



Uttar Pradesh Electricity Regulatory Commission  
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### **Public Notice**

The Commission has framed draft regulations in the matter of the Uttar Pradesh Electricity Regulatory Commission (Forecasting, Scheduling, Deviation Settlement and Related Matters of Solar and Wind Generation Sources) Regulations, 2017. These draft regulations are placed on UPERC website [www.uperc.org](http://www.uperc.org). All stakeholders are requested to submit their comments on these amendments by post or electronically to Secretary, UPERC by 6<sup>th</sup> April, 2018.

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Secretary

# Uttar Pradesh Electricity Regulatory Commission

In exercise of the powers conferred under Section 181 of the Electricity Act, 2003 and all powers enabling it in this behalf, the Uttar Pradesh Electricity Regulatory Commission makes the following Regulations to facilitate large-scale grid integration of solar and wind generating stations while maintaining grid stability and security as envisaged under the IEGC, through forecasting & scheduling and providing commercial mechanism for Deviation Settlement of these generators, namely:

## 1. Short title and commencement

- (1) These Regulations may be called the Uttar Pradesh Electricity Regulatory Commission (Forecasting, Scheduling, Deviation Settlement and Related Matters of Solar and Wind Generation Sources) Regulations, 2017.
- (2) These Regulations shall come into force from the date of their publication in the official gazette.

## 2. Definitions and Interpretation

- (1) In these regulations, unless the context otherwise requires,-
  - (a) **'Absolute Error'** means the absolute value of the error in the actual generation of wind or solar generators with reference to the scheduled generation and the 'Available Capacity' (AvC), as calculated using the following formula for each 15 minute time block:  
$$\text{Error (\%)} = 100 \times [\text{Actual Generation} - \text{Scheduled Generation}] / (\text{AvC}) ;$$
  - (b) **'Act'** means the Electricity Act, 2003 (36 of 2003) and Amendments thereto;
  - (c) **'Actual drawal'** in a time-block means electricity in MW or MWh ex-bus drawn by a buyer, as the case may be, measured by the interface meters;
  - (d) **'Actual injection/generation'** in a time-block means electricity in MW or MWh ex-bus generated or supplied by the seller, as the case may be, measured by the Interface meters;
  - (e) **'Available Capacity or AvC'** for wind or solar generators means the cumulative capacity rating of the wind turbines or solar inverters that are capable of generating power in a given time-block;

- (f) **'Beneficiary'** means a person procuring electricity generated from a solar or wind generating station including solar/wind captive generating station;
- (g) **'Buyer'** means a person, including beneficiary, purchasing electricity through a transaction scheduled in accordance with the regulations applicable for short-term, medium-term and long-term open access;
- (h) **'CERC'** means the Central Electricity Regulatory Commission referred to in sub-section (1) of section 76 of the Act;
- (i) **'Deviation'** in a time-block for a seller means its total actual injection minus its total scheduled generation and for a buyer means its total actual drawal minus its total scheduled drawal;
- (j) **'Gaming'** in relation to these regulations, shall mean an intentional mis-declaration of available capacity or schedule by any seller in order to make an undue commercial gain through Charge for Deviations;
- (k) **'IEGC'** means the Grid Code specified by Central Commission under clause (h) of sub-section (1) of Section 79 of the Act;
- (l) **'Interface Meters'** means interface meters as defined by the Central Electricity Authority under the Central Electricity Authority (Installation and Operation of Meters) Regulations, 2006, as amended from time to time;
- (m) **'Intra-State Entity'** means an entity which is in the SLDC control area and whose metering and energy accounting is done at the State level;
- (n) **'Pooling Station'** means the sub-station where pooling of generation of individual wind generators or solar generators is done for interfacing with the grid/transmission or distribution system:

Provided that where there is no separate pooling station for a wind / solar generator and the generating station is connected through common/dedicated feeder and terminated at a sub-station of distribution company/STU, the sub-station of distribution company/STU shall be considered as the pooling station for such wind/solar generator, as the case may be;

- (o) **'Qualified Coordinating Agency or QCA'** means the mutually agreed agency registered with SLDC, to act as a coordinating agency on behalf of Wind/Solar Generators connected to a pooling station and may be one of the generators;
- (p) **'Regional Entity'** means such persons who are in the RLDC control area and whose metering and energy accounting is done at the regional level;

- (q) **'State Grid Code'** means the Grid Code specified by Uttar Pradesh Electricity Regulatory Commission under clause (h) of sub-section (1) of Section 86 of the Act;
  - (r) **'Scheduled Generation'** at any time or for a time block or any period means schedule of generation in MW or MWh ex-bus ;
  - (s) **'Scheduled drawal'** at any time or for a time block or any period time block means schedule of despatch in MW or MWh ex-bus;
  - (t) **'Seller'** means a person, including a generating station, either selling electricity to Distribution Licensee or supplying electricity for captive use or through a transaction scheduled in accordance with the Regulations applicable for short-term, medium-term and long-term open access;
  - (u) **'State Commission'** means Uttar Pradesh Electricity Regulatory Commission;
  - (v) **'State Pool Account'** means State account for receipts and payments on account of deviation by buyers or sellers including wind and solar generators and shall be maintained by SLDC;
  - (w) **'State Load Despatch Centre or SLDC'** means Load Despatch Centre of the State, established under sub-section (1) of Section 31 of the Act, responsible for coordinating scheduling of the State entities in accordance with the provisions of the Uttar Pradesh Electricity Grid Code;
  - (x) **'Time-block'** means a time block of 15 minutes, for which specified electrical parameters and quantities are recorded by special energy meter, with first time block starting at 00.00 hrs;
- (2) Save as aforesaid and unless repugnant to the context or the subject matter otherwise requires, words and expressions used in these Regulations and not defined, but defined in the Act, or the State Grid Code or any other Regulations of this Commission, shall have the meaning assigned to them respectively in the Act or the REGC or any other Regulation.

## PART-1

GENERAL:

### 3. Applicability of the Regulations:

(1) For wind power generators supplying power to the Discoms, or to the third party consumers through Open Access (OA) or for captive consumption through OA within or outside the State:

(a) Wind power generators having individual or combined capacity of 5 MW and above whether connected to the State Grid independently or through pooling stations;

(b) Wind power generators of any capacity connected to the State Grid through pooling station with total capacity of 5MW and above.

(2) For solar power generators supplying power to the Discoms, or to the third party consumers through Open Access (OA) or for captive consumption through OA within or outside the State:

(a) Solar power generators having Individual or combined capacity of 5 MW and above whether connected to the State Grid independently or through pooling stations and/or solar parks;

(b) Solar power generators of any capacity connected to the State Grid through pooling station and /or solar park with total capacity of 5 MW and above.

Provided that the charges payable for deviation from schedule by the wind and solar generators which are regional entities shall be accounted for and settled in accordance with the provisions of the Central Electricity Regulatory Commission (Deviation Settlement Mechanism and related matters) Regulations, 2014 as amended from time to time:

Provided further that these Regulations may be applied to RE generators with new technologies as considered appropriate by the Commission over the time.

## PART – 2

### ROLE OF QUALIFIED COORDINATING AGENCY (QCA):

4. The Qualified Coordinating Agency (QCA) as defined at Regulation 2(1)(o) shall be nominated based on consensus and mutually agreed terms and conditions amongst the wind and solar generators. The registration of QCA with SLDC shall be informed to the State Commission. The wind and solar generators shall also inform SLDC and the State Commission to this effect. The QCA will act as agent of the wind and solar generators and has to follow the directions issued by SLDC covered under Section 33(2) of the Electricity Act 2003. QCA shall be the single point of contact with SLDC on behalf of its coordinated generator(s) connected to a pooling station for the following purposes:

- (1) Provide schedules with periodic revisions as per these Regulations on behalf of all the Wind/Solar Generators connected to the pooling station.
- (2) Responsible for coordination with STU/SLDC and other agencies for metering, data collection and its transmission, communication.
- (3) Undertake commercial settlements on behalf of the generators, of such charges pertaining to generation deviations only including payments to the State pool account through the concerned SLDC.
- (4) Undertake de-pooling of payments received on behalf of the generators from the State Pool account and settling them with the individual generators in accordance with these Regulations.
- (5) Undertake commercial settlement of any other charges on behalf of the generators as may be mandated from time to time.

QCA shall be treated as an intra-state entity for the purpose of these Regulations.

5. Each pooling station shall have one QCA. However, in case a particular solar or wind generator alone is connected to a pooling station, then such generator shall act as a QCA. .

### FORECASTING AND SCHEDULING:

6. These Regulations provide methodology for day-ahead scheduling of wind and solar energy generators which are connected to the State grid and the methodology of handling deviations of such wind and solar energy generators. Appropriate meters shall be provided by STU at the cost of intra-state entities for energy accounting. Telemetry/communication system & Data Acquisition System as may be required by SLDC shall also be provided by the generator concerned for transfer of information to the SLDC.

7. Forecasting shall be done by wind and solar generators connected to the State Grid or by QCAs on their behalf. The SLDC shall also undertake forecasting of wind and solar power that is expected to be injected into the State grid. The forecast by the SLDC shall be with the objective of ensuring secure grid operation by planning for the requisite balancing resources. The forecast by the QCA or wind and solar generator, as the case may be, shall be generator centric. The QCA or wind and solar generators will have the option of accepting the SLDC's forecast for preparing its schedule or providing a schedule to the SLDC based on their own forecast. The QCA shall coordinate the aggregation of schedules of all generators connected to a pooling station and communicate it to the SLDC.

Provided the existing wind and solar generators or QCA on their behalf shall establish the forecasting tools and week-ahead, day-ahead forecasting and scheduling to be furnished to SLDC within three months from the date of coming into effect of these Regulations. However, all the new wind and solar generators or QCA on their behalf shall establish forecasting arrangements before commissioning of the plant and connecting to the State Grid.

8. The QCA or the wind and solar generator shall submit a day-ahead schedule for each pooling station or each generating station, as the case may be. Day-ahead schedule shall contain wind or solar energy generation schedule at intervals of 15 minutes (time-block) for the next day, starting from 00:00 hours of the day, and prepared for all 96 time- blocks.

Provided that the wind and solar generators, as the case may be, having multiple transaction under Power Purchase Agreement and intra- state and/ or inter-state Open Access with a common interface meter shall submit schedules with respect to such approved capacities allocated and such capacities alone shall be treated as available capacities (AVCs) for the purpose of transactions under this Regulation.

9. The schedule of wind and solar generators connected to the State grid (excluding collective transactions) may be revised by giving advance notice to the SLDC. Such revisions shall be effective from 4th time block, the first being the time-block in which notice was given. There may be one revision for each time slot of one and half hours starting from 00:00 hours of a particular day subject to a maximum of 16 revisions during the day.
10. Any commercial impact on account of deviation from schedule based on the forecast shall be borne by the wind and solar generator, either directly or transacted via the representing QCA.

### **Part-3**

#### **METERING, TELEMTRY AND DATA COMMUNICATION:**

- 11.** Wind and Solar generators covered under these Regulations shall be governed by interface metering with a provision for recording and storing all the load survey and billing parameters for every 15-minute time block. Monthly meter readings shall be forwarded to the SLDC in addition to data acquisition through SCADA for energy accounting.
- 12.** Data telemetry shall be adopted at the turbine/inverter or plant level as considered appropriate by SLDC. Wind and Solar generators, represented via Qualified Coordinating Agencies (QCAs), shall mandatorily provide to the SLDC, in a format prescribed by SLDC, the technical specifications at the beginning and whenever there is any change. The data relating to power system output & parameters and weather related data as applicable or any other data as directed by SLDC shall be mandatorily provided by such generators or QCA to the SLDC in real time:

In case of failure of the consumers comply with the above timelines, penalty of Rs. 25000/- per day will be levied.

- 13.** The plan for data telemetry, Communication requirement, formats of forecast submission and other details in this regard shall be provided in the Detailed Procedure prepared by SLDC and approved by the Commission.



**PART –  
4**

**COMMERCIAL AND DEVIATION SETTLEMENT:**

- 14.** The Deviation Settlement Mechanism (DSM) specified under these Regulations shall be applicable to all wind and solar generators covered under these Regulations and connected to the State Grid.
- 15.** The wind or solar generators connected to the State grid and selling power within the State shall be paid by the buyer as per actual energy supplied irrespective of quantum of energy scheduled by it. However, the wind and solar generators connected to the State Grid and selling power outside the State shall be paid by the buyer as per scheduled generation.
- 16.** The wind and solar generator or the QCA, as the case may be, shall provide SLDC with a schedule based on its own forecast or SLDC's forecast, and such schedule shall be used as reference for deviation settlement.
- 17.** The Generator/QCA shall undertake commercial settlements related to deviations on behalf of the generator(s) connected to the respective pooling station(s) on a monthly basis.
- 18.** In the event of actual generation of a generating station or a pooling station, as the case may be, being less or more than the generation scheduled as per Regulation 16 above, the deviation charges for shortfall or excess generation shall be payable by the wind and solar generator or the QCA, as the case may be, to the State Pool, as prescribed in Table – I below:

<b>S No.</b>	<b>Absolute Error in the 15-minute time block</b>	<b>Deviation Charges payable to State DSM Pool</b>
1	$\leq 15\%$	None
2	$>5\%$ but $\leq 25\%$	At Rs. 0.50 per unit for the shortfall or excess energy for absolute error beyond 15% and upto 25%
3	$>25\%$ but $\leq 35\%$	At Rs. 0.50 per unit for the shortfall or excess energy beyond 15% and upto 25% + Rs. 1.0 per unit for balance energy beyond 25% and upto 35%
4	$>35\%$	At Rs. 0.50 per unit for the shortfall or excess energy beyond 15% and upto 25% + Rs. 1.0 per unit for shortfall or excess energy beyond 25% and upto 35% + Rs. 1.50 per unit for balance energy beyond 35%

Provided that deviation charges for under or over injection by wind or solar generator connected to the State grid and selling power outside the State shall be accounted for and settled in accordance with the provisions of the CERC (Deviation Settlement Mechanism and Related Matters) Regulations, 2014 as amended from time to time. The accounting for this purpose shall be done by the SLDC.

- 19.** The QCA shall also de-pool the energy deviations as well as deviation charges to each generator on the basis of the deviation of each generator or any other methodology /criteria mutually agreed between QCA and generators.
- 20.** Once the accounting procedures as above are put in place, all solar and wind generators shall be treated together as a virtual pool within the State Pool. Deviations for and within this virtual pool shall be settled first at the rates and methodology stipulated above for wind and solar generators.
- 21.** Monthly accounts as mentioned above shall be prepared by the SLDC. The wind and/or solar or QCA or SLDC, as the case may be shall separately account the deviations for multiple transactions under PPA and/or intra-state and/or inter-state Open Access.
- 22.** The State Load Despatch Centre shall maintain separate records and account of time-block wise schedules, actual generation and deviations for all generators, including wind and solar generators.
- 23.** The guidelines in respect of payment mechanism, payment security, curtailment and other matters incidental to these Regulations shall be as provided in the detailed procedure provided by SLDC under Regulation 13 of these Regulations

## **Part 5**

### **MISCELLANEOUS**

#### **24. Power to Relax**

The Commission may by general or special order, for reasons to be recorded in writing, and after giving an opportunity of hearing to the parties likely to be affected by grant of relaxation, may relax any of the provisions of these regulations on its own motion or on an application made before it by an interested person.

#### **25. Power to issue directions**

If any difficulty arises in giving effect to these regulations, the Commission may on its own motion or on an application filed by any affected party, issue such directions as may be considered necessary in furtherance of the objective and purpose of these Regulations.

#### **26. Power to amend**

The Commission may, at any time, vary, alter, modify or amend any provision of these Regulations.

#### **27. Dispute Settlement**

In case of any dispute in giving effect to these regulations, the affected party may approach the State Commission with a proper application in accordance with UPERC (Conduct of Business) Regulations, 2004 as amended from time to time.

The dispute between SLDC and the QCA shall be resolved as per the provisions of Section 33(4) of the Electricity Act 2003.