

# Market Participant Self Certification Return



**AIP/SEM/07/415**

Administered By



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## Table of Contents

|  |           |
|--|-----------|
| <b>Introduction</b>  | <b>4</b>  |
| <b>General information</b>                                     | <b>6</b>  |
| <b>Compliance Matrix</b>                                       | <b>7</b>  |
| <b>Section 1: Project Methodology</b>                          | <b>8</b>  |
| <b>Section 2: Management Processes</b>                         | <b>10</b> |
| <b>Section 3: System Development Testing</b>                   | <b>13</b> |
| <b>Section 4: Market Trialling, Data Migration and Cutover</b> | <b>16</b> |
| <b>Section 5: Business Readiness</b>                           | <b>20</b> |
| <b>Section 6: Suppliers</b>                                    | <b>22</b> |
| <b>Section 6a: Supplier Intermediaries</b>                     | <b>25</b> |
| <b>Section 7: Meter Data Providers (MDP)</b>                   | <b>27</b> |

|   |           |
|---|-----------|
| <b>Section 8: Transmission System Operators (TSO's)</b> | <b>29</b> |
| <b>Section 9: Single Market Operator (SMO)</b>          | <b>32</b> |
| <b>Section 10: ESB Networks and NIE T&amp;D</b>         | <b>35</b> |
| <b>Statement of Readiness</b>                           | <b>38</b> |

## Introduction

The Market Participant Self Certification process for the opening of the Single Electricity Market (SEM) is set out in the Regulatory Authorities Participant Readiness Facilitation Strategy. This Market Participant Self Certification Return (the Return) has been subject to public consultation and subsequently approved for use by the Regulatory Authorities. If you require any clarification or assistance in completing the Return Gemserv's contact details are listed below.

This Return is being sent to all participants, who have, or will, accede to the Trading and Settlement Code (TSC) before Go Live. This document should be completed by the participant organisation, signed by a main Board Director and the hard copy sent back to the Regulatory Authorities at the address below by the **1<sup>st</sup> October 2007**. An unsigned electronic copy should be sent to the email address detailed below at the same time.

It has been assumed by the end of September 2007 the self certifying participants will be at an advanced stage of business readiness and making their final preparations for the start of the new wholesale trading arrangements, under the auspices of the TSC. Participants are requested to provide information about their progress to date together with any major risks regarding their ability to enter the new market on the first day of trading planned to be on the **1<sup>st</sup> November 2007**.

Each question has a 'Yes' and 'No' column that requires one of these to be selected. If the answer is 'No', or a 'Yes' answer that requires qualification, the further column should be used to provide this information.

**For help and assistance contact:**

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**Hard copy returns, signed by a main board director should be sent to:**

Mr C. Bowers  
All Island Project  
Grain House, Exchange Hall  
Belgard Square North  
Tallaght  
Dublin 24  
Electronic copies to: [cbowers@cer.ie](mailto:cbowers@cer.ie)

General information

|  |   |   |   |
|--|---|---|---|
| Participant's registered Name:                               |   |   |   |
| Participant's registered Address:                            |   |   |   |
| Participant types covered in this self certification return: | <b>Generator</b> <input type="checkbox"/><br><b>Supplier</b> <input type="checkbox"/><br><b>Single Market Operator</b> <input type="checkbox"/> | <b>Transmission MDP</b> <input type="checkbox"/><br><b>Distribution MDP</b> <input type="checkbox"/><br><b>Supplier Intermediary</b> <input type="checkbox"/> | <b>Transmission System Operator</b> <input type="checkbox"/><br><b>Distribution System Operator</b> <input type="checkbox"/><br><b>Other (please specify)</b> |
| Contact Details:   | <b>Main Contact</b>   | <b>Contact 2</b>  | <b>Contact 3</b>  |
| Contact Name:  |   |   |   |
| Role   |   |   |   |
| Tel:   |   |   |   |
| Fax:   |   |   |   |
| Email:   |   |   |   |

**Date received by Regulatory Authorities:**

### Compliance Matrix

The following table is intended to indicate what sections are required to be filled by each participant type.

| Participation type      | Section Numbers |   |   |   |   |   |    |   |   |   |    | Statement of readiness |
|-------------------------|-----------------|---|---|---|---|---|----|---|---|---|----|------------------------|
|                         | 1               | 2 | 3 | 4 | 5 | 6 | 6a | 7 | 8 | 9 | 10 |                        |
| Generator               | √               | √ | √ | √ | √ |   |    |   |   |   |    | √                      |
| Supplier                | √               | √ | √ | √ | √ | √ | √  |   |   |   |    | √                      |
| Meter Data Provider     | √               | √ | √ | √ | √ |   |    | √ |   |   |    | √                      |
| Transmission System Op  | √               | √ | √ | √ | √ |   |    |   | √ |   |    | √                      |
| Distribution Systems Op | √               | √ | √ | √ | √ |   |    |   |   |   | √  | √                      |
| Single Market Operator  | √               | √ | √ | √ | √ |   |    |   |   | √ |    | √                      |

### Section 1: Project Methodology

All participants should answer this section.

| Ref no   | Question   | Answer                   |                          | If the answer is 'No', or a 'Yes' answer requires qualification, this column should be used to provide further information to support your response. |
|----------|--|--------------------------|--------------------------|--|
|          |  | Yes                      | No                       |  |
| <b>1</b> | <b>External obligations and requirements</b>   |                          |                          |  |
| 1.1      | Has your organisation carried out an impact assessment of the changes required to support the revised regulatory and TSC obligations to participate in the SEM on your existing business, systems and processes? | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 1.2      | Has your organisation ensured that all the new or amended obligations have been identified and incorporated into your internal requirements specification documents?   | <input type="checkbox"/> | <input type="checkbox"/> | (If yes, please refer to the next question.)   |



|            |  |                                 |                                 |  |
|------------|--|---------------------------------|---------------------------------|--|
| <p>1.3</p> | <p>If the answer to question 1.2 is 'yes', have you included traceability features (such as a compliance matrix or some other form of tracking,)in your documentation to ensure that all obligations have been incorporated in your project lifecycle development and testing documentation?</p>   | <p><input type="checkbox"/></p> | <p><input type="checkbox"/></p> |  |
| <p>1.4</p> | <p>If the answers to either of the above 2 questions is 'No' please provide additional information about how you have achieved an adequate level of assurance that the scope of your project(s) is complete and that compliance with each external obligation has been confirmed during your project testing and industry trialling.</p> | <p><input type="checkbox"/></p> | <p><input type="checkbox"/></p> |  |

### Section 2: Management Processes

All participants should answer this section.

| Ref no     | Question  | Answer                   |                          | If the answer is 'No', or a 'Yes' answer requires qualification, this column should be used to provide further information to support your response |
|------------|---|--------------------------|--------------------------|---|
|            |   | Yes                      | No                       |   |
| 2.1        | Has your project used an industry best practice methodology such as PRINCE 2 in the development of your SEM preparations?         | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 2.2        | If the methodology is not PRINCE 2 please provide information about the methodology adopted.                                      |                          |                          |   |
| <b>2.3</b> | <b>Does your project have the following management processes in place that comply with an industry best practice methodology:</b> |                          |                          |   |
| 2.31       | Issue management processes that include issues, risks and assumptions together with escalation procedures'?                       | <input type="checkbox"/> | <input type="checkbox"/> |   |

|      |  |                          |                          |  |
|------|--|--------------------------|--------------------------|--|
| 2.32 | Change Control?  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 2.33 | Configuration Management?  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 2.34 | Release Management?  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 2.35 | Document Control?  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 2.36 | Test Management?   | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 2.37 | Project Planning?  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 2.38 | Defect Management Process  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 2.4  | Are all these processes documented in your project's base lined documents?   | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 2.5  | As at the 8 October 2007 do you expect the overall progress of the project to be in line with your project plan's critical path? If 'no' please provide information on the present status. | <input type="checkbox"/> | <input type="checkbox"/> |  |

|     |   |                          |                          |   |
|-----|---|--------------------------|--------------------------|---|
| 2.6 | Has your project any major outstanding risks and/or issues that could jeopardise your entry into the SEM at go-live?                                    | <input type="checkbox"/> | <input type="checkbox"/> | <b>If yes, please refer to the next question.</b> |
| 2.7 | If the answer to the above question 2.6 is 'Yes' please provide further information.  |                          |                          |   |
| 2.8 | Has your organisation acceded to the Trading and Settlement code and completed all necessary entry processes?   | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 2.9 | Does your organisation expect to complete all registration requirements, prior to the 25 October, as specified in the TSC and associated documentation? | <input type="checkbox"/> | <input type="checkbox"/> |   |

### Section 3: System Development Testing

All participants should answer this section.

| Ref no   | Question   | Answer                   |                          | If the answer is 'No', or a 'Yes' answer requires qualification, this column should be used to provide further information to support your response |
|----------|--|--------------------------|--------------------------|---|
|          |  | Yes                      | No                       |   |
| <b>3</b> | <b>Have the following products been included project documents and base lined for use?</b> |                          |                          |   |
| 3.1      | Testing Strategy   | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 3.2      | Test Plan  | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 3.3      | Test Scripts   | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 3.4      | Test and fault logs  | <input type="checkbox"/> | <input type="checkbox"/> |   |
|          | <b>Have the following or equivalent system tests been completed?</b>                       |                          |                          |   |
| 3.5      | Unit testing   | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 3.6      | System testing   | <input type="checkbox"/> | <input type="checkbox"/> |   |

|      |  |                          |                          |  |
|------|--|--------------------------|--------------------------|--|
| 3.7  | Internal end to end integration testing  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 3.8  | Site acceptance testing  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 3.9  | User acceptance testing  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 3.10 | Have all identified high severity systems faults been recorded in the fault logs and subsequently rectified? | <input type="checkbox"/> | <input type="checkbox"/> |  |
|      | <b>Have Connectivity Tests been completed with the:</b>  |                          |                          |  |
| 3.9  | Single Market Operator?  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 3.10 | Transmission System Operator(s) (where appropriate)?   | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 3.11 | Meter Data Provider(s) (where appropriate)?  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 3.12 | Are there any outstanding issues with connectivity tests? If so, please provide details of these issues.     | <input type="checkbox"/> | <input type="checkbox"/> |  |

|      |   |                          |                          |   |
|------|---|--------------------------|--------------------------|---|
| 3.13 | Have you completed all internal market readiness testing?   | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 3.14 | If your answer to the above question 3.13 is 'no', please provide further information about when you expect to complete internal market readiness testing.                                  | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 3.15 | Are there any critical risks and/or issues still outstanding, related to Systems Development Testing, that may impact your ability to participate in the SEM on the first day of trading?   | <input type="checkbox"/> | <input type="checkbox"/> | <b>Please refer to the next question if the answer is 'Yes'</b> |
| 3.16 | If you have answered 'yes' to the above question 3.15, please provide further information about the critical risks and/or issues together with the actions being employed to mitigate them. |                          |                          |   |

### Section 4: Market Trialling, Data Migration and Cutover

All participants should answer this section.

| Ref no | Question   | Answer                   |                          | If the answer is 'No', or a 'Yes' answer requires qualification, this column should be used to provide further information to support your response                |
|--------|--|--------------------------|--------------------------|--|
|        |  | Yes                      | No                       |  |
|        | <b>Market Trialling</b>  |                          |                          |  |
| 4.1    | Did your organisation complete all the prerequisite requirements to participate in Market Trialling?   | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 4.2    | Has your organisation participated in the unscripted phase and completed the scripted phase of Market Trialling?   | <input type="checkbox"/> | <input type="checkbox"/> | <b>Please refer to the next question if the answer is 'Yes'</b><br>If the answer is No, please explain why your organisation did not participate in market trials. |
| 4.3    | Are there any critical risks and/or issues, relating to market trialling, still outstanding that may impact your organisation's ability to participate in the SEM on the first day of trading? | <input type="checkbox"/> | <input type="checkbox"/> | <b>Please refer to the next question if the answer is 'Yes'</b>  |



|     |   |                          |                          |  |
|-----|---|--------------------------|--------------------------|--|
| 4.4 | If you have answered 'yes' to the above question 4.3, please provide further information about the critical risks and/or issues together with the actions being employed to mitigate them.                  |                          |                          |  |
|     | <b>Data migration</b>   |                          |                          |  |
| 4.5 | Has your organisation built new/amended systems and processes that must be populated with new/amended data?   | <input type="checkbox"/> | <input type="checkbox"/> | <b>Where the answer is 'yes' please answer the following questions on data migration</b> |
| 4.6 | Have you produced data migration/population plans?  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 4.7 | Have these plans been tested?   | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 4.8 | Are there any critical risks and/or issues, relating to data migration and population, still outstanding that may impact your organisation's ability to participate in the SEM on the first day of trading? | <input type="checkbox"/> | <input type="checkbox"/> | <b>Please refer to the next question if the answer is 'Yes'</b>                          |

|      |  |                          |                          |   |
|------|--|--------------------------|--------------------------|---|
| 4.9  | If you have answered 'yes' to the above question 4.8, please provide further information about the critical risks and/or issues together with the actions being employed to mitigate them. |                          |                          |   |
|      | <b>Cutover</b>   |                          |                          |   |
| 4.10 | Has your organisation developed cutover plans for operating in the SEM?  | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 4.11 | Have these cutover plans been tested to ensure they are robust and fit for purpose?  | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 4.12 | Are there any critical risks and/or issues, relating to cutover, still outstanding that may impact your organisation's ability to participate in the SEM on the first day of trading?      | <input type="checkbox"/> | <input type="checkbox"/> | <b>Please refer to the next question if the answer is 'Yes'</b> |

|      |   |  |  |  |
|------|---|--|--|--|
| 4.13 | If you have answered 'yes' to the above question 4.12, please provide further information about the critical risks and/or issues together with the actions being employed to mitigate them. |  |  |  |
|------|---|--|--|--|

### Section 5: Business Readiness

All participants should answer this section.

| Ref no | Question   | Answer                   |                          | If the answer is 'No', or a 'Yes' answer requires qualification, this column should be used to provide further information to support your response |
|--------|--|--------------------------|--------------------------|---|
|        |  | Yes                      | No                       |   |
| 5.1    | Have you carried out an impact assessment on the changes required to your business processes and staffing levels to meet your obligations to participate in the SEM? | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 5.2    | Have you a plan of action to implement the changes identified?   | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 5.3    | Have you appropriately trained staff available to support Cutover Go Live and enduring operational processes?  | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 5.4    | Are there any critical project risk and issues still outstanding regarding business readiness?   | <input type="checkbox"/> | <input type="checkbox"/> | <b>Please refer to the next question if the answer is 'Yes'</b>   |

|     |  |                          |                          |  |
|-----|--|--------------------------|--------------------------|--|
| 5.5 | If you have answered 'yes' to the above question please provide further information about the critical risks and issues together with the actions being employed to mitigate them. |                          |                          |  |
| 5.6 | Are there robust contingency plans in place for any outstanding critical business risks and issues?  | <input type="checkbox"/> | <input type="checkbox"/> |  |
|     | <b>For Suppliers and Generators only</b>   |                          |                          |  |
| 5.7 | Where appropriate have you signed Use of System Agreements for Distribution and Transmission with the relevant System Operators?   | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 5.8 | Are you, or will you be, compliant with all the Grid Code obligations at SEM Go Live?  | <input type="checkbox"/> | <input type="checkbox"/> |  |

**Section 6: Suppliers**

This section applies to Suppliers only

| Ref no                                 | Question  | Answer                   |                          | If the answer is 'No', or a 'Yes' answer requires qualification, this column should be used to provide further information to support your response.  |
|--|---|--------------------------|--------------------------|---|
|  |   | Yes                      | No                       |   |
| <b>Northern Ireland Suppliers only</b> |   |                          |                          |   |
| 6.1                                    | Do/Will you, as a Licensed Supplier, participate in the retail market in Northern Ireland?  | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 6.2                                    | If so have you modified or produced systems and processes to support the changes required in the retail market that will operate as part of the SEM?  | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 6.3                                    | Confirm your responses in sections 1-5 include those elements of your programme that will provide the aforementioned functions for your organisation? | <input type="checkbox"/> | <input type="checkbox"/> | <b>If you have not included these elements of your programme in sections 1-5 please provide full details of the reasons why. For example: some of the businesses activities are subcontracted to a third party.</b> |

|     |  |                          |                          |  |
|-----|--|--------------------------|--------------------------|--|
| 6.4 | Have you completed with NIE T&D all necessary testing and processes to enable your retail customers to be registered and settled through the SEM as from the Go Live date? | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 6.5 | Do you have any outstanding issues and risks that may stop your organisation participating in the retail market?   | <input type="checkbox"/> | <input type="checkbox"/> | <b>If 'yes' please provide further information</b> |
|     | <b>Ireland Suppliers only</b>  |                          |                          |  |
| 6.6 | Do you, as a Licensed Supplier, participate in I competition electricity Supply in Ireland?  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 6.7 | If so have you modified or produced systems and processes to support the changes required in the retail market that will operate as part of the SEM?                       | <input type="checkbox"/> | <input type="checkbox"/> |  |

|      |   |                          |                          |   |
|------|---|--------------------------|--------------------------|---|
| 6.8  | Confirm your responses in sections 1-5 include those elements of your programme that will provide the aforementioned functions for your organisation?                                   | <input type="checkbox"/> | <input type="checkbox"/> | <b>If you have not included these elements of your programme in sections 1-5 please provide full details of the reasons why. For example: some of the businesses activities are subcontracted to a third party.</b> |
| 6.9  | Have you completed, with ESB Networks, all necessary testing and entry processes to enable your retail customers to be registered and settled through the SEM as from the Go Live date? | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 6.10 | Do you have any outstanding issues and risks that may stop your organisation participating in retail competition?   | <input type="checkbox"/> | <input type="checkbox"/> | <b>If 'yes' please provide further information</b>  |



**Section 6a: Supplier Intermediaries**

All Suppliers should answer the first question.

| Ref no  | Question  | Answer                   |                          |   |
|---|---|--------------------------|--------------------------|---|
|   |   | Yes                      | No                       |   |
| 6.11  | Is your organisation planning to act as an Intermediary for any other organisation (the associated company) that will participate in the SEM? | <input type="checkbox"/> | <input type="checkbox"/> | <b>If the answer is 'Yes' please complete the rest of this section.</b> |
| For each of the associated companies for which you intend to act as an Intermediary please provide the following information (duplicate the table for each associated company). |   |                          |                          |   |

|                                    |  |
|------------------------------------|--|
| <b>Name of associated company:</b> |  |
| <b>Address:</b>                    |  |
| <b>Contact details:</b>            |  |
| <b>Participation type(s):</b>      |  |
|                                    | <b>Answer</b>  |
|                                    | <b>If the answer is 'No', or a 'Yes' answer requires</b> |

| Ref no | Question   | Yes                      | No                       | qualification, this column should be used to provide further information to support your response.                              |
|--------|--|--------------------------|--------------------------|---|
| 6.12   | Has your organisation been approved by the Regulatory Authorities to act as an Intermediary?                 | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 6.13   | Has your organisation registered, with the Single Market Operator, as an Intermediary?                       | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 6.14   | Does this return cover all the SEM participation responsibilities and obligations for the associated Company | <input type="checkbox"/> | <input type="checkbox"/> | <b>If the answer is 'no' detail below the SEM participation responsibilities covered by this Return and those that are not.</b> |
| 6.15   | SEM participation responsibilities covered by this Return  |                          |                          |   |
| 6.16   | SEM participation responsibilities NOT covered by this Return  |                          |                          |   |

**Section 7: Meter Data Providers (MDP)**

This section applies to Meter Data Providers only

| Ref no                                       | Question   | Answer                   |                          | If the answer is 'No', or a 'Yes' answer requires qualification, this column should be used to provide further information to support your response. |
|--|--|--------------------------|--------------------------|--|
|  |  | Yes                      | No                       |  |
| <b>External obligations and requirements</b> |  |                          |                          |  |
| 7.2  | Has your organisation confirmed that all registered Metering Systems can be accessed and metered data uploaded and processed within the timescales specified by the TSC? | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 7.3  | Has your organisation fully tested the interfaces between the SMO, TSO, retail market and other applicable participants?   | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 7.4  | Has your organisation completed all activities and testing to ensure it can meet the MDP Regulatory and TSC obligations and responsibilities?                            | <input type="checkbox"/> | <input type="checkbox"/> |  |

|     |  |                          |                          |  |
|-----|--|--------------------------|--------------------------|--|
| 7.5 | Has your organisation completed and tested the disaster recovery and business continuity systems and processes required to support your regulatory and TSC obligations?                                    | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 7.6 | Insofar as requested by the Market Operator, have all SEM registered Generators fulfilled the MDP-related required entry criteria to fully participate in the SEM, e.g. installation of interval metering? | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 7.7 | If applicable list the names and Ids of Generators who have not completed the required entry processes together with the date when you expect these will be complete?                                      |                          |                          |  |
| 7.8 | State any major issues and risks that have the capability to impact market opening and the mitigation actions that are in progress to resolve them.  |                          |                          |  |

## Section 8: Transmission System Operators (TSO's)

This section applies to Transmission System Operators only

| Ref no | Question   | Answer                   |                          | If the answer is 'No', or a 'Yes' answer requires qualification, this column should be used to provide further information to support your response. |
|--------|--|--------------------------|--------------------------|--|
|        |  | Yes                      | No                       |  |
| 8.1    | Have the connection agreements been completed and agreed with all connected generation plant?  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 8.2    | Has your organisation completed and tested the systems and communications infrastructure required to instruct generation, or flexible demand, for system balancing purposes? | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 8.3    | Has a transmission system operation agreement been completed and signed with the TSO in the adjoining Jurisdiction?  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 8.4    | Have balancing services agreements been put in place to support compliance with operational and planning standards?  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 8.5    | Have all the TSO specified interfaces with the   | <input type="checkbox"/> | <input type="checkbox"/> |  |

|      |   |                          |                          |  |
|------|---|--------------------------|--------------------------|--|
|      | Single Market Operator been completed and fully tested ready for live operation?  |                          |                          |  |
| 8.6  | Have any changed/modified TSO interfaces with the generators been fully tested ready for go-live operation.   |                          |                          |  |
| 8.7  | Have all the systems required to compile and process TSO specific data required by the Single Market Operator to meet the TSC obligations been completed and tested?    | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 8.8  | Has your organisation completed and tested the disaster recovery and business continuity systems and processes required to support your regulatory and TSC obligations? | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 8.9  | State any major issues and risks that have the capability to impact market opening and the mitigation actions that are in progress to resolve them?                     | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 8.10 | <b>For SONI only:</b><br>Have all the Regulatory and TSC  | <input type="checkbox"/> | <input type="checkbox"/> |  |

|  |   |  |  |  |
|--|---|--|--|--|
|  | responsibilities and obligations, which apply to SONI, been completed to enable the Moyle Interconnector to fully participate in the SEM? |  |  |  |
|--|---|--|--|--|

**Section 9: Single Market Operator (SMO)**

This section applies to the SMO only.

| Ref no | Question  | Answer                   |                          | If the answer is 'No', or a 'Yes ' answer requires qualification, this column should be used to provide further information to support your response. |
|--------|---|--------------------------|--------------------------|---|
|        |   | Yes                      | No                       |   |
| 9.1    | Has your organisation verified that it can meet all the stated obligations placed on it in the TSC?   | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 9.2    | Has your organisation verified that it can meet all the stated obligations placed on it in the SMO licenses that will be effective before and on the SEM Go live date?        | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 9.3    | Have the stated objectives of market trialling, and therefore the exit criteria, been met. If not provide information when you expect to be compliant with the exit criteria? | <input type="checkbox"/> | <input type="checkbox"/> |   |



|     |   |                          |                          |  |
|-----|---|--------------------------|--------------------------|--|
| 9.4 | Have all the market participants completed connectivity testing, other entry processes and market trailing requirements to prove they are ready to interact with the market operator systems?                                       | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 9.5 | Has your organisation completed and tested the disaster recovery and business continuity systems and processes required to support the regulatory and TSC obligations?  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 9.6 | Has your organisation confidence that your systems, processes and organisation, as a whole, are ready to meet the TSC obligations from the market start date?   | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 9.7 | Has your organisation confidence that it can achieve the expected performance and service levels for a stable market to exist in the all island wholesale electricity trading market covered by the TSC from the market start date? | <input type="checkbox"/> | <input type="checkbox"/> |  |

|     |   |                          |                          |  |
|-----|---|--------------------------|--------------------------|--|
| 9.8 | State any major issues and risks that have the capability to impact market opening and the mitigation actions that are in progress to resolve them? | <input type="checkbox"/> | <input type="checkbox"/> |  |
|-----|---|--------------------------|--------------------------|--|

**Section 10: ESB Networks and NIE T&D**

This section applies to the Distribution System Operators only

| Ref no | Question  | Answer                   |                          | If the answer is 'No', or a 'Yes ' answer requires qualification, this column should be used to provide further information to support your response. |
|--------|---|--------------------------|--------------------------|---|
|        |   | Yes                      | No                       |   |
| 10.1   | Has your organisation completed all the changes to your systems and processes that are required for retail market competition to be maintained, or started, at the SEM Go Live date, including updating any required retail market documentation?   | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 10.2   | Has your organisation provided facilities for all Suppliers, Participant Generators (as necessary and appropriate) and Non-Participant Generators (as necessary and appropriate) to carry out adequate testing to enable them to register customers metering systems and receive reports to facilitate competition? | <input type="checkbox"/> | <input type="checkbox"/> |   |

|      |   |                          |                          |  |
|------|---|--------------------------|--------------------------|--|
| 10.3 | Have all Suppliers and Participant Generators (as necessary and appropriate) who have indicated that they will be active at SEM Go Live completed testing (IPT and Market Trial) and any necessary Entry Processes?         | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 10.4 | If the answer is 'no' to question 1.3 do you expect that all Suppliers, who have indicated that they will be active within your jurisdiction, will have completed testing and any necessary Entry Processes by SEM Go Live? | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 10.5 | Have all registered Suppliers and Participant Generators (as necessary and appropriate) completed the required retail processes (registration, IPT and Market Trial as appropriate) to fully participate in the SEM?        | <input type="checkbox"/> | <input type="checkbox"/> |  |

|      |   |                          |                          |  |
|------|---|--------------------------|--------------------------|--|
| 10.6 | If applicable list the names of Suppliers and Participant Generators who have not completed the required processes (registration, IPT and Market Trial as appropriate)together with the date when you expect these will be complete?                      |                          |                          |  |
| 10.7 | Have all below de minimis Non-Participant Generators either completed their retail registration (or have had Suppliers completed this registration on their behalf) in time for SEM Go-Live and have completed testing and any necessary Entry Processes? | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 10.8 | If applicable list the names of Non-Participant Generators who have not completed the required processes together with the date when you expect these will be complete?   |                          |                          |  |
| 10.7 | Please provide further information if you believe there will be any restriction on full retail market competition at SEM Go Live.   | <input type="checkbox"/> | <input type="checkbox"/> |  |

### Statement of Readiness

An appropriate company executive must sign this declaration, as a statement on behalf of your organisation that the conditions for Self Certification to meet the needs of the SEM have been, or will be, met in time to participate in the Single Electricity Market under the auspices of the TSC.

|  |
|--|
| <b>PARTICIPANT ORGANISATION:</b>   |
| <b>DECLARATION BY main Board Director</b>  |
| With the exception of those items explicitly detailed below we confirm that we believe:  |
| <ul style="list-style-type: none"><li>• that the systems and processes that will be used to support the Single Electricity Market fully meet the obligations placed on them, work together correctly and accurately, have been completely and successfully tested and are free from substantial problems and;</li><li>• we will be ready to start live operation at the proposed Go Live date.</li></ul> |
| <i>Please detail any exceptions here:</i>  |

|                     |                  |                 |             |
|---------------------|------------------|-----------------|-------------|
| <b>Approved by:</b> |                  |                 |             |
| -----               | -----            | -----           | -----       |
| <b>Print Name</b>   | <b>Signature</b> | <b>Position</b> | <b>Date</b> |