Agreed Procedure Alignment Progress Log

AP#	AIP-SEM-xx	Draft Version	AP Title	Terminology Reviewed?	Consistency Reviewed?	Swimlane Updated?	Known Issues?
1	AIP-SEM-07-75	d3_2	Participant and Unit Registration and Deregistration	✓	✓	✗	✓
2	AIP-SEM-07-76	d2_2a	Interconnector User Capacity Right Calculation and Dispatch Notification	✓	✓	✗	✓
3	AIP-SEM-07-77	d2_2a	Communication Channel Qualification	✓	✓	✗	✓
4	AIP-SEM-07-78	d3_2a	Transaction Submission and Validation	✓	✓	✓	✓
5	AIP-SEM-07-79	d2_2a	Data Storage and IT Security	✓	✓	✓	✓
6	AIP-SEM-07-80	d3_2a	Data Publication	✓	✓	✓	✓
7	AIP-SEM-07-81	d2_2	Emergency Communications	✓	✓	✗	✓
9	AIP-SEM-07-82	d2_2a	Management of Credit Cover and Credit Default	✓	✓	✗	✓
10	AIP-SEM-07-83	d2_2a	Settlement Reallocation	✓	✓	✗	✓
11	AIP-SEM-07-84	d2_2	Market System Operation, Testing, Upgrading and Support	✓	✓	✗	✓
12	AIP-SEM-07-85	d2_2	Modifications Committee Operation	✓	✓	✗	✓
13	AIP-SEM-07-86	d2_2	Query Generation	✓	✓	✗	✓
14	AIP-SEM-07-87	d2_2	Disputes	✓	✓	✗	✓

| 15 | AIP-SEM-07-88 | d2_3a | Invoicing | ✓ | ✓ | ✗ | ✓ |
| 16 | AIP-SEM-07-89 | d2_2 | Provision of Metered Data | ✓ | ✓ | ✓ | ✓ |

Notes

1. Version 2.2 (or 2.3) and Version 3.2 Agreed Procedures are based on the previously issued Version 2.0 and Version 3.0 Agreed Procedures respectively.

2. All Agreed Procedures are works-in-progress. The Regulatory Authorities will combine their alignment efforts with the SEMIT/SMOE during April.

3. All completed elements marked with a "tick" above are subject to review due to the most recent changes to Sections 2 to 7 of the Code and clarifications on Appendices.

4. The Issues Log on the next worksheet captures the known outstanding issues, including potential alignment issues with the MPUD.

5. The Issues Log also lists the outstanding issues from Participants regarding the market documentation.

Agreed Procedure Alignment Issues Log

#	AP	X-Ref	Origin	Description
1	1		Consistency review	The list of data items that form the Participation Notice and listed in Appendix 2 of AP1 requires confirmation
2	1		Consistency review	The list of data items that form the First Participation Information Notice and listed in Appendix 2 of AP1 requires confirmation
3	1		Consistency review	Application Form - this is incomplete or needs confirming in Appendix 2 of AP1. The Code states that this will be in the form described in AP1. Either this is a template of the form itself or, at the very least, state every piece of information necessary to enable an Applicant to know what it needs to complete it
4	1		Consistency review	Application Form - AP1 suggests it must be sent by registered mail but this is an outstanding issue within the AP as registered mail is in square brackets
5	1		Consistency review	The timing of the receipt of the accession fee needs to be clarified as it is in square brackets.
6	1		Consistency review	The AP states that the Market Operator shall send a notice of clarification by registered mail though it remains an outstanding issues as it is in square brackets
7	1		Consistency review	The Code (paragraph 2.23) requires the MO to "..specify the components of the Participation Fee that will apply in respect of each Participation Notice.". It is not clear whether this is done as part of publishing the participation Fees or is required on each separate Participation Notice.
8	1		Consistency review	There is a need to confirm some of the timescales which are not specifically specified in the Code. These are highlighted in yellow and [].
9	1		Consistency review	Procedural steps need to be developed for Supplier of Last Resort - transfer of retail customers and creation of unique SoLR Supplier Unit for a Trading Site with Non-Firm Access. In particular the interaction with the Meter Data Providers needs to be set out. This is the only "Special" Unit that requires its own procedural steps. The procedural steps are not required for the registration of the standard SoLR Supplier Unit which shall follow the same processes as an ordinary Unit Registration but with an Effective Date of 31-DEC-3000

10	1		Consistency review	The registration administrator needs to be defined - e.g. is a member of Market Operator staff, or a Participant with access to the Registration Functional Area?
11	1	3	Consistency review	In section 3.7.2 it states "The registration administrator must verify the User's details with the Certificate Authority as part of the Digital Certificate process." This is inconsistent with AP3 which does not have this step as part of acquiring a digital certificate (unless the registration administrator is a member of the MO staff).
12	1		Consistency review	In general, where retail terminology is used, the consistency with these definitions needs to be checked in the retail market.
13	1		Consistency review	The Diagrams and Swimlanes in the AP have not been reviewed / modified and may be inconsistent with the text and procedural steps
14	1		Consistency review	The AP needs to be reviewed in the context of what extra processes or data, if any, are required now that a generation site can be represented by more than one Trading Site.
15	1		PRC #139	Outstanding information required on the process for changes of registration when change of Unit ownership is involved
16	1	15	PRC #41	Outstanding information required on the requirements for registration of Generator Units and Supplier Units under a given Participant, noting invoicing impact
17	1		SIMDRACS	Review of the processes is required for the Meter Data Provider appendix
18	1		T&SC legal and systems review	Recheck glossary
19	1		T&SC legal review	Review the first Participation notice in light of changes
20	1		T&SC legal review	Generic changes to the registration timings and requirements
21	1		T&SC legal review	The entire registration process around Intermediaries, revocation of Intermediaries, etc., needs review following the legal changes.
22	2		Consistency review	The timescales for changes in Interconnector Registration Data are not yet agreed and are in square brackets
23	2		Consistency review	Are the MDPs and System Operators (probable the same Party) asked to confirm / object to changes in Interconnector Registration Data. If so what timescales shall be set for their response?
24	2		Consistency review	The Agreed Procedure needs to specify what happens in the event of post-gate closure changes to ATC. Do the MIUNs get recalculated? Does the Interconnector Error "take the hit"?
25	2		T&SC legal and systems review	Recheck glossary

26	2		T&SC systems review	The roles and responsibilities of the various steps of Interconnector Trading and related data Transactions needs to be reviewed in the context of the recent changes to the Code prior to publication
27	3		Consistency review	Digital Certificates are non-channel specific (AP3 section 3.1.1 step 4) but Communication Channel Qualification is only granted for each type of Communication Channel (AP3 sect 3.2 step 4). Is this inconsistent, or will the MO prevent access to the non-qualified Channel?
28	3	1	Consistency review	AP3 allows Participant Users to access the Participant Registration System to set up Users and Default Data once Communication Channel Qualification is completed. AP1 implies this is done by the Market Operator with the Participant submitting the details on paper. This needs to be consistent between APs.
29	3		Consistency review	AP3 states (or implies) that there must be a valid Participant User for each Functional Area for each Communication Channel to maintain that Communication Channel. Some Functional Areas are only accessible by a single Type of Communication Channel. Also Participants may only wish some of their functions to be via Type 3 channel and others by Type 2 Channel. Wording needs to be clarified.
30	3		T&SC legal and systems review	Recheck glossary
31	4	6	Consistency review	Section 3.28 of the Code requires the Market Operator to facilitate identification of Accepted data on request from a Sending Party. This is not currently in AP4 and requires a change. AP6 describes such functionality. The placement or referencing of information needs to be corrected.
32	4		T&SC legal and systems review	Recheck glossary and generic data transaction changes which may have occurred in the Appendices, e.g. the clarifications around Predictable Price Taker Units
33	5		Consistency review	Section 3.2.3.2. Can a Party (particularly in this case reporting over Type 2 Channels prior to a Party registering Units) have access to a Type 2 Channel or is it just once SEM participation has begun?
34	5		Consistency review	Agreed Procedure 5 should reflect Agreed Procedure 1's detail on access to Functional Areas.
35	5		Consistency review	Section 3.4 on computational machine precision and method of rounding is inconsistent with section 3.92 of the Code. Finally, what is the level of detail required of in the AP as stated in section 3.93 of the Code?
36	5		T&SC legal and systems review	Recheck glossary

37	6		Consistency review	AP6 describes only describes the method of getting publications via the MPI and not through the method that the general public can access publications (which should also be available to Parties)
38	6		Consistency review	The Report table in AP6 (Appendix 2) identifies both Public and Private Data. The Public Data has been validated against the new Appendix K. The Private Data has not been validated (but needs to be validated against the Apes and Code text). Indeed, the issuing of private reports is strictly speaking outside of the scope of Agreed Procedure 6 - but this information may nonetheless still be most appropriate to be contained here.
39	6		Consistency review	Confirm that Members of the Dispute Panel is in AP6 and Appendix K (as per 2.258)
40	6		PRC #47	Outstanding information required on private reports for Settlement Reallocation Reports?
41	6		PRC #97	Outstanding information required clarifying whether TLAF reports include Netting Generator Units - particularly since the timelines in Appendix K refer to "physical" Generator Units only
42	6		PRC #118	Outstanding information required on the data made available to the PES for validation of their wholesale-calculated demand.
43	6		PRC #82 #147	Outstanding information required on the assumptions behind the load and wind forecasts - which will form part of the publication itself
44	6		T&SC legal and systems review	This Agreed Procedure publication list needs to be cognisant of late clarifications to the list of data publications in Appendix K, e.g. around the default interest rate and the timelines of various publications
45	6		T&SC legal and systems review	Recheck glossary
46	7		Consistency review	Agreed Procedure 7 should be reviewed for the use of the terms "Party", "Participant" and "Parties excluding SOs and MDPs"
47	7		Consistency review	Swimlanes/diagrams are not yet updated
48	7	TSC	Consistency review	Appendix 2 requires cross-referencing to TSC Appendices to ensure Data Transactions are valid
49	7		T&SC legal and systems review	Recheck glossary
50	9		Consistency review	Swimlanes/diagrams are not yet updated
51	9		Consistency review	It is not clear from the AP who sets the values for the following and how they are modified: Minimum Change Level, Trade Limit, Collateral Return Level
52	9		Consistency review	Credit Manager needs to be removed

53	9		Consistency review	The document needs to be reviewed to ensure that both Supplier Units and Generator Units are subject to the provision of credit cover. See 3.1.1
54	9		Consistency review	It is suggested that are new Process written for the following: 1.Monitoring Credit Cover Providers 2.Changing Credit Cover Providers 3.Withdrawing excess Credit Cover (Participant initiated) 4.Lodging more Credit Cover. A place holder has been put into the AP for these but they have not been developed
55	9		Consistency review	A new Appendix 2 has been inserted to cover the calculation of Required Credit Cover. This is not yet completed. Alternatively we could just refer to the Code where is detailed in this aspect
56	9	6	PRC #26	Outstanding information required on the private report regarding credit cover transactions
57	9		T&SC legal and systems review	Recheck glossary
58	9		T&SC legal and systems review	Check that the AP is aligned with the requirement to post a minimum credit cover level
59	9		T&SC legal and systems review	Check that the clarification on the SRA Assessment Period as a Billing Period is clear
60	10		Consistency review	Swimlanes are not yet updated
61	10		Consistency review	Check terminology of section 3.2.2 where the Debited Participant becomes "a debtor to the Market Operator"
62	10		T&SC legal and systems review	Recheck glossary
63	11		Consistency review	Swimlanes are not yet updated
64	11		T&SC legal and systems review	Recheck glossary
65	12		Consistency review	Swimlanes are not yet updated
66	12		T&SC legal and systems review	Recheck glossary
67	12		T&SC legal review	Check procedure around attendees for MC meetings
68	13		Consistency review	Settlement Recalculation Threshold is proposed by the Market Operator and approved by the Regulatory Authorities. There is no requirement to publish this in AP6 (or any other AP?)
69	13		Consistency review	Some timescales are still in [] and will require confirmation.
70	13		PRC #123	Outstanding information required to confirm how the participant is informed of the query determination
71	13		T&SC legal and systems	Recheck glossary

			review	
72	13		T&SC systems review	AP13 requires the MDP to resend data with a query flag if it is subject to a Data Query. There is no obligation in the Code for the MDP to do this (or indeed anyone else). This needs to be removed from AP13.
73	14		Consistency review	Swimlanes are not yet updated
74	14		PRC #124	Outstanding information required to describe how a closed dispute is reopened in the event that the decision of the DRB has not been complied with given the timelines for return of the dispute resolution form
75	14		PRC #125	Outstanding information required to set out the process to implement the determination of the DRB
76	14		T&SC legal and systems review	Check amendments to the Dispute Resolution Agreement
77	14		T&SC legal and systems review	Recheck glossary
78	15		Consistency review	Swimlanes are not yet updated
79	15		Consistency review	Procedural Steps for a Rerun Invoice and for a Market Operator Invoice need to be completed
80	15		Consistency review	Methodology for allocating Bad Energy and Capacity Debt and allocating repayments of Bad Energy and Bad Capacity Debt need to produced . If the methodology for allocating bad debt makes a Generator Participant a Debtor then the procedural steps may have to change as it may be impossible for a Generator to pay the required amount with less than half a day's notice.
81	15		Consistency review	Linkages with AP9 Credit management have to be reviewed / confirmed.
82	15	13	PRC #3	Outstanding information required to describe the settlement statements on which an ad-hoc invoice is based following a Data Query / Settlement Query / Dispute
83	15		PRC #68	See issue 80
84	15		T&SC legal and systems review	Check content of Settlement Statements and Invoices against new Code, and also the procedures around underpayment by the Market Operator
85	15		T&SC legal and systems review	Check what changes, if any, Trusts have on AP15
86	15		T&SC legal and systems review	Determine if AP15 adequately covers off developments on VAT in Section 6
87	15		T&SC legal and systems review	Recheck glossary

88	16		T&SC legal and systems review	Recheck glossary
89	MPUD		Consistency review	Demand Side Units have a Shut Down Cost. This is not currently included in the MPUD documentation
90	MPUD		Consistency review	Demand Side Units have a Hot Cooling Boundary. This is not currently included in the MPUD documentation
91	MPUD		Consistency review	Demand Side Units have a Warm Cooling Boundary. This is not currently included in the MPUD documentation
92	MPUD	Code	Consistency review	Time to Synchronise is part of Technical Offer Data in Appendix C. In the MPUD "Min Time Sync Hot" and "Min Time Sync Warm" are mapped to the TSC term "Time to Synchronise". The TSC terms "Synchronous Start Time Hot" and "Synchronous Start Time Warm" and "Synchronous Start Time Cold" do not have an MPUD equivalent.
93	MPUD		Consistency review	Demand Side Units have a Shut Down Cost. This is not currently included in the MPUD documentation.
94	MPUD		Consistency review	Energy Limit Start and Energy Limit Stop should be set out with required values in the MPUD aligned with the meaning of the Energy Limit.