



NORTH AMERICAN ELECTRIC RELIABILITY COUNCIL

Princeton Forrestal Village, 116-390 Village Boulevard, Princeton, New Jersey 08540-5731

NERC — Transaction Information System Working Group Meeting NAESB — Information Technology Subcommittee

December 2–3, 2003

Caribe Royale All Suites Resort
Orlando, Florida

Minutes

A regular meeting of the Transaction Information System Working Group was held on December 2-3, 2003, in Orlando, Florida. Members of the Information Technology Subcommittee were invited to attend the meeting. The meeting notice, agenda, and attendance list are affixed as **Exhibits A, B, and C**, respectively. Individual statements and minority opinions are affixed as **Exhibits D and E**. (There were none.)

Monroe Landrum, chairman of the TISWG and ITS, requested introductions from the group.

The agenda was approved.

Organization Updates

Update on NAESB Electronic Scheduling Subcommittee (ESS)

Information about the ESS and the ESS mission statement is located on the NAESB website: http://www.naesb.org/weq/weq_electronic_scheduling.asp Joel Dison of Southern Company provided an update on the ESS including an overview of the mission statement. Mr. Dison noted that there are three co-chairman of the group.

ESS planned activities:

Business practices exits for OASIS in a number of FERC Orders. The ESS plans to review these practices and provide a recommendation to NAESB to adopt these practices. The ESS also plans to review the recommended OASIS enhancements sent to NAESB from the OASIS Standards Collaborative. The ESS will also study adopting appropriate E-Tagging practices.

E-Tag survey and the ESS:

The TISWG will provide the E-Tag survey results to the Interchange Subcommittee and the IS may send those survey results dealing with E-Tagging business practices to the ESS. The current issues in the survey contain business practices that should be addressed by NAESB; therefore, the TISWG/IS will more than likely develop a recommendation on E-Tag enhancements and provide those to NAESB.

Update on NAESB Information Technology Subcommittee

Monroe Landrum provided an overview of the ITS mission statement that was recently approved by the WEQ Executive Committee. The ITS plans to address OASIS 1A issues and the development of OASIS II.

There may be a benefit for having future meeting of the TISWG, ITS, and ESS, to discuss E-Tagging or the Registry. These meetings will be scheduled as necessary.

Transition to Standards

Gordon Scott provided an overview on Standard Transition Issues, affixed as **Exhibit F**.

Coordination must take place in the development of Standards and corresponding business practices. The NERC Market Committee is the group identified as the liaison between NERC and NAESB. The TISWG may need to modify the specification for Tagging or the Registry and should coordinate this work with the ITS.

OASIS 1A Issues

The OSC provided a list of OASIS 1A issues to NAESB; the 20 issues were divided into three categories: General; Compliance/Clarification; Specification/Business Practices. NAESB formed a WEQ OASIS 1A Task Force to review these issues and the task group's recommendations on the issues. J.T. Wood, chairman of the task force, provided an overview of the group's work on each issue. The task force's recommendations and comments may be found on the NAESB website at:

http://www.naesb.org/weq/weq_info_technology.asp

Discussion

- The issues on the list were unsolved issues that the OSC had discussed in the past. For those items that are “compliance” issues, the individual companies may need to contact FERC. Specific examples may not exist for the compliance items and some markets may handle the requirements “after the fact” so they are in compliance with the OASIS specification. The WEQ EC should decide if this document requires further clarification or interpretation.
- An industry interpretation body is needed for OASIS. Maybe someone from the FERC audit staff is needed to attend ITS or other meetings on OASIS.
- Is the ITS group comfortable with sending these items to the WEQ EC with a recommendation that the IT and ESS begin work on those items. “Work on” means to send a standards request to the EC?

Paul Sorenson moved that the WEQ IT forward the OASIS 1A report to the WEQ EC and asks the EC to decide the disposition of the items under specification/business practice issues. Motion was withdrawn.

Friendly amendment — Moved the IT OASIS IA task force draft a Request for Standard for the business practices associated with the OASIS 1A issues and forward these with the report to the EC. Amendment was withdrawn.

Paul Sorenson moved that the ITS will send the OASIS 1A report to the WEQ EC with the following recommendations on the report's items:

General issues are FYI only

- A. Compliance issues are not to be addressed by WEQ EC: except for Item 19.
- B. The following action should be taken on the specification/business practices:
 - Item 3 – No action to be taken
 - Item 10 – Send to ESS and ITS for drafting Request for Standards
 - Item 11 – Send to ESS for drafting Request for Standards
 - Item 12 – Send to ESS and ITS for drafting Request for Standards
 - Item 15 – Send to ESS for drafting Request for Standards
 - Item 17 – Send to ITS for drafting Request for Standards
 - Item 18b – Send to ESS and ITS for drafting Request for Standards
 - Item 19 – Send to ITS for drafting Request for Standards
 - Item 20 – Send to ESS and ITS for drafting Request for Standards

The motion was approved

Discussion on the motion:

When the ITS ask the EC to determine disposition of the items in the report, it would help if the ITS forwarded draft standard requests? The EC does not develop requests for standards; therefore, if the report was submitted with the requests, the EC could determine if the draft Standards should be passed on to groups for further work.

Additional information should be sent with the report to clarify the report e.g., the ITS should make a recommendation on what the EC should do with the report.

Alan Johnson will present these items to the EC at their meeting next week to determine if the EC wants to move forward on these issues. Mr. Johnson will ask the EC if they want Request for Standards on the items. The ITS should define which items in the report should be sent to which NAESB groups for further development.

The group should limit the items to OASIS 1A issues. The task force should go through the list and only submit those items related to OASIS 1A.

Action: The chairman of the ITS will draft a letter to the EC for the EC's meeting next week on the OASIS 1A report.

OASIS Registry and E-Tagging

Barbara Rehman provided background on the initial registry and Order 889 and Order 638 (see agenda). E-Tagging also uses the registry; therefore, there is an issue on which entity should "own" the Registry. Upgrading of the current registry is needed. There is a problem with having the correct information in the Registry.

Ongoing maintenance is a problem at NERC because the registry is a flat access database. The Registry is also needed for the implementation of eMARC. Standards request are in front of WEQ IT to standardize PKI for the market. On PKI, NAESB is following NERC.

Brian Nolan joined the meeting and provided an update on the "new" Registry. NERC staff is still building the data model (structure). The initial design of the registry will accommodate Tagging, OASIS,

PKI and Certification for the functional entities. Most of these enhancements will be completed by 2004. When the data model for the new registry is set it will be posted.

The registry could be divided into those sections that handle OASIS, etc. Until we moved into OASIS II it was agreed that NERC would continue to develop OASIS. For third parties, NERC would continue to work on OASIS until OASIS II. Rae McQuade noted that she might request a letter from NERC stating that NERC will maintain the Registry until OASIS II is developed.

The FERC Interconnection Order – Enhancements for OASIS

Barbara Rehman agreed send a Request for Standards to NAESB for the OASIS items contained in the FERC Interconnection Order. Ms. Rehman plans to attend the ESS meeting by speakerphone and will discuss the Request for Standards with the ESS.

OASIS II Structural Design Task Force

Jim Hudson agreed to lead a group to start brainstorming the high level structure related to OASIS II. This group will report to the ITS. The group would work on a top-level structural design (diagram) using the Use Cases. The design should raise questions on redundancy, recoverability, and the flow of data, to help those working on business practices.

Those on the group:

Jim Hudson – Leader

Jagjit Singh – SRP

James Keaton – SPP

Cherly Mendrala – ISO-NE

Alexander Mitreski – Entergy

Lisa Szot will provide an update to the ESS on the scope of this group. Barbara Rehman noted that the group might not have to start from scratch as previous OASIS documents may be used as a guide. Ms. Szot will discuss with the ESS the benefits of having a half-day joint meeting with the TISWG.

Use Cases and Functional Requirements Document

Paul Sorenson provided an overview of the ESC/OSC Deliverables included the Use Case Specifications. OASIS II will not be a computer system but probably many systems because it will handle data related to operations, financial markets, and scheduling. OASIS II will be a data communications interface. Mr. Sorenson's presentation is affixed as **Exhibit G**.

Mr. Sorenson also provided an update on the status of e-MARC, affixed as **Exhibit H**. To complete the e-MARC project defined in the presentation these steps would take until fall 2004 – even if this project were considered a priority.

Both the ITS and TISWG have action items for e-MARC:

- NAESB WEQ IT Action – Develop OASIS Security Standards
- NERC TISWG Action – Develop implementation plan to use PKI/SSL for tagging services

Action Item: Monroe Landrum will discuss the TISWG proposed action at the Interchange Subcommittee meeting and will ask for IS approval to work on this project. The TISWG formed an **e-MARC Security Plan Task Force**. This group reports to both the TISWG and ITS. The group will develop a SSL security plan for implementing e-MARC for OASIS and E-Tagging.

James Keaton – Leader

Paul Sorenson – OATI

Larry Stone – SoftSmiths

Bob Barth – CINergy

Pete Harris – ISO NE

NAESB has a Request for Standard for implementing e-MARC for OASIS. Is there a parallel need for the development of a Tagging PAR or SAR that would be developed by this group?

E-Tag Survey Results

Gordon Scott led the discussion on the documents. The TISWG reviewed the survey results and provided recommendations to the IS on each recommendation, affixed as **Exhibit I**. The TISWG requested a breakdown of the survey showing the responders by Region etc.

Vendor Changes to Tagging

Jim Hudson requested the TISWG send a notice to software providers stating: When a vendor makes a change to tagging that affects other vendors (impact interoperability) or other tagging entities, that vendor should post a notification of the change. A software provider who is making a change that they believe will impact other software providers should post, on an industry email list, a notice with a description of the change and an implementation time. The TISWG requested a letter be sent to the vendors on this item.

Gordon Scott

Gordon Scott
Facilitator

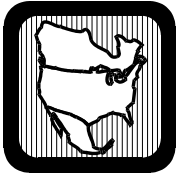


Exhibit A

NORTH AMERICAN ELECTRIC RELIABILITY COUNCIL

Princeton Forrestal Village, 116-390 Village Boulevard, Princeton, New Jersey 08540-5731

October 30, 2003

TO: TRANSACTION INFORMATION SYSTEM WORKING GROUP

Dear Members:

TISWG December 2003 Meeting Announcement

PLEASE COMPLETE THIS REGISTRATION FORM IF YOU PLAN TO ATTEND THE IS MEETING. ALL FORMS MUST BE RETURNED BY **November 10, 2003**. PROXIES AND GUESTS MUST ALSO REGISTER.

Name:	Company:
Title:	Email:

Location:

Caribe Royale All Suites Resort
8101 World Center Drive
Orlando, Florida 32821
Phone: 407-238-8000/888-258-7502
Fax: 407-238-8400

Schedule:

Tuesday, December 2, 2003 — 1–5 p.m.
Wednesday, December 3, 2003 — 8 a.m.–noon

The hotel is holding a block of rooms for the nights of December 2–3, 2003 for a rate of \$109 queen/double occupancy. The cutoff for sleeping rooms is **Monday, November 10, 2003**. Check in is 4 p.m., and checkout is noon.

The hotel is located about 18 miles from the Orlando International Airport. Mears shuttle service is available outside the baggage claim area and costs \$16 each way. Taxis cost about \$25.

When making your hotel reservations, please be sure to mention “North American Electric Reliability Council/NERC Meeting” so your reservation is credited to our room block. NERC may be charged a penalty if the total rooms blocked for this event are not picked up. Please inform us immediately if you are unable to attend or if you are staying at a different hotel. Also, if you are using an agency for your travel plans, make sure they mention NERC.

Sincerely,

Barbara S. Bogenrief

Barbara S. Bogenrief
Secretary to the Vice President

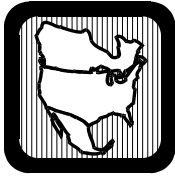


Exhibit B

NORTH AMERICAN ELECTRIC RELIABILITY COUNCIL

Princeton Forrestal Village, 116-390 Village Boulevard, Princeton, New Jersey 08540-5731

NERC — Transaction Information System Working Group Meeting NAESB — Information Technology Subcommittee

Tuesday, December 2, 2003 — 1–5 p.m.
Wednesday, December 3, 2003 — 8 a.m. to 12 noon

Caribe Royale All Suites Resort
8101 World Center Drive
Orlando, Florida 32821
Phone: 407-238-8000
Fax: 407-238-8400

Agenda

1. **Administrative** **20 min.**
 - a. Welcome and Introductions – Chairman
 - b. Arrangements – Secretary
 - c. Antitrust Guidelines – Chairman
 - d. Approval of Agenda – Chairman

2. **Organization Update – Gordon Scott** **30 min.**
 - a. NERC Functional Model, SARs, Standards, and transition – Gordon Scott
 - b. Transaction Information System Working Group – Monroe Landrum
 - c. Information Technology Subcommittee – Alan Johnson
 - d. Electronic Scheduling Subcommittee – Joel Dison

3. **OSC Transition – Monroe Landrum** **3 hours**
 - a. OASIS 1A Enhancements – J.T. Wood
 - b. OASIS II Use Cases and Functional Requirements Document – Paul Sorenson

4. **e-MARC and PKI – Paul Sorenson** **1 hour**
 - a. PKI Steering Committee Postings
 - i) Certificate Policy for Energy and Reliability Certificates
 - ii) Secure Data Exchanges in the Energy Infrastructure
 - iii) Application to E-Tag and OASIS 1A

5. **E-Tag Issues – Andy Rodriquez** **2 hours**
 - a. Results of E-Tag Survey – Andy Rodriquez
 - b. Software Enhancements – Jim Hudson
 - c. Other

Interchange Subcommittee Meeting Agenda
December 2–3, 2003

- | | |
|---|----------------|
| 6. OASIS and E-Tag Registry – Barbara Rehman | 1 hour |
| a. Tsin.com and Registry Database Issues | |
| 7. Future Meetings – Secretary | 10 min. |
| a. Agenda Items for Next Meeting | |
| b. Calendar for 2004 | |

Exhibit C

Attendance Transaction Information Systems Working Group and NAESB ITS Meetings December 2–3, 2003 Orlando, FL

Name		Representing
1.	Polly Irons	Entergy
2.	Lloyd Cambre	Entergy
3.	John Calder	Dominion
4.	Bob Barth	Cinergy
5.	Rocky Roberts	TVA
6.	Lisa A. Szot	CAISO
7.	Alan Johnson	Mirant
8.	Barbara Rehman	BPA
9.	Larry Stone	SoftSmiths
10.	John Putz	Sungard
11.	Dan Baisden	SOCO
12.	James T. Wood	SOCO
13.	Tina Wlater	WAPA
14.	Peter Rogan	ISO-NE
15.	Pete Harris	ISO-NE
16.	Cheryl Mendrala	ISO-NE
17.	Sanjiv Khatri	Siemens
18.	Jagjit Singh	SRP
19.	Paul Sorenson	OATI
20.	Jim Hudson	BPA
21.	James Keaton	SPP
22.	Monroe Landrum	TISWG Chairman, SOCO
23.	Aleks Mitreski	Entergy
24.	Gordon Scott	NERC

Conference Call – Dec. 2

Name		Representing
25.	Christopher Burden	Williams Gas Pipeline
26.	John Conlon	MISO
27.	Joel Dison	SOCO
28.	Gred Dodson	Dominion Resource Services
29.	Todd Oncken	NAESB

Conference Call – Dec. 3

Name		Representing
30.	Kenneth Brown	PSEG
31.	Suzanne Calcagno	UBS Energy
32.	John Conlon	MISO
33.	Greg Dodson	Dominion Resource Services
34.	Meghan McMillan	NAESB
35.	Janie Nielsen	Kern River Gas Transmission Company
36.	Leigh Spangler	Latitude Technologies

Exhibit D

**Individual Statements
TISWG–NAESB ITS Meeting
December 2–3, 2003**

None

Exhibit E

**Minority Opinions
TISWG–NAESB ITS Meeting
December 2–3, 2003**

No minority opinions were offered for the record.

Transition Issues - Moving to “Reliability Standards”

TISWG and ITS
December 2, 2003 - Orlando



Transition Issues

- **How are Existing Standards Replaced?**
 - How Can Parts of Existing Standards be Replaced?
- **Do the Original 11 SARs Cover all Needed Reliability Aspects of Existing Policies and Standards?**
- **What Complementary Business Practices are Needed?**



Transition Issues

- **When Should the Process of Adopting Reliability Standards be Finished?**
- **When Will Certifications be Completed?**
- **Can the Standards Be Applied Beforehand?**
- **Who is Responsible for the Transition?**
- **How Should the Transition be Managed?**
- **What Happens to Parts of Existing Policies and Standards that are not part of the Reliability Standards?**

4/11/03

3



Transition Plan Development

- **Standards Transition Steering Team Vice Chairs – OC, PC, MC, CIPAG, SAC, Compliance, Regional Managers**
- **Establish a Strategic Goal for Completion - December 2006**
 - **Produce a Written Transition Plan for Adoption by the Board in February 2004**

4/11/03

4



Committees, Subcommittees and Technical Groups Roles

- **Review of Existing Policies and Standards**
 - Do Proposed SARS Cover ALL needed Areas?
 - Identify Business Practices to be Referred to NAESB
 - Identify and Help Develop Reference Documents
 - Identify Portions of Policy to be Retired

4/11/03

5



Standards Transition Steering Team Actions

- Continue to develop Standards and Certifications
- Registration for Functional Entities
- Matrix

4/11/03

6



ESC/OSC Deliverables

December 2, 2003
Paul Sorenson, Consultant
OATI

ESC/OSC Deliverables

- Released to industry 10/6/2003
 - OASIS II System Requirements
 - OASIS II Use Case Specification
- Address both (SMD type) market and non-market issues
- Physical and financial transmission rights
- Electronic scheduling
- NERC Functional Model

ESC/OSC Deliverables

- System Requirements Document
 - Useability
 - Reliability
 - Performance
 - Security
 - Supportability/Maintainability
 - Flexibility
 - Data

ESC/OSC Deliverables

- Use Case Specification
 - Actor Survey
 - Use Case Model Survey
 - Use Case Catalog
 - Registration
 - Operations
 - Transmission Rights Market
 - Energy Market
 - Bilateral and Self Schedules
 - Coordination

ESC/OSC Deliverables

■ Registration

- Request User Credentials
- Login
- Submit Participant Registration
- Modify Participant Registration
- Set Participant Registration
- Submit Facility Registration
- Modify Facility Registration
- Set Facility Registration
- Submit Resource Registration
- Modify Resource Registration
- Set Resource Registration
- Submit Subscription
- Modify Subscription
- Notify Subscribers
- Post Market Services
- View Registration

ESC/OSC Deliverables

■ Operations

- Submit Outage
- Modify Outage
- Set Outage State
- Submit Load Forecast
- Modify Load Forecast
- Set Load Forecast State
- Create System Load Forecast*
- Create Unit Commitment*
- Determine Schedules*
- Post Schedules
- Dispatch Generation*
- Follow Dispatch Orders*
- Declare Abnormal Condition*
- Post Reliability Directive
- Post Operations Data
- View Operations Data

ESC/OSC Deliverables

■ Transmission Rights Market

- Assess Transfer Capability*
- Create TR Allocation*
- Post TR Auction Announcement
- Submit TR Auction Offer
- Modify TR Auction Offer
- Submit TR Auction Bid
- Modify TR Auction Bid
- Clear TR Auction*
- Set TR Auction Bid/Offer State
- Submit TR Proposal
- Modify TR Proposal
- Submit TR Deal
- Modify TR Deal
- Set TR Deal State
- Post Transmission Rights
- Post Transfer Capability
- View TR Market
- Monitor Market Compliance*

ESC/OSC Deliverables

■ Energy Market

- Submit Energy Market Offer
- Modify Energy Market Offer
- Submit Energy Market Bid
- Modify Energy Market Bid
- Clear Day Ahead Market*
- Clear Real Time Market*
- Assess Resource Adequacy*
- Post Energy Market Results
- View Energy Market Results
- Monitor Market Compliance*
- Invoke Market Mitigation Measures*
- Post Market Mitigation Invocation

ESC/OSC Deliverables

■ Bilateral and Self Schedules

- Submit Bilateral Schedule
- Modify Bilateral Schedule
- Adjust Bilateral Schedule
- Set Bilateral Schedule State
- Distribute Schedule
- Submit Self Schedule
- Modify Self Schedule
- Adjust Self Schedule
- Set Self Schedule State
- Submit Bilateral Contract
- Modify Bilateral Contract
- Set Bilateral Contract State
- View Schedules and Contracts

ESC/OSC Deliverables

■ Coordination

- Coordinate Interchange
- Coordinate Markets*
- Coordinate Reliability*

e-MARC PKI Status

December 2, 2003

Paul Sorenson, Consultant

OATI

e-MARC Status

- Certificate Policy posted for public comment through 11/28/2003
 - Constellation Energy
 - Dominion VP
 - GPE*
 - ISONE
 - ISO/RTO Council*
 - Northrop Grumman
 - OATI
 - Orlando Utilities Commission
 - OSC
 - TVA
 - WE Energies*

e-MARC Status

- Conference call review 12/1/2003 (except ISO/RTO Council, et. al.)
- ISO/RTO Council comments to be addressed by PKISC by 12/12/2003
- Revised CP for internal PKISC review; target 12/12/2003
- PKISC conference call review 12/17/2003

e-MARC Status

- Future Activities (no timeline to date)
 - Finalize e-MARC Certificate Policy
 - Draft Certification Authority Requirements Document
 - Draft Request for Proposal(s)
 - Root CA
 - Authorized CAs (?)
 - Vendor Workshop
 - Release RFP
 - Review RFP proposals
 - Select Root CA
 - Develop Authorized CA audit/qualification program
 - Develop participant registration process
 - Authorize CA service providers
 - Plan rollout (CRC?, Tagging?, OASIS?, IDC?)

e-MARC Status

- NAESB WEQ IT Action
 - Develop OASIS Security Standards
- NERC TISWG Action
 - Develop implementation plan to use PKI/SSL for tagging services

Exhibit I

1.) Please identify your role(s) in Electronic Tagging:

Control Area 87

Transmission Provider 70

Generation Providing Entity (sells generator output) 67

Purchasing-Selling Entity (purchases energy for resale) 71

Load Serving Entity (purchases energy for serving load) 82

Transmission Customer 58

Scheduling Agent/Entity 61

Reliability Coordinator 16

Vendor 2

Other (Please specify) 4

ISO/RTO

Computer Services

Back Office - Scheduling Wheel load, payback, losses, dynamic

Back Office - schedule tags for wheeled loads, paybacks, losses, dynamic schedules, etc.

Note: If you have questions on any item, please use the "General Comments" box at the end of this survey.

2.) Currently, Transmission Providers, Control Areas, and the IDC all use the same Reliability Profile for CURTAILMENTS and RELOADS of an E-Tag. There are times when CURTAILMENTS/RELOADS initiated by the IDC may conflict with separate CURTAILMENTS/RELOADS made by a Control Area or Transmission Provider. The Interchange Subcommittee has been requested to study a tagging change that will track and differentiate between CURTAILMENTS/RELOADS initiated by the IDC and those initiated by other entities. This would require a change to the e-Tag specification and schema, and therefore might require a change to back-end processes at your organization as well.

a. Have you experienced any problems with CURTAILMENTS/RELOADS issued by the IDC conflicting with other CURTAILMENTS/RELOADS?

Yes 44%

No 56%

If so, rate the problem. (minor, significant, or major)

Minor 54%

Significant 39%

Major 7%

b. Would you support a change to the E-Tag specification and schema that would track and differentiate between CURTAILMENTS / RELOADS initiated by the IDC and those initiated by a Control Area or Transmission Provider?

Yes 84%

No 16%

c. Have you experienced problems with CURTAILMENTS/RELOADS issued by different Control Areas or Transmission Providers conflicting with each other?

Yes 35%

No 65%

If so, rate the problem. (minor, significant, or major)

Minor 50%

Significant 43%

Major 7%

d. Would you support a change to the E-Tag specification and schema that would allow for the CURTAILMENT/RELOAD of each entity to be recorded separately on the e-Tag?

Yes 82%

No 18%

The survey did not say “would you pay for this change” the survey was to really discuss the functionality and the IS should determine what cost/benefit analysis or other follow-up should be done on these items.

TISWG at the Feb. meeting had submitted 6 solutions to this problem. OATI has an alternative solution – The CA could set a flag that blocks IDC Reload. There has been discussion by the IDC working group for this simple fix and this may fix “most” of the problem.

The TISWG recommend that the results show that this is an area that should be address but the severity is not major and therefore a cost effective solution should be found. IS – The TISWG and IDCWG to jointly provide a cost effective solution to this problem and discuss with the vendors what it will take to implement this functionality. The TISWG should develop a PAR and cost/benefit analysis, and send to industry.

3.) The Interchange Subcommittee has received a request to add a mechanism through which a CANCELLATION or TERMINATION will be treated as a permanent change.

This would NOT preclude any entity's ability to take a schedule to zero on a temporary basis, but would provide a method to communicate a permanent halting of a tag. This would require a change to the E-Tag specification and schema, and therefore might change back-end processes at your organization as well.

Do you support the "permanent" CANCELLATION/TERMINATION concept?

Yes 83%

No 17%

This change would take a minor, low cost change. A state change could be added or something that looks like a state change. The TISWG has a number of options for making this change and recommends that the IS ask the TISWG to provide a solution to this item.

IS – Somewhere in the XML indicate that the tag should not be revised or adjusted. Differentiate between revise and dead. This change should be made XML and not just an interface change made by the vendors. The TISWG will provide a cost effective solution to this problem and discuss with the vendors what it will take to implement this functionality. The TISWG should develop a PAR and cost/benefit analysis, and send to industry.

4.) The Interchange Subcommittee has received a request to have the E-Tag system track when a tag is explicitly WITHDRAWN. Currently, a tag request that is WITHDRAWN appears identical to a tag that had been made "Dead" from a passive or active denial. This would require a change to the E-Tag specification and schema, and therefore might change back-end processes at your organization as well.

Do you support a change to explicitly record tags that have been WITHDRAWN?

Yes 70%

No 30%

This change would take a minor, low cost change. A state change could be added or something that looks like a state change. The TISWG has a number of options for making this change and recommends that the IS ask the TISWG to provide a solution to this item.

IS – Somewhere in the XML indicate that the tag should not be revised or adjusted. Differentiate between revise and dead. This change should be made XML and not just an interface change made by the vendors. The TISWG will provide a cost effective solution to this problem and discuss with the vendors what it will take to implement this functionality. The TISWG should develop a PAR and cost/benefit analysis, and send to industry.

5.) There has been some concern expressed that the use of fax forms in times of emergency is difficult and unwieldy, partially because each vendor's system is different. (Note: While these fax forms provide information on interchange, e-Tags cannot be manually entered into the IDC.) The Interchange Subcommittee is considering a

requirement that all vendors be capable of generating a standard format fax form. In other words, whenever a tag is printed, the sheet would look identical, regardless of vendor. This would require a new appendix to be added to NERC policy, and likely require your tag vendor to make changes to their UI and output formats.

Is there a need to have a common-format printed tag for faxing purposes?

Yes 76%

No 24%

The different formats are a problem. It may not happen often, but when you have an emergency it is important to have the information in the correct format. The TISWG could develop a XSLT that would produce the HTML for the fax form from a standard query tag response document as specified in the E-Tag 1.7 functional specification. There is a lot of information on the Tag; but it is difficult to exclude information from the fax form.

TISWG agrees that there is benefit for the fax form to be standardized. In an operational situation do you use fax or phone calls. Is the fax used for after the fact? The IS should decide what is the purpose of the fax form and what should the format be; should the fax have all tag information on it or should it be abbreviated?

IS – The TISWG will provide a cost effective solution to this problem and discuss with the vendors what it will take to implement this functionality. The TISWG should develop a PAR and cost/benefit analysis, and send to industry. Impact on the industry – What is the magnitude on your system. How many fax tags have you done in the last year. Is this for after the fact or is this an operational need.

6.) Generation Providing Entities have expressed concern that they have no ability to CURTAIL a tag during a loss of generation. Policy currently requires that a PSE work with their host Control Area to effect such a curtailment. However, the Interchange Subcommittee believes that giving the GPE explicit rights to ADJUST (not CURTAIL) a tag may mitigate some of this problem. The Interchange Subcommittee has been requested to allow a GPE to issue such an adjustment. This would require a change to policy.

Do you support such a change?

Yes 68%

No 32%

TISWG - There could be a conflict was that GPE and PSE may do simultaneous adjustments. This is a minor change except for the GPE and PSE simultaneous adjustments issue.

IS – This is a business practice issue and the group agrees to forward the item.

7.) The Interchange Subcommittee has considered several times the concept of incorporating a “checkout” feature into E-Tag. “Checkouts” would allow you to see tags to which you were a party and verify tagged interchange/transfer numbers with your

neighbors. For example, a Control Area might verify tagged interchange with its neighbor, or a marketer might verify net tagged deliveries to its counterparties. This would require a change to the E-Tag specification and schema, and therefore might change back-end processes at your organization as well.

a. Should a “checkout” function be developed?

Yes 73%

No 27%

If so, should it cover:

CA-to-CA tagged interchange only 32%

PSE-to-PSE title transfer only 2%

Both 66%

b. How many tags does your organization process on an average day?

179 Average

c. Do you verify interchange/transfers prior to implementation ("before the fact")?

Yes 80%

No 20%

d. Do you use tags to check your net interchange/transfers?

Yes 66%

No 34%

e. What other tools do you utilize to check your net interchange/transfers?

Summary: Excel Sheets, vendor systems, and in-house systems.

f. Do you have any untagged interchange? If so, what schedules are untagged?

Yes 37%

No 63%

Summary: Loss Repayment Schedules, Inadvertent Interchange, Grandfathered transactions, some dynamic schedules, some JOU schedules, Reserves, Emergency Schedules

g. If during the before-the-fact checkout process you find a discrepancy, how and when is that discrepancy resolved?

Summary: Discussion, adjust tags as necessary.

h. If during the after-the-fact checkout process you find a discrepancy, how and when is that discrepancy resolved?

Summary: Discussion and agreement. Tags not changed very often – mostly moved into Inadvertent.

IS should decide on the cost/benefit. This is a major project and a big change. May leave for OASIS II.

The TISWG agrees that it is a good idea for this to be developed.

8.) Have you encountered problems with the ability of a Reliability Coordinator to modify the start time of a CURTAILMENT or RELOAD?

Yes ~~100%~~

No

Check calculations on this –

Add to next questionnaire – Monroe and GLS will check with IDCWG to see if this is a problem any longer.

9.) The Interchange Subcommittee is aware of a concern regarding the ramp rate of an ADJUSTED tag. When an ADJUSTED tag is submitted without a defined ramp rate, how should the default ramp be defined?

The same as the ramp rate on the tag as it was originally submitted 41%

The same as the interconnect standard (i.e. 20 minutes for the West and 10 minutes for the East) 56%

Other 3%

This is not a large change for the vendors but it may be for submitter of the Tag. If the ramp is not correctable and not deniable.

IS – All ramps, unless otherwise specified, will default to the interconnection standard.

Comments on Question 9

Is the real question here, ramp start time, ramp duration, or ramp rate QUESTION MARK

Our group is not involved at this point. This is handled by our Real-time group.

Instantly. Curtailment should have a 0 ramp and reloads should use the interconnect standard i.e. 20 minutes for the West and 10 Minutes for the East.

As agreed to between the GPE and LCA

Unless agreed by concerned parties prior to start of adjusted tag.

Normal ramps should be standardized. However, shorter ramps properly communicated SOURCE to SINK should be permitted and not be delayed by intermediate control areas, generation suppliers, or transmission providers

WECC standards 20 minutes across the hour and 10 minutes during the hour

The same as the ramp rate on the tag as it was originally submitted.

If the adjustment is within the current hour, the ramp rate of two minutes should be considered. Otherwise the standard ramp rate should be considered.

This should be determined by the affected Control Areas.

The default should be the same as the interconnection standard unless otherwise specified.

in the West, most Control Areas will not accept tag changes past 20 to the hour.

Unless mutually agreed to by the GCA and LCA

Same as the ramp rate on the tag unless it is deemed necessary to adjust so long as it doesn't exceed the interconnect standard.

Ramp rate on an e-tag is not a concern in the WECC - no IDC here.

General Comments

Question 8 I was not aware of the Reliability Coordinators ability to modify the start time of a CURTAILMENT or RELOAD. Where is that addressed QUESTION MARK

TID is not a Control Area, so I have only answered questions that pertain to our business model.

"Question 6. Yes, only if the GPE is still required to notify the GCA.

Question 7a. For the WECC, we would like to see the CA to CA checkouts by tie points, checkouts by TP to CA, and checkouts by TP to TP."

The scheduling world is moving to tags for everything. The greater adaptability and flexibility that can be modeled into the next schema for e-tags the easier everyone's job becomes.

Re ramp, PJM only approves 10-minute straddle ramps.

In the West, we do not use the IDC, so [question 2](#) does not apply. Also, I am not aware of any reliability coordinators modifying tags in any way in the West as asked by [question 8](#).

[Question 9](#) I have seen very late curtailments issued from the IDC. Some times they are issued very close or during the Ramp. I feel we try to abide by those curtailments but I would like some general guidance how adjustments during ramp periods should be handled. I feel it is important for us to try and accommodate the curtailment as requested but some guidance should be issued to Operators as to how these issues should be handled.

[IS - You put the curtailment into your scheduling system and your system calculates the ramp.](#)

[Question 7 \(maybe Question 9 also\)](#) One problem that has been a persistent problem is the fact that a verified fail tag submitted for the next hour is required to be passively approved after ten minutes. This has the potential for transferring interchange into a wrong interchange account based on the tags bad attributes. The tag can go scheduled if all passive approved which will go into our scheduling system for control.

"We responded NO to most questions asking if we would support a change. This does not mean that we would oppose a change; we just do not see the need for change in these areas.

[Question 7](#) There is a great need for a standardized rounding method for partial hour schedules/tags. Our system, like the majority of other systems in our region, rounds partial hour schedules for each individual hour. Our E-Tag vendor, OATI, rounds the cumulative schedule total. This causes discrepancies in scheduled checkout between som"

[General \(rather odd\) comment](#) - Certain parties in the Western Interconnection are so far behind the times with respect to E-tag that they will never catch up if the standards keep changing.

[Question 7](#) Tags that have been curtailed and reloaded several times do not always foot to the displayed tag total. Some rounding issues happen during the integration process, vs total displayed. This causes problems at check out.

[Question 7 and 9](#) We have significant problems when multiple TLR's are in effect and many times affecting the same schedules. Often reloads from one TLR will then be cut by another TLR. This causes us to be unable to adequately predict NSI in time to have adequate resources available to meet that NSI. We also on many occasions have seen

TLR's come out that change our NSI by several hundred MW's across a ten minute time frame and have no possibility of being able to meet the new NSI in the time allowed. I'm not sure how

IS – If you do not have the resources to follow the ramp you should enter the schedule and follow it the best they can. This is for a TLR.

When it reloads then the operator should have a choice.

Action: The IS will discuss this further. CAs must agree to the ramp. In this case should not the CA say “We do not agree?”

General comment Items that did not pertain to my group were left unanswered.

Question 7 and 9 NERC policy should require running on an NSI number generated by a scheduling system. The scheduling system and tagging systems should have the same timing requirements or be the same system so they are always in sync. This would insure all transactions are being implemented at the same time and for the same duration for all parties in the path.

General Generally, Progress Energy Carolinas would support little if any changes to the current etag spec as the industry is still adapting to the current version. While there are some issues that occur periodically like improper notification of curtailments/reloads by the RCs as well as tags going implemented prematurely, we find the current tagging system to be adequate and would prefer that NERC efforts would be better spent elsewhere at this time rather than fine-tuning the E-Tagging process. Regarding [item 3 question 3](#) we

"We sometimes have problems when the IDC curtails or reloads tags near the top of an hour. This sometimes creates a small delivery for the hour, which some parties want to honor while others want to ignore. Could the criteria be modified so that the IDC calls for changes only at 10, 15, or 30-minute milestones during a given hour....."

Question 3 Another problem is when reloads are implemented by the IDC on a tag that has been adjusted to zero by the tag counterparties after the curtailment. The IDC sends out "

General The Industry needs to move more aggressively toward true electronic scheduling.

General TVA supports the E-tag effort and will commit to supporting enhancements when they benefit the industry

General How come we cannot look at yesterday's tags without first turning of [sic] the refresh?

General Our organization believes that e-tags are essential to understand the energy flows across the interconnected systems. Such understanding is necessary from a reliability perspective. We also believe that e-tag equals a schedule is a critical concept and will permit all market participants to see and respond to emergency curtailments, reloads, and schedule changes quickly and through the use of vendor supported automatic tools.

General I do not have any of the concerns with the above items but would support any change that the other member sees a value in. I would see great value in more standardization of the way market and physical paths are submitted on e-tags.

General There may be other operations persons from SRP submitting this survey. I am only addressing the items I am aware of as issues.

General and Question 9 et. al. "Curtailments, reloads, and adjustments should not be done without a 20 minute notice. If a schedule has been active for 30 minutes, making a change in 5 minutes does not give enough time to get the change scheduled. There have been times when the reload is at 55 past the hour and the tag ends at the top.

General "The speed of the passive implementation feature should be looked at as sometimes the state of the tag changes so quickly that the system operator doesn't get a chance to evaluate it.

General For OATI, on curtailments or reloads, the integrated total often doesn't match the integrated amount from the reliability coordinator."

"1. Regarding [Question 9](#) - the subcommittee needs to also look at revising ramp rates once a tag is implemented. Currently there is not a function to designate a ramp rate, other than the industry standard of 10 min in Eastern Interconnect, once a tag has been adjusted.

Question 2 2. Curtailments by the IDC occur so late in the hour for the upcoming hour and this makes it impossible to fill the schedule, due to NERC tagging requirements. I would suggest the IDC curtailing tags by 20 after for the upcoming hour. T"
THIS MAY HAVE BEEN COVERED IN A PREVIOUS QUESTION, BUT I BELIEVE THAT IN ALL CASES OF CURTAILMENTS AND RELOADS THAT IDC SHOULD NOTIFY EVERYONE INVOLVED IN THE TRANSACTION. I HAVE EXPERIENCED SEVERAL INSTANCES OF A TAG BEING RELOADED AND NO NOTICICATION WHAT SO EVER IS SENT.

RAs agree on the cut before it is issued

GLS to review who provided the comment

General These changes cost small entities a substantial amount of money for little or no benefit.

Question 9 Ramp rate of 10 minutes in the East is too vague. It should be 5 minutes prior to the start going to 5 minutes after. Total of 10 minutes

General Recommend standardizing the format for reserve tags. Use one tag ID to track the capacity and delivery. With this the tag entities will know what the capacity limit is and what is delivered. All deliveries will show as an adjustment to the capacity tag. Also identify a tag type as RESERVES. Logic could be built into the program to assure delivery does not exceed capacity and transmission assigned is firm.

~~Item 1~~ question 1 - Re our classification as Scheduling Entity, we do our own scheduling.
Item 7a - This is unclear. We already have approval of tags to which we are a party.
Would this provide usage summary a la OATI webSweep Item 9 - This is unclear. Ten-minute ramp rate is already standard.

General (Is this not already on the tag?, see * below) The CA field needs to be added to the tag. The scheduling entity field is not the proper way the account for and show the CA's involved in the flow of the energy.

Questions 5 and 7 Although we answered yes to questions 5 and 7, we think these changes are nice but not necessary if they cost a lot of money.

General (see * above) When 1.7 was implemented, we lost the ability to track the consecutive control areas in a tag and now must use the scheduling entity field for intermediate control areas/transmission providers. Would strongly recommend revising this area so that control areas can be listed in order and control area interchange checkouts can more easily be accommodated.

General Automation of Time Zone Changes for Falling Back in October and Springing Ahead in April. If the system changed with the time change we would only have to submit one tag for the day instead of mult. Also change button between time and enter on top selection bar so that it will default to Anytime, not Today Forward.

Question 2 It really sucks when curtailments/reloads are issued within a few minutes of the top of the hour - i.e. 14.57 or 17.04. It would greatly simplify things if efforts were made to implement these changes across the top of the hour.

The RA can change the timing, you should talk with your RA. If the tag is submitted e.g., 30 minutes after the hour that is when it is considered. IS agrees!

Question 2 Whenever possible, we would like to see curtailments/reloads effective at the nearest 15 minute interval instead of odd start times. This would minimize the problems encountered when modifying tags due to odd start times. Make the changes effective at the quarter, half or three quarter hour. IS – depending on the problem you may want to make the change right away.

Question 2, and 7, General The more information provided through Etag the better. Most control areas use the tag as a basis for their Interchange Transactions, which then make up the Interchange Schedules. This being the case, the unofficially official schedule of record is the tag in most circumstances. Being able to tell which party took at and the cause of such action can be of great help particularly during curtailments and reloads.

"Re - Generator PE Adjusts — Question 66

When there is a loss of generation this is a reliability issue. I would think a Control Area CA CURTAIL should be issued and should have greater weight in being acted on or go PASSIVE APPROVAL than an ADJUST. I am not against a GPE adjusting a tag for market reasons, but I think reliability issues should be handled by CAs. Some Control

Areas might try to rely on the GPE to ADJUST the E-Tag for notification of a trip which is not how Control Areas should communicate reliability"[sic]

General Questions answered by both our Generation group and trading.

Question 2 If at all possible CINergy would like to see the flowgate that is responsible for the curtailment displayed on the tag when the IDC makes a curtailment. Some of these comments should be referred to the IDCWG. IS – You would probably have to tell all marketing entities at the same time – NERC posts this information.

General, Question 9 WECC does not use an IDC for Curtailment. Each CA/TP manages the path within its limits using internally developed or vendor provided tools. WEBSAS is used for unscheduled flow mitigation.

General and Question 7 1. SRP would also like to see POR and POD associated with a control area in the TSIN registry. This type of association could help Tag Authors by eliminating the need to manually associate or select the Scheduling Entity as required in WECC. This is an area that could greatly reduce the number of tagging errors and tag approval conflicts. It could also be useful in creating a checkout feature by providing a way to register control area points and setting up a table that can be used to define control area ad

Question 9 Automate the process for daylight savings time changes when they occur. The current process of manually changing is too cumbersome. Many tags have been needlessly denied when MISO staff does not view in the correct time zone. Also, when viewing, editing, creating, etc., a tag, would like to have the time period option default to ANYTIME versus Today Forward.

General, Question 2 The New England SMD and similar financial markets do not make extensive use of the E-tag functionality in scheduling external transactions. As a result the current E-tag functionality has little impact on overall scheduling protocols in New England however ISO New England does recognize this is not the case throughout the industry. In some areas E-tag functionality is a critical component of external transaction scheduling infrastructure. To the extent that it does not adversely impact ISO New England we

"Specifically to question 2, we have had significant issues with PJM as the IDC reloading a schedule and PJM the CA denying the reload for ramp violations. I would expect that there would be better coordination between the two entities

Although we have only experienced this between the IDC and CA this would also occur in question 8 if there isn't any better coordination"

General "In general the E-Tag system performs very well. Though not high priorities we would also offer the following for consideration-

1. Ability to sort on all columns
2. Add contract number as an available filter criteria

3. Additional selection choices i.e. Day before yesterday rather than just Yesterday and Last-This Week
4. Date selection - start date should automatically select the right day rather than having to select appropriate box
5. Energy Profile and TX Profile should default to the same with the"

Question 7 When a problem occurs the Dispatchers have to resolve it ASAP. The E-tag is the second to last item to complete - the logs are last. The phone is used to contact source and sink and upstream PSE.

Question 2 "We do not take curtailments/reloads from an IDC or Reliability Coordinator. Those questions should not apply or should be considered N/A. Please let me know if you require clarification or would like to inquire more about our tagging/scheduling practices."

General An issue has been discovered that requires attention regarding the use of the Sched Entities field on the physical path segment of the tag to extract schedule building information. The field is optional and should be allowed to fit CA protocol. OATI uses an optional field to extract critical data and has lately proven to be a very problematic issue as each CA's protocol may differ, be correct for that CA and still build erroneous schedules. This issue needs to be addressed soon.

Question 2 and Question 5 "Item number 2 SPP believes that curtailments should only be allowed by Reliability Coordinators. Adjustments done by Control Areas should be another category.

Item number 5 SPP would like to see a common format but the real issue is that there is no way to get these manual tags into IDC.

Item number 8 SPP has had problems with modifications to start times of curtailment and reloads in the past however recent changes to the IDC have taken care of the problem and it is no longer an issue. "

Include Intermediary Control Areas on the E-tag

Generally speaking, E-tag has been working much better concerning Curtailments and Adjustments. Thus, if it ain't broke don't fix it. I do support the checkout process addition.

E-Tagging has worked well for us, the only problems we have is with generation losses which is not a curtailable issue but a PSE adjust. And the PSE has a problem adjusting the tag to the desired amount before the time Ace must be brought back to pre-contingency levels.

I think the primary concern is to keep the tags as simple as possible and not to make them too wordy are hard to understand. They can be quite complicated as they are.

I made no reply to 2 above because the IDC is not used in the WECC. Regarding 7a, we have already built this functionality in an external application using e-tag information. In general the current e-tag/schedule curtailment process is difficult to manage and it is the

cause of most of the failures in real-time; the WECC has been working on addressing on the issue for several months. Also the WECC's ramp period, 10 minutes before to 10 minutes after the hour, reduces the time in each hour by 10 minutes tha [sic]