

SEM Agreed Procedure

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DOCUMENT HISTORY

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3.0c	18/05/2007	Regulatory Authorities	Consultation Version
3.0d	21/05/2007		Data Query resolution period altered plus other minor corrections
3.2	25/06/2007	Regulatory Authorities	Approved for Go-Active by Regulatory Authorities and TSO/SEM Programme

RELATED DOCUMENTS

DOCUMENT TITLE	VERSION	DATE	BY
Trading and Settlement Code	V2.0	30/05/2007	Regulatory Authorities
Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support”			
Agreed Procedure 14 "Disputes"			

1. INTRODUCTION

1.1. BACKGROUND AND PURPOSE

This Agreed Procedure sets out the specific procedures governing Query generation, with which Parties to the Trading and Settlement Code (the “Code”) must comply.

1.2. SCOPE OF AGREED PROCEDURE

This Agreed Procedure defines the process for raising and processing Data Queries and Settlement Queries.

It forms an annexe to, and is governed by, the Code. This document is a statement of process and procedure. Parties’ rights and obligations are set out in the Code.

1.3. DEFINITIONS

Save as expressly defined, words and expressions defined in the Code shall 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. DESCRIPTIVE OVERVIEW

This section 2 provides an overview of the procedure provided for in the main Sections of the Code, for explanatory purposes and to set the context for this Agreed Procedure only. The overview contained in this section is not legally binding and is not intended to create rights or impose obligations on any Party.

2.1. DATA QUERIES

2.1.1. Raising Data Queries

Where a Party identifies an issue within the Ex-Post Indicative Settlement Statements, it can raise a Data Query within the Data Verification Period. This Party (the “Raising Party”) shall submit the Data Query via the Market Operator’s Help Desk. Data Queries must be submitted on the standard Query form included at Appendix 2 of this Agreed Procedure, and may be submitted by registered overnight mail, fax or email. Data Queries will not be accepted by telephone. The Data Query shall specify the data being queried together with the reasons why it is being queried and any supporting evidence. Each Data Query can include more than one data item but can only be in relation to a single Ex-Post Indicative Settlement Statement. Ex-Post Indicative Settlement Statements for Trading Charges and Trading Payments are for each Settlement Day. Ex-Post Indicative Settlement Statements for Capacity Charges and Capacity Payments are for a Capacity Period (which is one calendar month). The data being queried may be Market Operator calculated data or input data from Participants, System Operators, Interconnector Administrator and/or Meter Data Providers.

Data Queries must be raised with the Market Operator in the Data Verification Period. The Data Verification Period for Trading Payments and Trading Charges for a Settlement Day is up to the Settlement Day plus four Working Days (i.e. SD+4WD). The Data Verification Period for Capacity Payments and Capacity Charges for a Capacity Period is up to four Working Days after the Capacity Period (i.e. CP+4WD).

Parties should make reasonable endeavours to raise Data Queries as soon as possible to facilitate resolution in advance of the publication of Initial Settlement Statement.

2.1.2. Processing Data Queries

The Market Operator has ten Working Days from the date of the Data Query being filed in which to resolve the Data Query. If the Data Query is not resolved within this time, the Raising Party may extend this time, giving the Market Operator up to 10 Working Days’ extra time from the end of the initial ten-day period to resolve the Data Query. The Market Operator may request this extra time. The Raising Party may give this additional time in writing by fax during the initial ten-day period.

If the Data Query is not resolved during the initial ten Working Days after the Data Query is filed, or during the extended 10WD period (if approved), the Data Query becomes a Settlement Dispute.

The Market Operator will log all Data Queries and validate that the Data Query has all mandatory information complete (see Appendix 3 for validation rules) and has been submitted within the Data Verification Period and by a person authorised under Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support” to submit Data Queries on behalf of the Raising Party. The Market Operator will confirm the validity or otherwise of the Data Query to the Raising Party underneath the timelines set out in this Agreed Procedure.

Where the data being queried is from or effects the data of another Participant (the “Affected Participant(s)”), the Market Operator shall also inform the Affected Participant(s). The Affected Participant(s) shall assist the Market Operator in a timely manner, dealing with the Data Query concerned.

Where the Data Query is valid and is querying 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 to examine the queried data for an error. The External Data Provider shall inform the Market Operator of its discoveries and provide any revised data under the timescales indicated by the Market Operator to fulfil the Data Query resolution deadline. Where possible, any revised data should be provided in time for inclusion in the Initial Settlement Statement. Where data is being queried because the calculation is incorrect or concerns data from an Affected Participant(s), then the Market Operator shall progress the examination of the queried data.

2.1.3. Determinations of Data Query Materiality

Where the corrections are not included in the Initial Settlement Statements, the Data Query will be placed into one of the two following categories:

1. Change to Settlement Item with Low Materiality, i.e. Settlement change estimated to be under €50,000
2. Change to Settlement Item with High Materiality, i.e. Settlement change estimated to be equal to or over €50,000

The Market Operator may utilise reasonable manual methods to determine the materiality of any changes to Settlement Items, using information and data provided manually from Participants, System Operators, Interconnector Administrator and/or Meter Data Providers. The Market Operator will communicate the workings of such determinations with the Raising Party. If the Raising Party disagrees with this estimation of materiality, the Raising Party may dispute this finding within 5 Working Days.

In the event that there is a change to Settlement Items with Low Materiality, 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. Two Timetabled Settlement Reruns exist for each given Billing Period and Capacity Period; the first taking place within the fourth month 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 after the final Timetabled Settlement Rerun, the Market Operator will procure that an additional Settlement Rerun for the relevant Settlement Period will then be performed.

In the event that there is a change to Settlement Items with High Materiality, or there is a change to Settlement Items included in the Initial Settlement Statement for Capacity Payments or Capacity Charges, a dedicated Settlement Rerun will be performed within 1 month of the determination if the Raising Party has not disputed the Market Operator’s determination by raising a Dispute under Agreed Procedure 14 “Disputes”.

The Market Operator shall inform the Raising Party and the Affected Participant(s) (if any) of the determination and estimating the materiality within 1 WD of making the determination and estimating the materiality. If the Raising Party disagrees with the determination and/or estimate of materiality then it may raise a Settlement Dispute in accordance with Agreed Procedure 14 “Disputes”.

2.1.4. Corrective Actions

The Market Operator will procure that SMP and Market Schedule Quantities will be recalculated, and a Settlement Rerun will then be undertaken, in the event that the Market Operator in resolving a Data Query determines that:

1. Commercial Offer Data or Technical Offer Data has been applied incorrectly, or incorrect data was provided;
2. Actual Availability or Dispatch Quantity has been calculated incorrectly (or incorrect source data for these calculations provided).
3. Metered Generation has been applied or provided incorrectly; or
4. Market Schedule Quantity has been calculated incorrectly,

and that the correct application or calculation of any such amount would require it to change by more than the Settlement Recalculation Threshold for Metered Generation or Market Schedule Quantity.

The Market Operator will procure that the Ex-Post Loss of Load Probability Φ will be recalculated in the event that the Market Operator in resolving a Data Query determines that Metered Generation has been applied incorrectly and that the correct application would require a change by more than the Settlement Recalculation Threshold.

The Market Operator will procure that Capacity Payments and Capacity Charges will be recalculated in the event that the Market Operator in resolving a Data Query determines that:

1. Commercial Offer Data or Technical Offer Data has been applied incorrectly; or
2. any of Eligible Availability, Dispatch Quantity, Market Schedule Quantity, SMP or Ex-Post Loss of Load Probability Φ has been calculated incorrectly.

Where the resolution of a Data Query requires a Settlement Rerun, such Settlement Rerun will only be carried out in relation to the Settlement Day(s) that are the subject of the Data Query.

Where a Raising Party is not satisfied with the Market Operator's determination in respect of a Data Query, the Raising Party may raise a Settlement Dispute under Agreed Procedure 14 "Disputes" within 5 Working Days of receipt of the Market Operator's determination.

2.2. SETTLEMENT QUERIES

2.2.1. Raising Settlement Queries

A Settlement Query is a query in respect of the correctness of Metered Generation, Metered Demand, Net Demand, Eligible Availability or Actual Availability on an Initial Settlement Statement, on an Invoice or on a Self Billing Invoice. Each Settlement Query can include many data items and may span a number of Settlement Days (e.g. a metering fault affecting a number of meters over an extended period). Settlement Queries must be submitted on the standard Query form included at Appendix 2 of this Agreed Procedure, and may be submitted by registered overnight mail, fax or email. Settlement Queries will not be accepted by telephone. This Party (the "Raising Party") shall submit the Settlement Query via the Market Operator's Help Desk. The Settlement Query shall specify the data being queried together with the reasons why it is being queried and any supporting evidence. The reasons for the Settlement Query may be a concern with a calculation by the Market Operator or data provided from Participants, System Operators, Interconnector Administrator and/or Meter Data Providers.

The Settlement Query must be raised prior to 5 Working Days after the last Timetabled Settlement Rerun for that Billing Period.

2.2.2. Processing Settlement Queries

The Market Operator has one month in which to resolve the Settlement Query. The Raising Party may extend this time, giving the Market Operator up to 10 Working Days' extra time from the end of the initial month period to resolve the Settlement Query. The Market Operator may request this extra time. The Raising Party may give this additional time in writing by fax during the initial month.

If the Settlement Query is not resolved during the initial one month period, or during the extended 10WD period (if approved), 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 3 for validation rules) and has been submitted within the correct timescales 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 in this Agreed Procedure.

Where the data being queried is from or effects the data of another Participant (the "Affected Participant(s)"), the Market Operator shall also inform the Affected Participant(s). The Affected Participant(s) shall assist the Market Operator in a timely manner, 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. The External Data Provider shall provide any revised data within 15 Working Days of receipt of the Settlement Query.

2.2.3. Determinations of Settlement Query Materiality

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

1. Change to Settlement Item with Low Materiality, i.e. Settlement change estimated to be under €50,000
2. Change to Settlement Item with High Materiality, i.e. Settlement change estimated to be equal to or over €50,000

The Market Operator may utilise reasonable manual methods to determine the materiality of any changes to Settlement Items, using information and data provided manually from Participants, System Operators, Interconnector Administrator and/or Meter Data Providers. The Market Operator will communicate the workings of such determinations with the Raising Party. If the Raising Party disagrees with this estimation of materiality, the Raising Party may dispute this finding within 5 Working Days.

In the event that there is a change to Settlement Items with Low Materiality, 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. Two Timetabled Settlement Reruns exist for each given Billing Period and Capacity Period; the first taking place within the fourth month 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 after the final Timetabled Settlement Rerun, the Market Operator will procure that an additional Settlement Rerun for the relevant Settlement Period will then be performed.

In the event that there is a change to Settlement Items with High Materiality, a dedicated Settlement Rerun will be performed within 1 month of the determination if the Raising Party has not disputed the Market Operator's determination by raising a Dispute under Agreed Procedure 14 "Disputes".

The Market Operator shall inform the Raising Party and the Affected Participant(s) (if any) of the determination within 1 WD of receiving or making the determination. If the Raising Party disagrees with the determination then it may raise a Settlement Dispute in accordance with Agreed Procedure 14 "Disputes".

2.2.4. Corrective Actions

Where the resolution of a Settlement Query requires a Settlement Rerun and an issue of an Invoice or Self-Billing Invoice, 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 Invoice or Self-Billing Invoice as appropriate. The result of that Settlement Rerun will be applied to all Participants.

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

3. PROCEDURAL STEPS

3.1. DATA QUERY

#	Procedural Step	Timing	Mechanism	By / From	To	Linkage
1	Raise Data Query (see form in Appendix 2)	Within Data Verification Period (For Trading Payments and Trading Charges: between SD+1WD and SD+4WD; for Capacity Payments and Capacity Charges between CP+3WD and CP+6WD)	Email / Fax / registered overnight mail	Raising Party	Market Operator	
2	Log Data Query in accordance with Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support”. Validate Data Query for completeness and from authorised person as set out in Appendix 3 <ul style="list-style-type: none"> • If valid continue from step 5 • If invalid continue from 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	Immediately	Email / Fax / registered overnight mail	Market Operator	Raising Party	
4	Review invalidity reasons <ul style="list-style-type: none"> • Correct and resubmit – Continue from step 1 • Do not resubmit – and continue from step 31 	As required		Raising Party		
5	Inform Raising Party of completeness of Data Query	Immediately	Email / Fax / registered overnight mail	Market Operator	Raising Party	

#	Procedural Step	Timing	Mechanism	By / From	To	Linkage
6	Establish whose data is being queried <ul style="list-style-type: none"> • If it is a Meter Data Provider, a System Operator or the Interconnector Administrator (an External Data Provider) continue from step 14 • If it is another Participant’s data (The Affected Participant(s)) continue from step 7 • If it is regarding the calculation of a data item continue from step 13 	Within 1 WD of receiving the Data Query		Market Operator		
7	Inform the Affected Participant(s) of the Data Query requesting its comment on the validity	Within 1 WD of receiving the Data Query	Email / Fax / registered overnight mail	Market Operator	Affected Participant(s)	
8	Process Data Query request If Query can be processed within requested timescales continue from step 12 otherwise continue from step 9	Within timescales specified by MO	Email / Fax / registered overnight mail	Affected Participant(s)		
9	Notify inability to process Data Query request	Within timescales specified by MO	Email / Fax / registered overnight mail	Affected Participant(s)	Market Operator	
10	If Market Operator can make a determination without the Affected Participant information continue from step 13 otherwise continue from step 11	Within timescales agreed with Raising Party	-	Market Operator		
11	Raise a Settlement Dispute in accordance with Agreed Procedure 14 “Disputes” because of inability to make determination within required timescales. Continue from step 31	After lapse of timescales agreed with Raising Party	In accordance with Agreed Procedure 14 “Disputes”	Market Operator		
12	Provide comments to Market Operator	Within timescales specified by MO	Email / Fax / registered overnight mail	Affected Participant(s)	Market Operator	
13	Make a determination on the Data Query, including estimation of Materiality of any change to Settlement Items taking into account any comments from the Affected Participant(s). If determination can be made within the timescales agreed with the Raising Party continue from step 18 otherwise continue from Step 11	Within timescales agreed with Raising Party		Market Operator	-	

#	Procedural Step	Timing	Mechanism	By / From	To	Linkage
14	Send Data 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 or Type 3.	Within 1 WD of receiving the Data Query	Email / Fax / registered overnight mail	Market Operator	External Data Provider	
15	Process Data Query request If Query can be processed within requested timescales continue from step 17 otherwise continue from step 16	Within timescales specified by MO	Email / Fax / registered overnight mail	External Data Provider	-)
16	Notify inability to process Data Query request Continue from step 11	Within timescales specified by MO	Email / Fax / registered overnight mail	External Data Provider	Market Operator	
17	Process the Data Query. Inform Market Operator of findings and potentially reissue any corrected data.	Within timescales specified by MO	Email / Fax / registered overnight mail (notification of determination)	External Data Provider	Market Operator	Potentially AP16 (for ad hoc Meter Data file send)
18	If Market Operator completes the examination of the Data Query within timeframe, 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 21 If not, go to step 19	Within 10 WD	Email / Fax / registered overnight mail	Market Operator	Affected Participant(s) Raising Party	
19	Market Operator requests more time (up to 10 Working Days) from the Raising Party to resolve the Data Query	Within one Working Day of known non-completion of Data Query by Market Operator	Email / Fax / registered overnight mail	Market Operator	Affected Participant(s) Raising Party	
20	If Raising Party agrees to extension and Data Query is resolved within the extended timeframes, go to step 21. Otherwise go to step 23	Within 10WD	Email / Fax / registered overnight mail	Market Operator	Affected Participant(s) Raising Party	

#	Procedural Step	Timing	Mechanism	By / From	To	Linkage
21	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 Continue from step 22 and step 24	Within timescales agreed with Raising Party	Email / Fax / registered overnight mail	Market Operator	Affected Participant(s) Raising Party	
22	Receive and review the determination <ul style="list-style-type: none"> If not disputing the determination – do nothing and continue from Step 25 If disputing with the determination (including the Market Operator’s estimation of Materiality) continue from Step 23 	Within 5WD of receipt of determination	-	Raising Party	-	
23	Raise a Settlement Dispute under Agreed Procedure 14 “Disputes” and inform the Market Operator and continue from Step 31	Within 5WD of receipt of determination	In accordance with Agreed Procedure 14 “Disputes”	Raising Party	Market Operator	
24	If the Data Query has resulted in revised data which has all been included in the Initial Settlement Statement (including where necessary the recalculation of SMP and MSQs) continue from step 31 otherwise continue from step 25	-	-	Market Operator	-	
25	If the Data Query has resulted in revised data which has not been included in the Initial Settlement Statement and the Raising Party is not disputing the determination and if the Materiality is High or if there are no more Timetable Settlement Reruns then continue from step 26 otherwise continue from step 30	Within 5 WD of determination	-	Market Operator	-	
26	Schedule a dedicated Settlement Rerun Statement. Send a further External Data Provider Notification Form (see Appendix 2) to the External Data Provider if there are further data requirements.	Within 1 month of determination	-Various	Market Operator	External Data Providers	AP16 (for ad hoc Meter Data file send), AP15 (for Settlement Rerun)
27	If Commercial Offer Data, Technical Offer Data, Actual Availability, Dispatch Quantity, Metered Generation or Market Schedule Quantity have been determined to be incorrect arising from the Data Query, subject to the Settlement Recalculation Threshold, SMP and MSQ shall be recalculated prior to the Settlement Rerun.	Within 1 month of determination	-Various	Market Operator		

#	Procedural Step	Timing	Mechanism	By / From	To	Linkage
28	If Metered Generation has been determined to be in error arising from the Data Query subject to the Settlement Recalculation Threshold, the Ex-Post Loss of Load Probability shall be recalculated prior to the Settlement Rerun.	Within 1 month of determination	-Various	Market Operator		
29	If Commercial Offer Data, Technical Offer Data, Eligible Availability, Dispatch Quantity, Market Schedule Quantity, SMP or Ex-Post Loss of Load Probability have been determined to be in error arising from the Data Query, the Capacity Payments and Capacity Charges shall be recalculated prior to the Settlement Rerun.	Within 1 month of determination	-Various	Market Operator		
30	Ensure revised data is used in next Timetabled Settlement Rerun Statement (including where necessary the recalculation of SMP and MSQs).	Prior to next Timetabled Settlement Rerun	-	Market Operator	-	
31	End process	-	-	-	-	

3.2. SETTLEMENT QUERY

#	Procedural Step	Timing	Mechanism	By / From	To	Linkage
1	Raise Settlement Query (see form in Appendix 2)	Prior to last Timetabled Settlement Rerun + 5 WD	Email / Fax / registered overnight mail	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 and from authorised person as set out in Appendix 3 <ul style="list-style-type: none"> • If valid continue from step 5 • If invalid continue from 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	Immediately	Email / Fax / registered overnight mail	Market Operator	Raising Party	
4	Review invalidity reasons <ul style="list-style-type: none"> • Correct and resubmit – Continue from step 1 • Do not resubmit – and continue from step 27 			Market Operator		
5	Inform Raising Party of completeness of Settlement Query Continue from step 6	Immediately	Email / Fax / registered overnight mail	Market Operator	Raising Party	
6	Establish whose data is being queried <ul style="list-style-type: none"> • If it is a Meter Data Provider, a System Operator or the Interconnector Administrator (an External Data Provider) continue from step 14 • If it is another Participant’s data (The Affected Participant(s)) continue from step 7 • If it is regarding the calculation of a data item continue from step 13 	Within 1 WD of receiving the Settlement Query		Market Operator		

#	Procedural Step	Timing	Mechanism	By / From	To	Linkage
7	Inform the Affected Participant(s) of the Settlement Query requesting its comment on the validity	Within 1 WD of receiving the Settlement Query	Email / Fax / registered overnight mail	Market Operator	Affected Participant(s)	
8	Process Settlement Query request If Query can be processed within requested timescales continue from step 12 otherwise continue from step 9	Within timescales specified by the MO	Email / Fax / registered overnight mail	Affected Participant(s)		
9	Notify inability to process Settlement Query request	Within timescales specified by the MO		Affected Participant(s)	Market Operator	
10	If Market Operator can make a determination without the Affected Participant information continue from step 13 otherwise continue from step 11	Within timescales agreed with Raising Party	Email / Fax / registered overnight mail	Market Operator		
11	Raise a Settlement Dispute in accordance with Agreed Procedure 14 “Disputes” because of inability to make determination within required timescales. Continue from step 27	After lapse of timescales agreed with Raising Party	In accordance with Agreed Procedure 14 “Disputes”			
12	Provide comments to Market Operator	Within 15 WD of receipt from MO	Email / Fax / registered overnight mail	Affected Participant(s)	Market Operator	
13	Make a determination on the Settlement Query, including estimation of Materiality of any change to Settlement Items taking into account any comments from the Affected Participant(s). If determination can be made within the timescales agreed with the Raising Party continue from step 18 otherwise continue from Step 11	Within timescales 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 or Type 3.	Within 1 WD of receiving the Settlement Query	Email / Fax / registered overnight mail	Market Operator	External Data Provider	

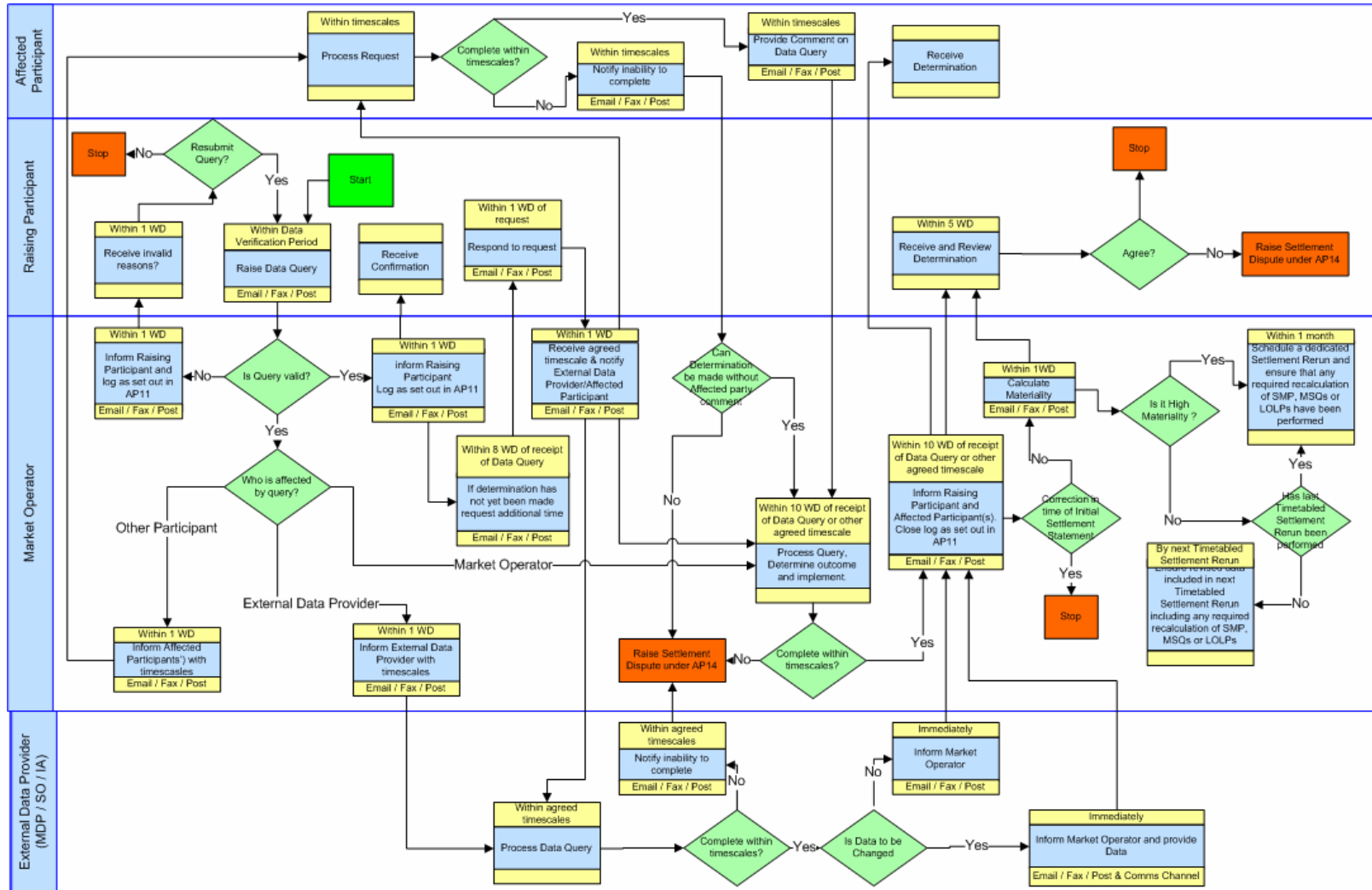
#	Procedural Step	Timing	Mechanism	By / From	To	Linkage
15	Process Settlement Query request If Query can be processed within requested timescales continue from step 17 otherwise continue from step 16	Within timescales specified by MO	Email / Fax / registered overnight mail	External Data Provider	-	
16	Notify inability to process Settlement Query request Continue from step 11	Within timescales specified by MO	Email / Fax / registered overnight mail	External Data Provider	Market Operator	
17	Process the Settlement Query. Inform Market Operator of findings and potentially reissue any corrected data	Within timescales specified by MO	Email / Fax / registered overnight mail (notification of determination) Communication Channel (revised data)	External Data Provider	Market Operator	Potentially AP16 (for ad hoc Meter Data file send)
18	If Market Operator completes the examination of the Settlement Query within timeframe, 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 21 If not, go to step 19	Within one Month	Email / Fax / registered overnight mail	Market Operator	Affected Participant(s) Raising Party	
19	Market Operator requests more time (up to 10 Working Days) from the Raising Party to resolve the Settlement Query	Within one Working Day of known non-completion of Settlement Query by Market Operator	Email / Fax / registered overnight mail	Market Operator	Affected Participant(s) Raising Party	
20	If Raising Party agrees to extension and Settlement Query is resolved within the extended timeframes, go to step 21. Otherwise go to step 23	Within 10WD	Email / Fax / registered overnight mail	Market Operator	Affected Participant(s) Raising Party	

#	Procedural Step	Timing	Mechanism	By / From	To	Linkage
21	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	Within timescales agreed with Raising Party	Email / Fax / registered overnight mail	Market Operator	Affected Participant(s) Raising Party	
22	Receive and review the determination <ul style="list-style-type: none"> If not disputing the determination – do nothing and continue from Step 24 If disputing with the determination continue from Step 23 	Within 5WD of receipt of determination	-	Raising Party	-	
23	Raise a Settlement Dispute under Agreed Procedure 14 "Disputes" and inform the Market Operator and continue from Step 27	Within 5WD of receipt of determination	In accordance with Agreed Procedure 14 "Disputes"	Raising Party	Market Operator	
24	If the Materiality is High or it is after the last Timetabled Settlement Rerun then continue from step 25 otherwise continue from step 26	Within 5 WD of determination	-	Market Operator	-	
25	Schedule a dedicated Settlement Rerun Statement and continue from step 27. Send a further External Data Provider Notification Form (see Appendix 2) to the External Data Provider if there are further data requirements.	Within 1 month of determination	Various	Market Operator	External Data Provider	AP16 (for ad hoc Meter Data file send), AP15 (for Settlement Rerun)
26	Ensure revised data is used in next Timetabled Settlement Rerun Statement (including where necessary the recalculation of SMP and MSQs).	Prior to next Timetabled Settlement Rerun	-	Market Operator	-	
27	End process	-	-	-	-	

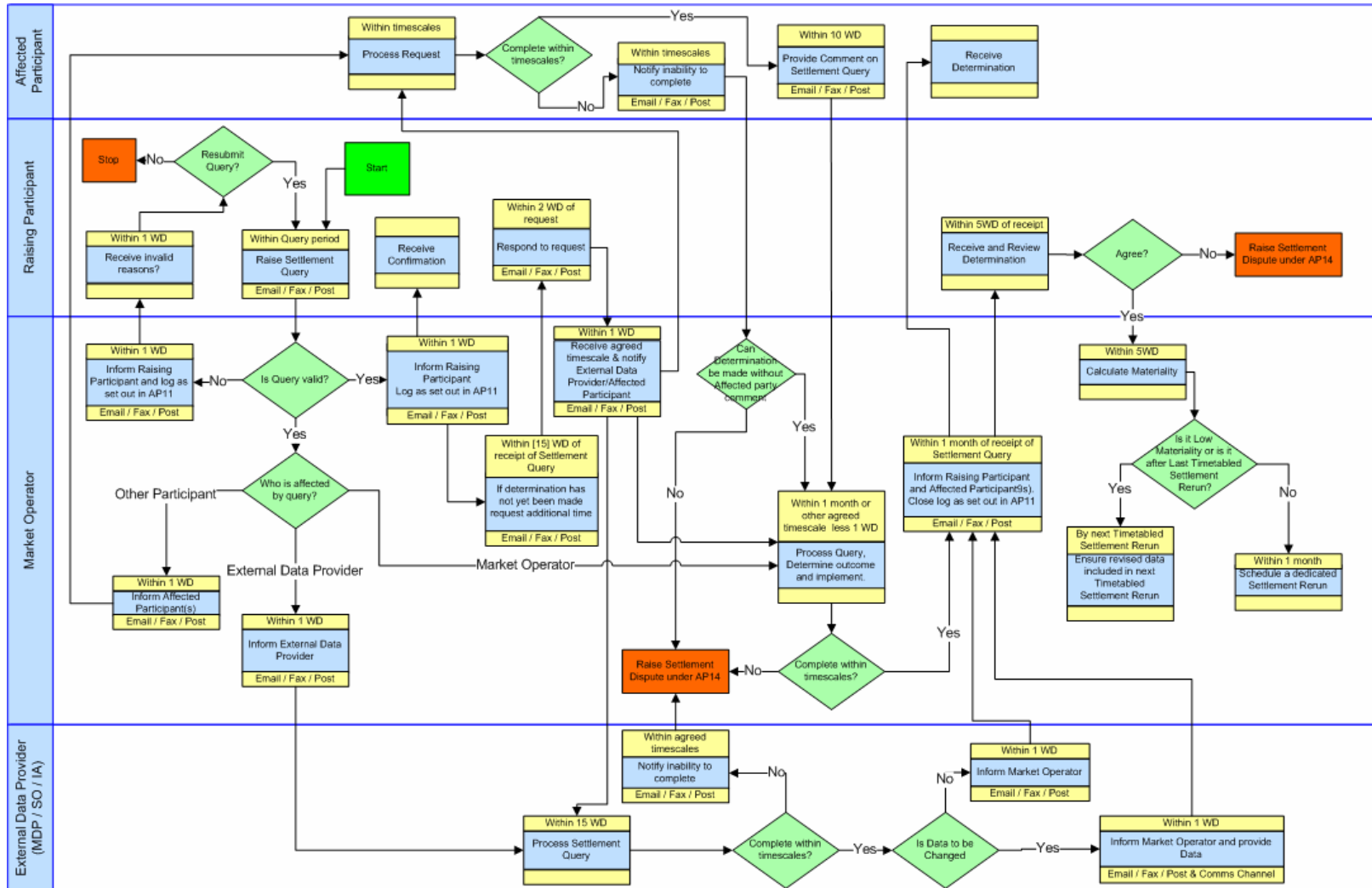
4. SWIMLANES

These swimlanes are provided as an illustration of the Procedural Steps. The Procedural Steps take precedence, in the event of conflict between the swimlanes and the Procedural Steps.

4.1. DATA QUERY – SWIM LANE



4.2. SETTLEMENT QUERY – SWIM LANE



5. APPENDIX 1 – DEFINITIONS AND ABBREVIATIONS

5.1. DEFINITIONS

Actual Availability	As defined in the Code
Affected Participant	The Participant, not being the Raising Party, who has provided the data being queried or whose data is affected by the data being queried. (This is normally the Participant who has registered the Unit whose data is being queried (if he is not the Raising Party) and the Participant who owns the Error Supplier Unit in the Jurisdiction where the affected Unit is registered).
Billing Period	As defined in the Code
Capacity Charge	As defined in the Code
Capacity Payment	As defined in the Code
Capacity Period	As defined in the Code
Code	As defined in the Code
Commercial Offer Data	As defined in the Code
Communication Channel	As defined in the Code
Data Query	As defined in the Code
Data Verification Period	As defined in the Code
Dispatch Quantity	As defined in the Code
Dispute	As defined in the Code
Eligible Availability	As defined in the Code
Error Supplier Unit	As defined in the Code
Ex-Post Loss of Load Probability	As defined in the Code
External Data Provider	A Meter Data Provider, System Operators or Interconnector Administrator.
Help Desk	As defined in Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support"
High Materiality	As defined in the Code
Initial Settlement Statement	As defined in the Code
Interconnector Administrator	As defined in the Code
Jurisdiction	As defined in the Code
Low Materiality	As defined in the Code
Market Operator	As defined in the Code
Market Schedule Quantity	As defined in the Code
Meter Data Provider	As defined in the Code
Metered Demand	As defined in the Code
Metered Generation	As defined in the Code
Net Demand	As defined in the Code
Participant	As defined in the Code
Query	A generic reference to a Settlement Query and a Data Query
Raising Party	The Party who raises the Query
Regulatory Authorities	As defined in the Code
Settlement	As defined in the Code
Settlement Day	As defined in the Code
Settlement Dispute	As defined in the Code

Settlement Item	As defined in the Code
Settlement Query	As defined in the Code
Settlement Rerun	As defined in the Code
Settlement Recalculation Threshold	As defined in the Code
System Operator	As defined in the Code
System Marginal Price	As defined in the Code
Technical Offer Data	As defined in the Code
Trading Charges	As defined in the Code
Trading Payments	As defined in the Code
Timetabled Settlement Rerun	As defined in the Code
Unit	As defined in the Code
Working Day	As defined in the Code

5.2. ABBREVIATIONS

CP	Capacity Period
MO	Market Operator
MSQ	Market Schedule Quantity
SD	Settlement Day
SMP	System Marginal Price
WD	Working Day

6. APPENDIX 2 -FORMS

6.1. QUERY FORM

This section contains the Query Form. It is presented on the subsequent page.

SETTLEMENT / DATA QUERY FORM

Type of Query
SETTLEMENT / DATA
Delete as appropriate

To be completed by Market Operator
Market Operator's Query Ref _____

Date Received _____

Form Checked _____

Accepted / Rejected
(delete as appropriate)

To be completed by Participant
Participant's Query Ref _____

Date Sent _____

PARTICIPANT INFORMATION

Participant Name _____

Participant id _____

SETTLEMENT STATEMENT DETAILS

Settlement Statement Number _____

Run Type Initial / Rerun 1 / Rerun 2 / Adhoc
(Only for Settlement Query – Delete as appropriate)

Settlement Days in Statement _____

For Capacity month/year; For Energy dd/mm/yy to dd/mm/yy ; For Data Query dd/mm/yy

Descriptive Overview of Query

(Provide a description of what the issue is e.g. the Units affected, the data items concerned, the incorrect charges, whether it is input data or the calculation, the basis of the query(the evidence)

Query Details

(Provide specific details of the items in the Settlement Statement being queried including where appropriate the Supplier/ Generator Unit, the meter ids, the half hours (day and half hour ending time), the specific charge item affected)

Additional Supporting Documents provided:

Specify Title and number of pages for each supporting document

Title

No of Pages

Authorised Representative (on behalf of Participant)

Date _____

Name

Signature

Password

AFFECTED PARTICIPANT NOTIFICATION FORM

6.3.

Affected Party Query Notification Form

PART A – QUERY REFERENCE *(to be completed by Market Operator)*

MO Reference:
Date:

Type of Query
DATA / SETTLEMENT

Name (MO Staff):

Signature:

PART B - AFFECTED PARTICIPANT DETAILS *(To be completed by Market Operator)*

Participant id:
Participant Name:

A Data/Settlement Query has been raised by another Party which has a direct affect on the data for your Unit. The Details of the Query are attached. Please submit any comments or views on the query, together with any evidence to support your comments, by the indicated date below.

Date Comments due:

PART C - AFFECTED PARTICIPANT RESPONSE *(To be completed by Participant)*

(Provide Comments here or on a separate paper document. Whether using a separate paper/document or including comments here, please complete name /authorisation details below)

Attachments:
Specify Title and number of pages for each attachment

Title

No.of Pages

Authorised Representative
(on behalf of Affected Participant)

Date

Name

Signature

Password

EXTERNAL DATA PROVIDER NOTIFICATION FORM

EXTERNAL DATA PROVIDER NOTIFICATION

PART A – QUERY REFERENCE *(to be completed by Market Operator)*

MO Reference:

Date:

Type of Query

DATA / SETTLEMENT

Data Query Timescale:

(Note settlement query is 15 days max)

PART B – EXTERNAL DATA PROVIDER DETAILS *(To be completed by Market Operator)*

Party id:

Party Name:

Party role: System Operator / Meter Data Provider / Interconnector Administrator

A Data/Settlement Query has been raised by another Party against the data that you have provided. The Details of the Query are attached. Please review the Query and if necessary resubmit any amended data. Please respond with the results of your analysis, together with any evidence to support your analysis if it is not in agreement with the raised Query.

The update is requested in the following format:

Manual Communication of Change to Specific Items

Type 2 or Type 3 Communication Channel full resend of all Specific Items (as per Agreed Procedure 16 for Meter Data Providers)

Date Comments due:

PART C - EXTERNAL DATA PROVIDER RESPONSE *(To be completed by External Data Provider)*

(Provide response here or on a separate paper document .If data is being resubmitted please indicate when this is expected to be sent using the normal communication channels Whether using a separate paper/document or including comments here, please complete name /authorisation details below)

Attachments:	Title	No.of Pages
<i>Specify Title and number of pages for each attachment</i>		

Authorised Representative

(on behalf of External Data Provider)

Date

Name

Signature

Password

7. APPENDIX 3 – QUERY FORM VALIDATION

The Query Form will have the follow items completed satisfactorily:

Item	Validation
Type of Query	One and only one of Settlement or Data should be struck out.
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) or a Data Query (dd/mm/yy). The days must align with the Settlement Statement Number.
Descriptive Overview	This must provide information about what is being queried
Query Details	This must provide the specific data items being queried. This should be in sufficient detail to unambiguously allow the data being queried to be identified and where necessary allow a Meter Data Provider to identify the data.
Additional Supporting Documents	The list must align with the additional documents provided in terms of title. If the Query is being sent by fax 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 Fax 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 Query.

In addition the following will be checked

1. The date the form is received by the Market Operator must be within the timescales allowed for raising the Query