

# Trading and Settlement Code

Agreed  
Procedure 13:  
Settlement  
Queries

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Version 1.0

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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 11 "Market System Operation, Testing, Upgrading and Support"			
Agreed Procedure 14 "Disputes"			

# 1. INTRODUCTION

## 1.1 Background and Purpose

The provisions in relation to queries in respect of Settlement Data are set out at section G.3 of the Trading and Settlement Code (hereinafter referred to as the “Code”).

This Agreed Procedure sets out the procedures in relation to Settlement Queries, with which Parties to the Code must comply.

## 1.2 Scope of Agreed Procedure

This Agreed Procedure sets out the procedures for:

- (a) the raising of Settlement Queries;
- (b) the processing and determination of Settlement Queries; and
- (c) corrective actions following determination of Settlement Queries.

~~This Agreed Procedure~~ forms an annex to, and is governed by, the Code. This document ~~is a statement of process and procedure sets out procedures to be followed subject to the Parties’~~ rights and obligations ~~of are set out in Parties 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 sections relate internally to this Agreed Procedure unless specifically noted.

## 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 Raising Settlement Queries

A Settlement Query is a query in respect of the correctness of any one or more of the amounts set out at paragraph G.3.2.5 of the Code (subject to paragraph G.3.2.6 of the Code) and may span a number of Settlement Days (e.g. a metering fault affecting a number of meters over an extended period). In order to raise a Settlement Query, the Raising Party shall complete the Settlement Query Form ~~contained in Appendix 2~~ available on the Market Operator’s website, and deliver it to the ~~Market Operator~~ Helpdesk by registered post, ~~e-fax~~ facsimile or email. Settlement Queries ~~will~~ shall not be accepted by telephone.

In accordance with paragraph G.3.2.3 of the Code, a Settlement Query ~~shall~~ may be raised after publication of the relevant Settlement Statement and before 17:00 of the 20th Working Day after issuing the last set of scheduled Settlement Statements in accordance with the Settlement Calendar.

### 2.2 Processing Settlement Queries

The Market Operator ~~has~~ shall ~~one month in which to~~ resolve the Settlement Query within one month unless the Raising Party agrees, in writing, upon request from the Market Operator, to extend this time by up to 10 Working Days.

If the Settlement Query is not resolved during the initial one month period, or during the extended ten Working Day period (if agreed by the Raising Party), the Settlement Query becomes a Settlement Dispute.

The Market Operator will log all Settlement Queries and validate that the Settlement Query has all mandatory information complete (see Appendix ~~13~~ “(Query Form Validation)”) and has been submitted within the correct ~~time~~ linescales by a person authorised under Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support” to submit Settlement Queries on behalf of the Raising Party. The Market Operator will confirm the validity or otherwise of the Settlement Query to the Raising Party under the timelines set out at section 3 below.

Where applicable, the Market Operator shall inform the Affected Participant(s). The Affected Participant(s) shall assist the Market Operator in a timely manner in dealing with the Settlement Query concerned.

Where the Settlement Query is valid and is as a result of data from an External Data Provider (System Operator, Interconnector Administrator or Meter Data Provider), ~~then~~ the Market Operator shall pass the details to such External Data Provider. In this case or where the Raising Party is the External Data Provider for the data queried, the External Data Provider shall provide any revised data within 15 Working Days of the Market Operators’ receipt of the Settlement Query.

### 2.3 Determinations of Settlement Query Materiality

Changes to Settlement resulting from the resolution ~~by the Market Operator~~ of a Settlement Query by the Market Operator ~~shall~~ will be placed into one of the two following categories:

- (a) Change to Settlement Items with Low Materiality, i.e. Settlement change estimated to be under €50,000 in respect of a single Settlement Statement; or
- (b) Change to Settlement Items with High Materiality, i.e. Settlement change estimated to be equal to or over €50,000 in respect of a single Settlement Statement.

The Market Operator may utilise reasonable manual methods, or any other available methods, to determine the materiality of any changes to Settlement Items, using information and data provided from Participants, System Operators, Interconnector Administrator and/or Meter Data Providers. The Market Operator shall inform the Raising Party and the Affected Participant(s) (if any) of the determination and of an estimate of the materiality within the timescales specified in section 2.4 below.

If the Raising Party disagrees with the determination and / or the estimate of materiality then it may dispute this finding within five Working Days of being informed and may raise a Settlement Dispute in accordance with Agreed Procedure 14 “Disputes”.

## **2.4 Corrective Actions**

### *2.4.1 Low Materiality*

Two Timetabled Settlement Reruns exist for each given Billing Period and Capacity Period, the first taking place within four months and the second within 13 months after the relevant Billing Period or Capacity Period. In the event that there is a change to Settlement Items with Low Materiality resolved prior to the final Timetabled Settlement Rerun, the Market Operator shall procure that the revised corrected input data shall be used for the relevant Settlement Period for which Final Settlement has not occurred, and Settlement shall then take place on the next Timetabled Settlement Rerun.

### *2.4.2 High Materiality and Settlement Queries after the final Timetabled Settlement Rerun*

In the event that there is a change to:

- (a) Settlement Items with Low Materiality resolved after the final Timetabled Settlement Rerun; or
- (b) Settlement Items with High Materiality,

the Market Operator will procure that an additional Settlement Rerun for the relevant Settlement Period will be performed. Should revised data from External Data Providers be required for this purpose, the Market Operator shall notify, within one Working Day, the External Data Providers required to submit the revised corrected data. Such revised data shall be successfully submitted into the Central Market Systems by the External Data Provider within 10 Working Days of the notification. The Market Operator shall complete the dedicated Settlement Rerun within 20 Working Days of the date of successful submission of revised data from the External Data Providers unless a Timetabled Settlement Rerun is scheduled within one month of the date of successful submission of revised data from the External Data Providers, in which case the dedicated Settlement Rerun will be included in that Timetabled Settlement Rerun.

Where such dedicated Settlement Rerun is required for a period greater than two Billing Periods for Trading Payments and Trading Charges or one Capacity Period for Capacity Payments and Capacity Charges, the Market Operator, in consultation with Market Participants, may seek additional Working Days to allow for completion of such Settlement Reruns and, upon agreement from Market Participants, issue a relevant update to the Settlement Calendar.

Where the resolution of a Settlement Query requires a Settlement Rerun and an issue of a Settlement Document, such Settlement Rerun will only be carried out in relation to the Settlement Day(s) that are the subject of the Settlement Query and within the scope of the Settlement Documents as appropriate. The result of that Settlement Rerun will be applied to all Participants as appropriate.

#### *2.4.3 Dissatisfaction with determination of Settlement Query*

In the event that the Raising Party or, where the Raising Party is the Market Operator, an Affected Participant, is not satisfied with the Market Operator's determination of a Settlement Query, they may raise a Settlement Dispute under Agreed Procedure 14 "Disputes" within 5 Working Days of receipt of the Market Operator's determination.

## **2.5 Other Queries**

Any query received by the Market Operator which is not a Settlement Query or the subject of a Notice of Dispute, will be logged as a general query and processed by the Market Operator in accordance with Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support".

### 3. PROCEDURAL STEPS

#### Settlement Queries

Step	Step Description	Timing	Mechanism	By / From	To
1	Raise Settlement Query by completing and submitting the Settlement Query Form <a href="#">in Appendix available on the Market Operator's website.</a>	Before 17:00 on the 20th WD after issuing the last set of scheduled Settlement Statements and prior to last Timetabled Settlement Rerun	Email / e- <del>fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	Raising Party	Market Operator
2	Log Settlement Query in accordance with Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support". Validate Settlement Query for completeness as set out in Appendix <a href="#">13</a> <del>“(Query Form Validation)”</del> . If valid go to step 5, or if invalid continue <del>from to</del> step 3.	Within 1 WD	-	Market Operator	-
3	Close log in accordance with Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support" and inform Raising Party of reasons for invalidity.	As soon as practicable	Email / e- <del>fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	Market Operator	Raising Party
4	Review reasons for invalidity and: (a) correct and resubmit Settlement Query, then return to step 1; or (b) do not resubmit Settlement Query and <b>end process.</b>	-	-	Raising Party	-
5	Inform Raising Party of the receipt of a valid Settlement Query and of the unique identifier assigned when logged.	As soon as practicable	Email / e- <del>fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	Market Operator	Raising Party



Step	Step Description	Timing	Mechanism	By / From	To
6	Establish whose data is being queried, and: (a) if it is another Participant's data (the Affected Participant(s)), continue <a href="#">from-to</a> step 7; (b) if it is regarding the calculation of a data item, go to step 13; or (c) if it is a System Operator or an External Data Provider and they are the Raising Party go to step 173 or if they are not the Raising Party and another Party is querying their data, go to step 14.	Within 1 WD of receiving the Settlement Query		Market Operator	
7	Inform the Affected Participant(s) of the Settlement Query and request comments.	Within 1 WD of the Settlement Query being raised or as soon as Affected Participants are identified	Email / e- <del>fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	Market Operator	Affected Participant(s)
8	Process Settlement Query <a href="#">comments</a> request. If Settlement Query can be processed within requested timescales go to step 12, otherwise continue <a href="#">from-to</a> step 9.	Within timescales specified by the <a href="#">Market Operator</a>	Email / e- <del>fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	Affected Participant(s)	
9	Notify of inability to process Settlement Query <a href="#">comments</a> request.	Within timescales specified by the <a href="#">Market Operator</a>	Email / <del>Facsimile</del> - <del>fax</del> / <del>registered post</del>	Affected Participant(s)	Market Operator
10	If Market Operator can make a determination without <del>the Affected Participant</del> information <a href="#">from the Affected Participant</a> , go to step 13, otherwise continue <a href="#">from-to</a> step 11.	Within timescales agreed with Raising Party	Email / <del>Facsimile</del> - <del>fax</del> / <del>registered post</del>	Market Operator	
11	Raise a <del>Settlement</del> Dispute in accordance with Agreed Procedure 14 "Disputes" <del>to the DRB</del> on the basis of the inability to make a determination within required <del>timescales</del> <a href="#">timelines</a> , <b>end process</b> .	After lapse of timescales agreed with Raising Party	In accordance with Agreed Procedure 14 "Disputes"		

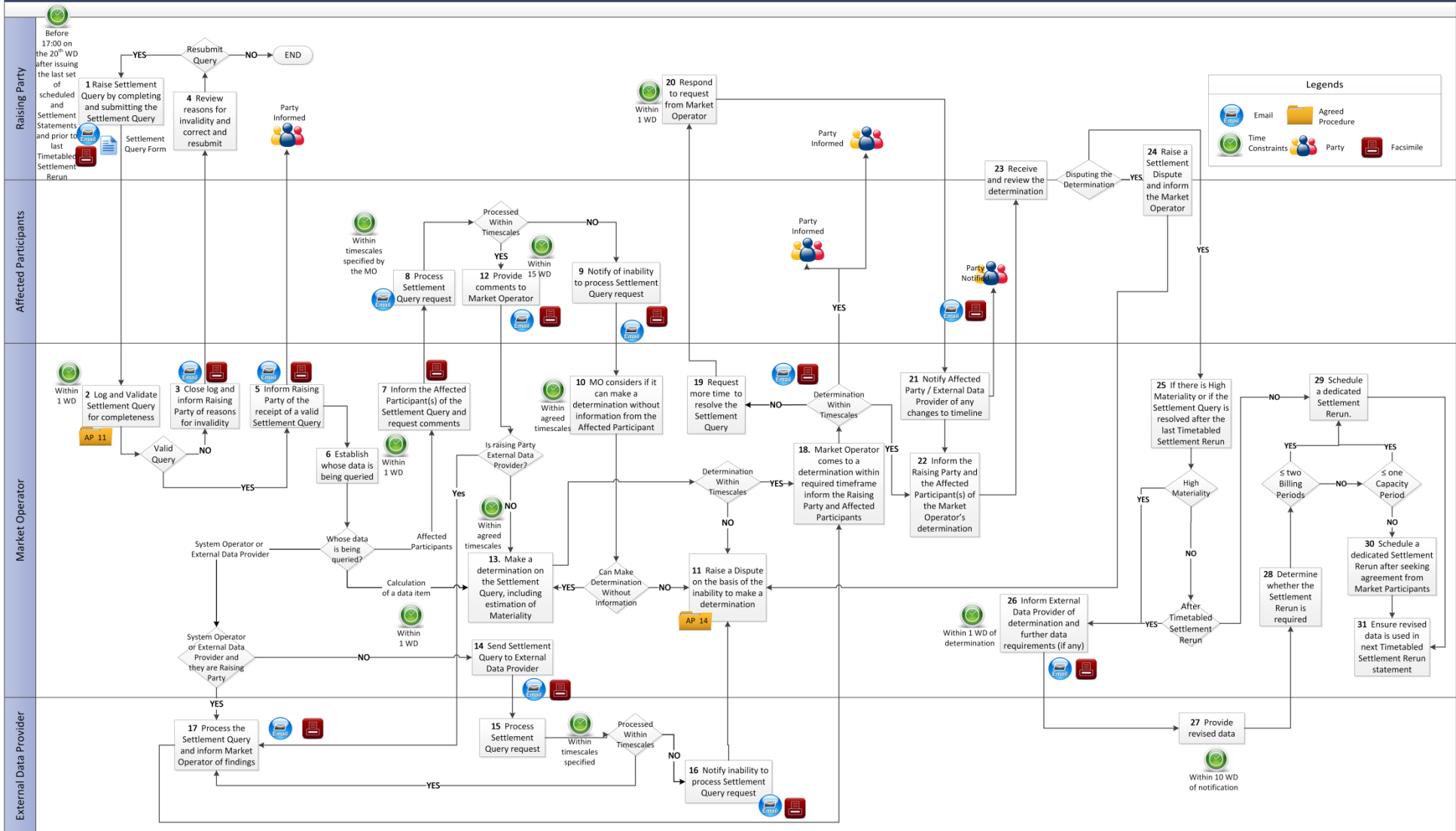
Step	Step Description	Timing	Mechanism	By / From	To
12	Provide comments to Market Operator.	Within 15 WD of receipt from <a href="#">Market Operator</a>	Email / e- <del>fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	Affected Participant(s)	Market Operator
13	If Raising Party is an External Data Provider go to step 17. Make a determination on the Settlement Query, including estimation of High Materiality or Low Materiality of any change to Settlement Items, taking into account any comments from the Affected Participant(s) (see section 2.3 and section 2.4 above). If determination can be made within the timescales agreed with the Raising Party, go to step 18, otherwise return to step 11.	Within <a href="#">timescales</a> <a href="#">timelines</a> agreed with Raising Party		Market Operator	-
14	Send Settlement Query to External Data Provider. Note that the Market Operator may request a manual communication of the estimation of the change to data items which are being queried, or may request a full formal update of all data from the External Data Provider over Communication Channel Type 2 <a href="#">Channel</a> or Type 3 <a href="#">Channel</a> .	Within 1 WD of receiving the Settlement Query	Email / e- <del>fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	Market Operator	External Data Provider
15	Process Settlement Query request. If Settlement Query can be processed within requested timescales, go to step 17, otherwise continue to step 16.	Within timescales specified by <a href="#">Market Operator</a>	Email / e- <del>fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	External Data Provider	-
16	Notify inability to process Settlement Query request, return to step 11.	Within timescales specified by <a href="#">Market Operator</a>	Email / e- <del>fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	External Data Provider	Market Operator
17	Process the Settlement Query. Inform Market	Within timescales	Email / e-	External Data	Market Operator

Step	Step Description	Timing	Mechanism	By / From	To
	Operator of findings and, if applicable, reissue any corrected data.	specified by <a href="#">Market Operator</a> (within 15 WD of receipt of Settlement Query by the <a href="#">Market Operator</a> )	<del>fax</del> <a href="#">Facsimile</a> / Registered Post (notification of determination) <a href="#">Communication Channel</a> <a href="#">Balancing Market Interface</a> (revised data)	Provider	
18	If Market Operator completes the examination of the Settlement Query within required <a href="#">timeframe</a> <a href="#">timeline</a> , inform the Raising Party and the Affected Participant(s) of the Market Operator's determination, including any estimate of materiality and the method of estimating that materiality, go to step 22. Otherwise, continue to step 19.	Within 1 Month	Email / <del>e-fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	Market Operator	Affected Participant(s) Raising Party
19	Request more time (up to 10 WD) to resolve the Settlement Query.	Within 1 WD of known non-completion of Settlement Query by Market Operator	Email / <del>e-fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	Market Operator	Affected Participant(s) Raising Party
20	Respond to request from Market Operator.	Within 1 WD	Email / <del>e-fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	Raising Party	Market Operator
21	Notify Affected Party / External Data Provider of any changes to timeline.	Within 1 WD	Email / <del>e-fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	Market Operator	Affected Party/ External Data Provider
22	Inform the Raising Party and the Affected Participant(s) of the Market Operator's determination, including any estimate of High Materiality or Low Materiality and the method used	Within timescales agreed with Raising Party	Email / <del>e-fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	Market Operator	Affected Participant(s) Raising Party

Step	Step Description	Timing	Mechanism	By / From	To
	to estimate this.				
23	Receive and review the determination and: (a) if not disputing the determination, do nothing and continue <a href="#">from to</a> step 25; or (b) if disputing with the determination, continue <a href="#">from to</a> step 24.	Within 5 WD of receipt of determination	-	Raising Party / Affected Participant (where Settlement Query raised by <a href="#">Market Operator</a> )	-
24	Raise a Settlement Dispute under Agreed Procedure 14 “Disputes” and inform the Market Operator, <b>end process</b> .	In accordance with Agreed Procedure 14 “Disputes”	In accordance with Agreed Procedure 14 “Disputes”	Raising Party / Affected Participant (where Settlement Query raised by <a href="#">Market Operator</a> )	Market Operator
25	If there is High Materiality or if the Settlement Query is resolved after the last Timetabled Settlement Rerun, continue to step 26, otherwise go to step 29.		-	Market Operator	-
26	Inform External Data Provider of determination and further data requirements (if any).	Within 1 WD of determination	Email / <del>e-fax</del> <a href="#">Facsimile</a> / <del>registered post</del>	Market Operator	External Data Provider
27	Provide revised data.	Within 10 WD of notification	-	External Data Providers	Market Operator
28	Determine whether the Settlement Rerun is required and: (a) for a max of two <del>(2)</del> Billing Periods or one Capacity Period, continue to <a href="#">s</a> Step 29; or		-	<a href="#">Market Operator</a>	-

Step	Step Description	Timing	Mechanism	By / From	To
	(b) for more than two <del>(2)</del> Billing Periods or one Capacity Period, go to <a href="#">Step 30</a> .				
<b>29</b>	Schedule a dedicated Settlement Rerun <a href="#">and go to step 31</a> .	Within a maximum of 20 WD of the date of successful submission of revised data from External Data Providers.	<a href="#">Various</a>	Market Operator	-
<b>30</b>	Schedule a dedicated Settlement Rerun after consultation with Market Participants and after seeking agreement from Market Participants.	Within agreed timelines	<a href="#">Various</a>	Market Operator	-
<b>31</b>	Ensure revised data is used in next Timetabled Settlement Rerun statement.	Prior to next Timetabled Settlement Rerun	-	Market Operator	-

# Settlement Queries



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## **APPENDIX 1: DEFINITIONS AND ABBREVIATIONS**

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Unless otherwise specified, words and expressions defined in the Code shall have the same meanings when used in this Agreed Procedure.

### **ABBREVIATIONS**

<b>MO</b>	Market Operator
<b>WD</b>	Working Day(s)

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## APPENDIX 2: FORMS

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### SETTLEMENT QUERY FORM



## APPENDIX 31: QUERY FORM VALIDATION

The [Settlement](#) Query Form [is available on the Market Operator's website](#). In order to be valid a [Settlement Query Form must will](#) have the following [ing](#) items completed satisfactorily:

Item	Validation
Participant Name	Must be a registered Participant
Participant id	Must be a registered Participant which aligns with the Participant Name
Settlement Statement Number	Must be valid Settlement Statement Number
Run Type	Where it is a Settlement Query then only one of the items must not be struck out. The Run Type must also align with the Settlement Statement Number.
Settlement Days in Statement	Must be completed as indicated depending on whether it is a Settlement Query for a Capacity Period (month/year) or Billing Period (dd/mm/yy to dd/mm/yy). The days must align with the Settlement Statement Number.
Descriptive Overview	This must provide information about what is being queried
<a href="#">Settlement</a> Query Details	This must provide the specific details of the items being queried. This should be in sufficient detail to unambiguously allow the data being queried to be identified and where necessary allow an external Data Provider (including Meter Data Providers) to identify the data.
Additional Supporting Documents	The list must align with the additional documents provided in terms of title. If the <a href="#">Settlement</a> Query is being sent by <a href="#">e-faxfacsimile</a> or post then the number of pages for each document must also be correct. Where it is being emailed the number of pages in each document may be left blank.
Authorised Representative Details: Name	This must be a name of a person from the Participant who is authorised to submit the Form. (Authorisation is provided under Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support")
Authorised Representative Details: Signature	If this form is being sent by post or <a href="#">e-faxfacsimile</a> then this must contain the signature of the Authorised Person as registered under Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support". If it is being emailed then this should be left blank.
Authorised Representative Details: Password	This must contain the password of the Authorised Person as registered under Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support".
Authorised Representative Details: Date	This must be a valid date within the timescales allowed for raising the Settlement Query.

In addition, the date the form is received by the Market Operator must be within the [timescales](#) timelines allowed for raising the Settlement Query.