

The Single Electricity Market (SEM)

Part A Agreed Procedure 7: Emergency Communications

Version 28.0

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SEM Agreed Procedure

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Table of Contents

[1. Introduction 7](#_Toc356217801)

[1.1 Background and Purpose 7](#_Toc356217802)

[1.2 Scope of Agreed Procedure 7](#_Toc356217803)

[1.3 Definitions 7](#_Toc356217804)

[1.4 Compliance with Agreed Procedure 7](#_Toc356217805)

[2. Descriptive Overview 8](#_Toc356217806)

[2.1 Emergency Communications 8](#_Toc356217807)

[2.2 Alternative Forms of Communication 8](#_Toc356217808)

[2.2.1 Transaction Notification Form 9](#_Toc356217809)

[2.2.2 Notification Communication 9](#_Toc356217810)

[3. Procedure Definition 11](#_Toc356217811)

[3.1 General System Failure 11](#_Toc356217812)

[3.1.1 Overview 11](#_Toc356217813)

[3.2 General Communication Failure 11](#_Toc356217814)

[3.2.1 Overview 11](#_Toc356217815)

[3.3 Limited Communication Failure 12](#_Toc356217816)

[3.3.1 Overview 12](#_Toc356217817)

[3.4 Failure of Meter Data Provider Type 3 Channel 12](#_Toc356217818)

[3.4.1 Overview 12](#_Toc356217819)

[4. Swimlane Diagrams 14](#_Toc356217820)

[4.1 Swimlane – General System Failure & General Communication Failure 14](#_Toc356217821)

4.2 Swimlane- Offer Data Limited Communication Failure

[4.3 Swimlane – Standard Limited Communication Failure 16](#_Toc356217823)

[4.4 Swimlane – Meter Data Provider Type 3 Channel Failure 17](#_Toc356217824)

[5. Procedural Steps 18](#_Toc356217825)

[5.1 General System Failure 18](#_Toc356217826)

[5.2 General Communication Failure 21](#_Toc356217827)

[5.3 Offer Data Limited Communication Failure 23](#_Toc356217828)

[5.4 Standard Limited Communication Failure 24](#_Toc356217829)

[5.5 Failure of a Meter Data Provider Type 3 Channel 25](#_Toc356217830)

[Appendix 1 Definitions and Abbreviations 28](#_Toc356217831)

[Definitions 28](#_Toc356217832)

[Abbreviations 29](#_Toc356217833)

[Appendix 2: FORMS 30](#_Toc356217834)

[Transaction Notification Form 31](#_Toc356217835)

[Emergency Communication Form 33](#_Toc356217836)

[Limited Communication Failure Form 34](#_Toc356217837)

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| 27.0 | 07/12/2022 | SEMO | SEM Design Baseline Documentation at V27.0 |
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**RELATED DOCUMENTS**

|  |  |  |  |
| --- | --- | --- | --- |
| **Document Title** | **Version** | **Date** | **By** |
| Trading and Settlement Code | V28.0 | 18/08/2023 | Regulatory Authorities |
| Agreed Procedure 1 "Participant and Unit Registration and Deregistration" |  |  |  |
| Agreed Procedure 4 “Data Transaction Submission and Validation” |  |  |  |
| Agreed Procedure 5 “Data Storage and IT Security” |  |  |  |
| Agreed Procedure 6 “Data Publication and Data Reporting” |  |  |  |
| Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support” |  |  |  |

1. Introduction
   1. Background and Purpose

This Agreed Procedure describes the specific procedures and directives for Emergency Communications with which Parties to the Trading and Settlement Code (the “Code”) must comply.

* 1. Scope of Agreed Procedure

This Agreed Procedure defines the process requirements for communication of data required for Settlement outside of normal operation of the IT systems. For the avoidance of doubt, this Agreed Procedure does not apply to REMIT Data; however, the Market Operator will comply with all requirements set out by the European Agency for the Cooperation of Energy Regulators where events which relate to communication channels and system performance will impact on REMIT Data Transactions.

All allowable forms of non-standard communication listed in order of preference that may be necessary in the event of a General Communication Failure, a General System Failure or a Limited Communication Failure are detailed in the procedure

The procedure also includes the process to be followed by the Market Operator in notifying the market that a General Communication Failure or a General System Failure is in effect, the responsibilities of impacted Parties when this state is declared and updates issued by the Market Operator during the emergency situation.

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

* 1. 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. Compliance with Agreed Procedure

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

1. Descriptive Overview

The details of Emergency Communications are set out in the Code, and this Section 2 of this Agreed Procedure provides a non-legally binding overview of those provisions, for information purposes only, as context for the remaining provisions of this Agreed Procedure.

* 1. Emergency Communications

There are three possible declared states that indicate communications may be conducted outside of normal operating conditions. They are:

* A General System Failure
* A General Communication Failure
* A Limited Communication Failure

A **General System Failure** is a declared state made by the Market Operator that the Market Operator’s Isolated Market System is not functional preventing the processing of data leading to a failure in the required timescales of:

* the calculation and publication of SMP; or
* the Settlement of any Unit for a Billing Period; or
* calculation or publication of Capacity Payments or issuance of Settlement Statement for Capacity Payments and Capacity Charges. (See the Code for a full definition)

A **General Communication Failure** is a declared state made by the Market Operator that all computer related communication interfaces are unavailable save the System Operators or the Meter Data Providers. (See the Code for a full definition)

A **Limited Communication Failure** is a declared state made by an impacted Party that they are unable to submit Data Transactions in electronic form that is, using Type 3 Channel or Type 2 Channel, due a technical, communication or IT systems failure. (See the Code for a full definition)

In the event that a communications failure or any error affecting the System Operator, Interconnector Administrator, or Meter Data Provider outside of the Market Operator’s Isolated Market System such that a System Operator and Interconnector Administrator CMS Data Transaction (Appendix K of the Code) or a Meter Data Provider CMS Data Transaction (Appendix L of the Code) has not been received by the Market Operator, such CMS Data Transactions shall be submitted within one day of the specified submission deadline. This Agreed Procedure sets out the emergency protocols for the submission of Data Transactions for Meter Data Providers when the Meter Data Provider Type 3 interface is not operational.

All other Data Transactions will be required to be submitted in their normal timelines using alternative forms of communication, if applicable, unless the Market Operator notifies impacted Parties that, due to the communication failure, certain Data Transaction submissions required for Settlement are given an Emergency Transaction Timeline.

* 1. Alternative Forms of Communication

In the event of a communication failure alternatives to the normal method of communication will be employed for the submission of Data Transactions. The three Communication Channels available are:

* Type 1 Channel;
* Type 2 Channel, and;
* Type 3 Channel,

Generally the preferred alternative method of communication will cascade from the most automatic to the most manual. However, in the event that the web server is interrupted it is clearly possible that both Type 3 Channel and Type 2 Channel will not be available for communication.

The preferred order of communication with the Market Operator is as follows:

If Type 3 Channel is affected by a communication fault then:

* Type 2 Channel

If Type 2 Channel affected then:

* Type 1 Channel – fax[[1]](#footnote-1)
* Type 1 Channel – post
* Type 1 Channel – hand

During a General Communication Failure the response given by a Market Operator confirming receipt of a Data Transaction, whether by fax, post or hand, shall be sent by fax. The Market Operator shall act prudently in the event of a General Communication Failure and shall prioritise Data Transactions necessary for the calculation of System Marginal Prices, Market Schedule Quantities, Trading Charges, Trading Payments, and Settlement. It is recognised that in the event of a General Communication Failure some of the Market Operator’s obligations cannot be reasonably fulfilled.

In the event of issues with CMS Data Transactions, an impacted Party may also contact the Market Operator helpdesk as defined in Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support”.

When the Meter Data Provider Type 3 Channel is not operational, the Meter Data Provider shall provide the appropriate Meter Data Transaction as specified under Appendix L via an electronic means alternative to the Type 3 Channel. If this alternative electronic means is email, the Meter Data Provider shall support email communications with a Type 1 Channel – fax.

* + 1. Transaction Notification Form

Part A of the Transaction Notification Form in Appendix 2 : FORMS allows a Participant to list each Data Transaction and its preferred method of communication following a Limited Communication Failure. Part B of the form allows the Market Operator to list each Data Transaction, its preferred method of communication, whether it is a vital Data Transaction and the Emergency Transaction Timeline following notification of a General Communication Failure.

In the event of a communication failure the Market Operator, in the case of a General Communication Failure or the impacted Party, in the case of a Limited Communication Failure will issue the relevant part of the form to confirm the method of communication that will be followed for each relevant Data Transaction during that event. If there is any change to the timeline of Data Transactions following a General Communication Failure the form shall be resent by the Market Operator with the new information only.

This form does not apply to Meter Data Providers.

* + 1. Notification Communication

In the event of a General System Failure or a General Communication Failure the Market Operator must communicate the notice of the failure immediately when they become aware of such an emergency. In the case of a General Communication Failure, the preferred communication method would be fax.

Market Operator uses E-fax which is a software based fax solution. The application takes inbound faxes, converts them to e-mail and then sends them directly to an e-mail address or a distribution list. It also converts all received faxes to PDFs and stores them in a local directory.  E-fax allows the Market Operator to send faxes via the application interface to single or multiple recipients without the need to manually send a fax using a traditional fax machine setup. From a Participant perspective, the interface is the same as sending & receiving fax information by traditional means.

Where fax is not available the communication will be by telephone. Notification of the failure and notification of return to normal communication will require acknowledgement. Where the notification is by fax, any acknowledgements not received will require a follow up telephone call by the Market Operator informing each impacted Party of the failure. The Market Operator will also publish the information on the Market Operator Website and MPI as available and appropriate, as soon as possible. In the case of a General System Failure, communication will be via the Market Operator website in the first instance.

1. Procedure Definition
   1. General System Failure
      1. Overview

“General System Failure” is a situation where the Market Operator’s Isolated Market System can no longer process market data under normal operation and has missed a deadline, or will cause the Market Operator to miss a deadline, for calculation or publication of System Marginal Price, or any components thereof, for any Trading Day, Settlement of any Unit for any Billing Period, or calculation or publication of Capacity Payments, or the issuance of a Settlement Statement for Capacity Payments and Capacity Charges for any Capacity Period.

In the event that a deadline under a General System Failure is missed or in the opinion of the Market Operator is expected to be missed, the Market Operator will notify impacted Parties of the situation immediately. The Market Operator will inform impacted Parties whether or not Administered Settlement is expected to be implemented and notify them of Communication Channel alternatives.

Following notification of a General System Failure the Market Operator will provide regular (i.e. not less than daily) status updates to each impacted Party of the General System Failure. Each status update will include the original notification and will provide each impacted Party of an estimate of the restoration time and when the Market Operator’s Isolated Market System will be available again. Restoration time will be categorised in one of five bands namely; less than 1 hour, 1-4 hours, 4-12 hours, 0.5-2 days, greater than 2 days from the date of the original notification. Should the restoration category change then a further notification will be made by the Market Operator.

Notification of a General System Failure and status updates will be provided to Market Participants via the Market Operator web site and web site e-mail alerts. The web site e-mail alerts are subscribed to by Participants as part of the web site functionality. If the Market Operator website is unavailable then the Market Operator will use e-mail to notify Participants. The Market Operator maintains a separate distribution list of Participant e-mails that will be used to e-mail Participants in this event. In the unlikely event that both the Market Operator web site and e-mail are unavailable then the Market Operator will use fax to notify and update Participants.

* 1. General Communication Failure
     1. Overview

A “General Communication Failure” is a situation where the Market Operator’s Isolated Market System is operational but the normal communication interfaces between all Parties, (other than the System Operators or the Meter Data Providers) and the Market Operator are unavailable, leading to a failure of all such Parties to comply with the data submission requirements.

In the event of a General Communication Failure the Market Operator will notify each impacted Party of the General Communication Failure and issue instructions to each impacted Party how each relevant Data Transaction should be communicated to the Market Operator via a Market Message on the Market Operator’s website and an email alert. Additionally, the Market Operator will highlight those Data Transactions that are vital for Settlement and detail the allowed timeline for each of these Data Transactions (the “Emergency Transaction Timeline”).

Where the failure also prevents the Market Operator receiving Data Transactions from the System Operators and Meter Data Providers, the Market Operator will also notify the System Operator and Meter Data Provider that submissions of Market Operator System Data Transactions and Meter Data Transactions will need to be submitted within 1 day of the specified submission deadline.

Following notification of a General Communication Failure the Market Operator will provide regular (i.e. not less than daily) status updates to all impacted Parties of the General Communication Failure. Each status update will include the original notification and will provide all impacted Parties of an estimate, if known, of when normal communication with the Market Operator’s Isolated Market System will be available again. Whenever the Market Operator receives information that significantly (in the opinion of the Market Operator) changes the expected time when normal communication will be restored, the Market Operator shall issue a status update.

* 1. Limited Communication Failure
     1. Overview

A “Limited Communication Failure” is a situation where one or more Parties, but not all Parties and none of those Parties being the Market Operator, a System Operator or Meter Data Provider, fail to comply with the data submission requirements because of a technical, communication or IT systems error outside of the Market Operator’s Isolated Market System.

All Parties are required under Agreed Procedure 5 “Data Storage and IT Security” to maintain a redundant and fault-tolerant network configuration of sufficient capacity to meet their peak communication needs. Whenever there is a Limited Communication Failure the impacted Party should initially attempt to rectify the problem or utilise other facilities to enable it to use its normal Communication Channels.

In the event that an impacted Party is unable to re-establish its normal Communication Channel and the impacted Party incurs a Limited Communication Failure, the impacted Party will notify the Market Operator that they have communication problems and will operate their alternative Communication Channel process for the specified Data Transactions. The impacted Party will provide regular (i.e. not less than daily) status updates to the Market Operator of progress in their attempts to restore their normal Communication Channel.

A Limited Communication Failure shall not affect the obligations of any impacted Party to submit Data Transactions.

Where a Limited Communication Failure relates to Offer Data for a Gate Window scheduled to close within 1 hour, the impacted Party should follow the procedural steps set out in Section 5.3 - Offer Data Limited Communication Failure. Otherwise, the impacted Party should follow the procedural steps set out in Section 5.4 – Standard Limited Communication Failure.

The procedural steps set out in Section 5.3 - Offer Data Limited Communication Failure involve the use of the Market Operator website to submit the data electronically in order to allow the information to be more efficiently entered into the Central Market System and to reduce the likelihood of publication delays. In the event that the Market Operator website is not accessible for Offer Data submission during an LCF then the Offer Data should be submitted via fax along with the Transaction Notification Form.

* 1. Failure of Meter Data Provider Type 3 Channel
     1. Overview

A failure of a Meter Data Provider Type 3 Channel may affect all Meter Data Providers or just a single Meter Data Provider. If the failure of the Type 3 Channel originates from the Market Operator and impacts all Meter Data Providers, the Market Operator shall notify all Meter Data Providers of the issue as soon as possible as per Section 2.2.2. If the failure originates from one Meter Data Provider, the Meter Data Provider shall inform the Market Operator., Following such notification the Market Operator or the relevant Meter Data Provider (as appropriate) will provide regular (i.e. not less than daily) status updates to all impacted Parties of the failure.

The Meter Data Providers shall provide the required Meter Data Transaction electronically to the Market Operator within one day, i.e. for the avoidance of doubt the next calendar day, clearly stating the identifier embedded in Meter Data Transaction as per Section 3.25 of the Code, and the total number of rows and energy contained within the file as checksums.

1. Swimlane Diagrams

These swimlanes are provided as an illustration of the Procedural Steps. The Procedural Steps take precedence, in the event of conflict between the swimlanes and the Procedural Steps.

* 1. Swimlane – General System Failure & General Communication Failure

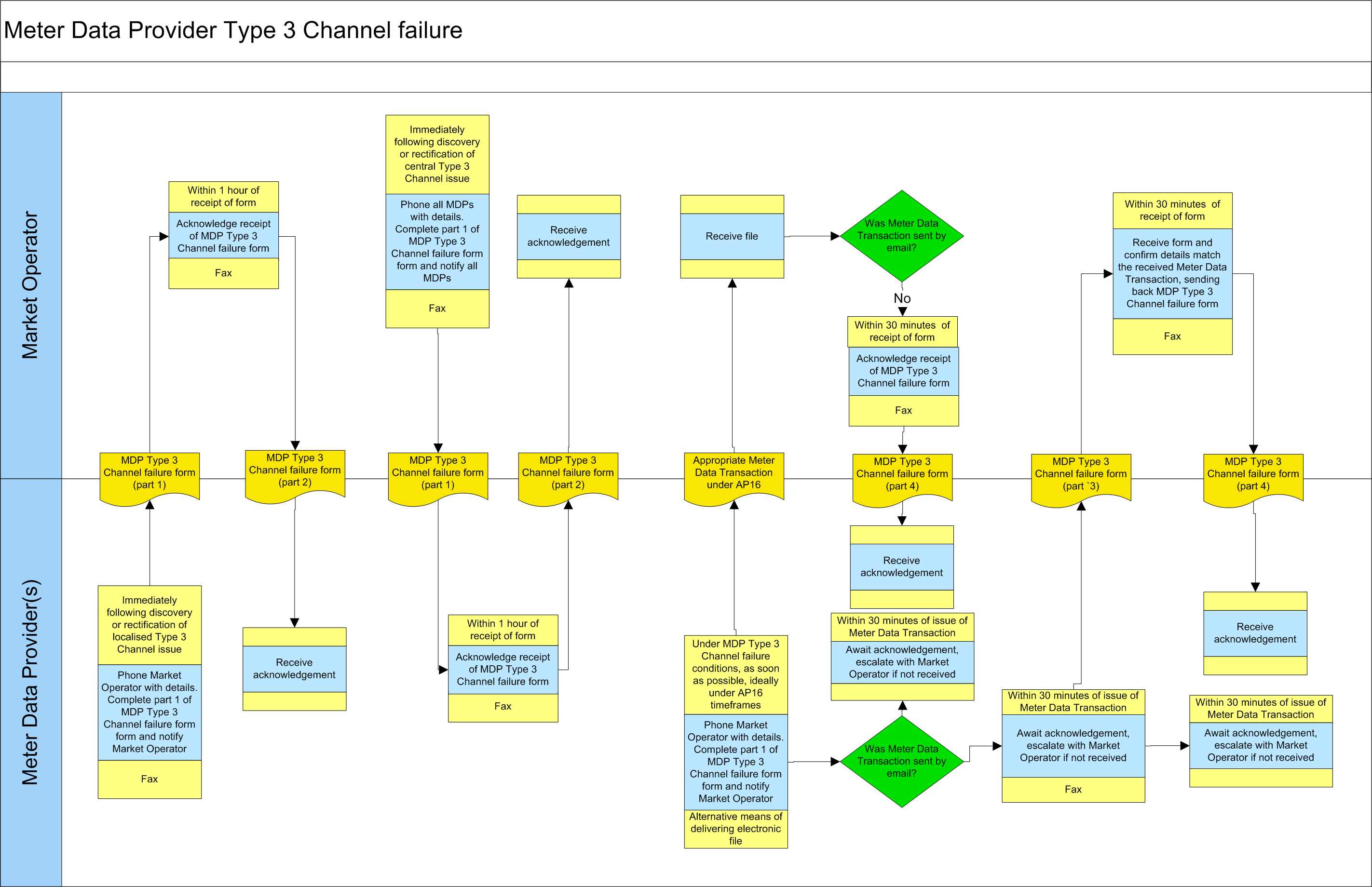




* 1. swimlane - offer data limited communication failure
  2. Swimlane – Standard Limited Communication Failure



* 1. Swimlane – Meter Data Provider Type 3 Channel Failure



1. Procedural Steps
   1. General System Failure

| **#** | **Procedural Step** | **Timing** | **Method** | **By / From** | **To** | **Linkage** |
| --- | --- | --- | --- | --- | --- | --- |
| 1 | 1. Attempt restoration of the Market Operator’s Isolated Market System to the timelines and standards under Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support” | 1. Immediately following determination of a General System Failure | 1. - | 1. Market Operator |  | 1. Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support” |
| 2 | Notify all impacted Parties of a General System Failure of the Market Operator’s Isolated Market System. | Immediately following the missing of one of the deadlines. | Market Operator’s website, e-mail alert, or Fax | Market Operator | All impacted Parties |  |
| 3 | Notify all impacted Parties of alternative communication method and any associated timelines.  . | Within 1 hour of determination of General System Failure | Market Operator’s website ,e-mail alert or Fax | Market Operator | All impacted Parties |  |
| 4 | Invoke internal procedures to switch to alternative communication methods | Immediately following receipt of communication method details. | - | All impacted Parties |  |  |
| 5 | Notify all impacted Parties of best estimate of when the Market Operator Isolated Market System will become available | Following change to best estimate of recovery or at 17:00 hours each day | Market Operator’s website, e-mail alert or Fax | Market Operator | All impacted Parties |  |
| 6 | Notify all impacted Parties of restoration of the Market Operator’s Isolated Market System | Immediately following restoration of the Market Operator’s Isolated Market System | Market Operator’s website, e-mail alert or Fax | Market Operator | All impacted Parties |  |
| 7 | Recommence processing and restore operation to normal timescales and inform all impacted Parties of the changes to the Settlement Calendar as a result of the General System Failure. | As soon as reasonably possible following the restoration of the Market Operator’s Isolated Market System | Market Operator’s website, e-mail alert or Fax | Market Operator | All impacted Parties |  |
| 8 | Commission an externally audited report in line with Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support” | Within timescales defined in AP11 | - | Market Operator |  | Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support” |

* 1. General Communication Failure

| **#** | **Procedural Step** | **Timing** | **Method** | **By / From** | **To** | **Linkage** |
| --- | --- | --- | --- | --- | --- | --- |
| 1 | Notify impacted Parties of the General Communication Failure using the notification communication method | Immediately following determination of a GCF | Market Operator’s website, email alert | Market Operator | All impacted Parties |  |
| 2 | Where any questions arise, impacted parties will contact the Market Operator using the notification communication method |  | Emergency Operation’s Telephone, email or fax | All impacted Parties | Market Operator |  |
| 3 | Announce the “Alternative Communication Method” and, if necessary, update the “Emergency Transaction Timeline” using the notification communication method |  | Market Operator’s website,  e-mail alert | Market Operator | All impacted Parties |  |
| 4 | Notify all impacted Parties of best estimate of when the Market Operator Isolated Market System will be available using notification communication method. | Following change to best estimate of recovery or at 17:00 hours each day | Market Operator’s website,  e-mail alert | Market Operator | All impacted Parties |  |
| 5 | Notify all impacted Parties of restoration of Communication Channels using Part 4 of the Emergency Communication Form and revoke the Transaction Notification Form. Communicate with impacted Parties using the notification communication method | Immediately following restoration of Communication Channels | Market Operator’s website,  e-mail alert | Market Operator | All impacted Parties |  |
| 6 | Commission an externally audited report in line with Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support” | Within timescales defined in AP11 | - | Market Operator |  | Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support” |

* 1. Offer Data Limited Communication Failure

| **#** | **Procedural Step** | **Timing** | **Method** | **By / From** | **To** | **Linkage** |
| --- | --- | --- | --- | --- | --- | --- |
| 1 | Contact the Market Operator emergency operations number by telephone to inform them that there is a Limited Communication Failure which relates to Offer Data for submission to the next scheduled Gate Window Closure. | Within one hour of next scheduled Gate Window Closure | Telephone | Impacted Party | Market Operator |  |
| 2 | Submit bids via the online query section of the Market Operator website by providing a correctly formatted xml for the Offer Data.  Alternatively manually enter the Offer Data via the Market Operator website online bid submission form.  Note reference number when the information has been submitted to the Market Operator.  If the Market Operator website is not accessible, revert to submission of bids via fax. | Immediately following telephone call notification | Market Operator website/Fax | Impacted Party | Market Operator |  |
| 3 | Submit a Transaction Notification Form via fax. The form should include the authorised user, signature and password and the reference number from the Market Operator website submission. | Before Gate Window Closure. | Fax | Impacted Party | Market Operator |  |
| 4 | The Market Operator will confirm receipt of the Transaction Notification Form and the Offer Data and inform the Participant if the Offer Data submission has been successfully entered into the market Central Market System. | Within 1 hour of receipt of the Transaction Notification Form | Fax | Market Operator | Impacted Party |  |

* 1. Standard Limited Communication Failure

| **#** | **Procedural Step** | **Timing** | **Method** | **By / From** | **To** | **Linkage** |
| --- | --- | --- | --- | --- | --- | --- |
| 1 | Complete Part 1 of the Limited Communication Failure Form and fax or post the form to the Market Operator. Additionally, contact the Market Operator by telephone to inform that there is a Limited Communication Failure and that alternative Communication Channels are being enacted.  Proceed from Step 2 and Step 3 | Immediately following the Limited Communication Failure becomes apparent | Fax or post | Impacted Party | Market Operator |  |
| 2 | Acknowledge receipt of Limited Communication Failure Form | Within 1 hour of receipt | Fax or post | Market Operator | Impacted Party |  |
| 3 | Complete the “Alternative Communication Method” section of Part A of the Transaction Notification Form and send to the Market Operator to confirm the Communication Channels to be used for each of the Data Transactions  Proceed to Step 4 and Step 5 | Within 1 hour of notifying Market Operator of the Limited Communication Failure | Fax or post | Impacted Party | Market Operator |  |
| 4 | Acknowledge receipt of Transaction Notification Form | Within 1 hour of receipt | Fax or post | Market Operator | Impacted Party |  |
| 5 | Invoke internal processes to accept Data Transactions from the alternative Communication Channel as notified on the Transaction Notification Form | Following receipt of the Transaction Notification Form | - | Market Operator |  |  |
| 6 | If there is any change to the estimated timescales for the disruption to normal operation complete part 2 of the Limited Communication Failure Form to the Market Operator. | Immediately following any change to the previous estimate given for expected return to normal operation | Fax or post | Impacted Party | Market Operator |  |
| 7 | On restoration of normal Communication Channels complete part 3 of the Limited Communication Failure Form and send to the Market Operator by fax or post. Additionally, notify the Market Operator by telephone that normal Communication Channels have been restored. | Immediately following restoration of normal Communication Channels | Fax or post | Impacted Party | Market Operator |  |
| 8 | Acknowledge receipt of Limited Communication Failure Form – restoration to normal | Within 1 hour of receipt | Fax or post | Market Operator | Impacted Party |  |
| 9 | Invoke internal processes to revert back to normal Communication Channels for this Party | On receipt of fax confirmation of the return to normal Communication Channels | - | Market Operator |  |  |

* 1. Failure of a Meter Data Provider Type 3 Channel

| **#** | **Procedural Step** | **Timing** | **Method** | **By / From** | **To** | **Linkage** |
| --- | --- | --- | --- | --- | --- | --- |
| 1 | If Meter Data Provider Type 3 Channel issue lies with Market Operator, notify impacted Meter Data Providers of the failure to inform that there is a failure of the Type 3 Communication Channel.  Proceed from Step 3 | Immediately following determination of a failure of a Meter Data Provider Type 3 Channel | Fax , Phone  email | Market Operator | All Meter Data Providers |  |
| 2 | If Meter Data Provider Type 3 Channel issue lies with the Meter Data Provider, contact the Market Operator to inform that there is a failure of the Type 3 Communication Channel.  Proceed from Step 3 | Immediately following the discovery of the failure of a Meter Data Provider Type 3 Channel | Fax , Phone  email | Impacted Meter Data Provider | Market Operator |  |
|  |  |  |  |  |  |  |
| 3 | Send Meter Data Transaction. If sent by email (or any form of communication utilising electronic media where the Market Operator cannot confirm that the file was sent by the Meter Data Provider), identify the Meter Data Transaction that should be utilised | As soon as possible, before the delivery deadline under Agreed Procedure 16 if possible | Email, hand delivery of electronic media | Meter Data Provider | Market Operator |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| 4 | Repeat step 3 for all days while the failure of the Meter Data Provider Type 3 Channel continues for each Meter Data Transaction. |  |  |  |  |  |
| 5 | On restoration of normal operation notify the affected party by telephone or any form of communication that normal Communication Channels have been restored. | Immediately following restoration of normal Communication Channels | Fax , Phone  email | Party who has rectified the issue | Affected Parties |  |
|  |  |  |  |  |  |  |

Appendix 1 Definitions and Abbreviations

Definitions

|  |  |
| --- | --- |
| **Administered Settlement** | As defined in the Code |
| **Agreed Procedure** | As defined in the Code |
| **Authorised Person** | As defined in Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support" |
| **Autonomous Generator Unit** | As defined in the Code |
| **Billing Period** | 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 Transaction** | As defined in the Code |
| **Dispatch Instruction** | As defined in the Code |
| **Emergency Transaction Timeline** | The timeline for Data Transactions in the event of a communication failure |
| **Gate Window Closure** | As defined in the Code |
| **General Communication Failure** | As defined in the Code |
| **General System Failure** | As defined in the Code |
| **Generator Unit** | As defined in the Code |
| **Isolated Market System** | As defined in the Code |
| **Limited Communication Failure** | As defined in the Code |
| **Market Operator** | As defined in the Code |
| **Market Operator Website** | As defined in Agreed Procedure 1 “Participant and Unit Registration and Deregistration” |
| **Market Participant Interface** | As defined in Agreed Procedure 1 “Participant and Unit Registration and Deregistration” |
| **Meter Data Provider** | As defined in the Code |
| **Participant** | As defined in the Code |
| **Party** | As defined in the Code |
| **Regulatory Authorities** | As defined in the Code |
| **SEM** | As defined in the Code |
| **Settlement** | As defined in the Code |
| **System Marginal Price** | As defined in the Code |
| **System Operator** | As defined in the Code |
| **Trading Day** | As defined in the Code |
| **Transaction Notification Form** | The template for specifying alternative Communication Channels for a specified set of Data Transactions to be used during a General Communication Failure or a Limited Communication Failure. |
| **Type 1 Channel** | As defined in the Code |
| **Type 2 Channel** | As defined in the Code |
| **Type 3 Channel** | As defined in the Code |
| **Unit Registration** | As defined in the Code |

Abbreviations

|  |  |
| --- | --- |
| **LCF Ref** | Limited Communication Failure reference |
| **Related ECF** | Related Emergency Communication Form |
| **GCF** | General Communication Failure |
| **SEM** | Single Electricity Market |
| **MPI** | Market Participant Interface |

Appendix 2: FORMS

The following forms are required in the event of a General System Failure, a General Communication Failure or a Limited Communication Failure:

* Transaction Notification Form
* Limited Communication Failure Form

Transaction Notification Form

|  |
| --- |
| **From Party (Name) / Market Operator: From Party Id:**  **To Party (Name) / Market Operator: Related ECF/LCF Reference:**  **Authorised Person** *(if being sent by a Party)*  **Name: Signature: Password:** |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Part A – to be completed by a Participant (Not IA/SO) in the event of an LCF**  **Date/time effective from: Date/time effective to:**  The transactions, methods used and revised timeline for each communication are detailed below:   |  |  | | --- | --- | | **Data Transaction** | **Alternative Communication Method** | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  |   The full list of Data Transactions are described in Agreed Procedure 4 “Data Transaction Submission and Validation”  The preferred order of communication in the event of an LCF is described in section 2.2 Communications not described on this form shall be sent in normal timescales  **Acronyms – ECF (Emergency Communication Failure), LCF (Limited Communication Failure), IA (Interconnector Administrator), SO (System Operator)** |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Part B – to be completed by the Market Operator in the event of a GCF**  **Date/time effective from: Date/time effective to:**  The transactions, methods used and revised timeline to communicate information as a result of the or General Communication Failure are as follows:   |  |  |  |  | | --- | --- | --- | --- | | **Data Transaction** | **Alternative Communication Method** | **Is it a vital Transaction**  (Y/N) | **Emergency Transaction Timeline** | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  |   The full list of communications are described in Agreed Procedure 4 “Data Transaction Submission and Validation” and Agreed Procedure 6 “Data Publication and Data Reporting”  The preferred order of communication in the event of a GCF is described in section 2.2  The Emergency Communication Timeline shall identify the revised timings of the communication  Communications not described on this form shall be sent in normal timescales  **Acronyms –GCF (General Communication Failure)** |

Limited Communication Failure Form

**LIMITED COMMUNICATION FAILURE NOTIFICATION LCF Ref:**

**PART 1 – Notification of Failure**

Estimated Date and Time of return to normal communication

Within 1 hour of this communication a Transaction Notification will be sent to inform of preferred alternative Communication Channels for each Transaction

**PART 2 – Update Estimate of return to normal Communication Channels**

Date Time

Is this a change to the previous best estimate of return to normal Communication Channels Y/N

**PART 3 – Notification of return to normal Communication Channels**

With effect from <<date/time>> Transactions of Submissions and Issues shall return to normal Communication Channels. Therefore, Transaction Notification Form <<id>> will be revoked from this <<date/time>>

**Participant Name:** **Participant Id:** **Date:**

**Authorised Person (Name): Signature: Password:**

**Date:**

**Authorised Person (Name): Signature: Password:**

1. The Market Operator currently uses a software based fax solution called E-fax that is described in section 2.2.2 [↑](#footnote-ref-1)