



The Single Electricity Market (SEM)

Agreed Procedure 13 Query Generation

Version 9.0

06 May 2011

SEM Agreed Procedure

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| Title | Agreed Procedure 13 : Query Generation |
| Version | 9.0 |
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DOCUMENT HISTORY

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| 2.0 | 03/11/2006 | SEM Implementation Team | Issue to Regulators |
| 3.0c | 18/05/2007 | Regulatory Authorities | Consultation Version |
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RELATED DOCUMENTS

| Document Title | Version | Date | By |
|---|---------|------------|------|
| Trading and Settlement Code | V9.0 | 06/05/2011 | SEMO |
| Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support" | | | |
| Agreed Procedure 14 "Disputes" | | | |

1. INTRODUCTION

1.1 BACKGROUND & PURPOSE

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

1.2 SCOPE OF AGREED PROCEDURE

This Agreed Procedure defines the process for the raising and processing Data Queries ~~and~~ Settlement Queries [and Required Credit Cover Queries](#).

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

1.3 DEFINITIONS

Save as expressly defined, words and expressions defined in the Code shall have the same meanings when used in this Agreed Procedure.

References to particular sections relate internally to this Agreed Procedure unless specifically noted.

1.4 COMPLIANCE WITH AGREED PROCEDURE

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

2. DESCRIPTIVE OVERVIEW

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

2.1 DATA QUERIES

2.1.1 Raising Data Queries

Where a Party identifies an issue within the Ex-Post Indicative Settlement Statements, it can raise a Data Query within the Data Verification Period.

This Party (the "Raising Party") shall submit the Data Query via the Market Operator's Help Desk.

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

Data Queries must be raised with the Market Operator in the Data Verification Period. The Data Verification Period for Trading Payments and Trading Charges for a Settlement Day commences at the time of issue of the Market Schedule Quantity from the Ex-Post Indicative Market Schedule and ends at 17:00 on Settlement Day plus four Working Days. The Data Verification Period for Capacity Payments and Capacity Charges for a Capacity Period is up to four Working Days after the Capacity Period (i.e. CP+4WD).

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

2.1.2 Processing Data Queries

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

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

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

- Where the data being queried is from or affects the data of another Participant (the “Affected Participant(s)”), the Market Operator shall inform the Affected Participant(s). The Affected Participant(s) shall assist the Market Operator in a timely manner, dealing with the Data Query concerned.
- Where the Data Query is valid and is querying data from an External Data Provider (System Operator, Interconnector Administrator or Meter Data Provider) then the Market Operator shall pass the details to such External Data Provider to examine the queried data for an error. In this case or where the Raising Party is an External Data Provider, the External Data Provider shall inform the Market Operator of its discoveries and provide any revised data under the timescales indicated by the Market Operator to fulfil the Data Query resolution deadline. Where possible, any revised data should be provided in time for inclusion in the Initial Settlement Statement.
- Where data is being queried because the calculation is incorrect or concerns data from an Affected Participant(s), then the Market Operator shall progress the examination of the queried data.

2.1.3 Determinations of Data Query Materiality

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

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

The Market Operator may utilise reasonable manual methods to determine the materiality of any changes to Settlement Items, using information and data provided manually from Participants, System Operators, Interconnector Administrator and/or Meter Data Providers.

The Market Operator shall inform the Raising Party and the Affected Participant(s) (if any) of the determination and of an estimate of the materiality within the timescales specified in section 2.1.2.

If the Raising Party disagrees with the determination and/or the estimate of materiality then it may dispute this finding within five Working Days of being informed and may raise a Settlement Dispute in accordance with Agreed Procedure 14 “Disputes”.

In the event that there is a change to Settlement Items with Low Materiality, the Market Operator shall procure that the revised corrected input data shall be used for the relevant Settlement Period, and Settlement shall take place on the next Timetabled Settlement Rerun. Two Timetabled Settlement Reruns exist for each given Billing Period and Capacity

Period; the first taking place within the fourth month and the second within 13 months after the relevant Billing Period or Capacity Period.

In the event that there is a change to Settlement Items with High Materiality, the Market Operator shall procure that the revised corrected input data shall be used for the relevant Settlement Period and a dedicated Settlement Rerun shall be performed

Should revised data from External Data Providers be required for this purpose, the Market Operator shall notify, within one Working Day, the External Data Providers required to submit the revised corrected data. Such revised data shall be successfully submitted into the Central Market Systems by the External Data Provider within 10 Working Days of the notification.

The Market Operator shall complete the dedicated Settlement Rerun within 20 Working Days of the date of successful submission of revised data from the External Data Providers.

2.1.4 Corrective Actions

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

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

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

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

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

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

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

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

2.2 SETTLEMENT QUERIES

2.2.1 Raising Settlement Queries

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

The Settlement Query must be raised prior to 20 Working Days after the last Timetabled Settlement Rerun for that Billing Period or other Settlement rerun whichever is the later.

2.2.2 Processing Settlement Queries

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

If the Settlement Query is not resolved during the initial one month period, or during the extended 10WD period (if approved), the Settlement Query becomes a Settlement Dispute.

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

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

Where the Settlement Query is valid and is as a result of data from an External Data Provider (System Operator, Interconnector Administrator or Meter Data Provider) then the Market Operator shall pass the details to such External Data Provider. In this case or where the Raising Party is an External Data Provider, the External Data Provider shall provide any revised data within 15 Working Days of the Market Operators receipt of the Settlement Query.

2.2.3 Determinations of Settlement Query Materiality

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

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

The Market Operator may utilise reasonable manual methods to determine the materiality of any changes to Settlement Items, using information and data provided manually from Participants, System Operators, Interconnector Administrator and/or Meter Data Providers. The Market Operator shall inform the Raising Party and the Affected Participant(s) (if any) of the determination and of an estimate of the materiality within the timescales specified in section 2.2.2.

If the Raising Party disagrees with the determination and/or the estimate of materiality then it may dispute this finding within five Working Days of being informed and may raise a Settlement Dispute in accordance with Agreed Procedure 14 "Disputes".

In the event that there is a change to Settlement Items with Low Materiality, the Market Operator shall procure that the revised corrected input data shall be used for the relevant Settlement Period for which Final Settlement has not occurred, and Settlement shall then take place on the next Timetabled Settlement Rerun. Two Timetabled Settlement Reruns exist for each given Billing Period and Capacity Period; the first taking place within the fourth month and the second within 13 months after the relevant Billing Period or Capacity Period.

In the event that there is a change to Settlement Items with Low Materiality resolved after the final Timetabled Settlement Rerun, or there is a change to Settlement Items with High Materiality, the Market Operator will procure that an additional Settlement Rerun for the relevant Settlement Period will then be performed.

Should revised data from External Data Providers be required for this purpose, the Market Operator shall notify, within one Working Day, the External Data Providers required to submit the revised corrected data. Such revised data shall be successfully submitted into the Central Market Systems by the External Data Provider within 10 Working Days of the notification.

The Market Operator shall complete the dedicated Settlement Rerun within 20 Working Days of the date of successful submission of revised data from the External Data Providers.

2.2.4 Corrective Actions

Where the resolution of a Settlement Query requires a Settlement Rerun and an issue of an Invoice or Self-Billing Invoice, such Settlement Rerun will only be carried out in relation to the Settlement Day(s) that are the subject of the Settlement Query and within the scope of

the Invoice or Self-Billing Invoice as appropriate. The result of that Settlement Rerun will be applied to all Participants.

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

2.3 REQUIRED CREDIT COVER QUERIES

2.3.1 Raising Required Credit Cover Queries

Where a Party identifies an issue with the calculation of Required Credit Cover in respect of its Participant, such Party may raise a Required Credit Cover Query within one hour of the issue of the relevant Required Credit Cover report by the Market Operator. This Party (the "Raising Party") shall submit the Required Credit Cover Query using the form as set out in Appendix 2. Each Required Credit Cover Query shall specify the Participant to which the query relates, along with reasons for the query and any supporting evidence.

2.3.2 Processing Required Credit Cover Queries

Each Required Credit Cover Query shall be raised in respect of a single Participant and shall provide all of the information as required by the Market Operator, in order to be considered as complete and valid.

In the event that the Market Operator identifies that a Required Credit Cover Query is not complete and valid, the Market Operator shall reject the Required Credit Cover Query and shall notify the Raising Party in a standard format of such rejection. The Raising Party may then raise a new Required Credit Cover Query in respect of the affected Participant, in accordance with the required timescales as set out in section 2.3.1.

2.3.3 Corrective Actions

Upon receipt of a valid and complete Required Credit Cover Query, the Market Operator shall employ reasonable endeavours to undertake each of the following activities within 90 minutes of the issue of the relevant Required Credit Cover report (to which the Required Credit Cover Query is associated):

- investigate the Required Credit Cover Query;
- identify whether the Required Credit Cover Query should be upheld and, if so, the resolution;
- notify the Raising Party whether the Required Credit Cover is upheld;
- where an Required Credit Cover Query is upheld, resolve the issue(s) identified and notify the Raising Party of completion. This may include re-issue of the Required Credit Cover report for one or more Participants, which shall not coincide with the scheduled production of a Required Credit Cover report.

Where the Market Operator determines that a Required Credit Cover Query will not be resolved within 90 minutes of the issue of the relevant Required Credit Cover report, the Market Operator shall inform the Raising Party that the Required Credit Cover Query has not been resolved but will be resolved in the timescales as set out in paragraphs 6.77C and 6.77D of the Code.

3. PROCEDURAL STEPS

3.1 DATA QUERY

| # | Procedural Step | Timing | Mechanism | By / From | To | Linkage |
|---|--|--|---|-----------------|-----------------|---------|
| 1 | Raise Data Query (see form in Appendix 2) | Within Data Verification Period (For Trading Payments and Trading Charges: between TD+1D and SD+4WD; for Capacity Payments and Capacity Charges between CP+3WD and CP+6WD) | Email / Fax / registered overnight mail | Raising Party | Market Operator | |
| 2 | Log Data Query in accordance with Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support”. Validate Data Query for completeness and from authorised person as set out in Appendix 3 <ul style="list-style-type: none"> If valid continue from step 5 If invalid continue from step 3 | Within 1 WD | - | Market Operator | - | |
| 3 | Close log in accordance with Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support” and inform Raising Party of reasons for invalidity | Immediately | Email / Fax / registered overnight mail | Market Operator | Raising Party | |
| 4 | Review invalidity reasons <ul style="list-style-type: none"> Correct and resubmit – Continue from step 1 Do not resubmit – and continue from step 34 | As required | | Raising Party | | |
| 5 | Inform Raising Party of completeness of Data Query | Immediately | Email / Fax / registered overnight mail | Market Operator | Raising Party | |

| # | Procedural Step | Timing | Mechanism | By / From | To | Linkage |
|----|---|---|---|-------------------------|-------------------------|---------|
| 6 | Establish whose data is being queried <ul style="list-style-type: none"> If it is a Meter Data Provider, a System Operator or the Interconnector Administrator (an External Data Provider) continue from step 14 If it is another Participant's data (The Affected Participant(s)) continue from step 7 If it is regarding the calculation of a data item continue from step 13 If the Raising Party is an External Data Provider continue from step 17 | Within 1 WD of receiving the Data Query | | Market Operator | | |
| 7 | Inform the Affected Participant(s) of the Data Query requesting its comment on the validity | Within 1 WD of receiving the Data Query | Email / Fax / registered overnight mail | Market Operator | Affected Participant(s) | |
| 8 | Process Data Query request If Query can be processed within requested timescales continue from step 12 otherwise continue from step 9 | Within timescales specified by MO | Email / Fax / registered overnight mail | Affected Participant(s) | | |
| 9 | Notify inability to process Data Query request | Within timescales specified by MO | Email / Fax / registered overnight mail | Affected Participant(s) | Market Operator | |
| 10 | If Market Operator can make a determination without the Affected Participant information continue from step 13 otherwise continue from step 11 | Within timescales agreed with Raising Party | - | Market Operator | | |
| 11 | Raise a Settlement Dispute in accordance with Agreed Procedure 14 "Disputes" because of inability to make determination within required timescales. Continue from step 34 | After lapse of timescales agreed with Raising Party | In accordance with Agreed Procedure 14 "Disputes" | Market Operator | | |
| 12 | Provide comments to Market Operator | Within timescales specified by MO | Email / Fax / registered overnight mail | Affected Participant(s) | Market Operator | |
| 13 | Make a determination on the Data Query, including estimation of Materiality of any change to Settlement Items taking into account any comments from the Affected Participant(s). If determination can be made within the timescales agreed with the Raising Party continue from step 18 otherwise continue from Step 11 | Within timescales agreed with Raising Party | | Market Operator | - | |

| # | Procedural Step | Timing | Mechanism | By / From | To | Linkage |
|----|--|---|---|------------------------|--|--|
| 14 | Send Data Query to External Data Provider. Note that the Market Operator may request a manual communication of the estimation of the change to data items which are being queried, or may request a full formal update of all data from the External Data Provider over Communication Channel Type 2 or Type 3. | Within 1 WD of receiving the Data Query | Email / Fax / registered overnight mail | Market Operator | External Data Provider | |
| 15 | Process Data Query request If Query can be processed within requested timescales continue from step 17 otherwise continue from step 16 | Within timescales specified by MO | Email / Fax / registered overnight mail | External Data Provider | - | |
| 16 | Notify inability to process Data Query request Continue from step 11 | Within timescales specified by MO | Email / Fax / registered overnight mail | External Data Provider | Market Operator | |
| 17 | Process the Data Query and inform Market Operator of findings, if relevant. Reissue any corrected data. | Within timescales specified by MO | Email / Fax / registered overnight mail (notification of determination) | External Data Provider | Market Operator | Potentially AP16 (for ad hoc Meter Data file send) |
| 18 | If Market Operator completes the examination of the Data Query within timeframe, inform the Raising Party and the Affected Participant(s) of the Market Operator's determination, including any estimate of Materiality and the method of estimating that Materiality. Go to step 22 If not, go to step 19 If the Raising Party is an External Data Provider continue from step 27 | Within 10 WD | Email / Fax / registered overnight mail | Market Operator | Affected Participant(s) Raising Party | |
| 19 | Market Operator requests more time (up to 10 Working Days) from the Raising Party to resolve the Data Query | Within one Working Day of known non-completion of Data Query by Market Operator | Email / Fax / registered overnight mail | Market Operator | Affected Participant(s) Raising Party | |
| 20 | Respond to request from Market Operator | Within 1WD | Email / Fax / registered overnight mail | Raising Party | Market Operator | |

| # | Procedural Step | Timing | Mechanism | By / From | To | Linkage |
|----|---|---|---|-------------------------|---------------------------------------|--|
| 21 | Notify Affected Party/External Data Provider of any changes to agreed timeline | Within 1WD | Email / Fax / registered overnight mail | Market Operator | Affected Party/External Data Provider | |
| 22 | Inform the Raising Party and the Affected Participant(s) of the Market Operator's determination, including any estimate of Materiality and the method of estimating that Materiality Continue from step 23 and step 25 | Within timescales agreed with Raising Party | Email / Fax / registered overnight mail | Market Operator | Affected Participant(s) Raising Party | |
| 23 | Receive and review the determination <ul style="list-style-type: none"> If not disputing the determination – do nothing and continue from Step 26 If disputing with the determination (including the Market Operator's estimation of Materiality) continue from Step 24 | Within 5WD of receipt of determination | - | Raising Party | - | |
| 24 | Raise a Settlement Dispute under Agreed Procedure 14 "Disputes" and inform the Market Operator and continue from Step 34 | Within 5WD of receipt of determination | In accordance with Agreed Procedure 14 "Disputes" | Raising Party | Market Operator | |
| 25 | If the Data Query has resulted in revised data which has all been included in the Initial Settlement Statement (including where necessary the recalculation of SMP and MSQs) continue from step 34 otherwise continue from step 26 | - | - | Market Operator | - | |
| 26 | If the Data Query has resulted in revised data which has not been included in the Initial Settlement Statement and the Raising Party is not disputing the determination and if the Materiality is High then continue from step 27 otherwise continue from step 33 | | - | Market Operator | - | |
| 27 | Inform External Data Provider of determination and send a further External Data Provider Notification Form (see Appendix 2) to the External Data Provider if there are further data requirements. | Within 1 WD of determination | Email / Fax / registered overnight mail | Market Operator | External Data Providers | AP16 (for ad hoc Meter Data file send) |
| 28 | Provide revised data. | Within 10 WD of notification | | External Data Providers | Market Operator | |

| # | Procedural Step | Timing | Mechanism | By / From | To | Linkage |
|----|--|--|-----------|-------------------|----|-----------------------------|
| 29 | Schedule a dedicated Settlement Rerun. | Within 20 Working Days of the date of successful submission of revised data from External Data Providers | -Various | Market Operator | | AP15 (for Settlement Rerun) |
| 30 | If Commercial Offer Data, Technical Offer Data, Actual Availability, Dispatch Quantity, Metered Generation or Market Schedule Quantity has been determined to be incorrect arising from the Data Query, subject to the Settlement Recalculation Threshold, SMP and MSQ shall be recalculated prior to the Settlement Rerun. | Within 20 Working Days of the date of successful submission of revised data from External Data Providers | -Various | Market Operator | | |
| 31 | If Metered Generation has been determined to be in error arising from the Data Query subject to the Settlement Recalculation Threshold, the Ex-Post Loss of Load Probability shall be recalculated prior to the Settlement Rerun. | Within 20 Working of the date of successful submission of revised data from External Data Providers | - Various | Market Operator | | |
| 32 | If Commercial Offer Data, Technical Offer Data, Eligible Availability, Dispatch Quantity, Market Schedule Quantity, SMP or Ex-Post Loss of Load Probability have been determined to be in error arising from the Data Query, the Capacity Payments and Capacity Charges shall be recalculated prior to the Settlement Rerun. | Within 20 Working Days of the date of successful submission of revised data from External Data Providers | - Various | - Market Operator | | |

| # | Procedural Step | Timing | Mechanism | By / From | To | Linkage |
|----|--|---|-----------|-----------------|----|---------|
| 33 | Ensure revised data is used in next Timetabled Settlement Rerun Statement (including where necessary the recalculation of SMP and MSQs). | Prior to next Timetabled Settlement Rerun | | Market Operator | | |
| 34 | End process | | | | | |

3.2 SETTLEMENT QUERY

| # | Procedural Step | Timing | Mechanism | By / From | To | Linkage |
|---|---|--|---|-----------------|-----------------|---------|
| 1 | Raise Settlement Query (see form in Appendix 2) | Prior to last Timetabled Settlement Rerun + 5 WD | Email / Fax / registered overnight mail | Raising Party | Market Operator | |
| 2 | Log Settlement Query in accordance with Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support”. Validate Settlement Query for completeness and from authorised person as set out in Appendix 3 <ul style="list-style-type: none"> If valid continue from step 5 If invalid continue from step 3 | Within 1 WD | | Market Operator | | |
| 3 | Close log in accordance with Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support” and inform Raising Party of reasons for invalidity | Immediately | Email / Fax / registered overnight mail | Market Operator | Raising Party | |
| 4 | Review invalidity reasons <ul style="list-style-type: none"> Correct and resubmit – Continue from step 1 Do not resubmit – and continue from step 30 | | | Market Operator | | |
| 5 | Inform Raising Party of completeness of Settlement Query Continue from step 6 | Immediately | Email / Fax / registered overnight mail | Market Operator | Raising Party | |
| 6 | Establish whose data is being queried <ul style="list-style-type: none"> If it is a Meter Data Provider, a System Operator or the Interconnector Administrator (an External Data Provider) continue from step 14 If it is another Participant’s data (The Affected Participant(s)) continue from step 7 If it is regarding the calculation of a data item continue from step 13 If the Raising Party is an External Data Provider continue from Step 13 | Within 1 WD of receiving the Settlement Query | | Market Operator | | |

| # | Procedural Step | Timing | Mechanism | By / From | To | Linkage |
|----|---|---|---|-------------------------|-------------------------|---------|
| 7 | Inform the Affected Participant(s) of the Settlement Query requesting its comment on the validity | Within 1 WD of receiving the Settlement Query | Email / Fax / registered overnight mail | Market Operator | Affected Participant(s) | |
| 8 | Process Settlement Query request If Query can be processed within requested timescales continue from step 12 otherwise continue from step 9 | Within timescales specified by the MO | Email / Fax / registered overnight mail | Affected Participant(s) | | |
| 9 | Notify inability to process Settlement Query request | Within timescales specified by the MO | | Affected Participant(s) | Market Operator | |
| 10 | If Market Operator can make a determination without the Affected Participant information continue from step 13 otherwise continue from step 11 | Within timescales agreed with Raising Party | Email / Fax / registered overnight mail | Market Operator | | |
| 11 | Raise a Settlement Dispute in accordance with Agreed Procedure 14 "Disputes" because of inability to make determination within required timescales. Continue from step 30 | After lapse of timescales agreed with Raising Party | In accordance with Agreed Procedure 14 "Disputes" | | | |
| 12 | Provide comments to Market Operator | Within 15 WD of receipt from MO | Email / Fax / registered overnight mail | Affected Participant(s) | Market Operator | |
| 13 | Make a determination on the Settlement Query, including estimation of Materiality of any change to Settlement Items taking into account any comments from the Affected Participant(s). If determination can be made within the timescales agreed with the Raising Party continue from step 18 otherwise continue from Step 11 If Raising Party is an External Data Provider continue from step 17 | Within timescales agreed with Raising Party | | Market Operator | - | |
| 14 | Send Settlement Query to External Data Provider. Note that the Market Operator may request a manual communication of the estimation of the change to data items which are being queried, or may request a full formal update of all data from the External Data Provider over Communication Channel Type 2 or Type 3. | Within 1 WD of receiving the Settlement Query | Email / Fax / registered overnight mail | Market Operator | External Data Provider | |

| # | Procedural Step | Timing | Mechanism | By / From | To | Linkage |
|----|---|---|---|------------------------|--|--|
| 15 | Process Settlement Query request If Query can be processed within requested timescales continue from step 17 otherwise continue from step 16 | Within timescales specified by MO | Email / Fax / registered overnight mail | External Data Provider | - | |
| 16 | Notify inability to process Settlement Query request Continue from step 11 | Within timescales specified by MO | Email / Fax / registered overnight mail | External Data Provider | Market Operator | |
| 17 | Process the Settlement Query. Inform Market Operator of findings and potentially reissue any corrected data | Within timescales specified by MO | Email / Fax / registered overnight mail (notification of determination) Communication Channel (revised data) | External Data Provider | Market Operator | Potentially AP16 (for ad hoc Meter Data file send) |
| 18 | If Market Operator completes the examination of the Settlement Query within timeframe, inform the Raising Party and the Affected Participant(s) of the Market Operator's determination, including any estimate of Materiality and the method of estimating that Materiality. Go to step 22 If not, go to step 19 | Within one Month | Email / Fax / registered overnight mail | Market Operator | Affected Participant(s) Raising Party | |
| 19 | Market Operator requests more time (up to 10 Working Days) from the Raising Party to resolve the Settlement Query | Within one Working Day of known non-completion of Settlement Query by Market Operator | Email / Fax / registered overnight mail | Market Operator | Affected Participant(s) Raising Party | |
| 20 | Respond to request from Market Operator | Within 1WD | Email / Fax / registered overnight mail | Raising Party | Market Operator | |

| # | Procedural Step | Timing | Mechanism | By / From | To | Linkage |
|----|---|--|---|-------------------------|---------------------------------------|--|
| 21 | Notify Affected Party/External Data Provider of any changes to agreed timeline | Within 1 WD | Email / Fax / registered overnight mail | Market Operator | Affected Party/External Data Provider | |
| 22 | Inform the Raising Party and the Affected Participant(s) of the Market Operator's determination, including any estimate of Materiality and the method of estimating that Materiality | Within timescales agreed with Raising Party | Email / Fax / registered overnight mail | Market Operator | Affected Participant(s) Raising Party | |
| 23 | Receive and review the determination <ul style="list-style-type: none"> If not disputing the determination – do nothing and continue from Step 25 If disputing with the determination continue from Step 24 | Within 5WD of receipt of determination | - | Raising Party | - | |
| 24 | Raise a Settlement Dispute under Agreed Procedure 14 "Disputes" and inform the Market Operator and continue from Step 30 | Within 5WD of receipt of determination | In accordance with Agreed Procedure 14 "Disputes" | Raising Party | Market Operator | |
| 25 | If the Materiality is High or it is after the last Timetabled Settlement Rerun then continue from step 26 otherwise continue from step 29 | | - | Market Operator | - | |
| 26 | Inform External Data Provider of determination and Send a further External Data Provider Notification Form (see Appendix 2) to the External Data Provider if there are further data requirements. | Within 1 WD of determination | Email / Fax / registered overnight mail | Market Operator | External Data Provider | AP16 (for ad hoc Meter Data file send) |
| 27 | Provide revised data. | Within 10 WD of notification | - | External Data Providers | - Market Operator | |
| 28 | Schedule a dedicated Settlement Rerun and continue from step 30 | Within 20 Working Days of the date of successful submission of revised data from External Data Providers | Various | Market Operator | | AP15 (for Settlement Rerun) |

| # | Procedural Step | Timing | Mechanism | By / From | To | Linkage |
|----|--|---|-----------|-----------------|----|---------|
| 29 | Ensure revised data is used in next Timetabled Settlement Rerun Statement (including where necessary the recalculation of SMP and MSQs). | Prior to next Timetabled Settlement Rerun | | Market Operator | | |
| 30 | End process | | | | | |

3.3 REQUIRED CREDIT COVER QUERY

| # | Procedural Step | Timing | Method | By/From | To | Linkage |
|----------|--|--|--|--|------------------------|---------|
| <u>1</u> | <u>Raise Required Credit Cover Query</u> | <u>Within one hour of issue of the Required Credit Cover report</u> | <u>Form as set out in Appendix 2</u> | <u>Raising Party, in respect of a specific Participant</u> | <u>Market Operator</u> | |
| <u>2</u> | <u>Log Required Credit Cover Query and confirm successful receipt.</u> <u>If Required Credit Cover Query is complete, continue from step 4.</u> <u>If Required Credit Cover Query is incomplete, continue from step 3.</u> | <u>Within three hours of issue of the Required Credit Cover report</u> | <u>Email / Fax / registered overnight mail</u> | <u>Market Operator</u> | <u>Raising Party</u> | |
| <u>3</u> | <u>Notify that the Required Credit Cover Query is incomplete.</u> <u>End Process.</u> | <u>Within three hours of issue of the Required Credit Cover report</u> | <u>Email / Fax / registered overnight mail</u> | <u>Market Operator</u> | <u>Raising Party</u> | |
| <u>4</u> | <u>Investigate Required Credit Cover Query, to identify resolution:</u> <ul style="list-style-type: none"> <u>If resolution is identified and the Required Credit Cover Query is upheld, continue from step 9.</u> <u>If resolution is identified and the Required Credit Cover Query not upheld, continue from step 10.</u> <u>If resolution is not identified, inform the Participant that resolution has not been identified, continue from step 5.</u> | <u>Within 90 minutes of logging of the complete Required Credit Cover Query.</u> | <u>Email / Fax / registered overnight mail</u> | <u>Market Operator</u> | <u>Raising Party</u> | |

| # | Procedural Step | Timing | Method | By/From | To | Linkage |
|---|--|---|--|------------------------|------------------------|---------|
| 5 | <u>Continue to investigate Required Credit Cover Query, to identify resolution.</u> <ul style="list-style-type: none"> <u>If resolution not identified within 4 Working Days and the Market Operator does not expect the Required Credit Cover Query to be resolved within a further one Working Day, continue from step 6.</u> <u>If resolution is identified and the Required Credit Cover Query is upheld, continue from step 9.</u> <u>If resolution is identified and the Required Credit Cover Query not upheld, continue from step 10.</u> <u>If resolution is not identified, continue from step 11.</u> | <u>Within 5 Working Days of logging of the Required Credit Cover Query.</u> | - | <u>Market Operator</u> | - | |
| 6 | <u>Market Operator requests more time (up to 5 Working Days) from the Raising Party to resolve the Required Credit Cover Query.</u> | <u>As identified</u> | <u>Email / Fax / registered overnight mail</u> | <u>Market Operator</u> | <u>Raising Party</u> | |
| 7 | <u>Respond to request from Market Operator.</u> <ul style="list-style-type: none"> <u>If an extension is agreed, continue from step 8.</u> <u>If an extension is not agreed, but resolution is identified and the Required Credit Cover upheld within the required timescales, continue from step 9.</u> <u>If an extension is not agreed but resolution is identified and the Required Credit Cover is not upheld within the required timescales, continue from step 10.</u> <u>Otherwise, continue from step 11.</u> | <u>Within one Working Day of request from Market Operator for more time to resolve Query.</u> | <u>Email / Fax / registered overnight mail</u> | <u>Raising Party</u> | <u>Market Operator</u> | |
| 8 | <u>Continue to investigate Required Credit Cover Query, to identify resolution.</u> <ul style="list-style-type: none"> <u>If resolution is identified and the Required Credit Cover Query is upheld, continue from step 9.</u> <u>If resolution is identified and the Required Credit Cover Query not upheld, continue from step 10.</u> <u>If not resolved, continue from step 11.</u> | <u>Within 10 Working Days of logging of the Required Credit Cover Query.</u> | - | <u>Market Operator</u> | - | |

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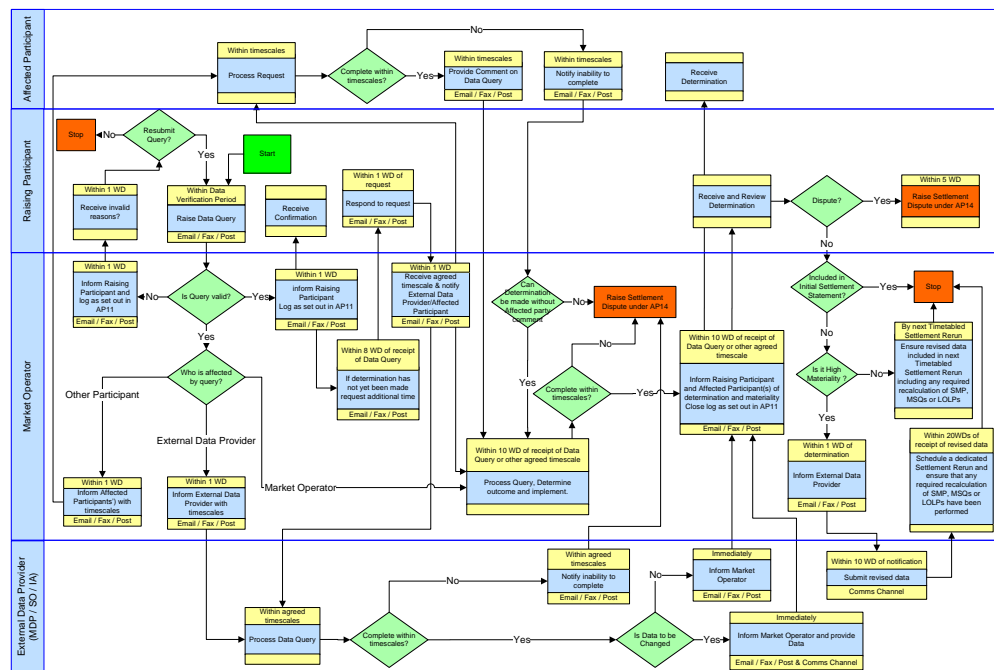
| # | Procedural Step | Timing | Method | By/From | To | Linkage |
|----|---|---|--|------------------------|------------------------|---------|
| 9 | <u>Resolve (including recalculation of Required Credit Cover and re-issue of the Required Credit Cover Report as required) and inform the affected Party that the Required Credit Cover Query was upheld and resolution has been completed.</u> <ul style="list-style-type: none"> If Raising Party is not satisfied with the resolution, continue from step 12. Otherwise, End Process. | <u>Within 5 Working Days of logging of the Required Credit Cover Query, or where an extension is agreed, within 10 Working Days of logging of the Required Credit Cover Query.</u> | <u>Email / Fax / registered overnight mail</u> | <u>Market Operator</u> | <u>Raising Party</u> | |
| 10 | <u>Inform the affected Party that the Required Credit Cover Query was not upheld.</u> <ul style="list-style-type: none"> If Raising Party is not satisfied with the resolution, continue from step 12. Otherwise, End Process. | <u>Where possible, within 90 minutes of logging of the relevant Required Credit Cover Query; or within 5 Working Days of logging of the Required Credit Cover Query; or where an extension is agreed, within 10 Working Days of logging of the Required Credit Cover Query.</u> | <u>Email / Fax / registered overnight mail</u> | <u>Market Operator</u> | <u>Raising Party</u> | |
| 11 | <u>Deem the issue as a Dispute and progress as set out in the Code. End Process.</u> | <u>As identified</u> | <u>:</u> | <u>Market Operator</u> | <u>Raising Party</u> | |
| 12 | <u>Raise the issue as a Dispute, as set out in the Code. End Process.</u> | <u>As identified</u> | <u>:</u> | <u>Raising Party</u> | <u>Market Operator</u> | |

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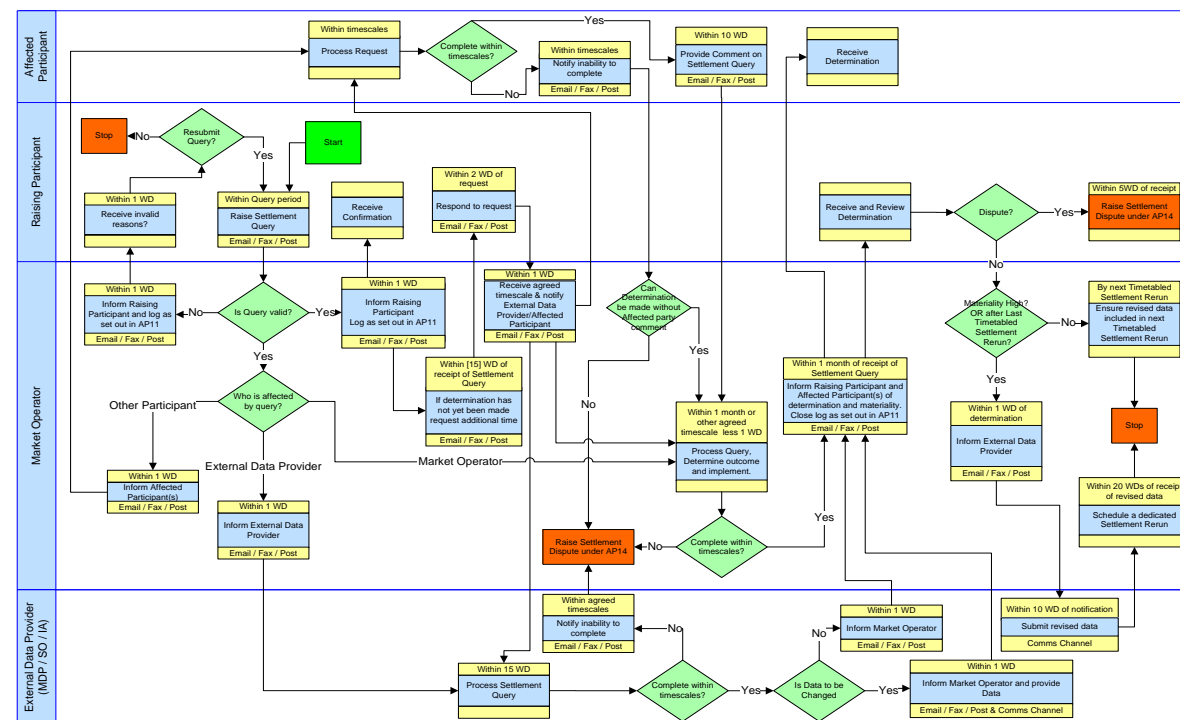
4. SWIMLANES

Note: Swimlanes are provided as an illustration of the Procedural Steps. The Procedural Steps take precedence, in the event of conflict.

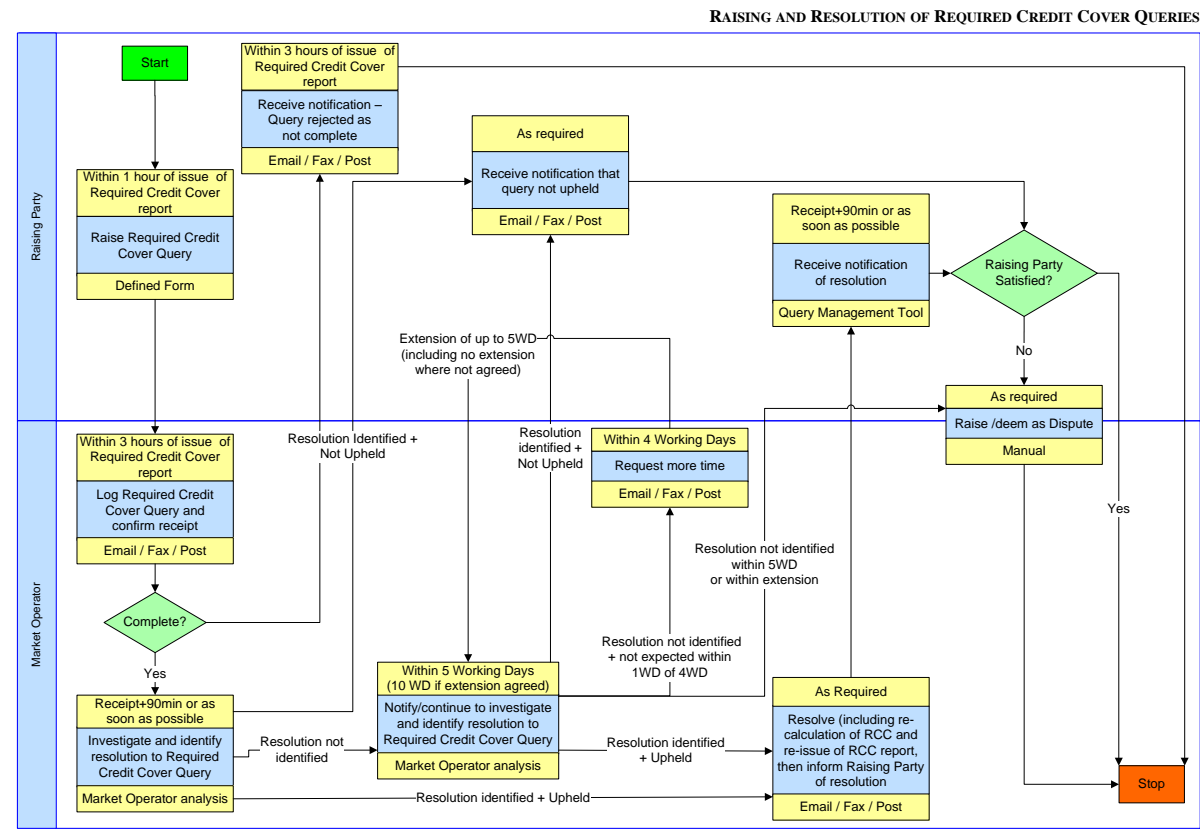
4.1 DATA QUERY – SWIM LANE



4.2 SETTLEMENT QUERY – SWIM LANE



4.3 REQUIRED CREDIT COVER QUERY – SWIM LANE



APPENDIX 1: DEFINITIONS AND ABBREVIATIONS

DEFINITIONS

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

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

ABBREVIATIONS

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

APPENDIX 2: FORMS

QUERY FORM

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

SETTLEMENT / DATA QUERY FORM*To be completed by Market Operator*

Market Operator's Query Ref _____

Date Received _____

Form Checked _____

Accepted / Rejected
(delete as appropriate)**Type of Query****SETTLEMENT / DATA***Delete as appropriate**To be completed by Participant*

Participant's Query Ref _____

Date Sent _____

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PARTICIPANT INFORMATION

Participant Name _____

Participant id _____

SETTLEMENT STATEMENT DETAILS

Settlement Statement Number _____

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

Settlement Days in Statement _____

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

Descriptive Overview of Query*(Provide a description of what the issue is e.g. the Units affected, the data items concerned, the incorrect charges, whether it is input data or the calculation, the basis of the query(the evidence))***Query Details***(Provide specific details of the items in the Settlement Statement being queried including where appropriate the Supplier/ Generator Unit, the meter ids, the half hours (day and half hour ending time), the specific charge item affected)***Additional Supporting Documents provided:***Specify Title and number of pages for each supporting document***Title****No of Pages****Authorised Representative (on behalf of Participant)**

Date _____

Name _____

Signature _____

Password _____

REQUIRED CREDIT COVER QUERY FORM

REQUIRED CREDIT COVER QUERY FORM

To be completed by Market Operator

Market Operator's Query Ref _____

Date Received _____

Form Checked _____

Accepted / Rejected
(delete as appropriate)

To be completed by Participant

Participant's Query Ref _____

Date Sent _____

PARTICIPANT INFORMATION

Participant Name _____

Participant ID _____

REQUIRED CREDIT COVER REPORT DETAIL

Required Credit Cover Report Reference _____

Date of Required Credit Cover Report _____

Descriptive Overview of Query

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

Additional Supporting Documents provided:

Specify Title and number of pages for each supporting document

Title

No of Pages

Authorised Representative (on behalf of Participant)

Date _____

Name

Signature

Password

AFFECTED PARTICIPANT NOTIFICATION FORM

Affected Party Query Notification Form

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

MO Reference:
Date:

Type of Query
DATA / SETTLEMENT

Name *(MO Staff):*

Signature:

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

Participant id:
Participant Name:

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

Date Comments due:

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

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

Attachments:

Specify Title and number of pages for each attachment

Title

No. of Pages

Authorised Representative

(On behalf of Affected Participant)

Date

Name

Signature

Password

EXTERNAL DATA PROVIDER NOTIFICATION FORM

EXTERNAL DATA PROVIDER NOTIFICATION

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

MO Reference: _____ **Type of Query**
Date: _____ **DATA / SETTLEMENT**
Data Query Timescale:
(Note settlement query is 15 days max)
Name (MO Staff): _____ **Signature:** _____

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

Party id: _____
Party Name: _____
Party role: System Operator / Meter Data Provider / Interconnector Administrator

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

The update is requested in the following format:
Manual Communication of Change to Specific Items ☐
Type 2 or Type 3 Communication Channel full resend of all Specific Items (as per Agreed Procedure 16 for Meter Data Providers) ☐

Date Comments due: _____

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

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

Attachments:
*Specify Title and number of
pages for each attachment*

Title

No. of Pages

Authorised Representative
(on behalf of External Data Provider)

Date

Name

Signature

Password

APPENDIX 3: QUERY FORM VALIDATION

The Query Form will have the follow items completed satisfactorily:

| Item | Validation |
|--|--|
| Type of Query | One and only one of Settlement or Data should be struck out. |
| Participant Name | Must be a registered Participant |
| Participant id | Must be a registered Participant which aligns with the Participant Name |
| Settlement Statement Number | Must be valid Settlement Statement Number |
| Run Type | Where it is a Settlement Query then only one of the items must not be struck out. The Run Type must also align with the Settlement Statement Number. |
| Settlement Days in Statement | Must be completed as indicated depending on whether it is a Settlement Query for a Capacity Period (month/year) or Billing Period (dd/mm/yy to dd/mm/yy) or a Data Query (dd/mm/yy). The days must align with the Settlement Statement Number. |
| Descriptive Overview | This must provide information about what is being queried |
| Query Details | This must provide the specific data items being queried. This should be in sufficient detail to unambiguously allow the data being queried to be identified and where necessary allow a Meter Data Provider to identify the data. |
| Additional Supporting Documents | The list must align with the additional documents provided in terms of title. If the Query is being sent by fax or post then the number of pages for each document must also be correct. Where it is being emailed the number of pages in each document may be left blank. |
| Authorised Representative Details: Name | This must be a name of a person from the Participant who is authorised to submit the Form. (Authorisation is provided under Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support") |
| Authorised Representative Details: Signature | If this form is being sent by post or Fax then this must contain the signature of the Authorised Person as registered under Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support". If it is being emailed then this should be left blank. |
| Authorised Representative Details: Password | This must contain the password of the Authorised Person as registered under Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support". |
| Authorised Representative Details: Date | This must be a valid date within the timescales allowed for raising the Query. |

In addition the following will be checked

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