

OPEN ACCESS SAME TIME INFORMATION SYSTEM (OASIS) - A HISTORY

This document is intended to provide a history of OASIS for use by the Executive Committee of the Wholesale Electric Quadrant (WEQ) of the North American Energy Standards Board (NAESB) and its subcommittees. It is intended to highlight major events and provide a flavor of how OASIS arrived to its current state. The timeline should not be interpreted to be inclusive. Users of this document are encouraged to verify its accuracy prior to referencing it.

September 30, 2003

- Final official meeting of the ESC

August 25, 2003

- Final official meeting of the OSC

August 5, 2003¹

- NAESB EC forms Information Technology Subcommittee (ITS) to:
 - Develop standards and enhancements to the standards for OASIS related matters
 - Provide home for OSC members to continue their work
- NAESB EC forms the ESC Subcommittee (ES) to:
 - Continue ESC work on E-Tagging business standards

June 11, 2003

- ESC/OSC jointly issue their “*Transition Document*”
 - Provides overview of steps necessary to continue the current work of the ESC and OSC
 - Provide list of open issues and work to be transferred to other industry organizations

May 9, 2003

- ESC/OSC issue status of ESC/OSC activities
 - Both groups formulating plans to coordinate exchange of deliverables to the MOU signatories
 - Deliver “Transition Document” during Q3 of 2003
 - Deliver “Functional Requirements” for OASIS Phase II document including “Use Cases” during Q3 of 2003

April 28, 2003

- Commission issues White Paper entitled “Wholesale Power Market Platform”
 - Eliminate requirement the Public Utilities create or join an Independent Transmission Provider
 - Notes that market standards developed through the MOU process could be included in “...RTO and ISO tariffs to facilitate compatible and seamless rules across the interconnected power grid.”

November 15, 2002

- OSC submits comments on SMD NOPR
 - Requests confirmation on its interpretation of portions of SMD that fall within scope of OASIS Phase II

¹ Per the draft minutes from the August 5, 2003 meeting of the NAESB WEQ EC.

- Requests that FERC assign those items within the scope of OASIS Phase II to the OSC for development
- ESC submits comments on SMD NOPR
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September 27, 2002

- First meeting of the NAESB Wholesale Electric Quadrant executive committee

July 31, 2002

- FERC issues SMD NOPR
 - Provide rules for completion of transition to competitive wholesale energy markets
 - Within the rulemaking, FERC speaks to NAESB's role in the standards development process:

*“Upon its formation, the Wholesale Electric Quadrant of the North American Energy Standards Board (NAESB), working closely with Independent Transmission Providers who would collectively serve in an advisory capacity to the board, **would produce business practice and electronic communication standards**. NAESB would notify the Commission when it has adopted standards, and the Commission would then use rulemaking proceedings to propose the incorporation of these standards by reference into the Commission's regulations. If the industry is unable to reach consensus on a particular standard, the Commission would be available to resolve the dispute, so that the industry process can continue, or the Commission could develop its own standards if necessary. Consistent with gas industry regulation, issues of policy that affect significant resources or that may cause cost-shifting would be resolved at the Commission rather than through the standard setting body.”²*

July 18, 2002

- FERC holds technical conference regarding standard market design data and software standards issues

July 10, 2002

- Agreement reached regarding form of the NAESB Wholesale Electric Quadrant

May 16, 2002

- Commission issues order regarding standards development organizations
 - Responds to concerns expressed in comments submitted in response to Commissions December 19th order
 - Clear that the Commission is looking to NAESB WEQ to be the forum for the standards development and the consideration of business practices for efficient electric markets.

October 5, 2001

- ESC files “OASIS Phase II Business Practice Status Report” with the Commission
 - Reports purpose is to provide update and status on ESC's efforts to standardize a set of business practice standards for implementation of OASIS Phase II and electronic scheduling

² Remedying Undue Discrimination through Open Access Transmission Service and Standard Electricity Market Design, Docket No. RM01-12-000, 67 Fed Reg. 55,452 (August 29,2002) at 116.

- Report the result of ESC and OSC meeting with FERC staff on 9/19/01. During the meeting FERC staff requested update of the ESC's work.
- Report contains matrix listing of business practices (31) that the ESC has concluded are necessary to implement OASIS Phase II and electronic scheduling.

April 17, 2002

- ESC issues comments on Commission's March 15, 2002 working paper on standardized transmission service and wholesale electric market design
 - Pose additional questions to the Commission
 - Vow to work with NAESB and NERC as appropriate
 - Plan to continue work on OASIS Phase II, fulfilling ANOPR requirements (July 14, 2000) while being consistent with standard market design principles.

March 15, 2002

- Commission issues working paper on standardized transmission service and wholesale electric market design
 - Commission address some of the concerns raised by ESC in its 10/5/01 Status Report
 - Comments due by

December 19, 2001

- Commission issued "*Order Providing Guidance on the Formation of a Standards Development Organization for the Wholesale Electric Industry*"
 - By March 15, 2002, wholesale electric industry must agree on a single standards development organization to develop business practice standards and communication protocols. Also asked for a process to coordinate between business and reliability matters recognizing that reliability and business practices are interrelated.

November 20, 2001

- Commission invites comment with respect to the type of entities best suited to perform wholesale power market functions
 - OASIS management is listed as one of the wholesale power market functions
 - Comments due December 7, 2001

September 28, 2001

- Commission initiates investigation into electricity market design and structure, announcing a series of workshops (Docket RM01-12-000)

September 19, 2001

- ESC, OSC meet with the Commission Staff to discuss OASIS Phase II and electronic scheduling.

August 30, 2001

- ESC files status report of its efforts to develop a consensus business practice document for the implementation electronic scheduling as envisioned in the Commission's ANOPR issued in July 2000.
 - Within the report, ESC seeks a meeting with FERC Staff to obtain guidance/direction, given Commissions RTO orders in July 2001
 - Key questions to be discussed
 1. Does the Commission still intend to pursue the ANOPR?
 2. Should the existing OASIS continue as it is or should it be upgraded?

3. Should those decisions be left to the emerging RTOs?
4. Should the industry be pursuing OASIS Phase II at the present time?
5. What role does FERC see for the ESC and OSC in light of the RTO orders?
6. What role does FERC see for the ESC and OSC in light of the possibility of an Energy Industry Standards Board?
7. How can the ESC and OSC ensure that the substantial body of work they have completed to this point is not lost?
8. Should the ESC and OSC file with FERC the work it has done to this point?

July 25, 2001

- Commission adopts minor revisions to S&CP document (version 1.4) – data dictionary
 - Data Dictionary effective October 1, 2001

June 29, 2001

- Order denying NERC MIC request for modification of OASIS Business Practice Standards on an expedited basis

May 29, 2001

- NERC MIC made request to modify the Commission's OASIS Business Practice Standards adopted in Order 638 to add a new business practice standard dealing with accepted daily, firm point-to-point transmission service that has not been confirmed and to modify a related footnote regarding transmission reservation timing limits

March 23, 2001

- OSC submitted recommendations for minor changes to the data dictionary of version 1.4 of the S&CP document

February 21, 2001

- NERC MIC and OSC file "*Nine Month Report on OASIS Business Practice Standards Adopted in Order 638*" as requested in FERC's February 2000 Order 638

February 9, 2001

- ESC files response to Commission July 2000 ANOPR
 - Due to complexity of the undertaking and the need to resolve business practice issues, ESC informs FERC that the timetable proposed in the ANOPR (full implementation by December 15, 2001) is not feasible
 - Propose Fall 2002 as better target

October 26, 2000

- Adopts revisions to BPS adopted by the Commission on February 25, 2000
 - Scheduling period for "same day" and next hour" transactions
 - Standards for Next Hour Market Service

September 29, 2000

- Commission adopts revisions proposed in June 2000 filing.

August 1, 2000

- Commission Adopts Version 1.4 of the OASIS S&CP document

July 26, 2000

- OSC files Version 1.4 of S&CP document filed with FERC

July 14, 2000

- Commission issues ANOPR for OASIS Phase II
 - Requests detailed proposals (communication protocols and business practices) for OASIS Phase II by 2/15/01
 - Incorporates electronic scheduling
 - Should generator run status information be incorporated
 - Anticipate issuing a NOPR (or taking other appropriate action) and implementing rule by 12/15/01, in sync with RTO 2000 requirements.

June 21, 2000

- First meeting of the Electronic Scheduling Task Force (later known as ESC)

June 16, 2000

- NERC MIC and How WG jointly file response to Commission questions posed in February 2000 Order 638. OSC jointly file proposed additions/revisions to the Business Practice Standards for Next Hour Service

February 25, 2000

- FERC issues final rule, Order 638 (RM95-9-003)
 - Adopts OASIS business practices as mandatory standards
 - Requested information from the NERC MIC and the OSC (initially comprised of NERC TISWG and OASIS How WG members) within 90 days
 - Ordered report from MIC and OSC nine-months after the effectiveness of the Order

December 20, 1999

- FERC issues Order 2000 (RM99-2-000), *"Final Rule re Formation of Regional Transmission Organizations"*

January 1999

- Commission issues NOPR on CPWG proposed business practices

September 29, 1998

- In this order the Commission
 - Issued revised S&CP document (version 1.3)
 - Granted 3 month extension for implementing S&CP document , v1.3
 - Granted 2 month extension for unmasking of source and sink data

July 9, 1998 (Phase 1A filing?)

June 18, 1998

- Commission issues Order 638 (RM95-9-003)
 - Commission determines that open access non discriminatory transmission service requires that information about the transmission system must be made available to all users at the same time via OASIS
 - Adopt How Group 9/23/97 Phase 1A S&CP, as modified herein, as Version 1.2 effective 12/1/98

June 17, 1998

- CPWG & How Working Group submit report in response to the Commission's March 1997 Rehearing Order 889-A
 - Proposed business practices to enable implementation of FERC policy on transmission service price negotiation
 - Propose business practices to improve consistency of Customer-Provider interactions across OASIS nodes.

March 30, 1998

- In the November 3rd filing with the Commission, the CPWG committed to file draft set of draft set of guidelines to clarify OASIS business practices in Phase 1-A, including resolution of issues left over from Phase 1 by March 31, 1998. CPWG now seeks a one-month extension to April 30, 1998.

November 25, 1997

- Commission issued order 889-B
 - Requests for rehearing of Order 889-A denied.
 - Implemented revised transmission discounting policy

November 3, 1997

- CPWG filed "Industry Report to the Federal Energy Regulatory Commission on the Future of OASIS"
- Action items:
 - "The CPWG will file with the Commission by 3/31/98 a draft set of guidelines to clarify OASIS business practices in Phase 1-A, including resolution of issues left over from Phase 1."
 - CPWG to file draft report defining next-hour business model by 4/30/98; file final report 8/31/98
 - CPWG will evaluate need for posting transmission status information in OASIS Phase II and report to Commission by 8/31/98
 - CPWG to evaluate long-term alternatives for transmission reservation and scheduling beyond Phase II and report to the Commission by 12/98
 - OASIS How WG file transition plan describing migration from Phase 1 to Phase 1A by 3/31/98
 - OASIS How WG to file detailed specs for OASIS Phase II by 11/30/98

September 23, 1997

- How Working Group files proposed revisions (revisions, additions and clarifications) to Phase 1A S&CP document (Version 1.2) filed with Commission

September 2, 1997

- CPWG and "How" WG request another extension for the OASIS Phase II Report. Originally due on August 4, 1997. How WG requested and received extension to September 19, 1997. Now want to extend to October 31, 1997
 - CPWG recently joined with the How WG to write the industry report
 - An industry survey was initiated in early August seeking input on future of OASIS. Not due back until September 5, 1997.

- Two public workshops to be held during September for the express purpose of receiving industry comment on the draft.

August 29, 1997

- Commission notices the How WG August 12th filing, invites public comment
 - Comments due on or before September 29, 1997

August 12, 1997

- How WG submits revised S&CP document (Phase 1A S&CP)
 - Fully implements FERC transmission price discount policy and revisions requested in Order 889-A
 - Replaces interim measures proposed in June 27th letter from How WG
 - Propose implementation 6 (4 months standards and protocol development, 2 months training and testing) months after Commission approval

July 15, 1997

- Commission seeks comment on How WG's request for clarification on unmasking issue (see June 27, 1997 letter)

July 11, 1997

- Commission grants How WG's request for time extensions. Other requests for clarification to be addressed in separate order.

July 9, 1997

- How Working Group submits revised S&CP document for discussion at upcoming technical conference

June 27, 1997

- How WG files letter with the Commission seeking
 - Extend due date of revised S&CP document in response to Order 889-A from June 30 to July 7, 1997 for consideration at the July 18th technical conference and to August 15, 1997 for final submittal
 - Extend due date of OASIS Phase II implementation report from August 4 to September 19, 1997
 - Clarify whether the unmasking of source and sink is required on OASIS and if so, at what time in the scheduling and reservation process
 - Approve proposed interim measures for implementing on-line price negotiation and posting of discounts within Phase I OASIS by August 31, 1997

June 25, 1997

- In order to assess progress with OASIS Phase I and to begin discussions regarding the development of OASIS Phase II, the Commission noticed a technical conference for July 18, 1997
 - Assess industry progress in implementing OASIS Phase I
 - Review proposals for revisions in meeting requirements of Order 889-A
 - Review issues regarding the development of OASIS Phase II
 - Review how well OASIS is meeting Commission goals for open transmission access.

April 1997

- Commercial Practices Working Group (CPWG) formed as independent forum with balanced industry segment representation. The groups purpose to resolve business practice issues as needed to facilitate non-discriminatory transmission access and to promote competitive and reliable electricity markets.
- Group establishes process in which an industry facilitated organization develops consensus-based solutions for review and adoption by the Commission, culminating in their incorporation into regulations

March 4, 1997

- FERC issues Final Order on Rehearing, Order 889-A
 - Adopt proposed revisions to the OASIS final rule
 - Deleted from OASIS regulations provision permitting transmission customers to request that TPs posting transmission and ancillary services request and responses temporarily mask the identities of the parties to the transaction
 - Changes required to adopt Commissions new policy on discounting
 - In addition, the Commission requests that the How Working Group propose the necessary changes in the Standards and Protocols document and the Data Dictionary by June 2, 1997 to address four issues.
- FERC issues Final Order on Rehearing, Order 888-A

January 3, 1997

- OASIS Phase I in effect

December 27, 1996

- In response to How Working Group's December 23rd query, FERC issues notice clarifying that transmission reservations arranged off the OASIS but posted within 1 hour are considered "on the OASIS"

December 23, 1996

- How Working Group filed letter with Commission seeking clarification of:
 - OASIS to serve as a "Next-Hour" reservation tool during OASIS Phase I implementation

September 20, 1996

- Commission grants How Working group request for a two-step implementation

September 10, 1996

- Version 1.1 of S&CP document issued by Commission
 - With a few minor exceptions, document consistent with July 31,1996 How Group filing

September 9, 1996

- How Working group requests deviation from the Commissions November 1, 1996 implementation date for OASIS
 - Request two-tier implementation, with December 2, 1996 as the start of a test period, with full commercial implementation by January 3, 1997.

July 31, 1996

- How Working Group files revision to the S&CP document filed on June 7th, incorporating comments from other entities.

July 2, 1996

- Commissions responds to requests for clarification in Orders 888 and 889

June 11, 1996

- The Commission deems the previously scheduled June 17th Technical Conference unnecessary after receiving the How Group's June 7th report regarding deficiencies in the S&CP document.
 - Twenty day comment period on the report granted

June 7, 1996

- How Working Group submits version 1.01 of the S&CP document

May 28, 1996

- Commission grants extension to How Working Group to June 7, 1996 for filing of revised S&CP document

May 17, 1996

- Commission noticed the following compliance dates regarding Order 889
 - On or before May 28, 1996, How group required to file report regarding remaining initial standards and protocols
 - June 17, 1996, technical conference on unresolved issues
 - July 9, 1996 effective date of Order 889

April 24, 1996

- FERC Issues Order 888 – Open Access Transmission Tariff
- FERC Issues Order 889 – Establishment of OASIS and Standards of Conduct
 - Requires creation or participation in an open access same time information system site
 - Requires functional separation of transmission and wholesale power marketing functions
 - Version 1.0 of OASIS S&CP document issues
 - By November 1, 1996 affected public utilities must file procedures with Commission to show compliance with standards of conduct
 - Incomplete S&CP documents included. "How" group requested to file completed S&CP document by May 28, 1996
 - Technical conference to be held on June 17, 1996 to resolve open issues. Revised S&CP will be issued thereafter.
 - Basic OASIS provides information on status of transmission system in uniform basis

April 15, 1996

- How Group submits revised report

March 7, 1996

- How Group submits report proposing revisions to its original report

February 5, 1996

- Comment period closes on Real-time Information Network (RIN) NOPR

December 13, 1995

- Commission issues NOPR in RM95-9-000

- Amend rules and regulations to institute a real-time information network and standards of conduct
- Each public utility or its agent that owns or controls facilities used for the transmission of electric energy in interstate commerce required to create or participate in a RIN

October 26, 1995

- Final draft of “What” working group report on RIN filed with FERC

October 16, 1995

- Deadline for comments on RIN

September 29, 1995

- First draft of “What” RINs working group submitted to the Commission

July 27-28, 1995

- Commission holds technical conference
 - During the conference consensus of the participants was that two industry groups should be formed. One should address the “what” should be part of a RIN while the other addressed the “how” to design a RIN.
 - The participants agreed the NERC would facilitate the “What” group while EPRI facilitates the “How” group.
 - Each group was tasked with reaching consensus on as many issues as possible and preparing reports for the Commission of the areas of consensus and disagreement

June 22, 1995

- Commission announces date of RIN technical conference as July 27-28

March 29, 1995

- Commission issues notice of future technical conference to discuss (RM95-9-000):
 - Whether real-time information networks (RIN) or some other option is the best method for ensuring potential buyers of transmission service receive the information enabling them to obtain transmission service on a non-discriminatory basis.
 - What standards should be required if the Commission decides to require public utilities to institute RINs?
 - Comments requested within 60 days from Federal Register notice.

APPENDIX A – ADDITIONAL INFORMATION

Relationship between CPWG (ESC) and the How WG (OSC)

Commercial practices working group (CPWG) was established to define the needs of market participants and relate those needs to the “How” WG in the form of functional and performance requirements. The How WG was to then prepare the necessary technical standards to support these market-base requirements.

OASIS Standards Collaborative (OSC) – Merger of talent from the original “How” Working Group and NERC Transaction Information Systems Working Group (TISWG). Developed to work with the Electronic Scheduling Collaborative specifically to respond to FERC’s Advanced Notice of Proposed Rulemaking (NOPR) for OASIS Phase II (issued July 14, 2000)

Relevant Federal Energy Regulatory Commission (FERC) Dockets

- RM00-10-000, issued 7/14/2000 – Open Access Same-Time Information System Phase II
- RM95-9-000, issued 4/24/1996 – Order 889- Open Access Same-Time Information System and Standards of Conduct
- RM01-12-000 – Remedying Undue Discrimination Through Open Access Transmission Service and Standard Electricity Market Design (SMD)

OASIS Phase I: Designed to be basic open access same time information system, meeting majority of requirements within Order 889. Went into service on January 3, 1997.

OASIS Phase 1A: Enhancements made to OASIS. Primarily, makes negotiation transmission service on-line possible. Became effective December 1, 1998

OASIS Phase II: Enhancements in compliance with RM00-10-000. Expected to facilitate the scheduling of energy and transmission between marketing entities, operating entities. Will provide seamless method for interacting with and scheduling of transmission, ancillary services, and energy regardless of region or operating entity. Key goals:

- Facilitate rights tacking and scheduling in a timely manner
- Accommodate regional diversity
- Ensure reliable system operations
- Provide consistent interfaces
- Function consistently and reliably
- Cost effective