone number	10{NUMERIC}10	Telephone number	Area code and telephone number	A telephone number.
POINT_OF_DELIVERY (alias POD)	Point of Delivery	1{ALPHANUMERIC}12	Name	Unique value	Point of Delivery is the point of interconnection on the Transmission Provider's transmission system where capacity and/or energy transmitted by the Transmission Provider will be made available to the Receiving Party. This is used along with Point of Receipt to define a Path and direction of flow on that path. For internal paths, this would be a specific location in the area. For an external path, this may be an area-to-area interface.
POINT_OF_RECEIPT (alias POR)	Point of Receipt	1{ALPHANUMERIC}12	Name	Unique value	Point of Receipt is the point of interconnection on the Transmission Provider's transmission system where capacity and/or energy transmitted will be made available to the Transmission Provider by the Delivering Party. This is used along with Point of



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					Delivery to define a Path and direction of flow on that path. For internal paths, this would be a specific location in the area. For an external path, this may be an area-to-area interface.
PREV_ASSIGN_REF	Reference for Previous Assignment of ATC Rights	1{ALPHANUMERIC}12	Text	Unique value	A reference to a previous reassignment of rights, uniquely assigned by a Provider.
PRICE	Price	1{NUMERIC}5 + '.' + 2{NUMERIC}2	Dollars and cents	Positive number with 2 decimals	The offering price of the Transmission Service in dollars
PRICE_UNITS	Units for PRICE	5(ALPHA)6	Name	MW-HR, MW-DAY, KW-WK, KW-MO, KW-YR	The units used for PRICE. MW-Megawatts, KW-Kilowatts, HR-Hour, WK-Week, YR-Year
PRIMARY_PROVIDER (alias PPROVIDER)	Primary Provider	1{ALPHANUMERIC}25	Name	Unique value	Name of an Owner of transmission services
PROVIDER	Primary or Secondary Provider	1{ALPHANUMERIC}25	Name	Unique value	Name of PRIMARY_PROVIDER or SECONDARY_PROVIDER
PROVIDER_CODE	Provider DUNS number	1{NUMERIC}12	DUNS number	Valid DUNS number	Unique code for each Primary and Secondary Provider.
PROVIDER_OPTIONS	Provider Options	1{ALPHANUMERIC}50	Text	Free-form text	Represents options offered by the Provider.
RATE_INFORMATION	Rate information related to transmission services	1{ALPHANUMERIC}50	Text	Free-form text	Rate information related to transmission services
REASSIGNED_BEGDATETZ	Beginning Date and Time	16 alphanumeric characters: yyyy+mo+dd+hh+mm+ss +tz	Time	Valid date and time	Date and time of the beginning of the transmission service that is reassigned to another customer.
REASSIGNED_CAPACITY (alias REASIGN_CAP)	Transmission Capacity or Transfer Capability that is being reassigned to another customer	1{NUMERIC}12	MW	Positive number, cannot exceed previous purchase	Transfer capability is the measure of the ability of the interconnected electric systems to reliably move or transfer power from one area to another over all transmission lines (or paths) between those areas under specified system conditions. In this context, 'area' may be an individual electric system, power pool, control area, subregion, or NERC region, or portion thereof.



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<b>Data Dictionary Element Name</b>	<b>Description</b>	<b>Field Format : minimum characters {type of ASCII} maximum characters</b>	<b>Units or Type</b>	<b>Restricted Values</b>	<b>Definition of Data Element</b>
REASSIGNED_ENDDATEZ	End Date and Time	16 alphanumeric characters: yyyy+mo+dd+hh+mm+ss+tz	Time	Valid date and time	Date and time of the end of the transmission service that is reassigned to another customer.
REASSIGNED_STATUS	Status	4{ALPHABETIC}25	Text	Valid field	Valid entries include: Posted, Received, Accepted by Seller, Accepted by Customer, Withdrawn, Rejected
RECALLABLE_MINIMUM_NOTICE (alias REC_MIN_NOTICE)	Recallable Minimum Notice	1{ALPHANUMERIC}16	Text	Free-form text	Description by the Provider regarding time to notify that a service will be recalled.
RECALLABLE_QUEUE_ORDER (alias REC_QUEUE_ORDER)	Recallable Queue Order	1{ALPHANUMERIC}16	Text	Free-form text	Description by the Provider of the relative position of a services request to others of a similar type.
RECALLABLE_REASON (alias REC_REASON)	Recallable Reasons	1{ALPHANUMERIC}16	Text	Free-form text	Description by the Provider regarding conditions for services being recalled.
RECALLABLE_RESUMPTION (alias REC_RESUMP)	Recallable Resumption	1{ALPHANUMERIC}16	Text	Free-form text	Description by the Provider regarding resumption of services.
REGION	Name of Region	1{ALPHANUMERIC}12	Text	Unique within OASIS System	Unique name for each area within the OASIS
REGION_CODE	Code for Region	1{ALPHANUMERIC}2	Code	Unique within OASIS System	Unique Defined for NERC regions, with the following defined: E - ECAR I - MAIN S - SERC T - ERCOT A - MAPP P - SPP M - MAAC N - NPCC W - WSCC
RELATIVE_DAY, (alias RDAY)	Day relative to today	Query Variable	Numeric	Number greater than or equal to zero	This represents a value for DAY which is relative to TODAY. TODAY is represented as relative day 0. Days in the future are represented as positive values and days in the past are represented as negative values. TOMORROW is always relative day 1, while



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<b>Data Dictionary Element Name</b>	<b>Description</b>	<b>Field Format : minimum characters {type of ASCII} maximum characters</b>	<b>Units or Type</b>	<b>Restricted Values</b>	<b>Definition of Data Element</b>
					YESTERDAY is always relative day -1. This variable is used when only a single day needs to be specified. For a range of days, use the RELATIVE_DAY_START and RELATIVE_DAY_END. If RELATIVE_DAY is specified, then DAY, DAY_START, and DAY_END, ELATIVE_DAY_START and RELATIVE_DAY_END must not be specified.
RELATIVE_DAY_END, (alias ERDAY)	Day relative to today for end	Query Variable	Numeric	Number greater than or equal to zero	See above
RELATIVE_DAY_START, (alias SRDAY)	Day relative to today for start	Query Variable	Numeric	Number greater than or equal to zero	See above
REQUEST_REF	Customer Request Identifier	1{ALPHANUMERIC}12	Text	Unique value	A reference uniquely assigned by a Customer to a request for service from a Provider.
REQUEST_STATUS	Status of a response to a request	1{NUMERIC}3+ALPHA	Status	Error number+!Successful/Unsuccessful	Example: 200 !Successful
SELLER_COMPANY (alias SECONDARY_PROVIDER_COMPANY, S_COMPANY)	Company of a Secondary Provider	1{ALPHANUMERIC}25	Name	Valid name of a Customer	The name of a Customer who has services for resell.
SELLER_EMAIL (alias (S_EMAIL)	Secondary Provider E-mail address	5{ALPHANUMERIC}60	E-mail address	Valid network reference	E-Mail address
SELLER_FAX (alias SECONDARY_PROVIDER_FAX), S_FAX	Secondary Provider Fax	10{NUMERIC}10	Telephone number	Area code and telephone number	The telephone number for SECONDARY_PROVIDER fax machine.
SELLER_NAME (alias SECONDARY_PROVIDER_NAME, S_NAME)	Secondary Provider Name	1{ALPHANUMERIC}12	Name	Valid name	The name of an individual working for a Secondary Provider Company.
SELLER_PHONE (alias SECONDARY_PROVIDER_PHONE	Secondary Provider Phone	Numeric 10{NUMERIC}10	Telephone	Area code and telephone number	The telephone number for SECONDARY_PROVIDER_NAME



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<b>Data Dictionary Element Name</b>	<b>Description</b>	<b>Field Format : minimum characters {type of ASCII} maximum characters</b>	<b>Units or Type</b>	<b>Restricted Values</b>	<b>Definition of Data Element</b>
, S_PHONE)					
SERVICE_CATEGORY (alias SERVICE_CAT)	Service Category	1{ALPHANUMERIC}20	Text	Free-form text	A reference to the various service categories defined by the Provider.
SERVICE_DESCRIPTION	Description of Services	1{ALPHANUMERIC} Unlimited	Text	Free-form text	Information text.
SERVICE_TIMING_MAXIMUM_D URATION (alias SVC_MAX_DUR)	Service Timing Maximum Duration	1{NUMERIC}10	Hours	Positive number	Maximum amount of time for service.
SERVICE_TIMING_MINIMUM_DU RATION (alias SVC_MIN_DUR)	Service Timing Minimum Duration	1{NUMERIC}10	Hours	Positive number	Minimum amount of time for service.
SERVICE_TYPE	Service Type	1{ALPHANUMERIC}14	Text	Free-form text	A reference to the various service types defined by the Provider. This provides for a sub-category for SERVICE_CATEGORY.
SINK	Sink	0{ALPHANUMERIC}14	Name	Valid area name	The area in which the SINK is located.
SOURCE	Source	0{ALPHANUMERIC}14	Name	Valid area name	The area in which the SOURCE is located.
ss	Seconds in date and time fields	2{NUMERIC}2	Time	Range of 0 to 59	A numeric value represent the seconds in the minute
STATUS	Status = Pending, Posted, Received, Accepted by Customer, Accepted by Seller, Confirmed for Scheduling, None, Withdrawn, or Rejected	4{ALPHABETIC}25	Text	Valid field	Valid entries include: POSTED PENDING RECEIVED ACCEPTED BY CUSTOMER ACCEPTED BY SELLER CONFIRMED WITHDRAWN REJECTED NONE
SUBJECT	Subject	1{ALPANUMERIC}64	Text	Free-form text	A short descriptive phrase for summarizing information text.
TARIFF_REFERENCE	Reference to tariff	1{ALPANUMERIC}20	Text	Valid text	Valid reference to a tariff
TEMPLATE	Name of the Template:	Query Variable	Variable	Name of Template	This specifies which Template from which the data is returned. The following list are the names and valid values of the Templates.



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TEMPLATE01		Query Parameter	Name	sumpathhouratc	Summary Path Hourly ATC
TEMPLATE02		Query Parameter	Name	sumpatdayatc	Summary Path Daily ATC
TEMPLATE03		Query Parameter	Name	sumpathmonthatc	Summary Path Monthly ATC
TEMPLATE04		Query Parameter	Name	sumpathyearatc	Summary Path Yearly ATC (optional)
TEMPLATE05		Query Parameter	Name	houratc	Hourly Capacity Available for Purchase
TEMPLATE06		Query Parameter	Name	dayatc	Daily Capacity Available for Purchase
TEMPLATE07		Query Parameter	Name	monthatc	Monthly Capacity Available for Purchase
TEMPLATE08		Query Parameter	Name	yearatc	Yearly Capacity Available for Purchase (optional)
TEMPLATE09		Query Parameter	Name	scheduledatc	Hourly Schedule
TEMPLATE10		Query Parameter	Name	secondatcpost	Secondary Provider Capacity Posting (Input)
TEMPLATE11		Query Parameter	Name	secondatcremove	Secondary Provider (Reseller ) Capacity Remove (Input)
TEMPLATE12		Query Parameter	Name	servavail	Ancillary Services Available for Purchase
TEMPLATE13		Query Parameter	Name	servtrans	Services Transmission
TEMPLATE14		Query Parameter	Name	atcrequest	Customer Capacity Purchase Request (Input)
TEMPLATE15		Query Parameter	Name	atcacknowledge	TSIP Posting of "Acknowledge Receipt" of Request
TEMPLATE16		Query Parameter	Name	atcstatus	Provider Capacity Purchase Status Response to Customer Request
TEMPLATE17		Query Parameter	Name	atcaccept	Customer's Purchase Acknowledge Acceptance (Input)
TEMPLATE18		Query Parameter	Name	sellerack	Seller Form to Acknowledge Capacity Purchase Status (Input)
TEMPLATE19		Query Parameter	Name	sellerreassign	Seller Form to Reassign Service Rights to Another Customer (Input)
TEMPLATE20		Query Parameter	Name	wantadpost	Provider/Customer Want-Ad Posting Request (Input)
TEMPLATE21		Query Parameter	Name	wantadlisting	TSIP Posting of Want-Ad Response
TERMS_AND_CONDITIONS (alias TERM_COND)	Terms and Conditions	0{ALPHANUMERIC} Unlimited	Text	Free-form text	Short descriptions of terms and conditions.
TIME_OF_LAST_UPDATE	Date and Time	16 alphanumeric characters:	Time	Valid date and time	Date and time data was last updated on OASIS Node



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<b>Data Dictionary Element Name</b>	<b>Description</b>	<b>Field Format : minimum characters {type of ASCII} maximum characters</b>	<b>Units or Type</b>	<b>Restricted Values</b>	<b>Definition of Data Element</b>
		yyyy+mo+dd+hh+mm+ss+tz			Example: 19960212145530PS
TOTAL_TRANSMISSION_CAPACITY (alias TTC)	Total Transmission Capacity	1{NUMERIC}12	Megawatt hours	Positive number	Total capacity of a Path
tz	Time zone in date and time fields	2{ALPHA}2	Time	Valid text	An alphanumeric value represent the time zone, which can take the following values: ES, ED, CS, CD, MS, MD, PS, or PD
UNITS	Units	1{ALPNUMERIC}12	Units	Valid units	Description of type of entity being referenced
VERSION (alias VER)	Version	1{REAL NUMBER}6	Number	Range of 1.0 to 9999.9	Specifies which version of the OASIS Requirements specification to use when interpreting the request
WANT_AD	Want-Ad message	1{ALPHANUMERIC} Unlimited	Text	Free-form text	Information text.
YEAR	Year	4{NUMERIC}4	Time	Range of 1 to 12	A numeric value represent the year
YEAR-END, (alias EYR)	Last year to show data for	Query Variable	Numeric	Valid year	YEAR-START and YEAR-END specify a range of years.
YEAR-START, ( alias SYR)	First year to show data for	Query Variable	Numeric	Valid year	YEAR-START and YEAR-END specify a range of years.
yyyy	Year in date and time fields	4{NUMERIC}4	Time	Range of 1 to 12	A numeric value represent the year



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**ATTACHMENT I  
FERC Order 889  
Appendix B  
Request (Query) Variables**

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[NOTE: This appendix will not appear in the Code of Federal Regulations.]

**Appendix B  
Request (Query) Variables**

**April 24, 1996  
Version 1.0**



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**PHASE 1 OASIS Requirements, Template-specific Query Variables**

Each query of the OASIS node requests data from a specific OASIS Template in the Information Model. The user specifies which OASIS Template from which to obtain data based on a "template" query variable. The query variables allowed in a request depends upon which "template" is being requested.

For each template a description of the data request is documented. Each query variable allowed for the template is listed afterwards. At the end of each template, there may be "Discussion Issues" related to the template.



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### Summary Path Hourly ATC Template

This request returns the ATC and for transmission products (e.g. firm and non-firm transmission) by each provider of a given path for each hour on a given day.

#### ***Variables***

TEMPLATE=sumpathhouratc

OUTPUT\_FORMAT  
VERSION

PATH-NAME  
POR  
POD

YEAR	(or YEAR-START and YEAR-END)
MONTH	(or MONTH-START and MONTH-END)
DAY	(or DAY-START and DAY-END)
RELDAY	(or RELDAY-START and RELDAY-END)
HOUR	(or HOUR-START and HOUR-END)
TZ	



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**Summary Path Daily ATC Template**

Response contains on and off-peak firm and non-firm ATC and price by each provider of a given path for a given range of days.

***Variables***

TEMPLATE=sumpathdayatc

OUTPUT\_FORMAT  
VERSION

PATH-NAME  
POR  
POD

YEAR (or YEAR-START and YEAR-END)  
MONTH (or MONTH-START and MONTH-END)  
DAY (or DAY-START and DAY-END)  
RELDAY (or RELDAY-START and RELDAY-END)



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### Summary Path Monthly ATC

Response contains on and off-peak firm and non-firm ATC and price by each provider for a given path for a given range of months.

#### ***Variables***

TEMPLATE=sumpathmonthatc

OUTPUT\_FORMAT  
VERSION

PATH-NAME  
POR  
POD

YEAR (or YEAR-START and YEAR-END)  
MONTH (or MONTH-START and MONTH-END)



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**Summary Path Yearly ATC Template**

Response contains on and off-peak firm and non-firm ATC and price by each provider for a given path for a given range of years.

***Variables***

TEMPLATE=sumpathyearatc

OUTPUT\_FORMAT  
VERSION

PATH-1  
POR-1  
POD-1

YEAR (or YEAR-START and YEAR-END)



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### Hourly Capacity Available for Purchase Template

Response contains firm and non-firm ATC and price for a given provider for one or more paths for each hour on a given day.

#### **Variables**

TEMPLATE=houratc

OUTPUT\_FORMAT  
VERSION

PROVIDER            must be specified

PATH-NAME          (PATH or PATH1 or PATH2, etc )  
POR                    (or POR1 or POR2, etc )  
POD                    (or POD1 or POD2, etc )

YEAR                 (or YEAR-START and YEAR-END)  
MONTH                (or MONTH-START and MONTH-END)  
DAY                    (or DAY-START and DAY-END)  
RELDAY               (or RELDAY-START and RELDAY-END)  
HOUR                  (or HOUR-START and HOUR-END)  
TZ



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**Daily Capacity Available for Purchase Template**

Response contains on and off-peak firm and non-firm ATC and price for a given provider for one or more paths for a given range of days.

***Variables***

TEMPLATE=dayatc

OUTPUT\_FORMAT  
VERSION

PROVIDER                    must be specified

PATH-NAME                (PATH or PATH1 or PATH2, etc )  
POR                        (or POR1 or POR2, etc )  
POD                        (or POD1 or POD2, etc )

YEAR                      (or YEAR-START and YEAR-END)  
MONTH                     (or MONTH-START and MONTH-END)  
DAY                        (or DAY-START and DAY-END)  
RELDAY                    (or RELDAY-START and RELDAY-END)



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**Monthly Capacity Available for Purchase Template**

Response contains on and off-peak firm and non-firm ATC and price for a given provider for one or more paths for a given range of months.

***Variables***

TEMPLATE=monthatc

OUTPUT\_FORMAT  
VERSION

PROVIDER                    must be specified

PATH-NAME                (PATH or PATH1 or PATH2, etc )  
POR                        (or POR1 or POR2, etc )  
POD                        (or POD1 or POD2, etc )

YEAR                      (or YEAR-START and YEAR-END)  
MONTH                     (or MONTH-START and MONTH-END)







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**Secondary Provider Capacity Posting (Input)**

Input contains information to post ATC for sale by a secondary provider.

**Variables**

TEMPLATE=secondatcpost

VERSION

YEAR (or YEAR-START and YEAR-END)  
MONTH (or MONTH-START and MONTH-END)  
DAY (or DAY-START and DAY-END)  
RELDAY (or RELDAY-START and RELDAY-END)  
HOUR (or HOUR-START and HOUR-END)  
TZ

POR  
POD  
PATH  
PROVIDER  
CAPACITY  
CAPACITY\_TYPE  
INTERFACE\_TYPE  
REQUEST\_REF  
PRICE  
UNITS  
TERMS\_AND\_CONDITIONS  
COMMENTS  
SELLER\_NAME  
SELLER\_COMPANY  
SELLER\_PHONE  
SELLER\_FAX  
SELLER\_EMAIL  
PREV\_ASSIGN\_REF  
REASSIGNED\_CAPACITY  
BEGDATETZ  
ENDDATETZ  
COMMENTS



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**Secondary Provider (Reseller) Capacity Remove (Input)**

Input contains information about a previously posted ATC for sale by a secondary provider.

***Variables***

TEMPLATE=secondatcremove

VERSION

YEAR (or YEAR-START and YEAR-END)  
MONTH (or MONTH-START and MONTH-END)  
DAY (or DAY-START and DAY-END)  
RELDAY (or RELDAY-START and RELDAY-END)  
HOUR (or HOUR-START and HOUR-END)  
TZ

PROVIDER  
POR  
POD  
PATH  
CAPACITY  
CAPACITY\_TYPE  
INTERFACE\_TYPE  
REQUEST\_REF  
PRICE  
UNITS  
TERMS\_AND\_CONDITIONS  
COMMENTS  
SELLER\_NAME  
SELLER\_COMPANY  
SELLER\_PHONE  
SELLER\_FAX  
SELLER\_EMAIL



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**Ancillary Services Available for Purchase**

Response contains a list of ancillary services provided by a given Service Provider.

***Variables***

TEMPLATE=servavail

OUTPUT\_FORMAT  
VERSION

PROVIDER



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**Services Transmission**

Response contains Transmission services tariff information about each service by the given provider.

***Variables***

TEMPLATE=servtrans

OUTPUT\_FORMAT  
VERSION

PROVIDER



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**Customer Capacity Purchase Request (Input)**

Input contains information necessary to purchase transmission capacity of a specific type (firm or non-firm) at a specific time.

***Variables***

TEMPLATE=atcrequest

OUTPUT\_FORMAT  
VERSION

POR  
POD  
PATH  
CAPACITY  
CAPACITY\_TYPE  
YEAR (or YEAR-START and YEAR-END)  
MONTH (or MONTH-START and MONTH-END)  
DAY (or DAY-START and DAY-END)  
RELDAY (or RELDAY-START and RELDAY-END)  
HOUR (or HOUR-START and HOUR-END)  
TZ  
PRICE  
CUSTOMER  
DISCOUNT  
DEAL\_REF  
ANCILLARY\_SERVICES\_REQUIREMENTS  
INTERFACE\_TYPE  
COMMENTS



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**TSIP Posting of "Acknowledge Receipt" of Request**

Response contains the customer capacity purchase information.

***Variables***

TEMPLATE=atcacknowledge

OUTPUT\_FORMAT  
VERSION



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### **Provider Capacity Purchase Status Response to Customer Request**

Response contains the STATUS and QUEUE INFORMATION for a given customer capacity Purchase Request.

#### ***Variables***

TEMPLATE=atcstatus

OUTPUT\_FORMAT  
VERSION

POR  
POD  
PATH  
CAPACITY  
CAPACITY\_TYPE  
YEAR (or YEAR-START and YEAR-END)  
MONTH (or MONTH-START and MONTH-END)  
DAY (or DAY-START and DAY-END)  
RELDAY (or RELDAY-START and RELDAY-END)  
HOUR (or HOUR-START and HOUR-END)  
TZ  
PRICE  
CUSTOMER  
DISCOUNT  
DEAL\_REF  
ANCILLARY\_SERVICES\_REQUIREMENTS  
INTERFACE\_TYPE  
COMMENTS



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### **Customer's Purchase Acknowledge Acceptance (Input)**

Input contains the Provider Capacity Purchase Status for a given customer Capacity Purchase Request and an indication of acceptance or rejection of the purchase.

#### ***Variables***

TEMPLATE=atcaccept

OUTPUT\_FORMAT  
VERSION

STATUS (must be either "Accepted" or "Rejected")

POR  
POD  
PATH  
CAPACITY  
CAPACITY\_TYPE  
YEAR (or YEAR-START and YEAR-END)  
MONTH (or MONTH-START and MONTH-END)  
DAY (or DAY-START and DAY-END)  
RELDAY (or RELDAY-START and RELDAY-END)  
HOUR (or HOUR-START and HOUR-END)  
TZ  
PRICE  
CUSTOMER  
DISCOUNT  
DEAL\_REF  
ANCILLARY\_SERVICES\_REQUIREMENTS  
INTERFACE\_TYPE  
COMMENTS



RECOMMENDATION TO NAESB WEQ EXECUTIVE COMMITTEE

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**Seller Form to Acknowledge Capacity Purchase Status (Input)**

Input contains the Seller's status, queue, and reference number of a Customer Purchase Request.

***Variables***

TEMPLATE=sellerack

VERSION  
STATUS  
DTZTS\_QUEUED  
REQUEST\_REF  
POR  
POD  
PATH  
PROVIDER  
SELLER\_NAME  
CAPACITY  
CAPACITY\_TYPE  
CUSTOMER  
DISCOUNT  
DEAL\_REFERENCE  
SERVICE\_DESCRIPTION  
ASSIGNMENT\_REF  
INTERFACE\_TYPE  
COMMENTS  
PREV\_ASSIGN\_REF  
PREV\_CAPACITY  
PREV\_STATUS  
PREV\_BEGDATETZ  
PREV\_ENDDATETZ  
PREV\_COMMENTS

The following may contain multiple values



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**Seller Form to Reassign Service Rights to Another Customer (Input)**

Input contains the Seller's status, queue, and reference number of a Customer Purchase Request.

***Variables***

TEMPLATE=sellerreassign

VERSION

POR

POD

PATH

PROVIDER

SELLER\_NAME

CAPACITY

CAPACITY\_TYPE

BEGDATETZ

ENDDATETZ

REQUEST\_REF

CUSTOMER

DISCOUNT

DEAL\_REFERENCE

SERVICE\_DESCRIPTION

ASSIGNMENT\_REF

INTERFACE\_TYPE

DTZZTS\_QUEUED

COMMENTS

PREV\_ASSIGN\_REF

PREV\_CAPACITY

PREV\_STATUS

PREV\_BEGDATETZ

PREV\_ENDDATETZ

PREV\_COMMENTS

The following may contain multiple values



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**Provider/Customer Want-Ad Posting Request (Input)**

Input contains the want-ad information to post on the OASIS.

***Variables***

TEMPLATE=wantadpost

VERSION

YEAR                      Date when message expires  
MONTH  
DAY  
HOUR

CUSTOMER                (or PROVIDER)  
CONTACT                must be specified  
PHONE                    must be specified (if FAX or E-MAIL is blank)  
FAX                        must be specified (if PHONE or E-MAIL is blank)  
E-MAIL                    must be specified (if PHONE or FAX is blank)  
KEYWORD  
SUBJECT                  must be specified  
WANT-AD                 must be specified



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**TSIP Posting of Want-Ad Response**

Response contains the want-ad information on the OASIS.

***Variables***

TEMPLATE=wantadlisting

OUTPUT\_FORMAT  
VERSION

SUBJECT [optional]  
WANT-AD [optional]