

Trading and Settlement Code

Agreed
Procedure 11:
Market System
Operation,
Testing,
Upgrading and
Support

April 7

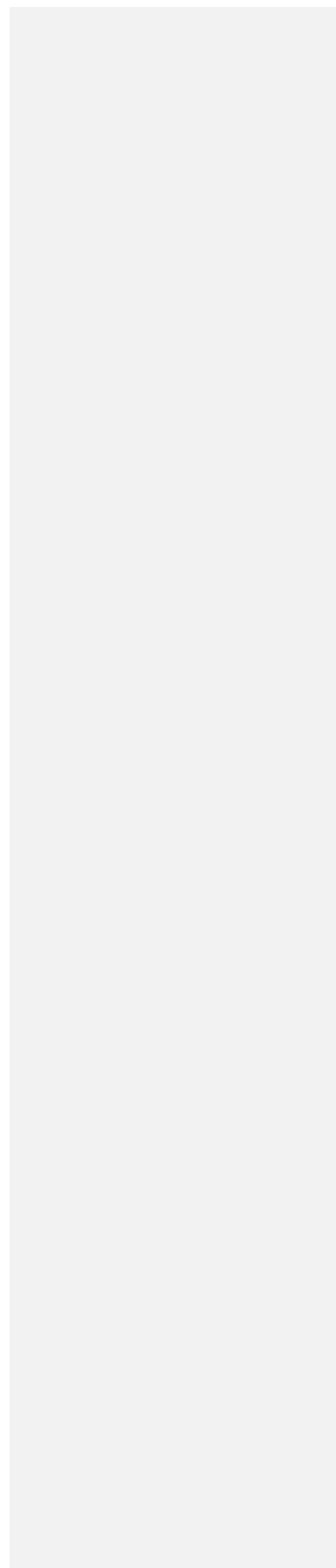
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DOCUMENT HISTORY

Version	Date	Author	Comment
1.0	07/04/2017	I-SEM Project Team	

RELATED DOCUMENTS

Document Title	Version	Date	By
Trading and Settlement Code			
Agreed Procedure 1 "Registration"			
Agreed Procedure 3 "Communication Channel Qualification"			
Agreed Procedure 7 "Emergency Communications"			
Agreed Procedure 9 "Management of Credit Cover and Credit Default"			
Agreed Procedure 10 "Settlement Reallocation"			
Agreed Procedure 12 "Modifications Committee Operation"			
Agreed Procedure 13 "Settlement Queries"			
Agreed Procedure 14 "Disputes"			

1. INTRODUCTION

1.1 Background and Purpose

This Agreed Procedure supplements the rules in the Trading and Settlement Code (hereinafter referred to as the “Code”) relating to Market System operation, testing, upgrading and support. It sets out procedures with which Parties to the Code must comply.

1.2 Scope of Agreed Procedure

This Agreed Procedure sets out procedures in relation to how the Market Operator:

- (a) Provides advice to Parties in relation to the market operation and Communication Channels;
- (b) Provides a facility for Parties to report incidents;
- (c) Coordinates and facilitates Implementation of the Market Operator’s Isolated Market Systems and Type 2 Channel / Type 3 Channel;
- (d) Schedules testing and down-time of the Market Operator’s Isolated Market Systems or Type 2 Channel / Type 3 Channel Balancing Market Interfaces; and
- (e) Commission an externally audited report as required under the Code in the event of a communication or systems failure.

The Agreed Procedure will also set out the timescales and standards for the Market Operator to restore the Market Operator’s Isolated Market Systems in the event of a General System Failure.

This Agreed Procedure forms an annex to, and is governed by, the Code. ~~It is a statement of process and sets out procedures to be followed subject to the Parties’ rights and obligations of Parties are set out in~~under the Code. In the event of any conflict between a Party’s obligations set out in the Code and this Agreed Procedure, the Code shall take precedence.

It is not intended that there be any inconsistency or conflict between section 2 “Overview” and section 3 “Procedural Steps”. However, in the event of any inconsistency or conflict, section 3 “Procedural Steps” shall take precedence.

In section 3 “Procedural Steps” a corresponding process flow diagram is included for each procedural steps table. Process flow diagrams are for illustrative purposes. It is not intended that there be any inconsistency or conflict between any procedural steps table and process flow diagram however, in the event of any inconsistency or conflict, a procedural steps table shall take precedence.

1.3 Definitions

Words and expressions defined in the Code shall, unless the context otherwise requires or unless otherwise defined herein at Appendix 1 “Definitions and Abbreviations”, have the same meanings when used in this Agreed Procedure.

References to particular paragraphs relate internally to this Agreed Procedure unless otherwise specified.

1.4 Compliance with Agreed Procedure

Compliance with this Agreed Procedure is required under the terms as set out in the Code.

2. OVERVIEW

~~It is not intended that there be any inconsistency or conflict between this section 2 "Overview" and section 3 "Procedural Steps". However, in the event of any inconsistency or conflict, section 3 "Procedural Steps" shall take precedence.~~

2.1 ~~Customer Services Function~~ Helpdesk

The Market Operator will operate a Helpdesk ~~where through which~~ Parties can seek technical and operational advice. The Helpdesk will provide information ~~and advice~~ on the following:

- (a) Party / Unit registration;
- (b) Communication Channels;
- (c) Market operation and obligations of Parties;
- (d) Incidents affecting the Market Operator's Isolated Market Systems and Communication Channels; or
- (e) Initial point of contact for Participants to raise a Settlement Query, log a Dispute, request an ad-hoc data report or any other query.

The Helpdesk can be contacted via email or by telephone except in relation to Disputes and Settlement Queries, which will require the communication methods ~~defined specified~~ in Agreed Procedure 13 "Settlement Queries" and Agreed Procedure 14 "Disputes" to be used.

2.1.1 Categorisation and Prioritisation of Helpdesk Requests

Helpdesk Requests are separated into 5 categories ~~as~~ outlined in the table below.

Table 1: Helpdesk Categories

Category	Title	Description
1	Dispute	Dispute raised under Agreed Procedure 14 "Disputes"
2	Settlement Query	Query raised under Agreed Procedure 13 "Settlement Queries"
3	General Urgent Query	A query with very high priority, requiring urgent assistance by the Market Operator and relating to specific issues preventing a Participant from performing its obligations under the Code, such as Credit Cover Increase Notices, invoices, communication failure, and offer data submission problems at gGate eClosure . For issues with-in relation to Offer Data submission, Participants can avail of an emergency telephone line that is-responded connects directly to by an operator without going through the Helpdesk.
4	General Important query	A query with medium/_high priority relating to items such as training requests, Digital Certificates, configuration of Communication Channels, A authorised P persons, scheduled

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		reports missing from the websites, etc.
5	General Standard Query	A query with normal priority. It could relate to any item like <u>including</u> archive request, query update, access issues, clarification on market rules, general publications etc.

Table 1: Helpdesk Categories

2.1.2 Helpdesk Requests - Category ~~1~~ requests

All Helpdesk Requests under Category 1 will be logged and presented to the appropriate Market Operator contact as soon as possible upon receipt. The person processing the Dispute shall follow the procedures and timelines of Agreed Procedure 14 "Disputes".

2.1.3 Helpdesk Requests - Category 2 requests

All Helpdesk Requests under Category 2 will be logged and presented to the appropriate Market Operator contact as soon as possible upon receipt. The person processing the Settlement Query shall follow the procedures and timelines of Agreed Procedure 13 "Settlement Queries".

2.1.4 Helpdesk Requests - Category 3, 4 and 5 requests

A general query is a query submitted by e-mail / voicemail / telephone call without the ~~specific-prescribed~~ form for Settlement Queries or Disputes. As set out in Table 1 "Helpdesk Categories", ~~these~~ general queries are further categorised ~~according to Table 1~~ as:

- (a) General Urgent Query;
- (b) General Important Query; or
- (c) General Standard Query.

The classification of general queries set out above helps to prioritise responses and make the process more efficient for those issues that require a fast turnaround. The response will include either the information requested or provide a ~~timescale-timeline~~ for processing the request. Depending on the type of issues the response timelines can vary, however the following guidelines are in place:

- ~~(a)~~ (a) General Urgent Query: respond within maximum ~~4~~ one Working Day;
- ~~(b)~~ (b) General Important Query: respond within maximum ~~3~~ three Working Days;
- ~~(c)~~ (c) General Standard Query: depending on the issue, reasonable endeavour to respond within 15 Working Days. The Helpdesk will inform the Party raising the query if 'special requests' (such ~~like~~ as large archived data requests or queries with external dependencies) could not be responded to within the above timelines, and will communicate the revised target timelines.

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The criteria for classifying a query have been defined in consultation with Participants and ~~are~~ kept in a list maintained by ~~customer service~~ the Helpdesk. Although the list above offers general indications on queries classification and will be updated as the need arise, some judgement is required on a case by case basis by the ~~customer services~~ Helpdesk representative where no profile matches the query topic.

2.1.5 Logging ~~and~~ Monitoring of Helpdesk Requests

All Helpdesk Requests will be logged ~~by~~ the Market Operator ~~s~~ ~~Balancing Market Query Management System~~ when initially processed and the details and resolution ~~timescales~~ recorded.

The Helpdesk will inform the Participant of the closure of Helpdesk ~~R~~requests, ~~either~~ by telephone, email or via the Market Operators Query Management System portal.

2.2 Market Operator's Isolated Market System Modifications

2.2.1 Change Management

The Market Operator shall implement a change management process in relation to their Isolated Market System to manage the identification, recording, rectification/development and Implementation of:

- (a) any change to the production system, applications, environment or infrastructure;
- (b) defects;
- (c) approved changes through Agreed Procedure 12 "Modifications Committee Operation";
- (d) operational improvements not requiring Modifications; and
- (e) upgrades ~~to~~ system software ~~both~~ core and third party.

The change management process will include procedures to collate Modifications to the Market Operator's Isolated Market System into Releases.

Parties will be made aware of all changes to the Market Operator's Isolated Market Systems with the exception of changes that relate to standard IT maintenance activities or internal process improvements which do not impact on system availability or third party interfaces. Parties will be informed of such changes as part of the change management process.

2.2.2 Release Management ~~(Scheduled Releases)~~

~~Each year, before~~ By the final Working Day in June, ~~of each year~~ the Market Operator shall provide all Parties with a ~~R~~release timetable for the following year that identifies the dates for ~~S~~cheduled Releases of the Market Operator's Isolated Market System. These Releases will be made up of system modifications as a result of Modifications agreed under Agreed Procedure 12 "Modifications Committee Operation", upgrades in system software (core and third party) and corrections of identified defects. The composition of the ~~R~~releases will not be detailed in the release timetable.

The Market Operator shall maintain the ~~I-SEM~~ interface Technical Specification, which shall provide ~~sufficient~~ information required for Participants to implement Type 2 Channel and Type 3 Channel interfaces to the Market Operator's Isolated Market Systems. This documentation shall be maintained under version control by the Market Operator.

Any proposed ~~i~~Implementation shall consider ~~the change~~corresponding updates to the ~~SEM~~ Technical Specification and the Market Operator shall detail ~~the change~~this update within its ~~High Level~~ Impact Assessment which shall be made available to Participants, Meter Data Providers and System Operators. The ~~High Level~~ Impact Assessment shall assign the Implementation ~~C~~classification (see Table 1, "Levels of Implementation") and include a proposed Release ~~p~~Plan. The Release ~~p~~Plan shall include:

- (a) ~~c~~Consultation forum details;
- (b) ~~p~~Proposed delivery date for complete Technical Specification ~~Documentation~~ pertaining to proposed ~~R~~release. Where appropriate a delivery date for provision of sample files will also be specified;
- (c) ~~p~~Proposed Participant interface testing start date and duration; and
- (d) ~~p~~Proposed ~~R~~release date and ~~i~~Implementation window.

On receipt of the output of the ~~High Level~~ Impact Assessment and Release ~~p~~Plan the Participant, Meter Data Providers and System Operators shall be given the opportunity to comment on the content of these documents. All comments must be received by the Market Operator ~~no later than~~within 5 Working Days ~~off from~~ the date of issue of the ~~High Level~~ Impact Assessment and Release ~~p~~Plan. In the case of disagreement ~~in relation to~~ the content, assigned Implementation ~~C~~classification, or ~~R~~release detail then the rationale for the disagreement must be provided to the Market Operator.

A consultation workshop will be organised by the Market Operator as close as is practicable to five Working Days (and no later than ~~ten~~4 Working Days) after the issue of the ~~High Level~~ Impact Assessment and Release plan. Attendance of any Party is ~~not compulsory~~voluntary— the purpose of the workshop is to facilitate consultation on the key aspects of the proposed ~~R~~release.

Once all comments are received, ~~(including discussions had during the consultation workshop)~~, the Market Operator will issue a document to Participants, Meter Data Providers and System Operators detailing the final ~~i~~Implementation classification, ~~R~~release content and proposed timeline ~~to the Participants, Meter Data Providers and System Operators~~. The minimum time between issue of this document and implementing a planned ~~R~~release will be 35 days.

If a Participant, Meter Data Provider or System Operator maintains their disagreement with the assigned ~~i~~Implementation ~~C~~classification or Release detail they shall have recourse to the Modifications Committee through the raising of an Urgent Modification Proposal ~~following the processes described in accordance with~~ in Agreed Procedure 12 "Modifications Committee Operation". The raising of the Urgent Modification Proposal must ~~first~~ be agreed with the Regulatory Authorities and its raising shall prevent the proposed Implementation of the change until a judgement has been concluded by the Emergency Meeting. There will be no specific changes to market documentation associated with the Urgent Modification Proposal.

2.2.3 Emergency Releases

~~Where~~ The Market Operator may schedule an Emergency Release: (i) if it considers that there is a risk to the security or operation of the SEM that requires an upgrade in system software (core or third party), security patch(es) or a defect; or (ii) if there is an Implementation of an Urgent Modification, ~~the Market Operator may schedule an Emergency Release.~~

Where an Emergency Release does not affect the interface with Parties (i.e. there is no requirement for Parties to modify their Isolated Market Systems) then the Market Operator shall publish a summary of the Emergency Release as soon as practicable. It is recognised that this notice may be issued immediately prior to the Emergency Release. Reasonable endeavours shall be made to issue the Emergency #Release notification as early as possible.

Where an Emergency Release ~~does~~affects the interface with Parties (i.e. there is a requirement for Parties to modify their Isolated Market Systems) then this shall be agreed through an Urgent Modification. The agreement of the Urgent Modification should also include the Emergency Release ~~timelines~~scales and the notices that the Market Operator shall publish to Parties on the Emergency Implementation ~~of the Emergency Release~~.

2.2.4 Testing

The Market Operator shall be responsible for testing Releases of its Isolated Market Systems and for ensuring that any functional and technical changes meet the requirements of the approved Modification Proposals included in the Release.

Where the Release includes changes to the interface with Parties, ~~then~~ the Market Operator will provide a separate Test Environment of the relevant Market Operator's Isolated Market System to enable the affected Parties to test the interface. This Test Environment will be available for a period of not less than five Working Days prior to Implementation of the Release. The date and duration of this test phase will be decided ~~upon~~ based on feedback ~~solicited~~received during the initial Release consultation process. If during this phase the Market Operator becomes aware that one or more Participants ~~are~~is experiencing unanticipated issues during ~~their~~testing, the Market Operator may revise the planned Release date ~~to a later date~~.

Where the Release does not include changes to the interface with Parties, ~~then~~ the Market Operator will only provide a separate Test Environment of the relevant Market Operator's Isolated Market System if this has been requested as part of an approved Modification Proposal included in the Release. The Test Environment will be made available within the ~~timelines~~scales approved in the approved Modification ~~Proposal~~.

2.2.5 Implementation Procedures

Implementation of Releases containing approved Modification Proposals must be sanctioned by the Regulatory Authorities in accordance with Agreed Procedure 12 "Modifications Committee Operation".

Implementation of Releases on the production Market Operator's Isolated Market System or Communication Channels may have an effect on Parties' interfaces with the Market Operator's Isolated Market Systems. Four categories of Implementation have been defined ~~depending~~based on the operational impact on Parties, ~~namely~~: These are set out in the table below.

Table 2: Levels of Implementation

Implementation Classification	Description
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Implementation Classification	Description
Normal o Operation	Implementation of parts of the Market Operator's Isolated Market System which has no impact on Parties and does not require changes to Participants' Isolated Market Systems. Standard systems maintenance tasks would typically fall into this category. The <u>Central</u> Market Systems will be fully available for the duration of the i Implementation. Parties will be notified.
Maintenance	This category covers Primarily planned maintenance activities which do not require Modification Panel approval. No changes to Participants' Isolated Market Systems are involved. The Market Operator will provide notice detailing the planned i Implementation window at least five Working Days prior to R release date if the <u>Central</u> Market Systems are to be <u>shall not be un</u> available during the i Implementation.
Application Release	This category covers Implementation of application software and or system change as a result of approved Modification Proposal(s) and or a change originating from the Market Operators i Internal c Change m Management process. Section 2.2.2 <u>above sets out further details in relation to Scheduled Releases and the procedure in relation to change management for Scheduled Releases is set out at section 3.2.1 below.</u> 'Scheduled Releases' details how these releases will be planned and implemented.
Emergency Release	Implementation of an Emergency Release. Section 2.2.3 <u>above sets out further details in relation to Emergency Releases and the procedure in relation to Emergency Releases is set out at section 3.2.2 below.</u> contains further detail.

Table 2: Levels of Implementation

The Market Operator shall remind Participants, Meter Data Providers and System Operators of the Implementation one Working Day prior to the scheduled day ~~for~~ the Implementation.

On the day of the Implementation, if the Implementation is extended such that it falls outside the ~~advised~~ ~~notified~~ Implementation ~~timescales~~ ~~timelines~~ ~~and~~ ~~the~~ ~~circumstances~~ ~~constitute~~ ~~a~~ ~~Failure~~, ~~the~~ ~~Market~~ ~~Operator~~ ~~shall~~ ~~initiate~~ ~~the~~ ~~relevant~~ ~~procedures~~ ~~and~~ ~~as~~ ~~dictated~~ ~~in~~ ~~under~~ Agreed Procedure 7 "Emergency Communications" ~~a~~ ~~particular~~ ~~failure~~ ~~category~~ ~~is~~ ~~achieved~~, ~~the~~ ~~Market~~ ~~Operator~~ ~~will~~ ~~initiate~~ ~~the~~ ~~relevant~~ ~~procedures~~.

When the Implementation is completed, the Market Operator will, as soon as ~~is~~ practicable, inform Participants, Meter Data Providers and System Operators by publishing the information on the Market Operator's ~~w~~Website.

For Application Releases a confirmation will be included in the Impact Assessment if the Participants ~~will~~ ~~be~~ ~~are~~ required to have their Communication Channels re-qualified under Agreed Procedure 3 "Communication Channel Qualification" to allow use of that Communication Channel after the Implementation. As part of the Impact Assessment the Market Operator shall provide an estimate of the Isolated Market System down-time required to deploy the Application Release. ~~Reasonable endeavours will be made by the Market Operator to implement system changes in a manner which minimises impact on third party interaction with Market Operator's Isolated Market Systems.~~

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2.2.6 Emergency Implementation

The Market Operator shall be required to inform all affected Parties, as soon as practicable, of the operational impact of an Emergency Implementation. Where the Emergency Implementation is initiated by an approved Urgent Modification Proposal then Market Operator shall consult with Parties as set out in the approved Urgent Modification Proposal.

2.3 Problem Management

2.3.1 Problem Management Function

The Market Operator shall establish a Problem Management Function to consider the interim solutions to be adopted in the event of a Failure. A Failure includes a:

- (a) General System Failure;
- (b) General Communication Failure; and
- ~~(c)~~ Limited Communication Failure where the affected Party is the Interconnector Administrator.

~~(c)~~

The function may be a single senior officer or a group of officers from the Market Operator.

The Market Operator will communicate the interim solutions to the relevant Parties and shall also communicate the consequences of the Failure taking into account any interim solution adopted.

2.3.2 Prioritisation of Actions

The Problem Management Function will develop the interim solutions and prioritise the restoration of Market Operator's Isolated Market Systems to prevent the following consequences of Failures in this priority order:

- (a) Adoption of Administered Settlement;
- (b) Failure to meet Billing Timescales;
- (c) Failure to provide pre-Gate Closure information;
- (d) Failure to provide Imbalance Price outputs; and
- (e) Failure to provide D+1 and D+4 WD Settlement outputs.

Typical Failures for each consequence and potential interim solutions are provided in Appendix 2 "Potential Failures and Typical Corrective Actions".

~~2.3.3 Rectification Timelines for Failures of Market Operator's Isolated Market Systems~~

~~The Market Operator's Isolated Market System target availability is 99.95%. If the systems become unavailable the target rectification times described in the table below apply. The rectification/availability timelines specified are to prevent the top two critical consequences (namely Adoption of Administered Settlement and Failure to meet Billing Timescales) from occurring and to ensure that the remaining consequences are of limited duration.~~

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Failure	Target Rectification time
Receipt of Offer Data, Receipt of data from Interconnector Administrator, Meter Data Providers or System Operators	Within [2 hours] of the Failure being identified.
Failure of all other parts of the Market Operator's Isolated Market System required to meet the Billing Timescales	Within [4 hours] of the Failure being identified.

Table 3: Target Timelines for System Issue Resolution

2.3.42.3.3 Procedures applicable in the event of a Failure

The procedures under Agreed Procedure 7 "Emergency Communications", ~~General System Failure~~ shall ~~be followed~~ apply when a Failure occurs.

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~~Under that procedure, as soon as the Market Operator becomes aware of a Failure, the Market Operator will notify all Parties of:~~

- ~~(a) what is affected;~~
- ~~(b) the interim processes to be used to mitigate the effects of the Failure;~~
- ~~(c) the period of time that this would be used before it is escalated in the event that it is not resolved; and,~~
- ~~(d) the consequent changes to reporting and publication timescales and whether some reports or publications will be cancelled.~~

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Comment [A4]: Note: This section has been deleted as the Emergency communications procedure is set out in detail in Agreed Procedure 7 "Emergency Communications".

2.3.5 Post Event Reporting in the event of a Failure

~~In the event of a Failure the post event report must consider the cause of the Failure and the response of Parties to that Failure. A single process shall accommodate the reporting for the three Failure types.~~

~~A report may also be initiated prior to the rectification of a Failure.~~

~~Where there has been an incident in the SEM which, in the opinion of the Market Operator, has had a material effect on the market prices, the Market Operator shall inform the Regulatory Authorities. The Regulatory Authorities may direct the Market Operator to commission an externally audited report using the same process.~~

Comment [A5]: Note: This information is deleted as it is repeated in the section below.

2.3.62.3.4 Procedure for Post Event Reporting

The procedural steps in relation to Post Event Reports in the event of a Failure are set out at section 3.4 below.

A Post Event Report will be a detailed study of the cause of the relevant Failure or Material Incident and the behaviour of all Parties during the Failure or Material Incident with particular emphasis on compliance with Agreed Procedure 7 "Emergency Communications". All Parties will be obliged to cooperate with the authors during the compilation of a Post Event Report.

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Where a Post Event Report is initiated by the rectification of a Failure, the Market Operator shall commission the report within two Working Days of restoring the affected system and/or Communication Channels back to their normal operational state.

Where a Failure extends beyond five Working Days, the Market Operator may apply to the Regulatory Authorities to determine the need for a Post Event Report ~~into their respect of the~~ Failure in advance of resolving the problem. The Market Operator shall commission such a report within two Working Days of the direction given by the Regulatory Authorities.

The Market Operator shall commission a Post Event Report after a Material Incident. The Regulatory Authorities and the Market Operator shall agree the ~~timeliness~~ scales for the initiation and production of ~~such the~~ report.}

~~The A Post Event~~ report must be completed within five Working Days or other ~~time~~ timeline scale agreed between the Regulatory Authorities and the Market Operator.

The Market Operator shall present ~~the report a~~ Post Event Report to the Regulatory Authorities within two Working Days of ~~its receipt of the commissioned report.~~

~~The A Post Event Report will be a detailed study of the cause of the Failure or Material Incident and the behaviour of all Parties during the Failure or Material Incident with particular emphasis on compliance with Agreed Procedure 7 "Emergency Communications". All Parties will be obliged to cooperate with the authors during the compilation of the a Post Event Report.~~

~~2.3.7~~ 2.4 Authorised Persons

2.4.1 Nomination of Authorised Persons

Where ~~ver~~ Parties communicate with the Market Operator via Type 1 Channel or other communication required under Agreed Procedures, ~~then~~ that communication must be from staff duly authorised using this Agreed Procedure. To be an Authorised Person, Party staff must first be registered as a User via the Balancing Market Interface. A User can then be authorised under one or more of the ~~Authoris~~ edation Categories A, ~~as~~ set in Appendix 43 "Authorisation Categories".

A Party Administrative User is permitted to nominate and change the authorisations of other staff from that Party. As this role is administered via the Balancing Market Interface, no other type of User is permitted to perform this function. At least one Party Administrative User must be registered during the process of Party registration. Where a Party does not have any valid Party Administrative User(s) then a new nomination must be submitted on the Party Administrative User form provided by the Market Operator accompanied by a letter on the company stationery and signed by a ~~registered company~~ director or administrator for the company.

~~2.3.8~~ 2.4.2 Authentication of Information

As part of the Authorisation process for performing the tasks set out under Appendix 3 "Authorisation Categories"⁴, authentication information is required by the Market Operator to verify the Authorised Person. When a communication is received from the Authorised Person the authentication information provided is dependent on the ~~method~~ of communication and is described below:

- (a) Full Name
- (b) Signature
- (c) Email address

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Table 3: Details for Authentication

Mode of Communication	Authentication information
Post	Full Name, Signature
E-Fax Facsimile	Full Name, Signature
Email	Full Name, Originate from registered email address

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Table 34: Details for Authentication

To authenticate the communication from an Authorised Person, the Market Operator shall request, via ~~the~~ telephone, ~~the Authorised Person to provide~~ their Authentication Code; or ~~combination answers to~~ confidential questions specific to the User; ~~and~~ as provided as part of the User registration process.

3. PROCEDURAL STEPS

3.1 Helpdesk

Step	Procedural Step Description	Timing	Method	By / From	To
1	Contact the Market Operator Helpdesk, either: a) raising a General Urgent Query, General Important Query or General Standard Query; or b) raising a Settlement Query; or c) raising a Dispute.	Within the timescales <u>timelines</u> appropriate for each issue	In accordance with this Agreed Procedure, Agreed Procedure 13 "Settlement Queries" or Agreed Procedure 14 "Disputes" as appropriate;	Party	Market Operator
2	On receipt of the telephone call, email or online request to the Helpdesk system, <u>categorise the Helpdesk Request and:</u> a) if Helpdesk Category 1 or 2 follow the process in the appropriate Agreed Procedure <u>14 "Disputes"</u> . b) if Helpdesk Category 2 <u>4</u> follow the process in <u>Agreed Procedure 13 "Settlement Queries"</u> . c) if information or advice necessary to resolve the issue can be provided immediately go to step 3. d) if information or advice necessary to resolve the issue cannot be provided immediately but can be provided without reference <u>reference</u> to Level 2 Support confirm the receipt by <u>the receipt by</u> email and go to step 4. e) if information or advice necessary to resolve the issue can be provided only with reference to Level 2 Support confirm the receipt by email and	If Helpdesk Category 1 or 2 within timelines set out in Agreed Procedure 14 "Disputes" and "Agreed Procedure 13 "Settlement Queries". If Helpdesk Category 3, 4 or 5 within guidelines set out at section 2.1.4 above.	Telephone / email / online tool	Market Operator (Helpdesk)	Party

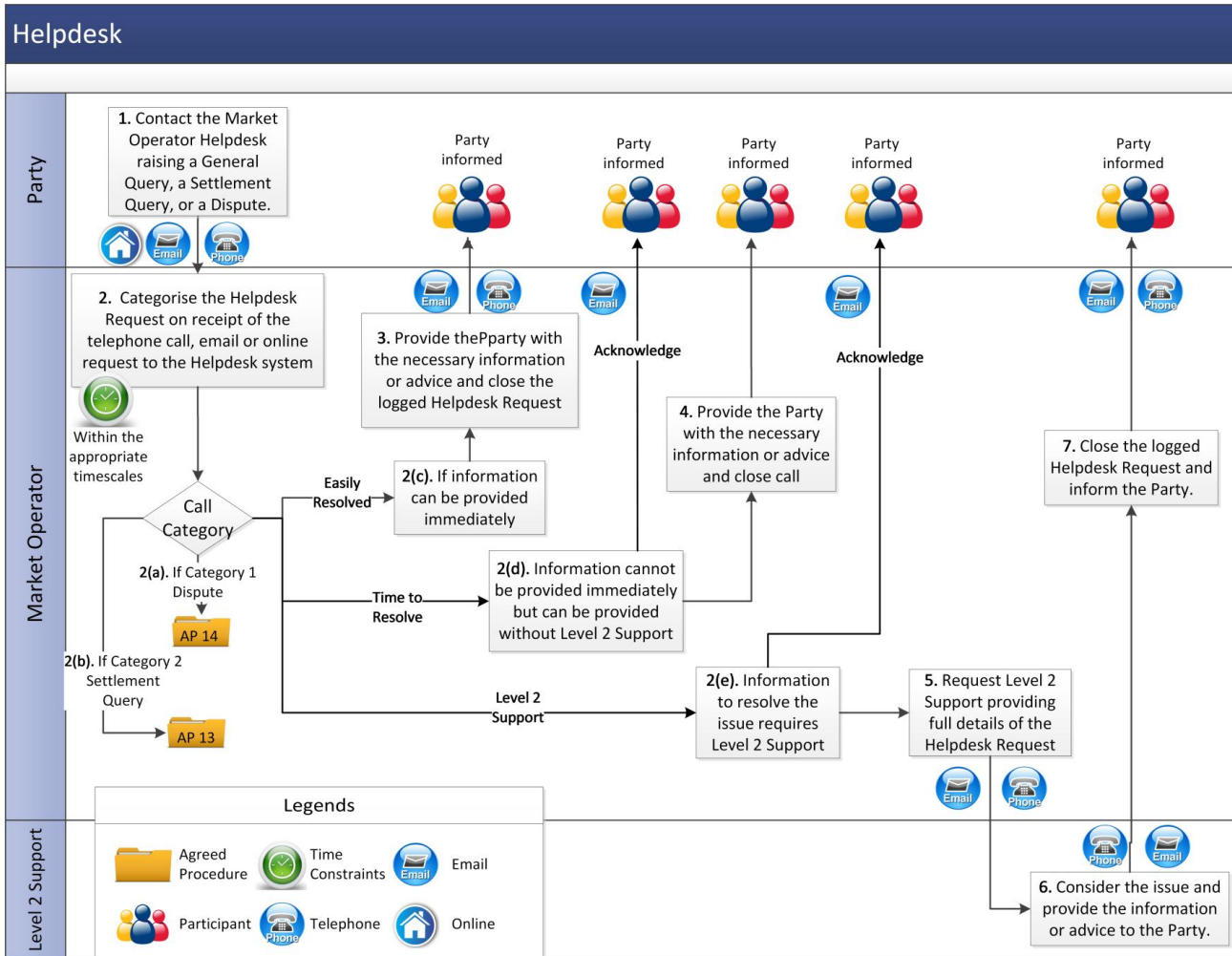
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Step	Procedural Step Description	Timing	Method	By / From	To
	go to step 5.				
3	Provide the Pparty with the necessary information or advice and close the <u>logged Helpdesk Request</u> on the Helpdesk system providing an explanation of the information or advice that has been given to the Pparty. end process. <u>Go to step 8.</u>	Within the target timelines: for General Urgent Queries within 4 WD; for General Important Queries within 3 WD; for General Standard Queries within 15 WD of party contact with Helpdesk <u>In accordance with guidelines set out at section 2.1.4 above</u>	Telephone / email	Market Operator (Helpdesk)	Party
4	Provide the Pparty with the necessary information or advice and close the <u>logged Helpdesk Request</u> on the Helpdesk system providing an explanation of the information or advice that has been given to the Pparty. end process. <u>Go to step 8.</u>	In timescales <u>timelines</u> previously agreed and recorded with the Pparty	By agreed method with the Pparty	Market Operator (Helpdesk)	Party
5	Request Level 2 Support providing full details of the information or advice that has been requested of the Helpdesk.	As soon as possible following assessment of the issue <u>Helpdesk Request.</u>	Telephone / email	Market Operator (Helpdesk)	Market Operator (Level 2 Support)
6	Consider the issue and provide the information or advice to the Pparty.	Within the timescales <u>timelines</u> that have been agreed and recorded with the Pparty	Telephone / email	Market Operator (Level 2 Support)	Party
7	Close the logged Helpdesk Request and inform the Participant that the log is now closed, end process.	Within the timescales <u>timelines</u> that have been agreed and recorded with the	Telephone / email	Market Operator	Party

Step	Procedural Step Description	Timing	Method	By / From	To
		Participant		(Helpdesk)	



3.2 Implementation Procedures

3.2.1 Change Management for Scheduled Releases

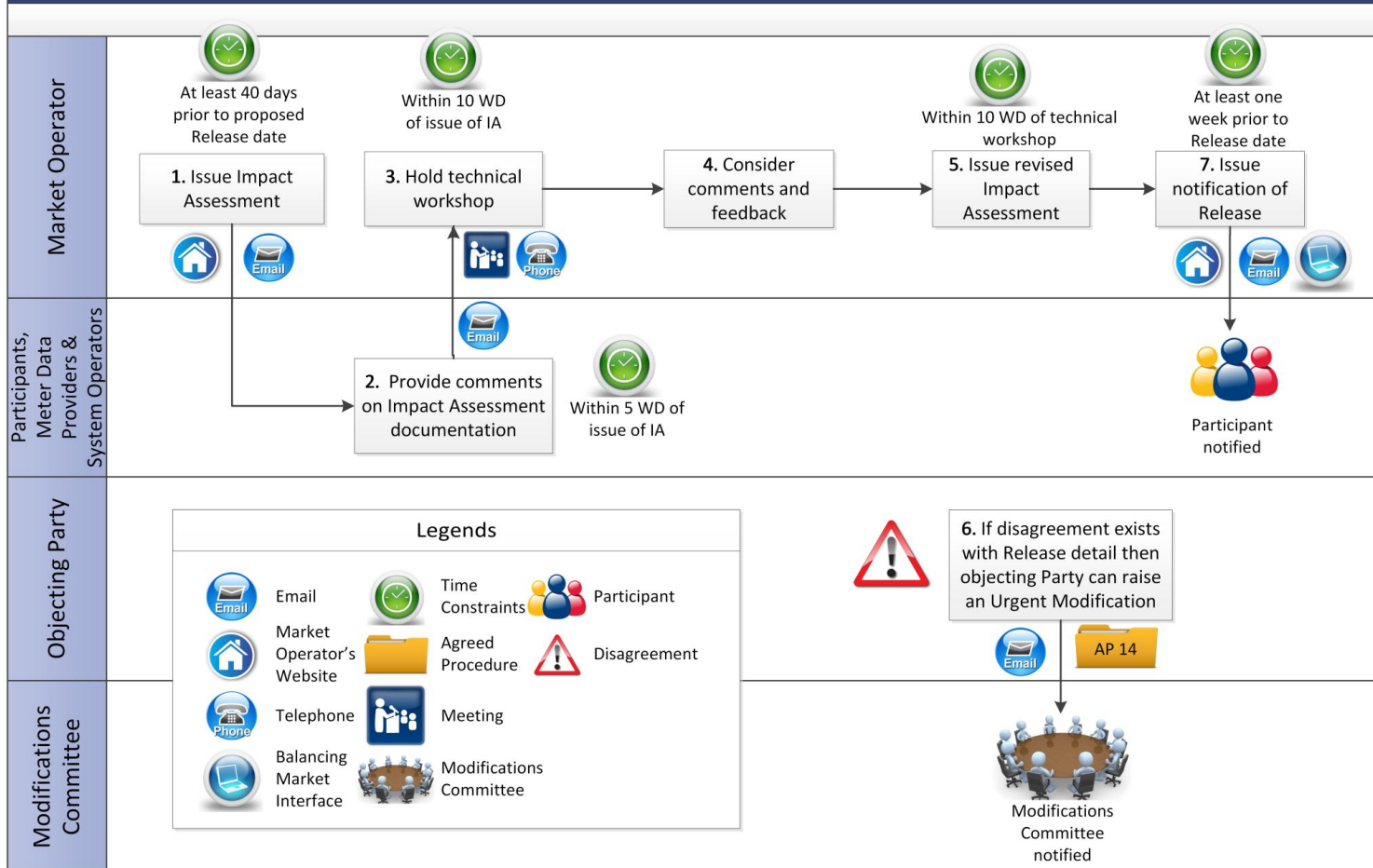
Step	Procedural Step Description	Timing	Method	By / From	To
1	Issue High Level Impact Assessment (HLIA)	As required but at least 40 WD days prior to proposed R release date	Email and General PublicMarket Operator w Website-	Market Operator	Participants, Meter Data Providers and System Operators
2	Provide comments on supplied Impact Assessment documentation	Within 5 WD days of issue of HL Impact Assessment	Email	Participants, Meter Data Providers and System Operators	Market Operator
3	Hold Consultation technical w Workshop	Within 10 days WD of issue of HL Impact Assessment	Meeting and/or telephone-	Market Operator	Participants, Meter Data Providers and System Operators
4	Consider comments and feedback			Market Operator	
5	Issue revised High Level Impact Assessment (including revised R release plan <u>if applicable</u>).	Within 10 days of issue of HL Impact Assessment or no later than 5 WD of after the Consultation technical W workshop	Email	Market Operator	Participants, Meter Data Providers and System Operators
6	If disagreement exists with R release detail then objecting P party can raise an Urgent Modification	Prior to R release date	Email or if <u>a</u> Dispute, in accordance with <u>Agreed Procedure</u> 14 "Disputes"	Objecting Party	Modifications Committee
7	Issue Release n Notification <u>of Release</u>	At least 1 week prior to R release date	Email, Public Market Operator website	Market Operator	Participants, Meter Data Providers and

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Step	Procedural Step Description	Timing	Method	By / From	To
			and BMI Type-2 Channel		System Operators

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Implementation Procedures - Change Management for Scheduled Releases



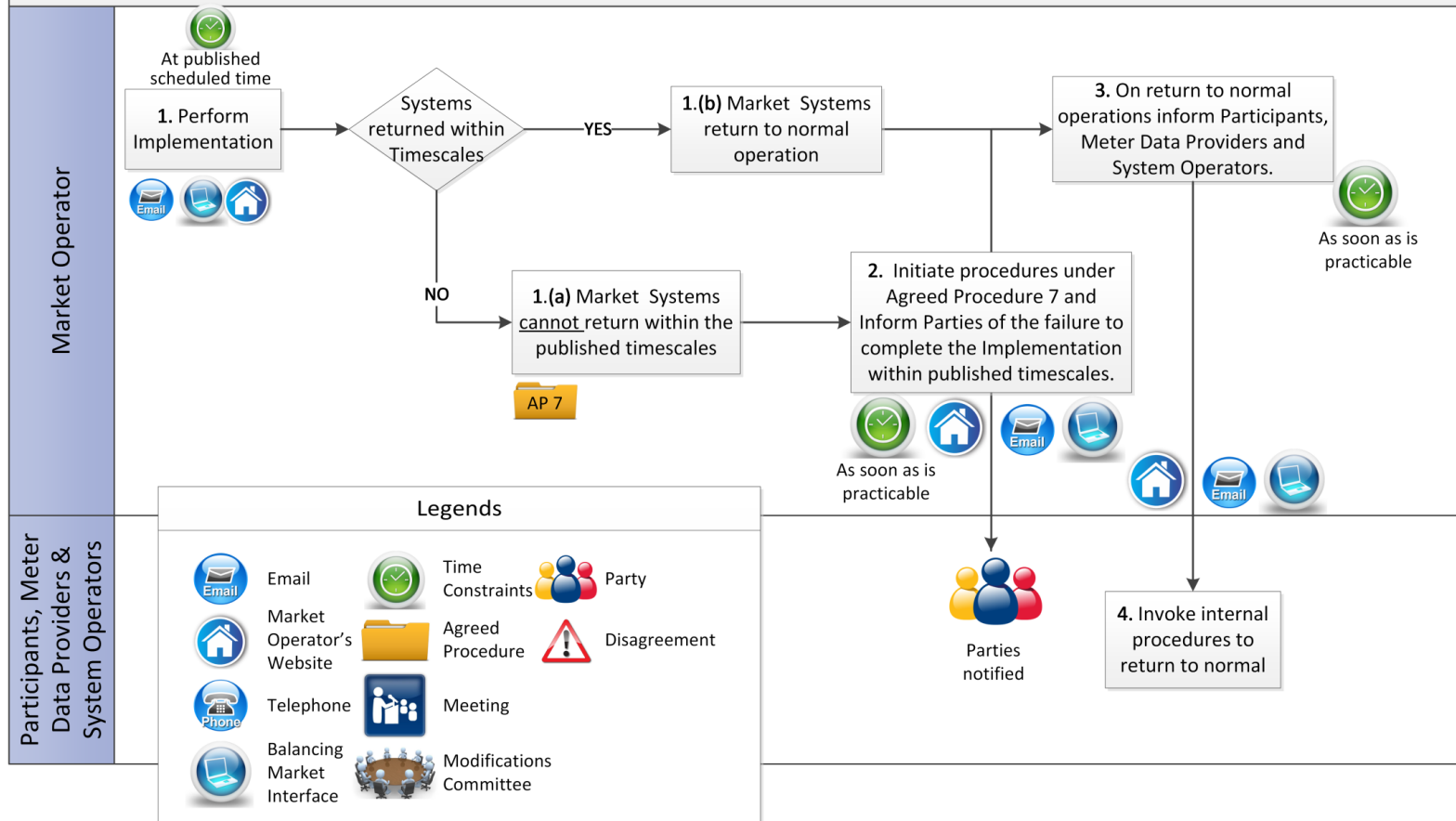
3.2.2 Implementation: ~~Steps~~ Maintenance / Application Release and Emergency Release

Step	Procedural Step Description	Timing	Method	By / From	To
1	<p>Perform Implementation:-</p> <p>a) Market Operator's Isolated Market System returns within the published timelines, inform Participants, Meter Data Providers and System Operators;</p> <p>or</p> <p>b) Market Operator's Isolated Market System cannot return within the published timelinesscales then <u>initiate procedures under AP 7 "Emergency Communications" for a General Communication Failure.go to step 2.</u></p> <p>If the return to normal operation has completed successfully then go to step 3.</p>	At published scheduled time, for Emergency Release when required	<u>Email, Market Operator website and Type 2 Channel</u> BMI n/a	<u>Market Operator</u> n/a	<u>Participants, Meter Data Providers and System Operators</u> n/a
2	Initiate procedures under Agreed Procedure 7 "Emergency Communications" as a General Communication Failure. Inform Participants, Meter Data Providers and System Operators of the failure to complete the Implementation within published timescales.	As soon as is practicable	<u>Email, Market Operator website and BMI, email, and Type 2 Channel and public website</u>	Market Operator	Participants, Meter Data Providers and System Operators
3	On return to normal operations inform Participants, Meter Data Providers and System Operators.	As soon as is practicable.	<u>Email, Market Operator website and BMI</u> Email and Type 2 Channel and	Market Operator	Participants, Meter Data Providers and System Operators

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			public website	
4	Participants, Meter Data Providers and System Operators invoke internal procedures to return to normal.	After Implementation.	n/a	Participants, Meter Data Providers and System Operators

Implementation Procedures - Maintenance/Application Release/Emergency Release



3.3 Problem Management

There are no procedural steps for Problem Management. Agreed Procedure 7 “Emergency Communications” details the process to be followed in the event of a General Communication Failure, a General System Failure and a Limited Communication Failure.

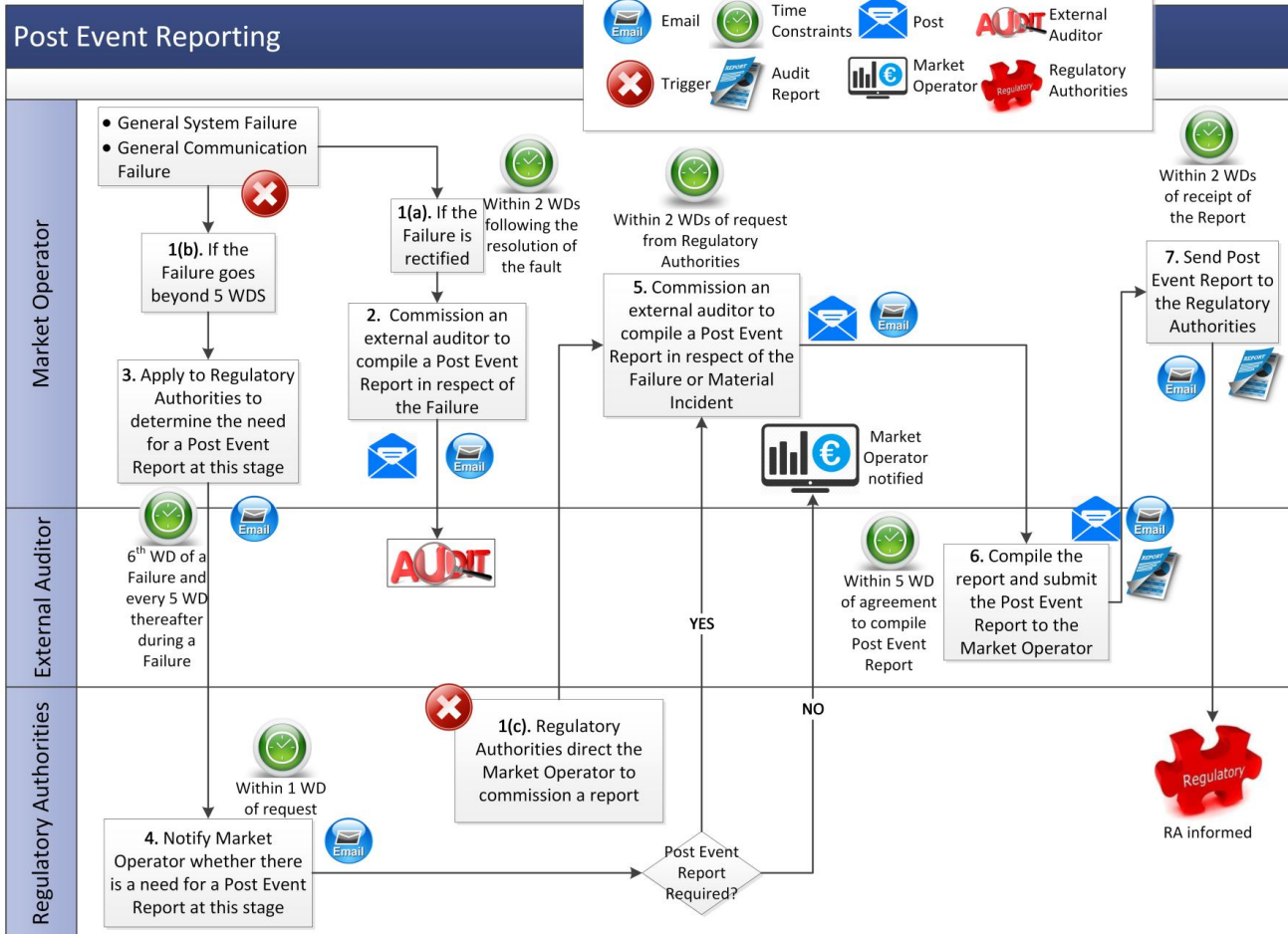
3.4 Post Event Reporting

Step	Procedural Step Description	Timing	Method	By / From	To
1	<p>If a General System Failure or General Communication Failure has been rectified go to step 2.</p> <p>If a General System Failure or General Communication Failure has gone beyond 5 WDs go to step <u>3.4</u></p> <p>If the Regulatory Authorities direct the <u>Market Operator</u> to commission a report go to step 5.</p>	n/a	n/a	n/a	n/a
2	Commission an external auditor to compile a report <u>Post Event Report</u> to respect of the Failure. Go to step 6	Within 2 WDs following the resolution of the fault <u>restoration of the Market Operator’s Isolated Market System</u>	Email and post	Market Operator	External auditor
3	Make an application to the Regulatory Authorities to determine the need at this stage for a Post Event Report <u>at this stage</u> .	If Post Event Report not yet commissioned then on the 6th WD of a live-F failure and every 5 WD thereafter during the live-F failure	Email	Market Operator	Regulatory Authorities

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Step	Procedural Step Description	Timing	Method	By / From	To
4	Notify Market Operator whether there is a need at this stage for a Post Event Report <u>at this stage</u> .	Within 1WD of request	Email	Regulatory Authorities	Market Operator
	<p>If there is a need for a Post Event Report make a formal request and go to Step 5.</p> <p>If there is not a need for a Post Event Report, inform MO end process. The process stops at this stage until a further trigger for a request for a report is forthcoming or a report is automatically triggered.</p>				
5	Commission an external auditor to compile a Post Event #R <u>Post Event #R</u> Report in respect of to the Failure or into a Material Incident	Within 2 WDs of request from <u>Regulatory Authorities</u>	Email and post	Market Operator	External auditor
6	Carry out Complete the <u>Post Event #R</u> report and submit the completed Post Event Report to the Market Operator.	Within 5 WD of agreement to carry out a Post Event Report	Email and post	External auditor	Market Operator
7	Receive the report from the external auditor and send to the Regulatory Authorities.	Within 2 WDs of receipt of the Post Event Report from the external auditor	Email	Market Operator	Regulatory Authorities

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3.5 Authorised Person and Creation of a New Party Administrative User

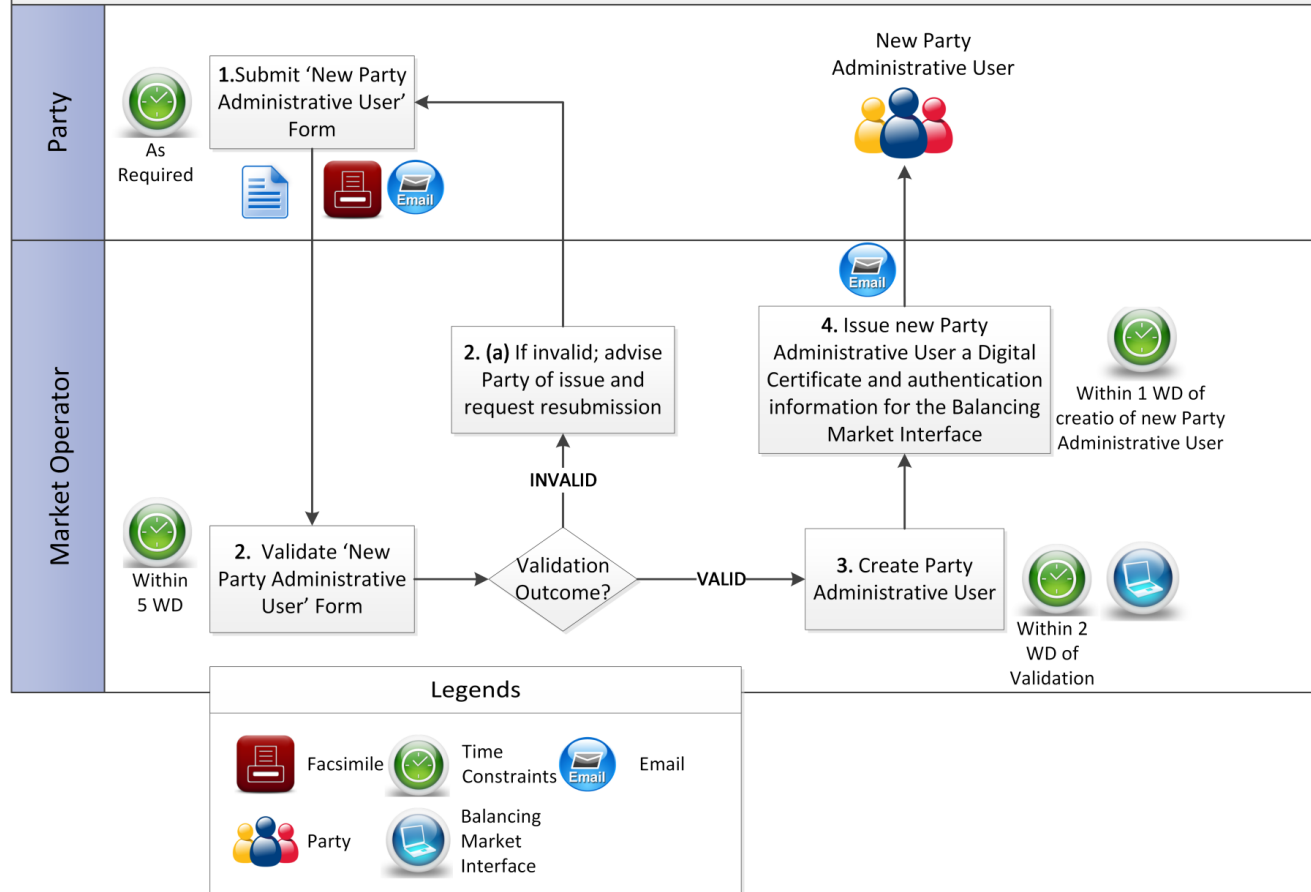
This process should only be completed-followed where the existing Party Administrative User access has expired, or is no longer in a position to act as Party Administrative User on behalf of the registered Party. In all other instances, existing Party Administrative Users have enabled privileges create additional Party Administrative User via the Balancing Market Interface.

Step	Procedural Step Description	Timing	Method	By / From	To
1	Submit New Party Administrative User Form	As Required	E- Fax <u>Facsimile</u> or Email	Party	Market Operator
2	Validate New Party Administrative User Form a) <u>If valid</u> ; go to Step 3 b) <u>If invalid</u> ; advise Party of issue and request resubmission (Step 1) .	Within 5 WD of receipt	-	Market Operator	<u>Party</u>
3	Create Party Administrative User	Within 2 WD of Step 2 <u>Completion</u> <u>Validation</u>	Balancing Market Interface	Market Operator	-
4	Issue new Party Administrative User a Digital Certificate and <u>any other</u> additional authentication information for the Balancing Market Interface.	Within 1 WD <u>of creation</u> <u>of new Party</u> <u>Administrative User</u> of <u>Step 3 Completion</u>	Email	Market Operator	New Party Administrative User

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Authorised Person and Creation of a New Party Administrative User



APPENDIX 1: DEFINITIONS AND ABBREVIATIONS

Definitions

~~WORDS AND EXPRESSIONS USED HEREIN SHALL HAVE THE SAME MEANING GIVEN TO THEM IN THE CODE, UNLESS OTHERWISE SPECIFIED HERE.~~

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Authorisation	means the process by which a person from a Party becomes authorised to communicate with the Market Operator.
Authorised Person	means the representative of a Party who is authorised by that Party to communicate with the Market Operator.
Billing Timescales	means the timescales in which billing occurs.
Emergency Implementation	means Implementation of an Emergency Release.
Emergency Release	means an upgrade in system software, a bug-fix or an Implementation of an Urgent Modification, where the Market Operator considers that there is a risk to the operation of the Single Electricity Market.
Failure	means a General System Failure or MSP Failure or a failure of the MSP Software or a General Communication Failure or a Limited Communication Failure as the context implies. <u>Agreed Procedure 7 “Emergency Communications” sets out the procedures to be followed in the event of a Failure.</u>
Finance System	means the financial element of the Market Operator’s Isolated Market System
<u>General Important Query</u>	has the meaning set out in Table 1 (Helpdesk Categories) in section 2.1.1 above.
<u>General Standard Query</u>	has the meaning set out in Table 1 (Helpdesk Categories) in section 2.1.1 above.
<u>General Urgent Query</u>	has the meaning set out in Table 1 (Helpdesk Categories) in section 2.1.1 above.
<u>Helpdesk</u>	<u>has the meaning given to it in paragraph G.3.1.1 of the Code.</u>

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Helpdesk Category	means a category between 1 and 8 applied to a Helpdesk Request.
Helpdesk Request	means a request handled by the Helpdesk.
High Level Impact Assessment	means an analysis carried out to identify the implications of a change.
Implementation	means delivery of Releases on the production Market Operator's Isolated Market System or Communication Channels.
Isolated Market System	has the meaning set out in the Code and, in the case of the Market Operator and each System Operator, it shall not include those elements of hardware, software and communications networks that are controlled by both the Market Operator and System Operator.
Level 2 Support	means Market Operator technical or business experts with the knowledge and expertise to assist / resolve issues and incidents with the Market Operator's Isolated Market System or with the configuration of Communication Channels.
Material Incident	means an incident which, in the opinion of the Market Operator, has had a material impact on market prices/SMP/MSQs.
Party Administrative User	has the meaning given to it in Agreed Procedure 1 "Registration".
Post Event Report	means an externally audited report produced in the event of a Failure
Problem Management Function	means a single senior officer or a group of officers from the Market Operator who will develop interim solutions and prioritise the restoration of Market Operator Isolated Market Systems in the event of a Failure.
Release	means an update to the Market Operator's Isolated Market Systems.
<u>Technical Specification</u>	<u>means a set of documentation prepared by the Market Operator which describes the Participant interfaces to the Central Market Systems. This documentation shall include detail of the required content of Type 2 Channel and Type 3 Channel Data Transactions submitted by Participants, validations undertaken and the content of</u>

	<u>response messages.</u>
Test Environment	means a non-production version of a Market Operator's Isolated Market System used for test purposes prior to a Release.

Abbreviations

<u>BMI</u>	<u>Balancing Market Interface</u>
<u>MO</u>	<u>Market Operator</u>
<u>RA</u>	<u>Regulatory Authorities</u>
<u>WD</u>	<u>Working Day</u>

APPENDIX 2: POTENTIAL FAILURES AND TYPICAL CORRECTIVE ACTIONS

Failure Group	Failure	Action	Maximum Duration
Participant Data Receipt	Unable to receive Data Transactions from Participants	Implement process for General Communication Failure outlined in Agreed Procedure 7 “Emergency Communications”	5 Working Days
	Unable to validate the Data Transactions from Participants	Implement a manual procedure for validating received Data Transactions and issue Confirmation Notices via fax	5 Working Days
	Unable to issue Data Transactions or the Confirmation Notices / failure for the received validated Data Transactions	Send Confirmation Notices via fax and for all other Data Transactions will use any method agreed under Type 1 Communication Channel	5 Working Days
System Operators Communication Failure	Unable to extract Registration Data, Offer Data from the Market Operator's Isolated Market System	Implement Administered Settlement	N/A
	Unable to send Registration Data, Offer Data to the System Operators	Market Operator and each affected System Operator will agree an alternative secure method for transferring the data for each type of Data Transaction	5 Working Days
	Meter Data Providers/Interconnector Administrators are able to produce the meter data but unable to send it through a Communication Channel	Market Operator and each affected Meter Data Provider/Interconnector Administrator will agree an alternative secure method for transferring the data for each type of Data Transaction	5 Working Days

Failure Group	Failure	Action	Maximum Duration
Settlement Failure	Settlement cannot run Or Masterfile from Market Operator's Isolated Market System to Settlements cannot be produced or transferred	None (After 3 Working Days implement Administered Settlement)	3 Working Days
Finance System Failure	Finance System cannot run	Implement manual procedures to ensure payments are made to the relevant Participants	5 Working Days
	Data from Settlements System cannot be transferred to the Finance System	Use alternative data transfer methods or implement manual procedures to ensure payments are made to the relevant Participants	5 Working Days

APPENDIX 3: AUTHORISATION CATEGORIES

Authorised Categories A

Category	Description	Agreed Procedure ("AP")
A	Submit Settlement Queries or Required Credit Cover Queries and Settlement Disputes	AP13
B	Declare Limited Communication Failure Request	AP7, AP11
C	Request return of Collateral	AP9

Authorised Categories B

The following Authorised Categories list is not covered under the User Authorisations section of the Balancing Market Interface. However, these processes can be activated by Users that has sufficient access privileges to normally perform these tasks via the Balancing Market Interface, but due to a Limited Communications Failure are unable to do so.

Category	Description	Agreed Procedure ("AP")	Authorised Person
1	Submit/Modify Unit Registration and/or Interconnector Data	AP1	Registration User
2	Request Commercial Offer Data & Technical Offer Data	AP4, AP7, AP10	User with Trading Access
3	Ad hoc Report request <u>(Includes Statements and Settlement Document)</u>		As per requester System Access
4	Requesting Digital Certificates	AP3	Party Administrative User

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