

Capacity Market Code

Agreed
Procedure 1
Registration

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Contents

1. Introduction.....	4
1.1. Background and Purpose	4
1.2. Scope of Agreed Procedure.....	4
1.3. Definitions.....	4
1.4. Compliance with Agreed Procedure.....	4
2. Overview	5
2.1. Party Registration	5
2.2. Participant and Unit Registration.....	5
2.2.1. Candidate Unit Registration	6
2.2.2. Combining Candidate Units into Capacity Market Units	6
2.2.3. Registration of a Unit under a different Participant	7
2.2.4. Registration of Capacity Increases.....	7
2.2.5. Supplier Unit Registration	7
2.3. Registration of User Access Rights for Participants	8
2.3.1. Appointing a Data Processing Entity	8
2.3.2. User Access	8
2.4. Nominating an Intermediary	8
2.5. Deregistration	9
3. Procedural Steps	10
3.1. Party Registration	10
3.2. Registration of a Candidate Unit	13
3.3. Deregistration	16
3.4. Voluntary Termination.....	19
APPENDIX 1: DEFINITIONS.....	21

DOCUMENT HISTORY

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1.0	10/01/2016	I-SEM Project Team	Issued to the Regulatory Authorities

RELATED DOCUMENTS

Document Title	Version	Date	By
Capacity Market Code			
Agreed Procedure 2 “Default and Suspension”			

1. INTRODUCTION

1.1. Background and Purpose

This Agreed Procedure supplements the rules in relation to Participant registration administered by the System Operators, set out in the Capacity Market Code (hereinafter referred to as the “Code”). It sets out procedures with which Parties to the Code must comply.

1.2. Scope of Agreed Procedure

This Agreed Procedure sets out the procedural steps for:

- (a) registration of a Party for accession to the Capacity Market;
- (b) registration of a Candidate Unit and Capacity Market Unit for participation in the Capacity Market; and
- (c) registration of a Supplier Unit.

This Agreed Procedure forms an annex to, and is governed by the Code. It sets out procedures to be followed, subject to the rights and obligations of Parties under the Code. In the event of any conflict between a Party’s obligations set out in the Code and this Agreed Procedure, the Code shall take precedence.

It is not intended that there be any inconsistency or conflict between section 2 “Overview” and section 3 “Procedural Steps”. However, in the event of any inconsistency or conflict, section 3 “Procedural Steps” shall take precedence.

In section 3 “Procedural Steps” a corresponding process flow diagram is included for each procedural steps table. Process flow diagrams are for illustrative purposes. It is not intended that there be any inconsistency or conflict between any procedural steps table and process flow diagram however, in the event of any inconsistency or conflict, a procedural steps table shall take precedence.

1.3. Definitions

Words and expressions defined in the Code shall, unless the context otherwise requires or unless otherwise defined herein at Appendix 1 “Definitions”, have the same meanings when used in this Agreed Procedure. In the event of any conflict between a Party’s obligations set out in the Code and this Agreed Procedure, the Code shall take precedence.

References to particular paragraphs relate internally to this Agreed Procedure unless otherwise specified.

1.4. Compliance with Agreed Procedure

Compliance with this Agreed Procedure is required under the terms as set out in the Code.

2. OVERVIEW

The registration process consists of two steps:

- (a) **Party registration (for accession to the market):** registration as a Party to the Code; and
- (b) **Unit registration (prior to Qualification for a Capacity Auction):** a Party becomes a Participant by registering Unit(s).

In relation to a Generator Unit or Supplier Unit, the Participant under the Code must be the same Party that is, or will be, the Party registered in respect of that Unit under Section B.7 of the Trading and Settlement Code.

In relation to an Interconnector, the Participant under the Code must be the same Party that is, or will be, the Party registered in respect of that Interconnector under section B.10 of the Trading and Settlement Code.

2.1. Party Registration

The procedure for registration as a Party is set out at section 3.1 below.

All Parties that accede to the Capacity Market Framework Agreement become a Party to the Code in accordance with and subject to the accession process outlined in section B of the Code.

To register as a Party, an Applicant shall:

- (a) complete the Application Form available from the System Operators' website;
- (b) comply with eligibility requirements set out in section B.5 of the Code and in the Application Form; and
- (c) pay the Accession Fee.
- (d) have already registered or intends to register as a Party to the Trading and Settlement Code.

2.2. Participant and Unit Registration

As set out in section B.5.2 of the Code, in order for a Party to participate in any of the arrangements under the Capacity Market Code, a Party shall register or provisionally register a Generator Unit or Interconnector as a Candidate Unit. A Candidate Unit may be:

- (a) a Generator Unit or Interconnector that a Party proposes to register under the Trading and Settlement Code; or
- (b) a Generator Unit or Interconnector that is registered under the Trading and Settlement Code.

Upon registering its first Unit, a Party shall become a Participant in the jurisdiction where the Unit is located and shall be issued with a unique Participant ID. Note that a Party may already have a Participant ID if it has previously registered a Generator Unit or Interconnector under the Trading and Settlement Code.

A Participant ID is a unique identifier for Units aggregated for the purposes set out under the Code and Trading and Settlement Code.

2.2.1. Candidate Unit Registration

The procedure in relation to registration of a Candidate Unit is set out at section 3.2 below. In order to register a Candidate Unit, as set out above, the Party shall submit the following to the System Operators for validation:

- (a) a Participation Notice and Form of Authority (as required);
- (b) Capacity Registration Pack;
- (c) Participation Fee; and
- (d) Remit Notification Form (optional).

Upon registration the Generator Unit or the Interconnector shall be issued with a unique Unit ID and shall be considered a Candidate Unit or a provisionally registered Candidate Unit.

In the event that a Party is registering a proposed Generator Unit or proposed Interconnector, the Candidate Unit shall remain provisionally registered until such time that the Unit is registered under the Trading and Settlement Code or is Qualified for a Capacity Auction. A Party that has provisionally registered a Candidate Unit may cancel the registration by informing the System Operators.

A Candidate Unit is eligible to take part in the Qualification Process for a Capacity Auction. Once Qualified, a Candidate Unit shall become associated with a Capacity Market Unit under this Code.

2.2.2. Combining Candidate Units into Capacity Market Units

A Participant may combine Candidate Units into a Capacity Market Unit. Therefore, subject to the eligibility criteria set out in section E.7.7 of the Code, a Candidate Unit may have a many-to-one relationship with a Capacity Market Unit.

The Applicant shall specify in the Participation Notice if the registering Candidate Unit shall seek to be Qualified in the Capacity Auction as a standalone Capacity Market Unit; or shall seek to aggregate its capacity as part of a Capacity Aggregation Unit. A Capacity Aggregation Unit is a type of Capacity Market Unit, created during the registration process where a Capacity Market Unit has a one-to-many relationship with Candidate Units, as shown in the figure below.

Generator Unit	Candidate Unit	Capacity Market Unit (Capacity Aggregation Unit)
GU_401xxx	GU_401xxx	CAU_422xxx
GU_402xxx	GU_402xxx	CAU_422xxx

GU_402xxx	GU_402xxx	CAU_422xxx
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Figure 1 – Many Candidate Units to One Capacity Market Unit

All other Candidate Units not listed under Section E.7.7 of the Code, shall have a one-to-one relationship with a Capacity Market Unit.

Generator Unit	Candidate Unit	Capacity Market Unit
GU_401xxx	GU_401xxx	GU_401xxx

Figure 2 – One Candidate Unit to One Capacity Market Unit

2.2.3. Registration of a Unit under a different Participant

A Party may seek to register and become the Participant with respect to a Candidate Unit (and any associated Capacity Market Unit) that is already registered by a different Participant. The registration shall be subject to the successful Deregistration of the Unit by the existing Participant under both this Code and the Trading and Settlement Code. The new Party shall become the Participant for the Unit under the Code and the Trading and Settlement Code from the intended date of Deregistration.

To complete the registration the Party shall follow the Unit registration process outlined in 3.2 of this Agreed Procedure. In addition, the Party shall assume responsibility for any Awarded Capacity in respect of the Capacity Market Unit and shall be required to meet the Deregistration Applicant's obligations, outlined in section B.5.6 of the Code.

2.2.4. Registration of Capacity Increases

If a Participant intends to commission an increase in capacity as a new Generator Unit pursuant to the criteria set out in the Trading and Settlement Code, then the applicant shall follow the Candidate Unit registration process, set out in section 3.2 of this Agreed Procedure.

If the Participant intends to commission the increase in capacity of an existing Generator Unit in a Capacity Auction, Agreed Procedure 3 "Qualification and Auction Process" shall apply.

2.2.5. Supplier Unit Registration

A Party that registers a Supplier Unit under the Trading and Settlement Code is deemed to have registered that Supplier Unit under the Capacity Market Code. The Applicant registering the Supplier Unit shall be required to register as a Party under the Capacity Market Code. The Supplier Unit shall become effective under the Capacity Market Code on the agreed effective date in accordance with Agreed Procedure 1 "Registration" of the Trading and Settlement Code. Supplier Units do not participate in the Capacity Auctions.

2.3. Registration of User Access Rights for Participants

This section sets out the Access Roles and Rights of Users following an Applicant's registration of a Party and subsequent registration of its first Unit to a Participant.

2.3.1. *Appointing a Data Processing Entity*

A Party, other than the System Operators, may appoint a Data Processing Entity to submit Data Transactions.

If a Party appoints a Data Processing Entity they shall notify the System Operators by submitting the following information:

- (a) Party name;
- (b) name of person authorised to notify System Operators of a Data Processing Entity;
- (c) name of Data Processing Entity; and
- (d) tasks that can be carried out by the Data Processing Entity.

The System Operators shall acknowledge the submission within two Working Days of its receipt. The Party may then treat the Data Processing Entity as a User restricted to the tasks that the Party has permitted it to undertake.

The obtaining of access and permissions for the Data Processing Entity is equivalent to that of other Users, in accordance with Agreed Procedure 4 "Communication Channel Qualification".

Note: this section shall be updated once details are confirmed as part of the system detailed design.

2.3.2. *User Access*

There are three main types of User represented in the Capacity Market Interface:

- (a) **Main Participant User:** This User shall be able to update the access permissions of other Users of the Capacity Market Interface.
- (b) **Reporting Access User (Read):** Users assigned reporting access shall have read access to the Capacity Market Interface and shall be able to view and download reports, such as Capacity Auction results.
- (c) **Trading Access User (Write):** Users assigned trading access shall have write access to the Capacity Market Interface and shall be able to submit Capacity Auction Offers on behalf of a Capacity Market Unit registered to their Party. They shall also have the same privileges assigned to a Reporting Access User.

2.4. Nominating an Intermediary

The Intermediary shall follow the procedure for registering as a Party and registering Units under the Code and this Agreed Procedure. [Note: requirements for Intermediaries being considered by the Regulatory Authorities]

2.5. Deregistration

In accordance with section B.5.6 of the Code a Party or Deregistration Applicant may apply at any time to Deregister any Capacity Market Unit registered in its name. The procedure for Deregistration is set out at section 3.4 below. The Deregistration procedure is applicable when:

- (a) a Participant seeks to voluntarily Deregister any Units it has registered; or
- (b) the System Operators determine that any of a Party's Capacity Market Units should be Terminated as set out the Code and Agreed Procedure 2 "Default and Suspension".

The application to voluntarily Deregister a Capacity Market Unit shall be reviewed pursuant to Section B.5.6 of the Code.

Note that Candidate Units and Supplier Units cease to be registered under the Code once they cease to be registered under the Trading and Settlement Code. There is no additional process for Deregistration required to be completed under this Agreed Procedure or the Code.

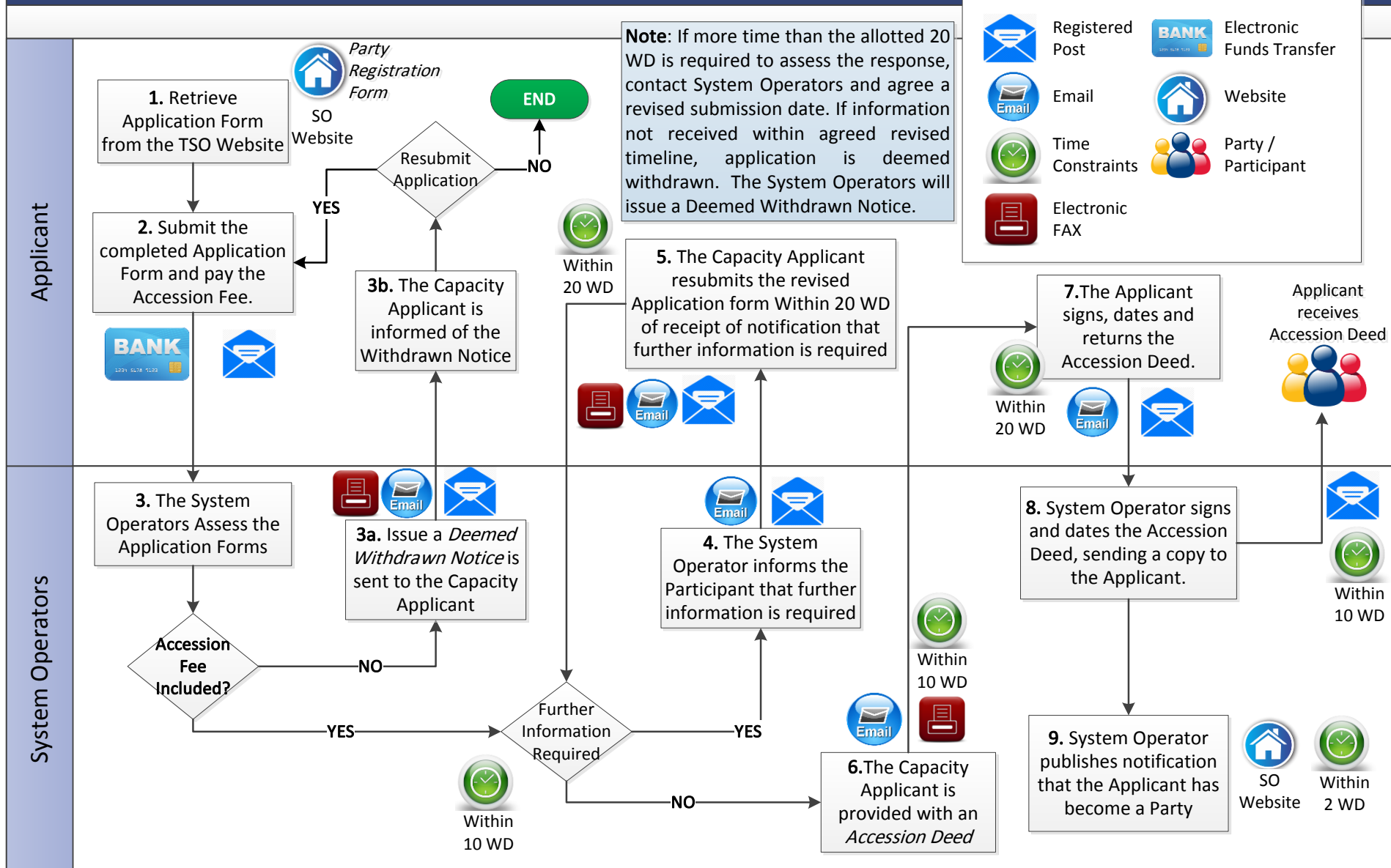
3. PROCEDURAL STEPS

3.1. Party Registration

Step	Procedural Step	Timing	Method	By/From	To
1	Retrieve Application Form.	As required	Download from the System Operators' website	Applicant	-
2	Submit completed Application Form and pay Accession Fee. A schedule of Accession Fees is published on the System Operators website.	As required	Registered post / EFT	Applicant	System Operators
3	<p>Assess Application Form.</p> <p>3a If Accession Fee is not received with the Application form, application may be withdrawn, issue a Deemed Withdrawn Notice.</p> <p>3b. The Capacity Applicant is informed of the Withdrawn Notice. The Applicant may resubmit the Application otherwise end process.</p>	Within 10 WD of receipt of Application Form	E-mail/ post / e-fax and the Deemed Withdrawn Notice by Registered Post	System Operators	Applicant
4	If further clarification is required, notify the Applicant that further information is required, including the content of the clarification.	Within 10 WD of receipt of Application Form	E-mail/	System Operators	Applicant
5	<p>Upon receipt of notification that further information or clarification is required, provide information as requested to the System Operators.</p> <p>Note: If more time than the allotted 20 WD is required to assess the response, contact System Operators and agree a revised submission date. If information not received within agreed revised</p>	Within 20 WD of receipt of notification that further information is required	Email / Post / e-fax	Applicant	System Operators

	timeline, application is deemed withdrawn. The System Operators will issue a Deemed Withdrawn Notice.				
6	On receipt of all required information and provided the Applicant fulfils the conditions for accession, provide the Applicant an Accession Deed.	Within 10 WD of final receipt of required information	Email / e-fax	System Operators	Applicant
7	Applicant signs, dates and returns the Accession Deed.	Within 20 WD of receipt or such other time agreed with the System Operators	Email/Registered post	Applicant	System Operators
8	System Operators sign and date the Accession Deed, sending a copy to the Applicant. Applicant becomes a Party to the Code on the date specified in the Accession Deed.	Within 10 WD of receipt of signed Accession Deed	Registered post	System Operators	Applicant
9	System Operators publish notification that the Applicant has become a Party.	Within 2 WD of the completed Accession Deed	System Operators' website	System Operators	-

Party Registration



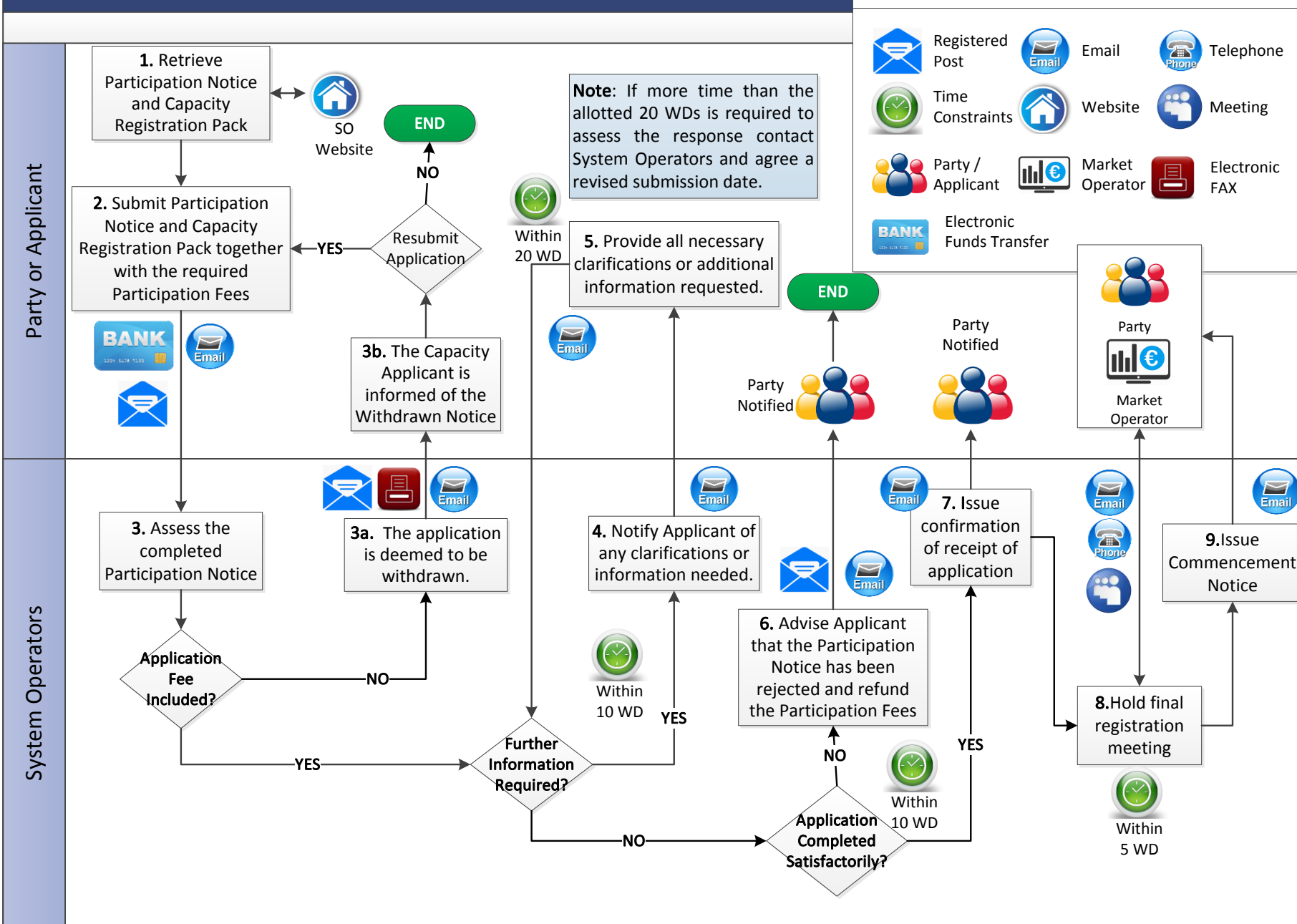
3.2. Registration of a Candidate Unit

The following procedural steps tables 3.2.1 and 3.2.2 refer to the process for registering a proposed Generator Unit or proposed Interconnector as a Candidate Unit, or a Generator Unit under the Trading and Settlement Code, not previously registered under this Code as a Candidate Unit.

Step	Step Description	Timing	Method	By / From	To
1.	Retrieve Participation Notice and Capacity Registration Pack. (This includes a REMIT Notification Form to appoint the System Operators to report REMIT Data to the European Agency for the Cooperation of Energy Regulators on its behalf).	As required	Download from the System Operators' website	Party or Applicant	System Operators
2.	Submit a completed Participation Notice and Capacity Registration Pack together with the required Participation Fees by way of Electronic Funds Transfer.	As required	Email and Registered Post / EFT	Party or Applicant	System Operators
3.	Assess the completed Participation Notice. If the required Participation Fee is not received with the application, the application is deemed to be withdrawn and Applicant is informed, end process .	Within 10 WD of receiving the Registration Pack	Email	System Operators	Party or Applicant
4.	Notify the Applicant if further information is required, notify Applicant of any clarifications or information needed.	Email		System Operators	Party or Applicant
5.	Provide all necessary clarifications or additional information requested Note: If more time than the allotted 20 WDs is required to assess the response contact System Operators and agree a revised submission date.	Within 20 WD of request for clarification from System Operators	Email	Party or Applicant	System Operators
6.	Where the application information is not completed satisfactorily advise Applicant that the Participation Notice has been rejected. Refund any Participation Fees entitled to be refunded within 10 WD of having informed the Applicant. Cancel Candidate Unit	Within 10 WD of receipt of information	Email / Registered Post	System Operators	Party or Applicant

Step	Step Description	Timing	Method	By / From	To
	registration, end process.				
7.	Where the application is completed satisfactorily, issue confirmation of receipt of application,	Within 10 WD of receiving the Registration Pack	Email	System Operators	Party or Applicant
8.	Hold final registration meeting to agree the effective date of the new Unit.	Within 5 Working Days of the Application satisfactorily completed.	Email/Phone/ Meeting	System Operators	Party and Market Operator
9.	Issue Commencement Notice confirming the effective date and the Unit ID.	Within 3 WD of effective date.	Email	System Operators	Party or Applicant and Market Operator

Registration of a Candidate Unit



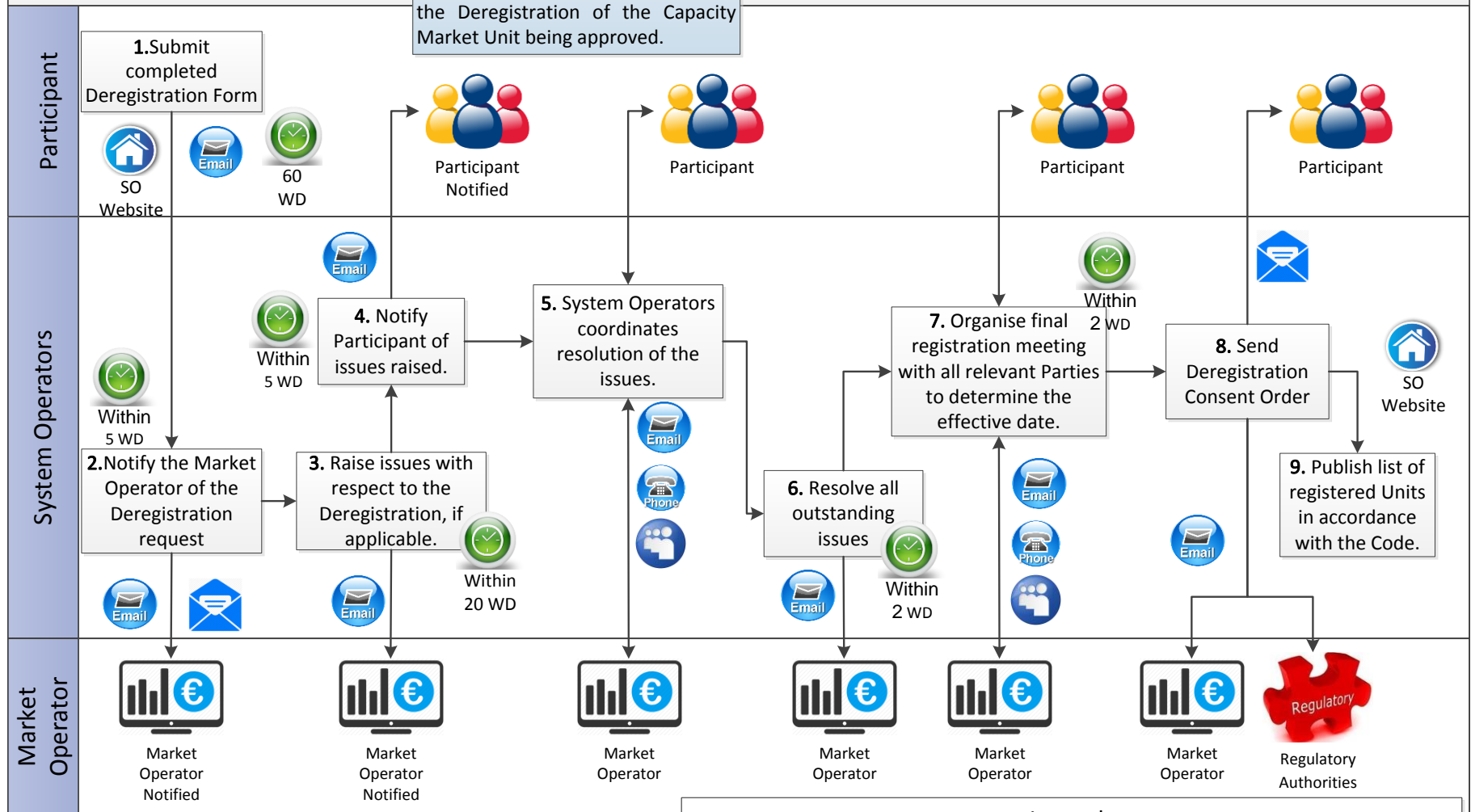
3.3. Deregistration

Step	Procedural Step Description	Timing	Method	By/From	To
1	Submit completed Deregistration Form (available to download from the System Operators' website)	At least 60 WD in advance of the proposed Deregistration date	System Operators website	Deregistration Applicant	System Operators
2	<p>Notify Market Operator of the Deregistration request.</p> <p>Note: The Deregistration Applicant must ensure they are compliant with section B.5.6.3 of this Code, prior to the deregistration of the Capacity Market Unit being approved.</p>	Within 5 WD of receipt of Deregistration Form	Email / Registered Post	System Operators	Market Operator
3	Market Operator assess the Deregistration request and notify any issues that arise to the System Operators.	Within 20 WDs of receipt of Deregistration details from System Operators	Email	Market Operator	System Operators
4	System Operators assess the Deregistration request and notify the Deregistration Applicant if any issues raised by the Market Operator or System Operators.	Within 20 WDs of receipt of Deregistration details from System Operators	Email	System Operators	Participant
5	System Operators coordinate resolution of the issues.	As required	Conference call/ Meeting / Email	Participant, Market Operator, System Operators	-

Step	Procedural Step Description	Timing	Method	By/From	To
6	<p>Party raising issue confirm the outcome of the resolution and:</p> <p>(a) if Deregistration of the Capacity Market Unit is no longer required, end process.</p> <p>(b) if all outstanding issues resolved, continue to step 7.</p>	Within 2 WD	Email	Participant, System Operators	Market Operator
7	<p>Organise final registration meeting with all relevant Parties to determine the effective date.</p> <p>If Deregistration is no longer required, end process.</p>	Within 2 WD of Step 6	Conference call/ Meeting / Email	System Operators	Participant, Market Operator
8	Send Deregistration Consent Order	Prior to the Deregistration effective date	Registered Post to Participant. Email to Market Operator and Regulatory Authorities.	System Operators	Participant, Market Operator, Regulatory Authorities
9	Where Deregistration Consent Order has been issued, maintain and publish list of registered Units in accordance with the Code.	As required	System Operators' website	System Operators	-

Deregistration

Note: The Deregistration Applicant must ensure they are compliant with section B.5.6.3 of *this* Code, prior to the Deregistration of the Capacity Market Unit being approved.



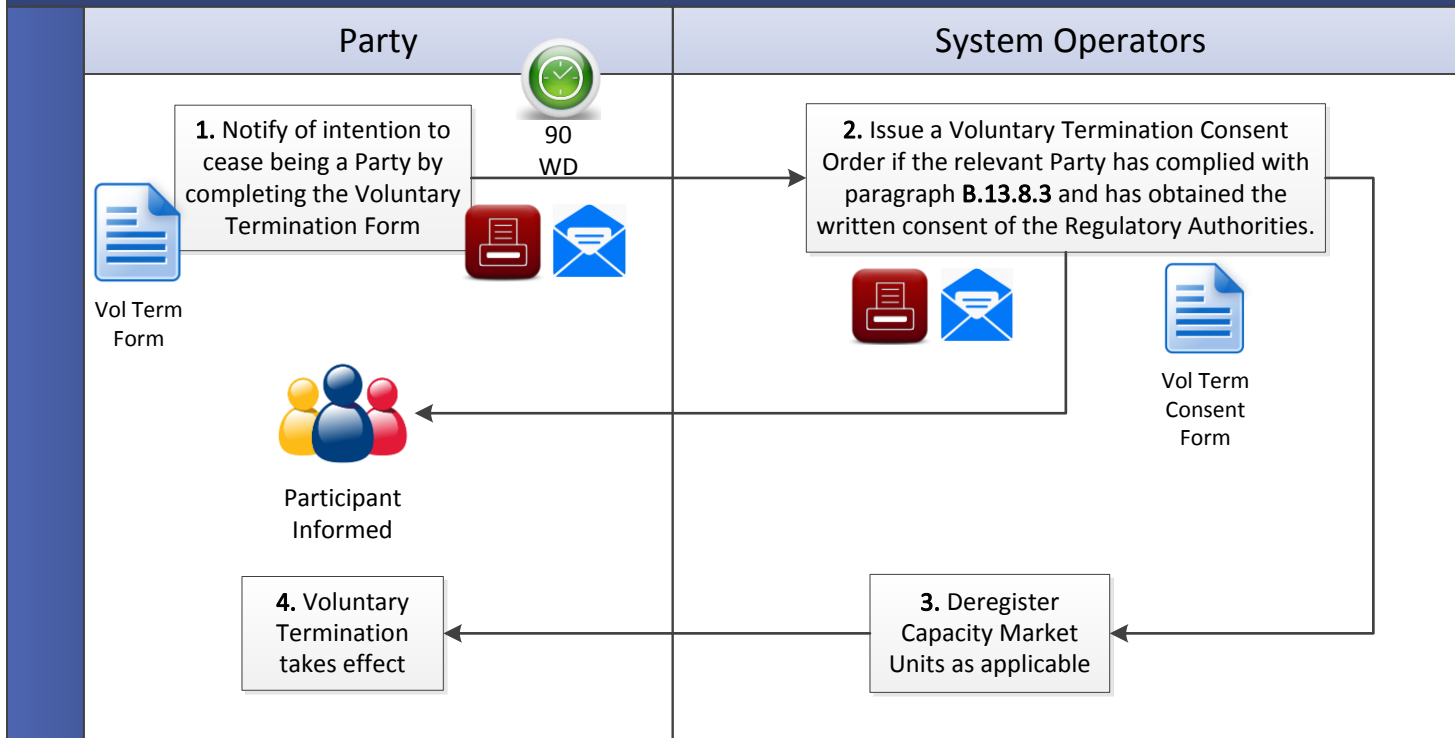
Legends



3.4. Voluntary Termination

Step	Step Description	Timing	Method	From / By	To
1	Notify of intention to cease being a Party and time and date upon which it is intended that this Termination will take effect by completing the Voluntary Termination Form	At least 90 WD prior to the date upon which it is intended that the termination will take effect	Registered post / e-fax	Party	System Operator and the Regulatory Authorities
2	Issue a Voluntary Termination Consent Order provided that: a) it has been confirmed that the relevant Party has complied with conditions set out in paragraph B.13.8.3 of the Code; and b) the Party has obtained the written consent of the Regulatory Authorities	Following receipt of notification set out in step 1 above and once the relevant Party has complied with conditions set out in paragraph B.13.8.3 of the Code	Registered post / e-fax	System Operators	Relevant Party
3	Deregister Capacity Market Units as applicable			System Operator	
4	Voluntary Termination takes effect (Party seeking Termination must remain in compliance with conditions set out in paragraph B.13.8.3 of the Code for Termination to take effect)	End of the Trading Day specified by the System Operators in the Voluntary Termination Consent Order		System Operators	

Voluntary Termination



APPENDIX 1: DEFINITIONS

DEFINITIONS

Words and expressions used herein shall have the same meaning given to them in the Code, unless otherwise specified here.

Application Form	means the form available on the System Operators' website which is required to be completed by an Applicant to become a Party to the Code.
Capacity Aggregation Unit	means a Capacity Market Unit that is used to group more than one Candidate Unit under a Capacity Market Unit.
Capacity Market Interface	means the function within the Capacity Market Platform that interfaces to the Type 2 Channel communications in accordance with the Code.
Capacity Registration Pack	means the documentation and information that assists with Unit and Participant registration.
Deemed Withdrawn Notice	means the notification provided by the System Operators that an application for registration is being withdrawn.
Deregistration Applicant	has the meaning given to it in paragraph B.5.6.1 of the Code.
Participant ID	means the identifier that represents the unique grouping of Generator and/or Supplier Units to the entity defined as a Participant in the Trading and Settlement Code and is used in the Capacity Market Platform.
Registration Pack	means the documentation and information that assists with Unit and Participant registration.
User	means: (a) in relation to a Participant: a nominated member of the Participant staff who is authorised to utilise qualified communication facilities that interact with the Capacity Market Platform; and (b) in relation to the System Operators: a member of the System Operators staff who has been authorised to access specific parts of the Capacity Market Platform.
Voluntary Termination Form	means the form available on the System Operators' website for the purposes of Voluntary Termination.