

SEM Agreed Procedure

Title	Agreed Procedure 11: Market System Operation, Testing, Upgrading and Support
Version	2.2
Date	29th March 2007

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DOCUMENT HISTORY

VERSION	DATE	AUTHOR	COMMENT
2.0	03/11/2006	SEM Implementation Team	Issue to Regulatory Authorities
2.1	28/02/2007	Regulatory Authorities	Updated with comments from review of Terminology across all APs and TSC

RELATED DOCUMENTS

DOCUMENT TITLE	VERSION	DATE	BY
Trading and Settlement Code (the Code)	V1.2A	31 Jan 2007	Regulatory Authorities
Agreed Procedure 3 "Communication Channel Qualification"	V2.0		
Agreed Procedure 7 "Emergency Communications"	V2.0		
Agreed Procedure 12 "Modifications Committee Operation"	V2.0		
Agreed Procedure 13 "Query Generation"	V2.0		
Agreed Procedure 14 "Disputes"	V2.0		

1. INTRODUCTION

1.1. BACKGROUND AND PURPOSE

This Agreed Procedure describes the specific procedures and directives for Market System Operation, Testing, Upgrading and Support with which Parties to the Trading and Settlement Code (the “Code”) must comply.

1.2. SCOPE OF AGREED PROCEDURE

This Agreed Procedure defines how the Market Operator

- Provides advice to Parties in relation to the market operation and Communication Channels
- Provides a facility for Parties to report incidents
- Coordinates and facilitates implementation of the Market Operator’s Isolated Market Systems and its interfaces to the Communication Channels
- Schedules testing and down-time of the Market Operator’s Isolated Market Systems or its interfaces to Communication Channels
- Commissions an externally audited report in the event of a General Communication Failure, General System Failure, or MSP Failure.

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

This Agreed Procedure forms an 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 paragraph 1.10 of the Code.

2. PROCEDURE DEFINITION

2.1. CUSTOMER SERVICES FUNCTION

The Market Operator will operate a Help Desk where Parties can seek technical and operational advice. The Help Desk will provide information and advice on the following:

- Party / Unit Registration
- Communication Channels
- Market operation and obligations of Parties
- Incidents affecting the Market Operator's Isolated Market Systems and Communication Channels.
- Initial point of contact for Participants to raise a Query, log a Dispute or request an ad-hoc data report

The Help Desk can be contacted via email or by telephone except for Disputes and Data Queries and Settlement Queries which will require the communication methods defined in Agreed Procedure 13 "Query Generation" and Agreed Procedure 14 "Disputes" to be used.

2.1.1. Categorisation and Prioritisation of Help Desk Requests

Help Desk Requests are separated into 5 Categories namely:

Category	Title	Description
1	Dispute	Dispute raised under Agreed Procedure 14 "Disputes"
2	Settlement Query and Data Query	Query raised under Agreed Procedure 13 "Query Generation"
3	Incident Reporting	Reporting an issue that is preventing Participant from performing its obligations under the Code and which may require assistance from the Market Operator to resolve.
4	Assistance Request	Request by Participant who is having difficulty with configuration of Communication Channels or issues with data transfers and requires technical assistance. Request for ad-hoc data reports.
5	Information Request	Information on Agreed Procedures, current or planned events, current incidents. This information will usually be available on the Corporate Website.

Help Desk Category 1 requests

All Help Desk Requests under Category 1 will be processed under the procedures and timelines of the Agreed Procedure 14 "Disputes"

Help Desk Category 2 requests

All Help Desk Requests under Category 2 will be processed under the procedures and timelines of the Agreed Procedure 13 "Query Generation"

Help Desk Category 3, 4 & 5 requests

Help Desk requests submitted by email / voicemail will be responded to within [1] Working Days of receipt. The response will include either the information requested or provide a timescale for processing the request.

Where a Help Desk request is by telephone, and the Help Desk operator is unable to provide the requested information, the Help Desk operator will agree with the Participant the timescales for resolution. The Help Desk shall confirm the request and the agreed timescale by email where an email address is provided.

For Help Desk Category 5 requests, resolution will be the provision of the requested information and will typically be within [1] Working Day. For Help Desk Category 3 and 4 requests, resolution will be when the relevant Level 2 Support contacts the Participant to assist in resolving the issue. The timescales will be dependent on the type of request (e.g. inability to send Technical Offer Data and Commercial Offer Data may require a response of less than 1 hour whilst assistance with configuration of Communication Channels may be greater than 1 Working Day).

2.1.2. Logging / Monitoring of Help Desk Requests

All Help Desk requests will be logged when initially processed and the details and resolution timescales recorded.

Level 2 Support will also update the Help Desk with progress / closure of the issue. The Help Desk will inform the Participant of the closure of Help Desk requests, either by telephone or email.

2.2. MARKET OPERATOR'S ISOLATED MARKET SYSTEM MODIFICATIONS

2.2.1. Change Management

The Market Operator shall implement a change management process to manage the identification, recording, rectification/development and implementation of

- defects
- approved changes through Agreed Procedure 12 "Modifications Committee Operation"
- operational improvements not requiring Modifications
- upgrades in system software

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

2.2.2. Release Management

2.2.2.1 Scheduled Releases

The Market Operator shall schedule 4 Releases of Market Operator Isolated Market Systems each year in January, April, July and October. These Releases will include system modifications as a result of Modifications agreed under Agreed Procedure 12 "Modifications Committee Operation", upgrades in system software and corrections of identified defects (bug-fixes).

One calendar month prior to the implementation of a Release the Market Operator shall publish on the Corporate Website the content of the release. This shall include a list of the approved Modification Proposals that have impacted the release and a brief description of each system software upgrade and bug-fixes.

Where a Release does include changes to the interface with Parties then the change shall have been approved by the Modifications Committee under Agreed Procedure 12 "Modifications Committee Operation". The Modifications Committee shall also have agreed the Scheduled Release in which it is to be implemented.

2.2.2.2 Emergency Releases

Where the Market Operator considers that there is a risk to the operation of the Single Electricity Market requiring an upgrade in system software or a bug-fix or there is an implementation of an Urgent Modification, the Market Operator may schedule an Emergency Release.

Where an Emergency Release does not affect the interface with Parties (i.e. there is no requirement for Parties to modify their Isolated Market Systems) then the Market Operator shall publish a summary of the Emergency Release as soon as practicable. It is recognised that this notice may be as short as [1] day prior to implementation

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

2.2.3. Testing

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

Where the Release includes changes to the interface with Parties then the Market Operator will provide a separate Test Environment of the relevant Market Operator's Isolated Market System to enable the affected Parties to test the interface. This Test Environment will be available at least [5] working days prior to implementation of the Release or in line with the timescales that may have been specified in an approved Modification Proposal included in the Release.

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

2.2.4. Implementation Procedures

2.2.4.1 Overview of Implementing new releases of Isolated Market Systems

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

Implementation of Releases on the production Market Operator's Isolated Market System or Communication Channels may have an effect on Parties interface with the Market Operator's Isolated Market Systems. Five levels of implementation having been defined depending on the operational impact on Parties, namely:

Implementation level	Description
Level 1 Implementation	Implementation of parts of the Market Operator's Isolated Market System which has no operational impact on Parties (e.g. Finance System)
Level 2 Implementation	Implementation of parts of the Market Operator Isolated Market Systems which prevents the issue of Data Transactions by Participants for less than [1] hr between 10:30-06:00 hrs. (i.e. for a short period outside the critical time prior to Gate Closure and just after Gate Closure)

Implementation level	Description
Level 3 Implementation	Implementation of parts of the Market Operator’s Isolated Market System which prevents the issue of Data Transactions by Participants for greater than [1] hr between 10:30-06:00 hrs or for any period of time between 06:00 – 10:30 hrs(<i>i.e. for a significant period outside the critical time prior to Gate Closure and just after Gate Closure</i>)
Level 4 Implementation	Implementation of new / modified format or methods of messaging which will require corresponding changes to Participants’ Isolated Market Systems. The implementation must not commence prior to 30 minutes after Gate Closure on day D and must be completed at least [6] hours prior to Gate Closure on day D+1 (calendar day). (<i>i.e. a coordinated change in multiple Parties systems</i>)
Emergency Implementation	Implementation of an Emergency Release.

2.2.4.2 Level 1 Implementation

Level 1 Implementations will only require the Market Operator to inform Participants that a Level 1 Implementation is being performed and when it has been completed. The Market Operator shall also publish this information on the Corporate Website and on the Market Website.

2.2.4.3 Level 2 Implementation

Level 2 Implementations will require the Market Operator to consult with Participants at least [20] Working Days prior to the scheduled day of the implementation. The Market Operator will then confirm the implementation at least [10] Working Days prior to the implementation and shall also publish this information on the Corporate Website and on the Market Website.

The Market Operator shall remind Participants of the implementation one Working Day prior to the scheduled day of the implementation.

On the day of the implementation, if the implementation is extended such that it falls outside the Level 2 Implementation timescales then the Market Operator will initiate the procedures under Agreed Procedure 7 “Emergency Communications” as a General Communication Failure.

When the implementation is completed, the Market Operator will inform Participants by email and publishing the information on the Corporate Website and on the Market Website.

2.2.4.4 Level 3 Implementation

The Level 3 Implementations will follow a similar process as Level 2 Implementations with the additional option that a Participant may wish to use an alternative Communication Channel for the duration of the implementation.

2.2.4.5 Level 4 Implementation

The Level 4 Implementation will require a coordinated change in the Market Operator’s Isolated Market Systems and the Participants’ Isolated Market Systems. The Market Operator will be required to consult with Participants at least [40] Working Days prior to the scheduled day of the implementation. The Market Operator will then confirm the implementation at least [30] Working Days prior to the implementation and shall also publish this information on the Corporate Website and on the Market Website. The confirmation will also indicate if the Participants will be required to have their Communication Channels re-qualified under Agreed Procedure 3 “Communication Channel Qualification” to allow use of that Communication Channel after the completion of the Level 4 Implementation.

The Market Operator will remind Participants of the implementation one Working Day prior to the scheduled day of the implementation by email and by publishing on the Corporate Website and on the Market Website.

On the day of the implementation, if the implementation is extended such that it falls outside the Level 4 Implementation timescales then the Market Operator shall decide whether to revert to the previous Communication Channel version or initiate the procedures under Agreed Procedure 7 “Emergency Communications” as a General Communication Failure.

Depending on the result of the implementation, the Market Operator will inform Participants by email and by publishing on the Corporate Website and on the Market Website when the implementation is completed or if the previous Communication Channel version has been restored.

2.2.4.6 Emergency Implementation

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

Where the impact on Parties of the Emergency Implementation is as set out in Level 3 Implementation or Level 4 Implementation then Participants may need to implement internal processes to manage the unavailability.

2.3. PROBLEM MANAGEMENT

2.3.1. Problem Management Function

The Market Operator shall establish a Problem Management Function to consider the interim solutions to be adopted in the event of a Failure. A Failure includes a General System Failure, a General Communication Failure, an MSP Failure and/or a Limited Communication Failure where the affected Party is a Meter Data Provider, System Operators or Interconnector Administrator.

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

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

2.3.2. Prioritisation of Actions

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

- 1 Adoption of Administered Settlement
- 2 Failure to meet Billing Timescales
- 3 Failure to provide D+4 Settlement outputs
- 4 Failure to provide pre-Gate Closure information
- 5 Failure to provide D+1 Settlement outputs

Typical Failures for each consequence and potential interim solutions are provided in Appendix 3.

2.3.3. Rectification Timelines for Failures of Market Operator Isolated Market Systems

The rectification/availability timelines specified are to prevent the top two critical consequences (namely Adoption of Administered Settlement and Failure to meet Billing Timescales) from occurring and ensuring that the remaining consequences are of limited duration.

Failure	Rectification time / MOIMS availability periods
Receipt of Offer Data	<p>MOIMS availability: 100% available to receive the data between the periods 6:00 hours to 10:30 hours each day and between 13:00 hours to 18:00 hours on the last working day of each week. Outside these times at least an 80% availability to receive the data.</p> <p>Rectification: Outside these times Failure of any MOIMS must be rectified so that data can be received within [1] hour of the failure.</p>
MSP Failure; MSP Software failure; Receipt of data from Interconnector Administrator, Meter Data Providers or System Operators	<p>MOIMS availability: 90% availability between 10:00 hours and 17:00 hours each working day over a calendar week.</p> <p>Rectification: Within 10:00 -17:00 hrs failure must be rectified within [1] hour of the failure.</p>
Failure of all other parts of the Market Operator's Isolated Market System required to meet the Billing Timescales	<p>MOIMS availability: 80% availability between 10:00 hours and 17:00 hours each working day over a calendar week.</p> <p>Rectification: Within 10:00 -17:00 hrs failure must be rectified within [2] hour of the failure.</p>

2.3.4. Contingency/Interim Arrangements for Failure of External Systems

External Systems include other Parties' Isolated Market Systems and the public internet. The Market Operator will develop contingency arrangements to minimise the impact of failure of External Systems.

2.3.5. Process

The procedures under Agreed Procedure 7 "Emergency Communications", General System Failure shall be followed. Under that procedure as soon as the Market Operator becomes aware of a Failure, the Market Operator will notify all Parties of

- what is affected;
- the interim processes to be used to mitigate the effects of the failure;
- the period of time that this would be used before it is escalated in the event that it is not resolved; and
- the consequent changes to reporting timescales and whether some reports / Ex-Ante Indicative MSP Software Run / Ex-Post Indicative MSP Software Run / Ex-Post Indicative Settlement Statements will be cancelled.

2.4. POST EVENT REPORTING

2.4.1. Report Initiation

In accordance with the Code the Market Operator has an obligation to commission an externally audited report in the event of a General Communication Failure, General System Failure or MSP Failure. The report must consider the cause of the failure and the response of Parties to that Failure. A single process shall accommodate the reporting for the three Failure types.

A report may also be initiated prior to the rectification of a Failure where the Regulatory Authorities have directed the Market Operator subsequent to a request by the Market Operator

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

2.4.2. Process

Where a report is initiated by the rectification of a Failure, the Market Operator shall commission the report within 2 days of restoring the affected system and/or Communication Channels back to their normal operational state.

Where a Failure extends beyond [5] Working Days, the Market Operator may apply to the Regulatory Authorities to determine the need for a report into the Failure in advance of resolving the problem. The Market Operator shall commission such a report within [2] Working Days of the direction given by the Regulatory Authorities.

[Where the Regulatory Authorities direct the Market Operator to commission a report after an incident that materially affects Prices the Regulatory Authorities and the Market Operator shall agree the timescales for the initiation and production of the report.]

The report must be completed within [5] Working Days or other timescale agreed between the Regulatory Authorities and the Market Operator.

The Market Operator shall present the report to the Regulatory Authorities within [1] Working Day of receipt of the commissioned report.

The report will be a detailed study of the cause of the Failure [or significant incident] and the behaviour of all Parties during the Failure [or Material Incident] with particular emphasis on compliance with Agreed Procedure 7 “Emergency Communications”. All Parties will be obliged to cooperate with the authors during the compilation of the report.

2.5. AUTHORISED PERSONS

2.5.1. Authorisations Overview

Wherever Parties communicate with the Market Operator via Type 1 Channel or other communication required under Agreed Procedures, then that communication must be from staff duly authorised using this Agreed Procedure.

Party staff can be authorised under one or more Authorisation Categories (see Appendix 4). Authorisation Category A allows the person to nominate and change the Authorisations of other staff from that Party. At least one Category A Authorised Person must be registered during Party registration. Where a Party does not have any valid Category A Authorised Person then a new nomination must be submitted accompanied by a letter on the company stationary and signed by a registered company director or administrator for the company.

2.5.2. Authentication

As part of the Authorisation process the following details of the Authorised Person are required:

- Full Name

Last Updated: 30 March 2007

- Signature
- Email address
- Password

When a communication is received from the Authorised Person the authentication information provided is dependent on the mode of communication and is described below.

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

2.5.3. Authorisation Process

The authorisation procedures include the process for changing, registering and cancelling authorisations for a person and an annual confirmation of each Party's Authorised Persons.

Only Category A Authorised Person use this procedure. If an Authorised Person who is not a Category A Authorised Person wishes to change their details (password, email address) then this must be done by a Category A Authorised Person using the amendment process.

The processes that are defined in this section are:

1. Amendments of Authorised Persons including:
 - a. Nomination of Authorised Persons;
 - b. Change to the scope of Authorised Persons authority;
 - c. Cancellation of Authorised Persons; and
2. Confirmation of all Authorised Persons for a Party.

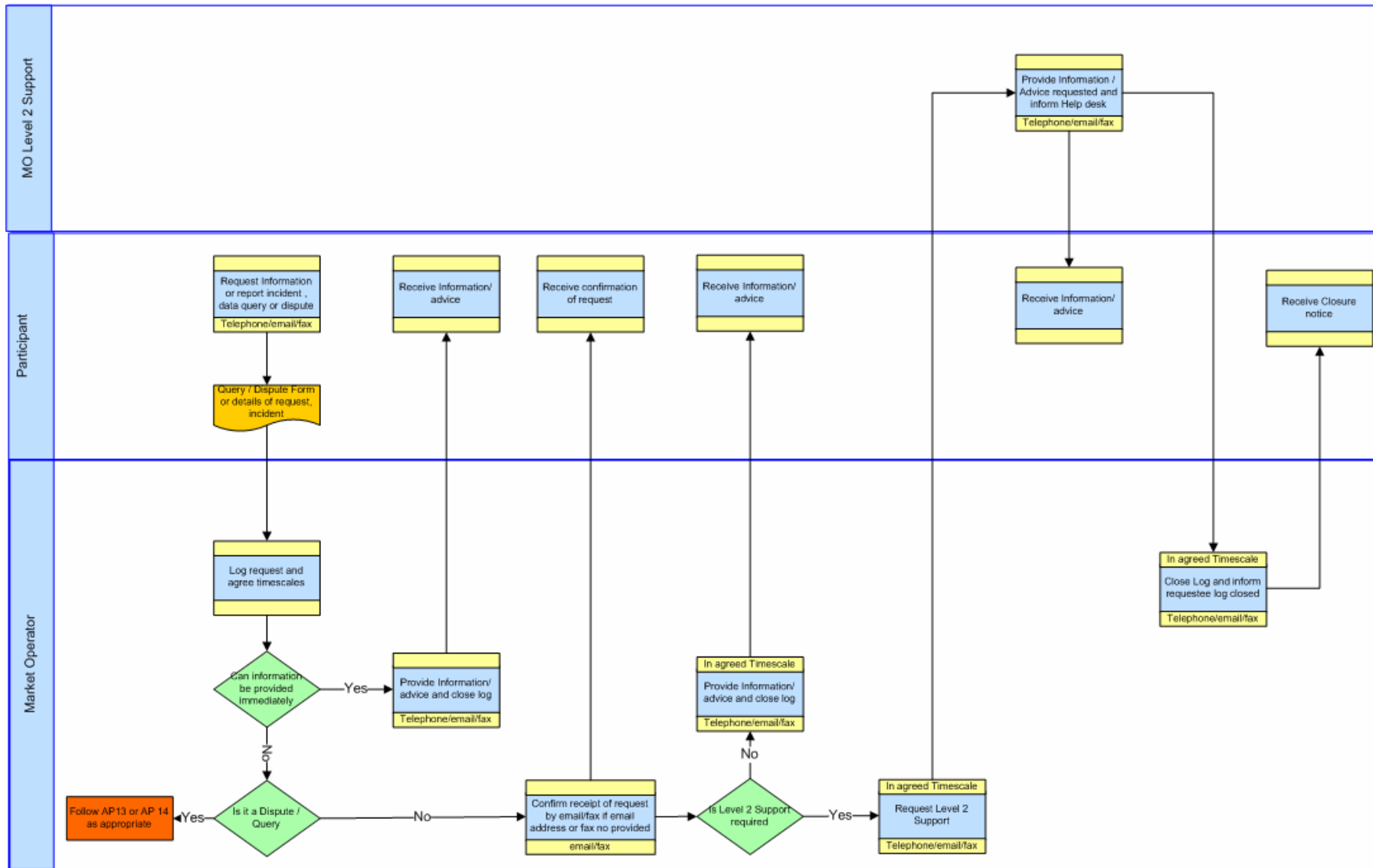
Annually, in January of each year, the Market Operator shall issue to each Party the Authorised Persons register for the Party. This will be sent to the one of the Category A Authorised Persons for the Party.

At any time a Party may request a copy of the Authorised Persons register for the Party. This may be requested by any Category A Authorised Person.

3. SWIMLANE DIAGRAM

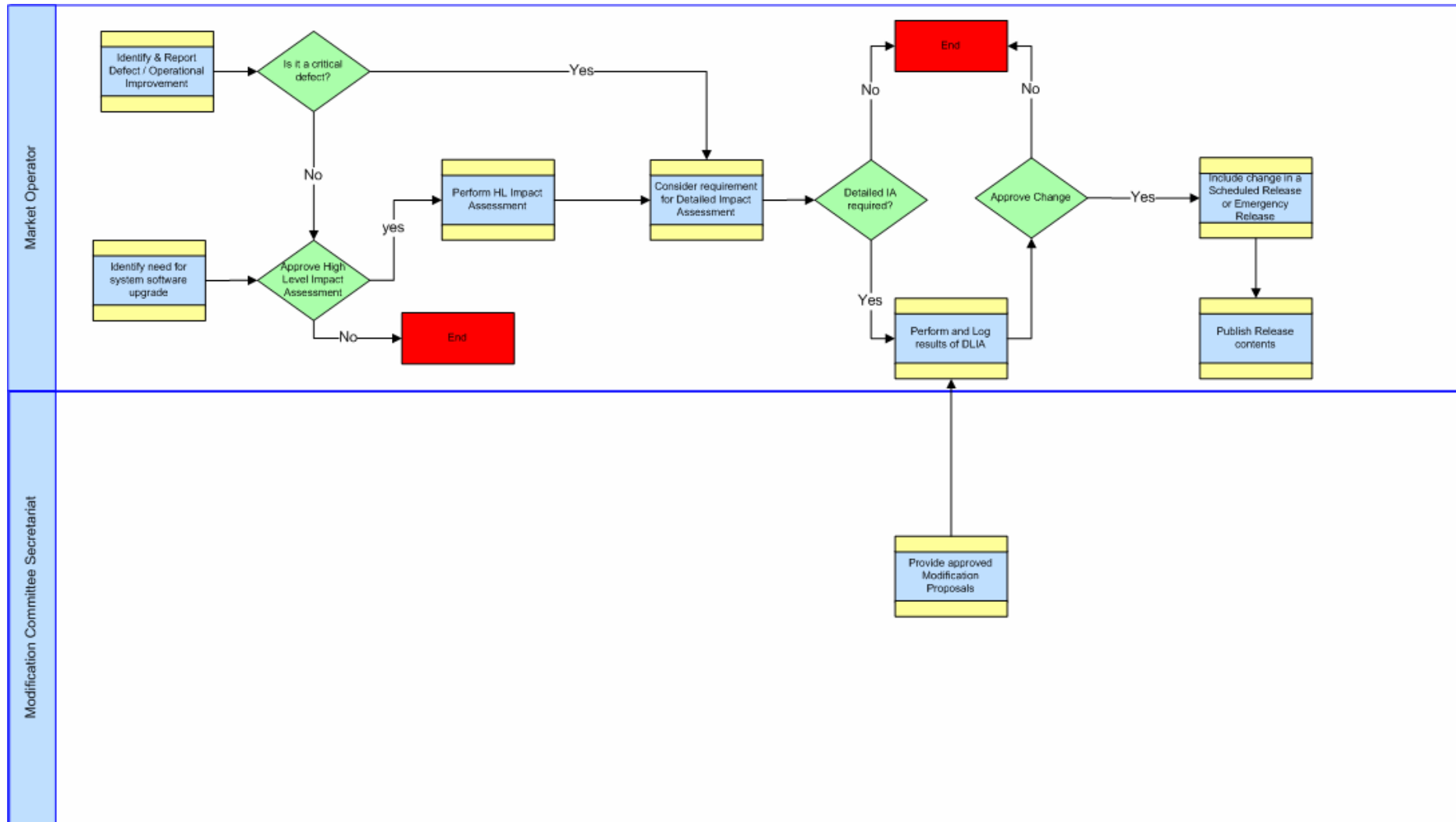
The swimlanes are set out in the following pages.

3.1. HELP DESK

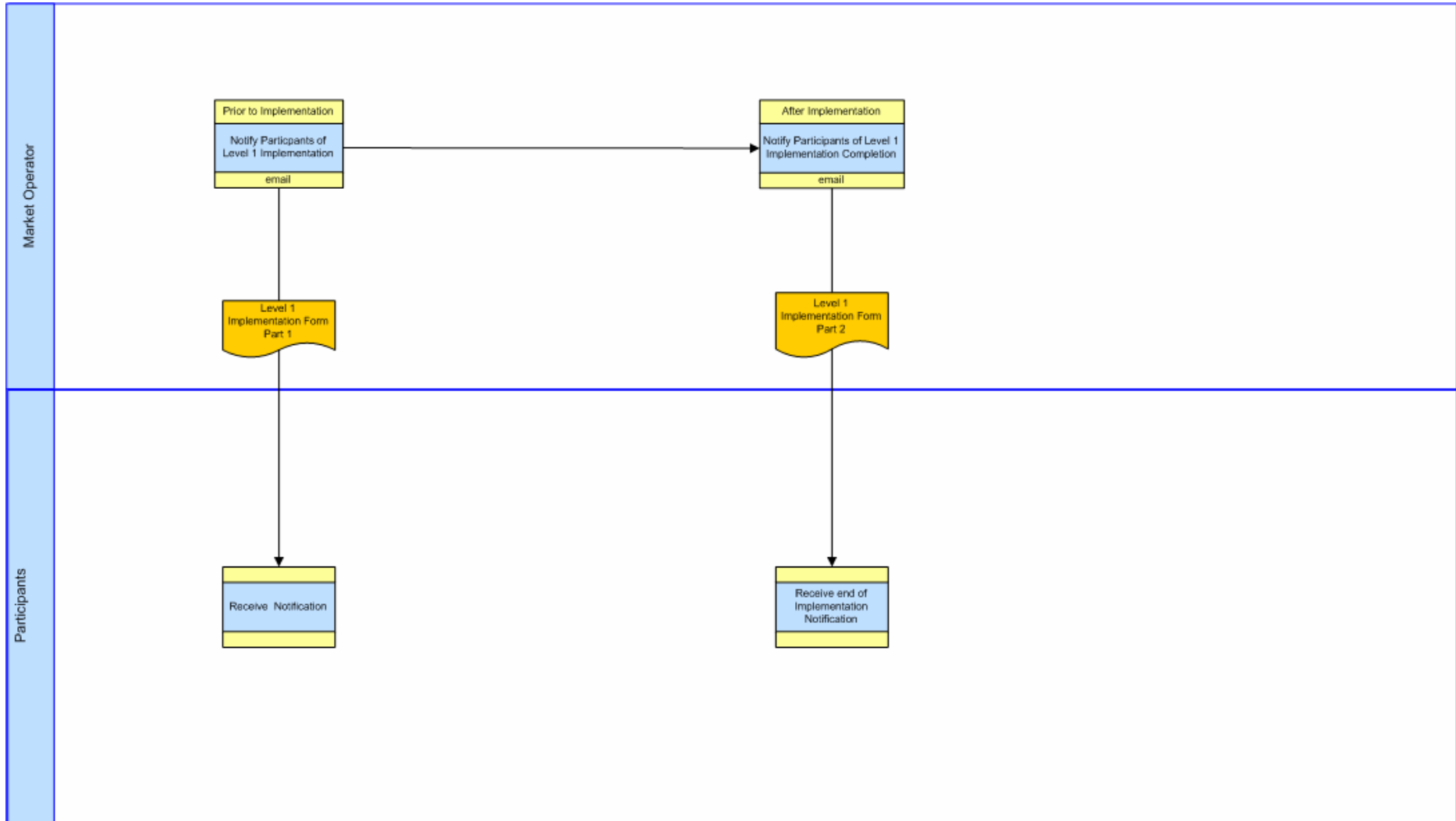


3.2. IMPLEMENTATION PROCEDURES

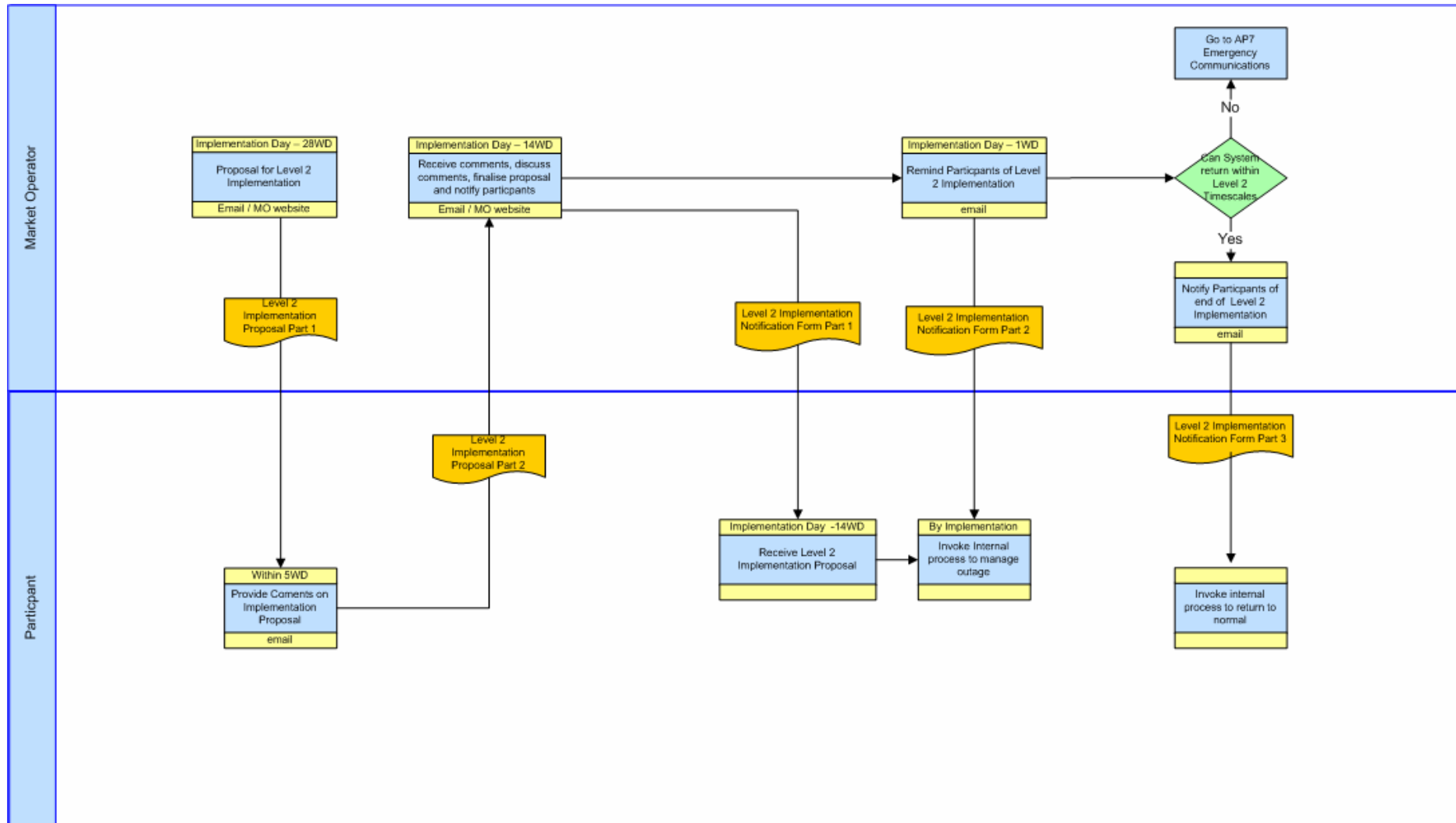
3.2.1. Change Management



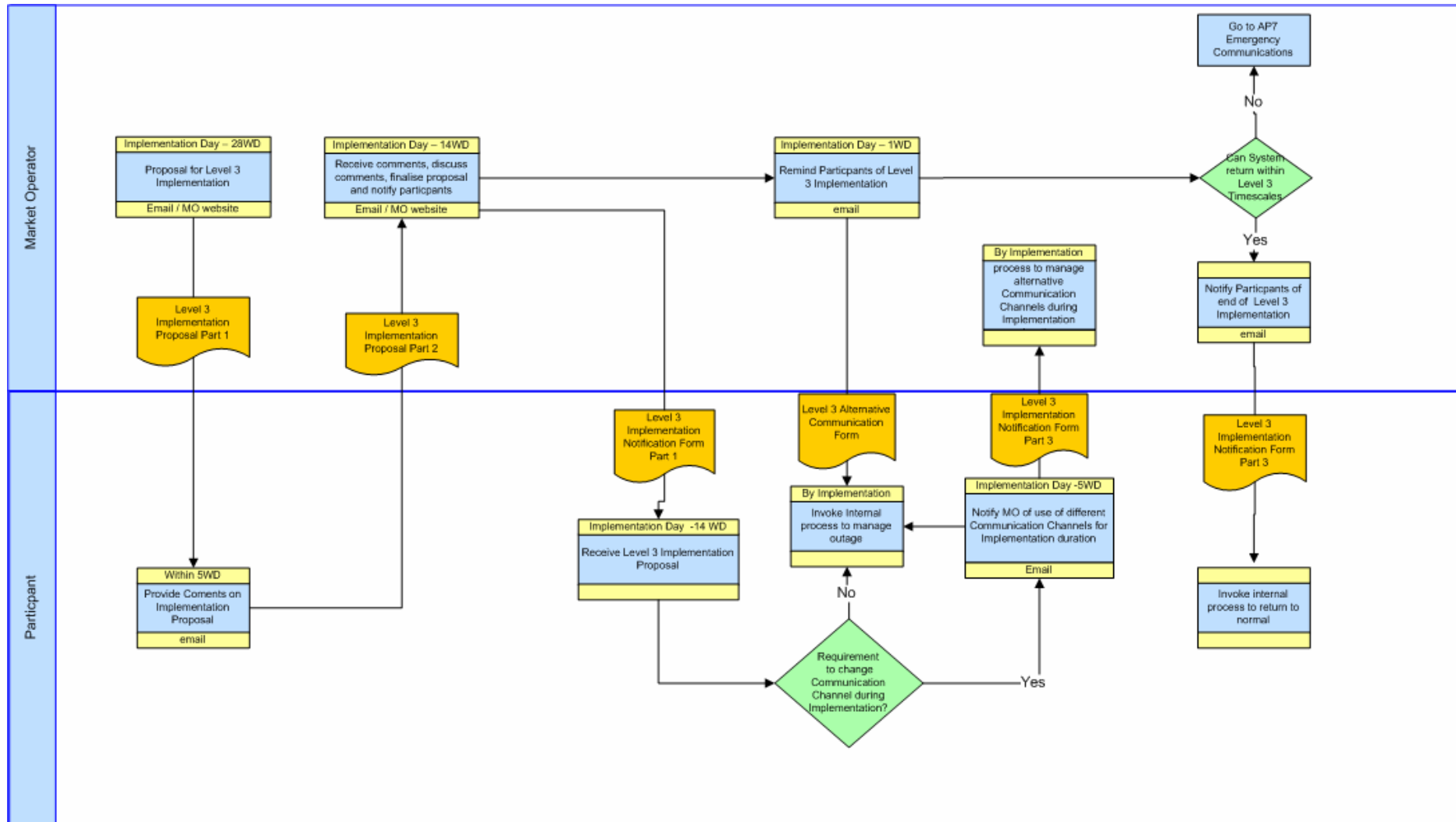
3.2.2. Level 1 Implementation



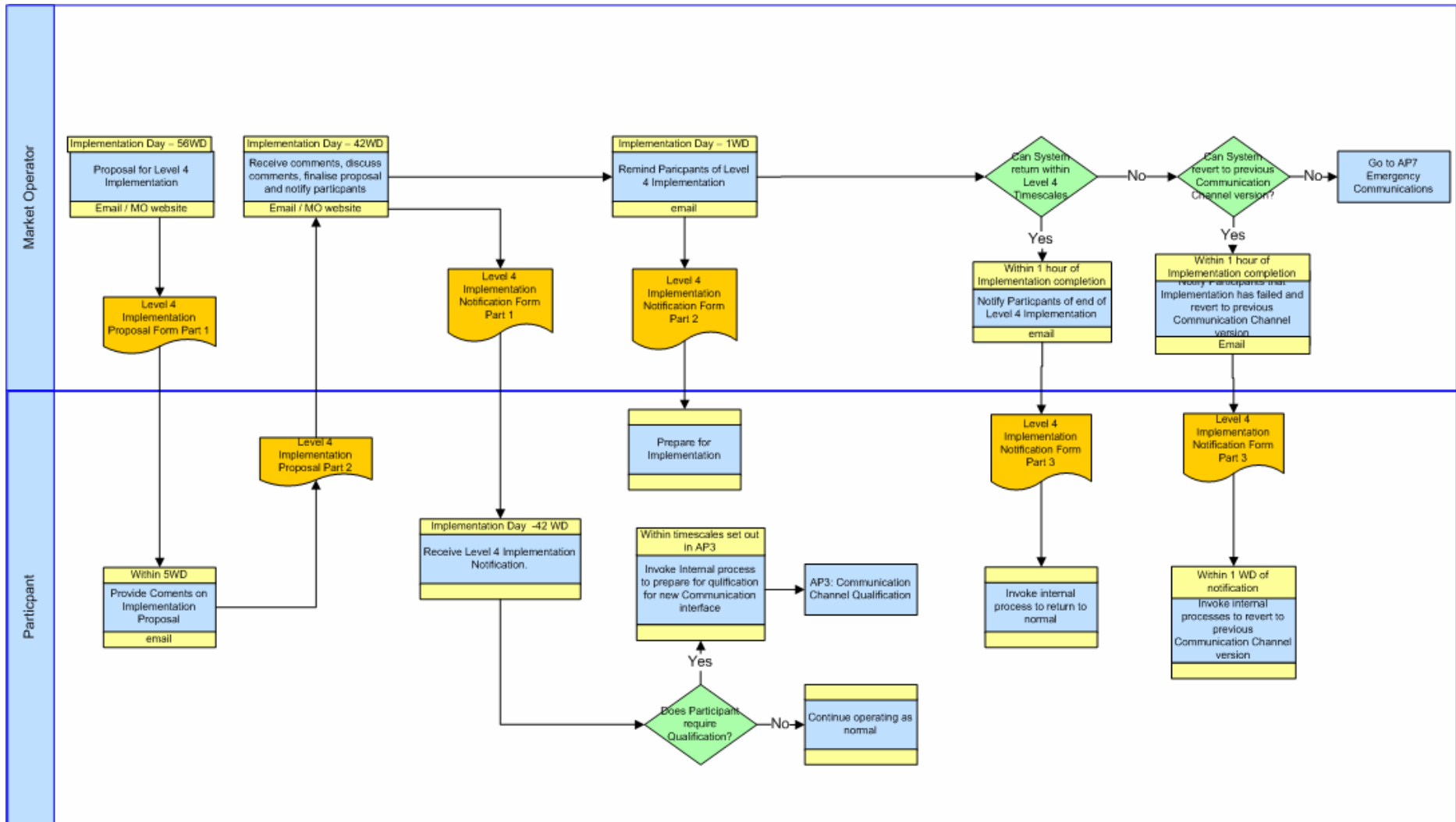
3.2.3. Level 2 Implementation



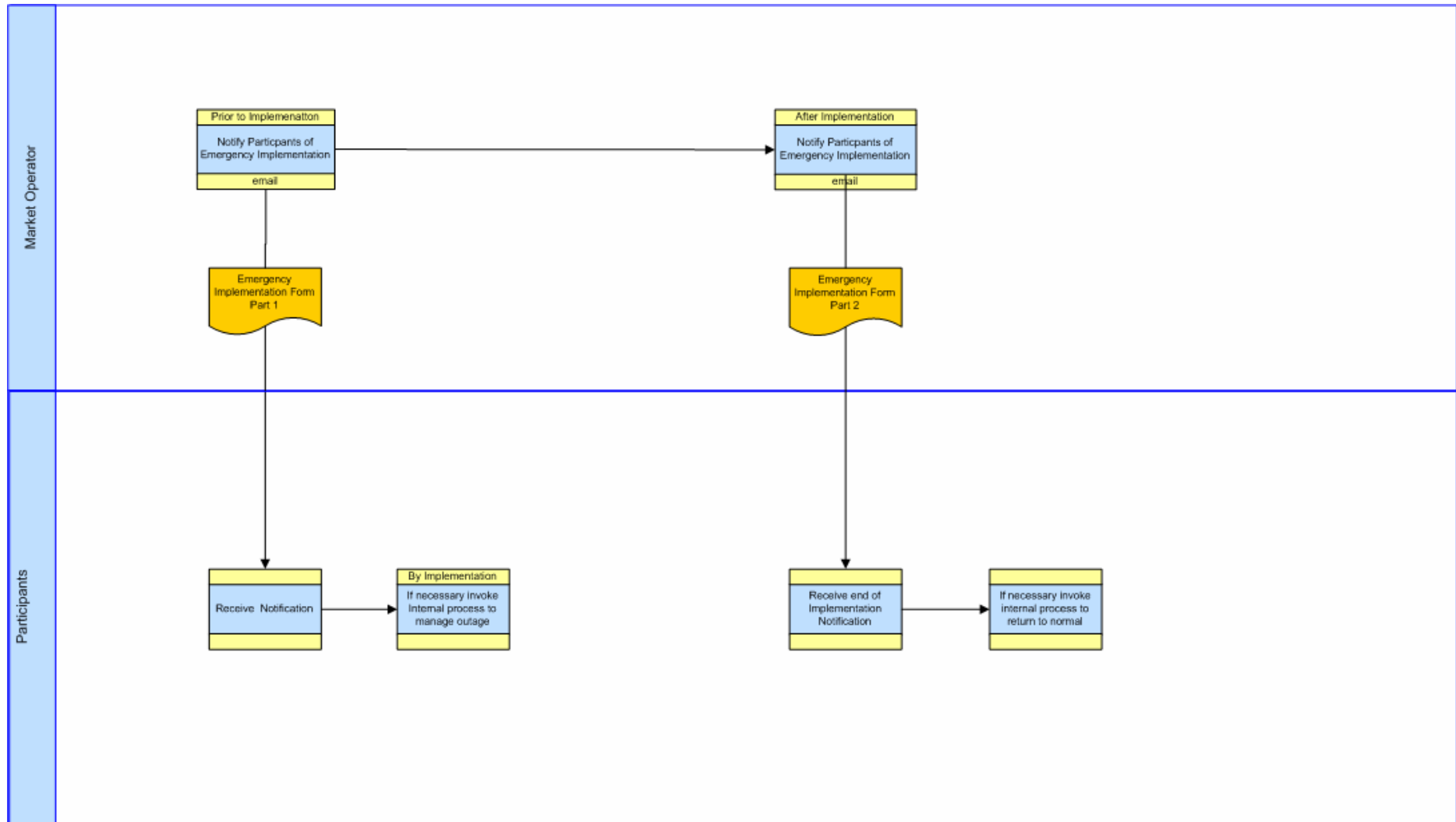
3.2.4. Level 3 Implementation



3.2.5. Level 4 Implementation



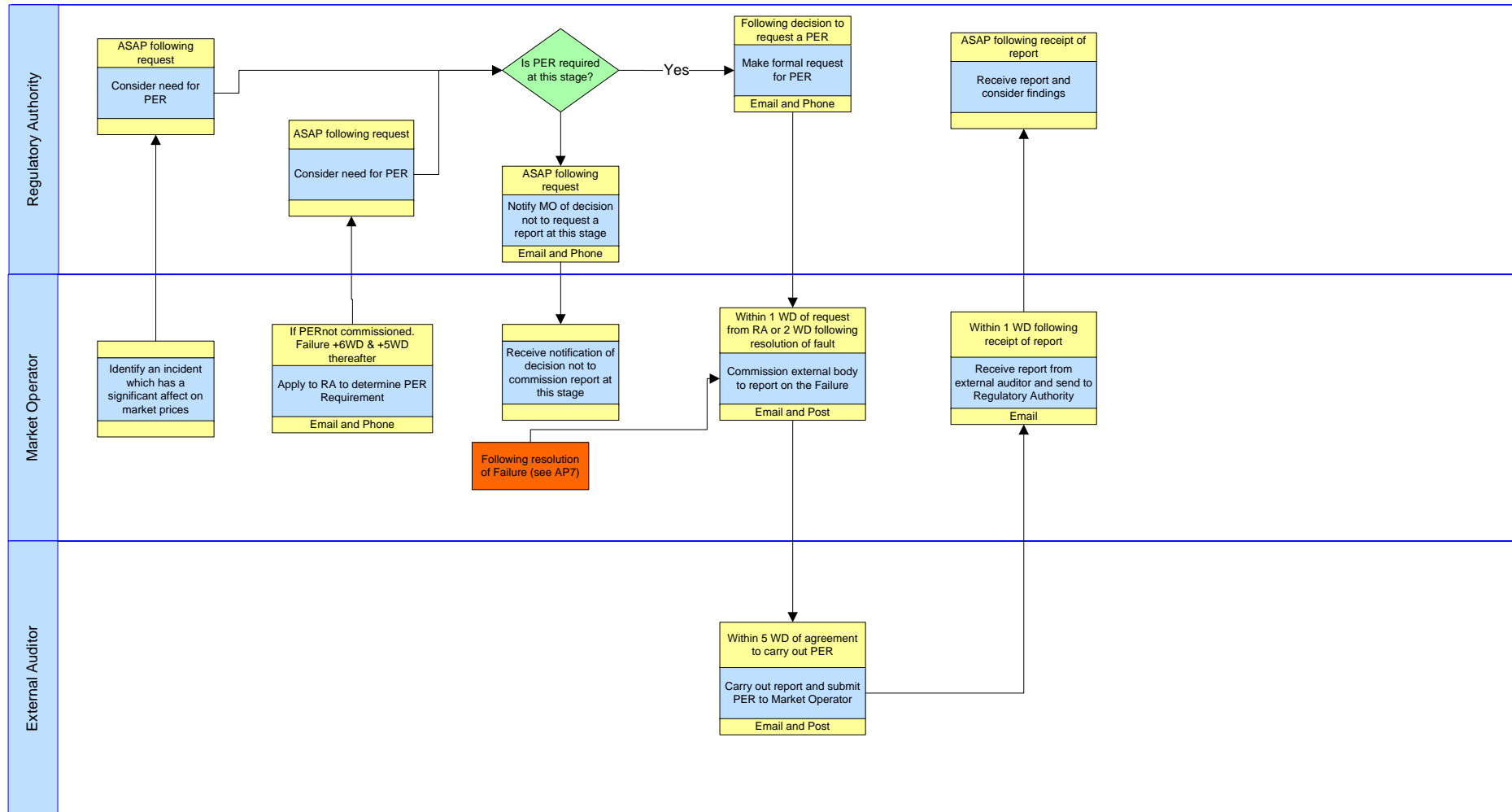
3.2.6. Emergency Implementation



3.3. PROBLEM MANAGEMENT

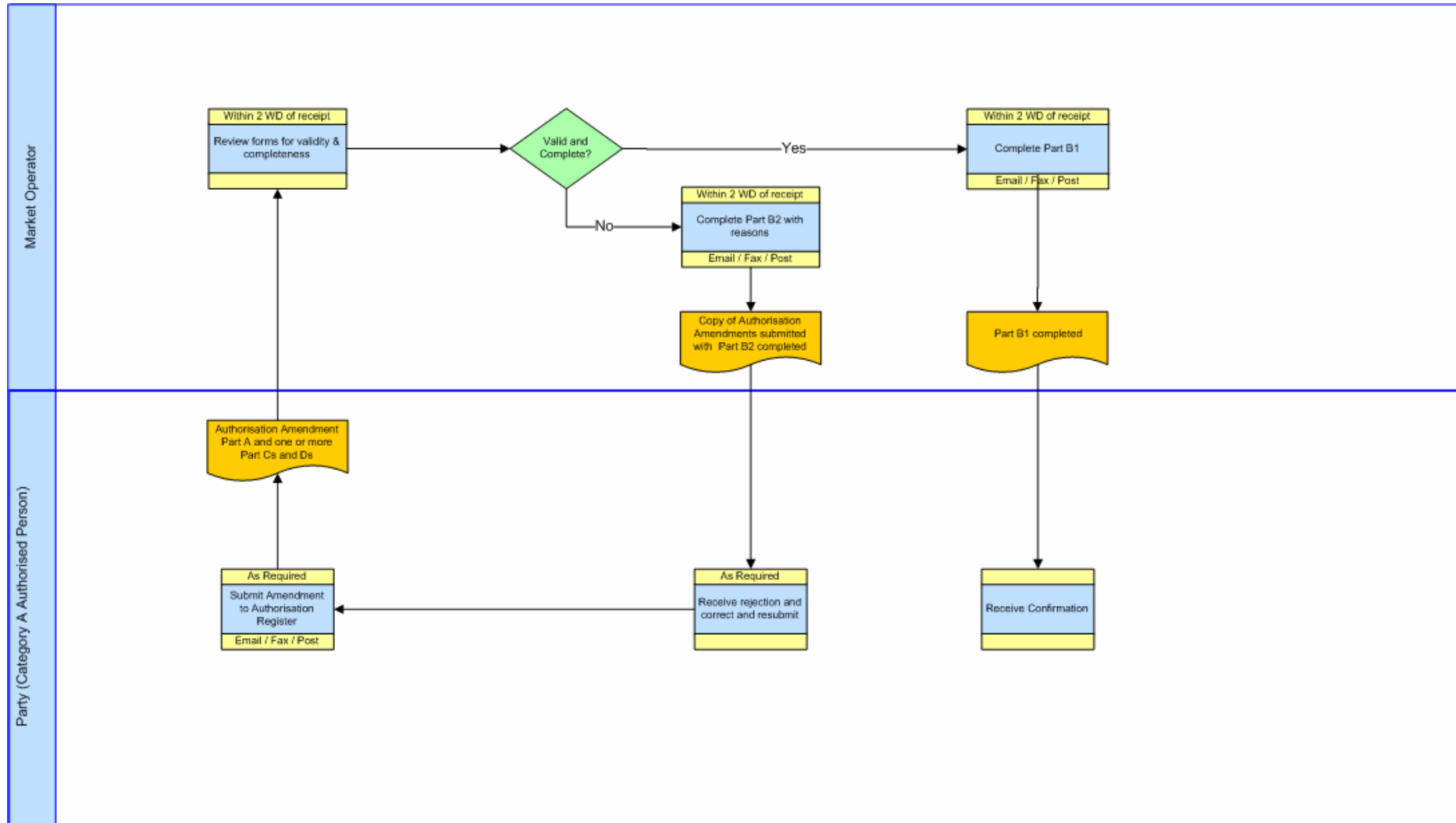
There are no swimlanes for Problem Management

3.4. POST EVENT REPORTING

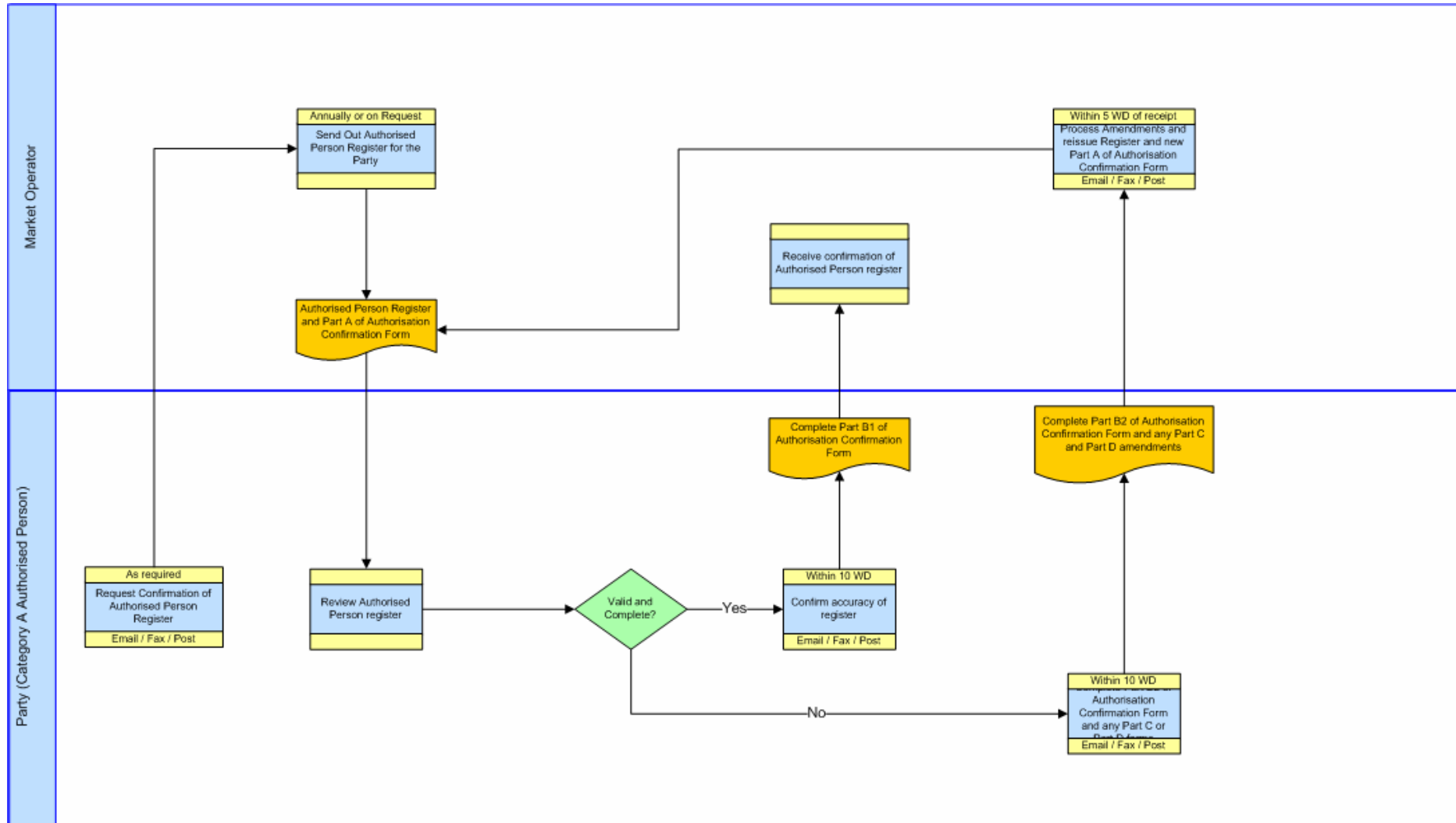


3.5. AUTHORISED PERSONS

3.5.1. Amendment to Authorised Persons



3.5.2. Authorisation Register Annual Confirmation



4. PROCEDURAL STEPS

4.1. HELP DESK

#	Procedural Step	Timing	Method	From	To	Linkage
1	Contact the Market Operator Help Desk requesting information, reporting an incident, raising a Data Query or Settlement Query or raising a Dispute.	Within the timescales appropriate for each issue	Telephone/email/fax	Party	Market Operator	
2	<p>On receipt of the telephone call, email or fax log the request on the Help Desk system. Contact the Participant that has raised the issue and agree timescales for its resolution. Record the agreed timescales on the Help Desk system</p> <ul style="list-style-type: none"> • If Help Desk Category 1 or 2 follow the process in the appropriate Agreed Procedure. • If information or advice necessary to resolve the issue can be provided immediately go to step 3 • If information or advice necessary to resolve the issue cannot be provided immediately but can be provided without reference to Level 2 support confirm the receipt by fax or email (if a fax number or email address is provided) and go to step 4 • If information or advice necessary to resolve the issue can be provided only with reference to Level 2 support confirm the receipt by fax or email (if a fax number or email address is provided) and go to step 5 	If Help Desk Category 1 or 2 then timescales as set out in the appropriate Agreed Procedure. If Help Desk Category 3, 4 or 5 and initial contact by telephone– immediate. If Help Desk Category 3,4 or 5 and initial contact by email or fax – within 1 WD	Email / fax	Market Operator (Help Desk)	Party	
3	<p>Provide the Party with the necessary information or advice and close the log on the Help Desk system providing an explanation of the information or advice that has been given to the Participant.</p> <p>Go to step 8</p>	Immediate	Telephone Email Fax	Market Operator (Help Desk)	Party	

4	Provide the Participant with the necessary information or advice and close the log on the Help Desk system providing an explanation of the information or advice that has been given to the Participant. Go to step 8	In timescales previously agreed and recorded with the Party	By agreed method with the Party	Market Operator (Help Desk)	Party	
5	Request Level 2 support providing full details of the information or advice that has been requested of the Help Desk	As soon as possible following assessment of the issue.	Telephone Email Fax	Market Operator (Help Desk)	Market Operator (Level 2 Support)	
6	Consider the issue and provide the information or advice directly to the Participant. Inform the Help Desk once the information or advice has been imparted.	Within the timescales that have been agreed and recorded with the Participant	Telephone Email Fax	Market Operator (Level 2 Support)	Party	
7	Close the logged Help Desk Request and inform the Participant that the log is now closed.	Within the timescales that have been agreed and recorded with the Participant	Telephone Email Fax	Market Operator (Help Desk)	Party	
8	End of Process					

4.2. IMPLEMENTATION PROCEDURES

4.2.1. Change Management

#	Procedural Step	Timing	Method	From	To	Linkage
1	Identify defect / operational improvement <ul style="list-style-type: none"> • If it is critical go to Step 7 If it is not critical go to Step 3	As required	-	Market Operator		
2	Identify need for system software upgrade	As required	-	Market Operator		
3	Review and consider need for High Level Impact Assessment. If none is required Process stops otherwise continue	Within 1 month	-	Market Operator		
4	Perform High Level Impact Assessment	Within agreed timescales	-	Market Operator		
5	Consider output of High Level Impact Assessment. If change is rejected stop otherwise continue from Step 7	Within 1 month of receipt of defect / operational improvement	-	Market Operator		
6	Send approved Modification Proposal	On approval under Agreed Procedure 12 “Modifications Committee Operation.”	Post	Modifications Committee Secretariat	Market Operator	
7	Perform Detailed Impact Assessment	For implementation of an Urgent Modification and critical defects within 2 Working Days Other changes/ Modifications within 1 month	-	Market Operator		
8	Consider output of Detailed Impact Assessment. If change is rejected stop otherwise continue. <i>(Note approved Modification Proposals cannot be rejected)</i>	For implementation of an Urgent Modification and critical defects within 2 Working Days Other changes/ Modifications within 1 month	-	Market Operator		
9	Schedule change into a Scheduled Release or an Emergency Release	Immediately for Emergency Release or within 1 month of Scheduled Release	-	Market Operator		

4.2.2. Level 1 Implementation

#	Procedural Step	Timing	Method	From	To	Linkage
1	Notify Participants of the time and date of a Level 1 Implementation.	At any time prior to the test taking place	Market Website and/or email and Corporate Website	Market Operator	Participant	
2	Notify Participants of the time and date that a Level 1 Implementation has completed	Within 1 WD of the completion of the implementation	Market Website and/or email and Corporate Website	Market Operator	Participant	

4.2.3. Level 2 Implementation

#	Procedural Step	Timing	Method	From	To	Linkage
1	Notify Participants of the intention to carry out a Level 2 Implementation detailing the proposal.	At least 20 WDs before the scheduled implementation	Market Website and/or Corporate Website and email	Market Operator	Participant	
2	Provide comments on the proposal	Within 5 WD of receipt of the implementation proposal	Email / fax	Participant	Market Operator	
3	Consider comments and publish final proposals for the Implementation	At least 10 WDs before the scheduled implementation	Market Website and/or Corporate Website and email	Market Operator	Participant	
4	Participants invoke internal procedures to manage unavailability	Prior to Implementation Day	-	Participants		
5	Inform Participants of the implementation	1 WD before the scheduled implementation	Market Website and/or Corporate Website and email	Market Operator	Participant	
6	Perform implementation. <ul style="list-style-type: none"> If the Implementation cannot return within the Level 2 timescales then go to step 7 If the Implementation has completed successfully then go to step 8 	At published scheduled time	n/a	n/a	n/a	

7	Initiate procedures under Agreed Procedure 7 “Emergency Communications” as a General Communication Failure. Inform Participants of the failure to complete the Implementation within Level 2 timescales.	Immediately	Market Website and/or email	Market Operator	Participant	
8	On completion of the Implementation inform Participants	Immediately	Market Website and/or Corporate Website and email	Market Operator	Participant	
9	Participants invoke internal procedures to return to normal	After Implementation	-	Participants		

4.2.4. Level 3 Implementation

#	Procedural Step	Timing	Method	From	To	Linkage
1	Notify Participants of the intention to carry out a Level 3 Implementation detailing the proposal.	At least 20 WDs before the scheduled Implementation	Market Website and/or email and Corporate Website	Market Operator	Participant	
2	Provide comments on the proposal	Within 5 WD of receipt of the Implementation proposal	Email	Participant	Market Operator	
3	Consider comments and publish final proposals for the Implementation	At least 10 WDs before the scheduled Implementation	Market Website and/or email and Corporate Website	Market Operator	Participant	
4	Consider need to change Communication Channel for each Data Transaction for the duration of the Implementation. Notify the MO of each Data Transaction that will utilise a different Communication Channel. If not required proceed from Step 7	Within 5WD of Implementation	Email	Participant	Market Operator	
5	Request change in Communication Channel for during of Implementation	At least 5WD prior to Implementation	Email	Participant	Market Operator	
6	Implement process to manage change of Communication Channel for duration of Implementation	Prior to Implementation Day	-	Market Operator		
7	Participants invoke internal procedures to manage unavailability	Prior to Implementation Day	-	Participant		

8	Inform Participants of the Implementation	1 WD before the scheduled Implementation	Market Website and/or email and Corporate Website	Market Operator	Participant	
8	Perform Implementation. <ul style="list-style-type: none"> If the Implementation cannot return within the Level 3 timescales then go to step 9 If the Implementation has completed successfully then go to step 10 	At published scheduled time	n/a	n/a	n/a	
9	Initiate procedures under Agreed Procedure 7 “Emergency Communications” as a General Communication Failure. Inform Participants of the failure to complete the Implementation within Level 3 timescales.	Immediately	Market Website and/or email	Market Operator	Participant	
10	On completion of the Implementation inform Participants	Immediately	Market Website, email and Corporate Website	Market Operator	Participant	
11	Confirm return to normal Communication Channel. If return cannot be confirmed then follow procedures under Limited Communication Failure in Agreed Procedure7 “Emergency Communications”	Within 1 WD of completion of Implementation	Email	Participant	Market Operator	

4.2.5. Level 4 Implementation

#	Procedural Step	Timing	Method	From	To	Linkage
1	Notify Participants of the intention to carry out a Level 4 Implementation detailing the proposal.	At least 40 WDs before the scheduled Implementation	Market Website and/or email and Corporate Website	Market Operator	Participant	
2	Provide comments on the proposal	Within 5 WD of receipt of the Implementation proposal	Email	Participant	Market Operator	
3	Consider comments and publish final proposals for the Implementation. If Participants are required to have their Communication Channels re-qualified following the Implementation then this will be explained within the final proposal. Participants shall follow the processes set out in Agreed Procedure3 “Communication Channel Qualification” to re-qualify.	At least 30 WDs before the scheduled Implementation	Market Website and/or email and Corporate Website	Market Operator	Participant	
4	Participants invoke internal procedures to manage unavailability	Prior to Implementation Day	-	Participant		
5	Inform Participants of the Implementation	1 WD before the scheduled Implementation	Market Website and/or email and Corporate Website	Market Operator	Participant	
6	Perform Implementation. <ul style="list-style-type: none"> • If the Implementation cannot return within the Level 4 timescales then go to step 7 • If the Implementation has completed successfully then go to step 10 	At published scheduled time	n/a	n/a	n/a	

#	Procedural Step	Timing	Method	From	To	Linkage
7	The MO must decide whether to revert to previous Communication Channel version or continue with the Implementation of the new Communication Channel version. If reverting to the previous Communication Channel version go to step 8 If unable to revert to the previous Communication Channel version go to step 9	Immediately following realisation that Implementation will be late	n/a	n/a	n/a	
8	Notify Participants that the Implementation has failed and that Participants will need to revert to their previous Communication Channel version	Within 1 hour of scheduled Implementation completion	Market Website and/or email and Corporate Website	Market Operator	Participant	
9	Follow the procedures detailed in Agreed Procedure 7 “Emergency Communications” and raise as a General System Failure	In accordance with Agreed Procedure 7 “Emergency Communications”				
10	On completion of the Implementation inform Participants	Immediately	Market Website, email and Corporate Website	Market Operator	Participant	

4.2.6. Emergency Implementation

#	Procedural Step	Timing	Method	From	To	Linkage
1	Notify Participants of the operational impact of the Emergency Implementation. <ul style="list-style-type: none"> • If the Emergency Implementation is initiated by an Implementation of an Urgent Modification then follow the processes in Agreed Procedure 12 “Modifications Committee Operation.” • If the Emergency Implementation is initiated by a Level 3 or Level 4 Implementation then consider the processes as set out under those headings in this document. 	As soon as possible following Emergency Implementation event	Market Website and/or email and Corporate Website or telephone	Market Operator	Participant	
2	Receive Emergency Implementation Form and invoke internal processes to manage unavailability	Immediately	-	Participant		
3	Notify Parties of completion of Emergency Implementation	As soon as possible and within 4hours of return	Market Website and/or email and Corporate Website or telephone	Market Operator	Participant	
4	Receive Emergency Implementation Form completion and invoke internal processes to return to normal	As required	-	Participant		

4.3. PROBLEM MANAGEMENT

There are no procedural steps for Problem Management

4.4. POST EVENT REPORTING

#	Procedural Step	Timing	Method	From	To	Linkage
1	<p>If a General System Failure, General Communication Failure or MSP Failure has been rectified go to step 2</p> <p>If a General System Failure, General Communication Failure or MSP Failure has gone beyond 5 WDs go to step</p> <p>If the Regulatory Authorities direct the MO to commission a report go to step 5</p>	n/a	n/a	n/a	n/a	
2	Commission an external auditor to compile a report into the failure. Go to step	Within 2 WDs following the resolution of the fault	Email and post	Market Operator	External auditor	
3	Make an application to the Regulatory Authorities to determine the need at this stage for a Post Event Report	If Post Event Report not yet commissioned then on the 6 th WD of a live failure and every 5 WD thereafter during the live failure	Email	Market Operator	Regulatory Authorities	
4	<p>Notify Market Operator whether there is a need at this stage for a Post Event Report.</p> <p>If there is a need for a Post Event Report make a formal request and go to Step 5</p> <p>If there is not a need for a Post Event Report inform MO. The process stops at this stage until a further trigger for a request for a report is forthcoming or a report is automatically triggered.</p>	Within 1WD of request	Email	Regulatory Authorities	Market Operator	

#	Procedural Step	Timing	Method	From	To	Linkage
5	Commission an external auditor to compile a report into the failure or into an incident that has a significant affect on market prices	Within 1 WD of request from RA	Email and post	Market Operator	External auditor	
6	Carry out the report and submit the completed Post Event Report to the Market Operator	Within 5 WD of agreement to carry out a Post Event Report	Email and post	External auditor	Market Operator	
7	Receive the report from the external auditor and send to the Regulatory Authorities	Within 1 WD of receipt of the Post Event Report from the external auditor	Email	Market Operator	Regulatory Authorities	

4.5. AUTHORISED PERSONS

4.5.1. Amendment to Authorised Persons

#	Procedural Step	Timing	Method	From	To	Linkage
1	Submit Authorisation Amendment Form Part A and the indicated numbers of Part C (New/Changes to Authorisation) and Part D (Cancellation Of Authorised Person)	As required	Email / fax / post	Party (Category A Authorised Person)	Market Operator	
2	Review forms Submitted If valid and complete proceed from step 5 If invalid or incomplete proceed from step 3	-	-	Market Operator	-	
3	Complete Part B2 of the Authorisation Amendment Form with explanation of invalidity of incompleteness	With 5 WD of receipt	Email / fax / post	Market Operator	Party (Category A Authorised Person issuing the revision)	
4	Correct errors and proceed from Step 1	As required	Email / fax / post	Party (Category A Authorised Person)	Market Operator	
5	Complete Part B1 of the Authorisation Amendment Form	With 5 WD of receipt	Email / fax / post	Market Operator	Party (Category A Authorised Person issuing the revision)	

4.5.2. Confirmation of Authorised Persons

#	Procedural Step	Timing	Method	From	To	Linkage
1	Request confirmation of Authorised Person Register	As required		Party (Category A Authorised Person)	Market Operator	
2	Send out Authorised Person Register and Authorisation Confirmation Form with Part A complete	Within 5WD of receipt of request or in annual confirmation timescale	Email / fax / post	Market Operator	Party (Category A Authorised Person)	

#	Procedural Step	Timing	Method	From	To	Linkage
3	Review Authorised Person Register If valid and complete proceed from step 6 If invalid or incomplete proceed from step 4	-	-	Party (Category A Authorised Person)	-	
4	Complete Authorisation Amendment Forms Part C and Part D as necessary to correct any errors and complete with Part B2 of the Authorisation Confirmation Form	Within 10 WD	Email / fax / post	Party (Category A Authorised Person)	Market Operator	
5	Process Authorisation Amendment Forms received and proceed from step 2 with a new Authorisation Confirmation Form	With 5 WD of receipt	Email / fax / post	Market Operator	Party (Category A Authorised Person issuing the revision)	
6	Complete Part B1 of the Authorisation Confirmation Form	Within 10 WD of agreement to carry out a Post Event Report	Email and post	Party (Category A Authorised Person)	Market Operator	

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5. APPENDIX 1 – DEFINITIONS

Administered Settlement	As defined in the Code
Agreed Procedure	As defined in the Code
Authorisation	The process by which a person from a Party becomes authorised to communicate with the Market Operator.
Authorisation Amendment Form	The form which needs to be completed in order to add or remove Authorised Persons
Authorisation Category	Identifies the type of communication that an Authorised Person is authorised to make
Authorisation Confirmation Form	The form sent to (and returned by) Participants confirming their Authorised Persons
Authorised Person	Representative of a Party who is authorised by that Party to communicate with the Market Operator
Authorised Person Register	Register of Authorised Persons for each Party which is held by the Market Operator.
Billing Timescales	The timescales in which billing occurs
Category A Authorised Person	An Authorised Person who has been granted an Authorisation Category A
Code	As defined in the Code
Commercial Offer Data	As defined in the Code
Communication Channel	As defined in the Code
Confirmation Notice	As defined in the Code
Corporate Website	As defined in Agreed Procedure 13 “Query Generation”
Data Query	As defined in the Code
Data Transaction	As defined in the Code
Detailed Impact Assessment	Analysis carried out to identify the detailed implications of a change enabling the approval or otherwise of a change
Dispute	As defined in the Code
Emergency Implementation	Implementation of an Emergency Release
Emergency Implementation Form	Form sent to Participants to inform of an Emergency Release

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Emergency Release	An upgrade in system software, a bug-fix or an implementation of an Urgent Modification, where the Market Operator considers that there is a risk to the operation of the Single Electricity Market.
MSP Failure	As defined in the Code
MSP Software	As defined in the Code
Failure	A General System Failure or MSP Failure or a failure of the MSP Software or a General Communication Failure or a Limited Communication Failure as the context implies
Finance System	Financial element of the Market Operator's Isolated Market System
Gate Closure	As defined in the Code
General Communication Failure	As defined in the Code
General System Failure	As defined in the Code
Help Desk	Help Desk provided by the Market Operator where Parties can seek technical and operational advice
Help Desk Category	Category between 1 and 5 applied to a Help Desk Request
Help Desk Request	Request handled by the Help Desk
High Level Impact Assessment	Analysis carried out to identify the implications of a change
Implementation	Delivery of Releases on the production Market Operator's Isolated Market System or Communication Channels
Implementation Day	Day of Implementation of a Release
Interconnector Administrator	As defined in the Code
Isolated Market System	As defined in the Code
Level 2 Support	Market Operator technical or business experts with the knowledge and expertise to assist / resolve issues and incidents with the Market Operator's Isolated Market System or with the configuration of Communication Channels.
Limited Communication Failure	As defined in the Code
Market Operator	As defined in the Code
Market Website	As defined in Agreed Procedure 1 "Participant and Unit Registration and Deregistration"
Material Incident	An incident which, in the opinion of the Market

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	Operator, has had a material impact on market prices/SMP/MSQs.
Meter Data Provider	As defined in the Code
Modification	As defined in the Code
Modification Proposal	As defined in the Code
Modifications Committee	As defined in the Code
Offer Data	As defined in the Code
Participant	As defined in the Code
Party	As defined in the Code
Post Event Report	An externally audited report produced in the event of a General Communication Failure, General System Failure or MSP Failure.
Problem Management Function	A single senior officer or a group of officers from the Market Operator who will develop interim solutions and prioritise the restoration of Market Operator Isolated Market Systems in the event of a Failure
Registration Data	As defined in the Code
Regulatory Authorities	As defined in the Code
Releases	An update to the Market Operator Isolated Market Systems
Scheduled Release	A Release of the Market Operator Isolated Market Systems which occur each year in January, April, July and October. This Release will include system modifications as a result of Modifications agreed under Agreed Procedure 12 "Modifications Committee Operation", upgrades in system software and corrections of identified defects (bug-fixes).
Secretariat	As defined in the Code
Settlement	As defined in the Code
Settlement Query	As defined in the Code
Settlement Reallocation	As defined in the Code
Settlement System	Any software system used as part of the Settlement process
Single Electricity Market	As defined in the Code
System Marginal Price	As defined in the Code
System Operators	As defined in the Code

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Test Environment	A non-production version of a Market Operator's Isolated Market System used for test purposes prior to a Release
Unit Registration	As defined in the Code
Urgent	As defined in the Code
Working Day	As defined in the Code

ABBREVIATIONS

AP1	Agreed Procedure 1 "Participant and Unit Registration and Deregistration"
AP4	Agreed Procedure 4 "Transaction Submission and Validation"
AP7	Agreed Procedure 7 "Emergency Communications"
AP9	Agreed Procedure 9 "Credit Risk Management"
AP10	Agreed Procedure 10 "Settlement Reallocation"
AP11	Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support"
AP12	Agreed Procedure 12 "Modifications Committee Operation"
AP13	Agreed Procedure 13 "Query Generation"
AP14	Agreed Procedure 14 "Disputes"
MO	Market Operator
MOIMS	Market Operator Isolated Market System
MSQ	Market Schedule Quantities
RA	Regulatory Authorities
SEM	Single Electricity Market
SMP	System Marginal Price
URL	Uniform Resource Locator (ie website address)
WD	Working Day

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6. APPENDIX 2 – FORMS

6.1. LEVEL 1 / EMERGENCY IMPLEMENTATION FORM

Level 1 / Emergency Implementation Form *(Delete Emergency or Level 1 as required)*

MO Implementation Ref:

Part 1 – Initial Notification

Date Sent:

Planned Date / Time of Implementation Commencement:

Planned Date / Time of Implementation Completion:

Implementations Details:

Change Requests *(List all Change requests included in Release):*

Name (Market Operator):

Signature:

Part 2 – Completion Notification

Date Sent:

Date / Time of Implementation Completion:

Implementations Details:

All Change Requests itemised in Part 1 except the following:

Name (Market Operator):

Signature:

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6.2. LEVEL 2 / 3 / 4 IMPLEMENTATION PROPOSAL FORM

Level 2 / 3 / 4 Implementation Proposal Form *(Delete 2, 3 or 4 as required)*

MO Implementation Ref:

Part 1 – Initial Notification

Date Sent:

Planned Date / Time of Implementation Commencement:

Planned Date / Time of Implementation Completion:

Implementations Details:

Change Requests *(List all Change requests included in Release):*

Name (Market Operator):

Signature:

Part 2 – Participant Comments

Date Sent:

Participant Id:

Participant Name:

General Comments on Implementation:

Suggested alternative Implementation Dates / Times:

Name *(Participant staff authorised to submit comment):*

Signature:

Password:

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6.3. LEVEL 2 / 3 / 4 IMPLEMENTATION NOTIFICATION FORM**Level 2 / 3 / 4 Implementation Notification Form** *(Delete 2, 3 or 4 as required)***MO Implementation Ref:****Part 1 – Revised Notification****Date Sent:****Planned Date / Time of Implementation Commencement:****Planned Date / Time of Implementation Completion:****Implementations Details:****Change Requests** *(List all Change requests included in Release):***Name (Market Operator):****Signature:****Part 2 – Confirmation Notification****Date Sent:**

The Level 2 Implementation listed above is proceeding,

Commencing on (Date/time)

Completing on (Date/time)

Name (Market Operator):**Signature:****Part 3 – Completion Notification****Date Sent:****Date / Time of Implementation Completion:****Implementations Details:**

All Change Requests itemised in Part 3 except the following:

Name (Market Operator):**Signature:**

6.4. LEVEL 3 ALTERNATIVE COMMUNICATION FORM

Alternative Communication Channel during Level 3 Implementation – Notification

Market Operator Implementation Ref:

Party Id:

Party Name:

Commencement of Alternative Communication:

(Date/Time or “On commencement of the Implementation”)

Termination of Alternative Communication:

(Insert Date/Time or “On completion of Implementation”)

Name *(Participant staff authorised to submit):*

Signature:

Password:

Attachments: Transaction Notification Form (TNF) (see AP7 for TN Form)

Number of Pages of TNF attached:

6.5. AUTHORISATION AMENDMENT FORM

Authorisation Amendment Form Part A Authorisation

This section to be completed by a Category A Authorised Person and should be attached as affront sheet to completed Part(s) C and/or D as required.

Party Ref:

Date Sent:

Market Operator Ref:

Date Received:

Details of Category A Authorised Person completing this Form

Party ID: _____ Party Name: _____

Name of Authorised Person: _____

Email Address of Authorised Person: _____

Signature of Authorised Person: _____

Password of Authorised Person: _____

Number of New/Amended/Cancelled Authorisations attached

Number of Part C Authorisation Amendments: _____

Number of Part D Authorisation Amendments: _____

Authorisation Amendment Form Part B1 Acceptance Acknowledgement

Market Operator Staff Name:

Signature:

Date Sent:

Authorisation Amendment Form Part B2 Rejection Acknowledgement

Reasons for rejection: *Provide reason and annotated copies of submitted Part Cs and Ds*

Market Operator Staff Name:

Signature:

Date Sent:

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Authorisation Amendment Form Part C New/Changes to Authorisation

This section to be completed as necessary for each required new authorisation or amended authorisation application, with each application on a separate page. All authorisation level boxes must be completed with either a Yes or No

Effective From Date:

Details of Person being Authorised:

Name:**Position:****Telephone Number:****Fax Number:****Signature:****Password (8 Character):****Email Address**

Is authorised for the following processes:

Category	Description	Yes/No
A	Change Authorisations	
B	Submit Data Queries or Settlement Queries	
C	Submit Settlement Disputes	
D	Submit Offer Data	
E	Declare Limited Communication Failure Request/Agree Change in Communication Channel	
F	Intermediary Authorisation	
G	Ad-Hoc Report request	
H	Submit/Modify Unit Registration and/or Interconnector Data	
I	Requesting Digital Certificates	
J		

Authorisation Amendment Form Part D Cancellation of Authorisation

This section to be completed as necessary for each required cancellation, with each cancellation on a separate page.

Effective From Date:

Details of Person whose Authorisation is being cancelled:

Name:

Position:

6.6. AUTHORISATION CONFIRMATION FORM**Authorisation Confirmation Form Part A**

Market Operator Ref:

Date Sent:

Party Ref:

Date Received:

Details of Category A Authorised Person to whom this Confirmation Form is being sent.

Party id:

Party Name:

Category A Authorised Person Name:

Category A Authorised Person Position:

Attached is the Authorisation Register for your Party. Pleased could you review and confirm the accuracy of the register by completing Part B1 below. If there are errors in the register please provide Authorisation Amendment Forms Part C and/or Part D for each Authorised Person whose details are incorrect and completed Part B2 below.

Authorisation Confirmation Form Part B1 - No errors Acknowledgement

Party Category A Authorised Person Name:

Signature:

Date Sent:

Password:

Email Address:

Authorisation Amendment Form Part B2 - Errors Acknowledgement

Party Category A Authorised Person Name:

Signature:

Date Sent:

Password:

Email Address:

Number of New/Amended/Cancelled Authorisations attached

Number of Part C Authorisation Amendments:

Number of Part D Authorisation Amendments:

7. APPENDIX 3 – POTENTIAL FAILURES AND TYPICAL CORRECTIVE ACTIONS

Failure Group	Failure	Action	Maximum Duration
Participant Data Receipt	Unable to receive Data Transactions from Participants	Implement process for General Communication Failure outlined in Agreed Procedure 7 “Emergency Communications”	5 Working Days
	Unable to validate the Data Transactions from Participants	Implement a manual procedure for validating received Data Transactions and issue Confirmation Notices via fax	5 Working Days
	Unable to issue Data Transactions or the Confirmation Notices / failure for the received validated Data Transactions	Send Confirmation Notices via fax and for all other Data Transactions will use any method agreed under Type 1 Communication Channel	5 Working Days
System Operators Communication Failure	Unable to extract Registration Data, Offer Data from the Market Operator Isolated Market System	Implement Administered Settlement	N/A
	Unable to send Registration Data, Offer Data to the System Operators	Market Operator and each affected System Operator will agree an alternative secure method for transferring the data for each type of Data Transaction	5 Working Days
MSP Failure or failure of the MSP Software	MSP Software cannot run, MSP Software fails to provide usable results or a Meter Data Provider is not able to produce the meter data	None (After 3 Working Days implement Administered Settlement)	3 Working Days
	Meter Data Providers/Interconnector Administrators are able to produce the meter data but is unable to send it through a Communication Channel	Market Operator and each affected Meter Data Provider/Interconnector Administrator will agree an alternative secure method for transferring the data for each type of Data Transaction	5 Working Days

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

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8. APPENDIX 4 – AUTHORISATION CATEGORIES

Category	Description	Agreed Procedure
A	Change Authorisations	AP11
B	Submit Data Queries or Settlement Queries	AP13
C	Submit Settlement Disputes	AP14
D	Submit Commercial Offer Data & Technical Offer Data	AP4, AP7
E	Declare Limited Communication Failure Request/Agree Change in Communication Channel	AP7, AP11
F	Intermediary Authorisation	AP1
G	Ad-Hoc Report request	
H	Submit Unit Registration	AP1
I	Request return of Credit Cover	AP9
J	Data Processing Entity Authorisation	AP1
K	Cancellation of a Settlement Reallocation Agreement	AP10