

# Agent of Last Resort

AOLR Operating  
Procedure 01 -  
Registration and  
Data  
Management

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## DOCUMENT HISTORY

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## RELATED DOCUMENTS

Document Title	Version	Date	By
Part B Trading and Settlement Code	1.0	23/05/2017	SEMO
Part B Agreed Procedure 1 "Registration"	1.0	23/05/2017	SEMO
Part B Agreed Procedure 3 "Communication Channel Qualification."	1.0	23/05/2017	SEMO
Part B Agreed Procedure 5 "Data Storage and IT Security"	1.0	23/05/2017	SEMO

# **1. INTRODUCTION**

## **1.1 Background and Purpose**

This Procedure details the processes Participants must comply with in relation to registration and submission and validation of AOLR Parameters, after entering the AOLR Contract to avail of the Agent of Last Resort services to trade in the Ex-ante Markets.

## **1.2 Scope of Procedure**

This Procedure sets out the process by which Participants register, submit, and manage any data related to AOLR activities, in regular or emergency circumstances, and the process for reviewing and validating such data.

This Procedure provides details in relation to the following:

- (a) Registration of Units and Participants to the AOLR services;
- (b) Provision of AOLR parameters and relative timing;
- (c) Rules and processes supporting the submission of AOLR parameters;
- (d) Default Data rules;
- (e) Approval and validation of AOLR parameters;
- (f) Communication Channels supporting the submission of AOLR parameters; and
- (g) Market Operator response messages/error notifications on AOLR portal.

The following are outside the scope of this Procedure:

- (a) Registration to the Exchange or to the Balancing Market;
- (b) Data publication and reporting;
- (c) Query Management; and
- (d) Technical requirements for data submission.

The data transactions within the scope of this Procedure are those submitted to the AOLR by Participants with eligible Units (any generation with Maximum Export Capacity less than 10MW any renewable Generator Units and hybrid Generator Units which individually satisfy the previous conditions), and the messages that the AOLR submits in response.

This Procedure is governed by the AOLR Contract. In the event of any conflict between in the AOLR Contract and this Procedure, the AOLR Contract shall take precedence.

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

## **1.3 Definitions**

Words and expressions defined in Part B Glossary of the Trading and Settlement Code (T&SC) and the SEMOpX Rules Glossary shall have the same meanings when used in this Procedure unless the context otherwise requires or unless otherwise defined herein at Appendix 1 "Definitions and Abbreviations".

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

#### **1.4 Compliance with Procedure**

Compliance with this Procedure is required under the AOLR Contract.

#### **1.5 Modification of Procedure**

This Procedure may be amended, varied, modified or replaced in accordance with the AOLR Contract.

## 2. OVERVIEW

### 2.1 Registration of Units and Participants to the AOLR services

A Participant may apply for one or more of its Units to avail of the AOLR services to trade in the Ex-Ante Markets, by submitting the relevant AoLR application forms available from SEMO website during the Unit Registration process under the T&SC or at any point as an update to Registration Data in accordance with Part B Agreed Procedure 1 “Registration” of the Trading and Settlement Code; following that, the Participant will need to provide the relevant AOLR Registration and Trading Parameters as required per each Unit via a secure online portal dedicated to AOLR Participants.

Applications submitted by the Participant shall be validated by the AOLR before being approved and are subject to any necessary qualification requirements as per the AOLR Contract.

These include:

- (a) Eligibility of units: AOLR services are available for
  - i. any generation below the De Minimis Threshold (Maximum Export Capacity less than 10MW)
  - ii. any renewable Generator Units; and
  - iii. any hybrid Generator Unit where the individual elements satisfy conditions (i) and (ii) above.
- (b) Proof of registration with SEMOpx and its associated Clearing House and fulfilment of all relevant requirements including adequate provision of Credit Cover under the Clearing House Clearing Conditions;
- (c) Proof of registration with the Market Operator under the Trading & Settlement Code and fulfilment of all relevant requirements including adequate provision of Credit Cover;
- (d) AOLR Contract signed by a lawfully appointed director of the company registering the Unit(s) under the Trading & Settlement Code.

### 2.2 Provision of AOLR Registration and Trading Parameters

Upon applying to register one or more Units with AOLR, a Participant shall provide both Registration and initial Trading Parameters. Registration Parameters will require AOLR approval. These are:

- (a) **Unit ID:** at the time of submitting the request for registering with AOLR, a Participant shall submit the Balancing Market Unit ID of the Unit(s) in order for the AOLR to validate and confirm the eligibility criteria; the registration for the AOLR services can happen in conjunction with the submission of the Registration Pack for new units or for units that have already registered under the T&SC at any time provided the AOLR is given at least 5 Working Days notice.
- (b) **Participation Type:** two options are available for this:
  - a. Participant Availability Forecast; and
  - b. TSO Availability Forecast.

This parameter is linked to how Forecast Trading Quantities are determined.

Where Participant Availability Forecast is selected, then the forecast Availability submitted by the Participant to the AOLR is used to determine these quantities.

Where TSO Availability Forecast is selected, then the TSOs forecast is used.

This field is subject to AOLR validation and can be submitted by a Participant as part of the Registration Pack for new units, or for existing units at any time, provided the AOLR is given 5 Working Days notice.

- (c) **Currency:** Participants shall indicate the Currency type they will trade in. This is subject to the AOLR validation in accordance with the Jurisdiction of the Unit. The field cannot be updated at any stage after Registration as Units cannot change Jurisdiction.
- (d) **AOLR Unit Capacity:** this field must indicate the Maximum MW of Availability that the Unit is technically capable of providing.
- (e) **Default Forecast:** this is a profile of output that the Participant will provide to the AOLR as part of the registration process. In operation, this will be overwritten by either the TSO Forecast or the Participant's own forecast depending on the selection under Participation Type; however, in the event that neither is selected, the Default Forecast will be used to determine Forecast Trading Quantities.
- (f) **SEMOpX Unit ID:** the Participant must declare the SEMOpX Unit ID, in the format provided by the SEMOpX. The field is subject to AOLR validation and can be submitted as part of the Registration Pack for new units, or for existing units at any time as part of registration of existing Units to the AOLR, provided the AOLR is given at least 5 Working Days notice.

**Trading Parameters** can be updated at any time but will only be effective for the next available Trading Day (TD). These values do not require AOLR approval and are subject only to field validations. They are:

- (a) **Market Allocation (%)**: this is the percentage of the forecast volumes that the Participant wishes to submit to each DAM or IDM auction timeframe. This also allows participants to set a volume that will be spilled as an imbalance if desired. The total allocation across all options must sum up to a total percentage of 100.
- (b) **AOLR Minimum Trading Quantity:** this shall be used to determine whether trading for the DAM or subsequent IDM auction shall occur.
- (c) **AOLR Price Trading Range Upper:** this shall be used to set the upper price, in the specified Currency for the Unit, which will be submitted when creating offers for the DAM and IDM auctions. If no entry is provided, the default value will be set at the DAM and IDM Market Cap value;
- (d) **AOLR Price Trading Range Lower:** this shall be used to set the lower price, in the Unit's own Currency, which will be submitted when creating offers for the DAM and IDM auctions. If no entry is provided, the default value will be set at the DAM and IDM Market Floor value;

All AOLR parameters are summarised in Table 1 below.

**Table 1: Registration Data and Trading Parameters**

Parameter Type	Parameter Name	Description	Range	Submission Timelines	Approval or Field Validation
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Parameter Type	Parameter Name	Description	Range	Submission Timelines	Approval or Field Validation
Registration	Unit ID	Balancing Market ID	N/A	At least 5WD prior to AOLR services being effective	Approval
Registration	Participation Type	Field with drop down choices indicating the type of forecast available to the unit	Participant Availability Forecast; TSO Availability Forecast;	At least 5WD prior AOLR services being effective	Approval
Registration	Currency	Field with drop down choices	“€” or “£”	At least 5WD prior to AOLR services being effective	Approval linked to the unit Jurisdiction
Registration	AOLR Unit Capacity	The maximum MW availability of the Unit technically possible		At least 5WD prior to AOLR services being effective	Approval
Registration	Default Forecast	A profile of MW output that can be used in the event that no Participation Type is selected		At least 5WD prior to AOLR services being effective	N/A
Registration	SEMOpX Unit ID	Unit ID as registered with SEMOpX	N/A	At least 5WD prior to AOLR services being effective	Approval
Availability	AOLR Unit Availability	MW of availability based on Participant forecast	Where “Participant Availability Forecast” has been selected as a Participation Type	Anytime prior to the next available DAM or IDM auction	Validation of range for each “AOLR Availability Override Flag”



Parameter Type	Parameter Name	Description	Range	Submission Timelines	Approval or Field Validation
Market	Market Allocation	% of data chosen to be traded in DAM/IDM/BM	Quantity for each market to be between 0% and 100% but total of the 3 Markets must be 100%	Prior to the start of TD-1 (23:00 GMT on D-2)	Validation of range
Market	AOLR Minimum Trading Quantity	MW value below which a trade will not be submitted to SEMOpX	Must be $\geq 0$ and $\leq$ AOLR Unit Capacity	Prior to the start of TD-1 (23:00 GMT on D-2)	Validation of range
Market	AOLR Price Trading Range Upper	“€” or “£” to set the max price applicable when creating offers	Must be $\leq$ Price Cap	Prior to the start of TD-1 (23:00 GMT on D-2)	Validation of range
Market	AOLR Price Trading Range Lower	“€” or “£” to set the min price applicable when creating offers	Must be $\geq$ Price Floor	Prior to the start of TD-1 (23:00 GMT on D-2)	Validation of range

### 2.3 Communication Channels for Parameters Submission and Error Notifications

The AOLR shall allow communications with Participants via two defined Communication Channel Types as defined in paragraph C.2.1.1 of Part B the Trading and Settlement Code: Type 1 Channel and Type 2 Channel.

Participants shall not be able to submit information relating to AOLR Units via a Type 3 Channel (web service). Only in the event that Type 2 Channel is not available, should Participants communicate with the AOLR via Type 1 Channel.

All parameter submissions, data verification (including TSO forecasts), error notification and reporting will be via the AOLR secure online portal which enables Participants registered with the AOLR to log in via a Type-2 interface and view the data relevant to their own units.

The Participant will have to provide an AOLR trading contact who will be assigned a Digital Certificate requiring username and password by the Market Operator.

When updates are made to either the Registration or Market Parameters, the Participant will set the effective date for that change via the AOLR Portal to identify the next Auction in which the updates will be applicable.

Parameters are valid from the effective date of the AOLR unit registration and are all evergreen, that is they persist into the future until updated or until the unit is no longer registered.

The Participant will be able to review any updated data on the portal, on a Member Private basis, once all the parameters have been applied.

When a submission error is identified, such as a validation issue, the user can view error messages via the portal. The system will log an error and notify the AOLR and Market Participant via the portal.

A summary of trading shall also be provided to Participants on a Member Private basis on the portal highlighting any unsuccessful DAM/IDM trading using plain English to describe errors/warnings. This will be further discussed in the AOLR Operating Procedure 02 "AOLR Operations".

Participants will also be able to download from the the portal, any data available to them for viewing.

### 3. PROCEDURAL STEPS

#### 3.1 Unit Registration and Parameters Submission

Step	Procedural Step	Timing	Method	By/From	To
1	The Participant / Unit registers for the Agent of Last Resort	5WD prior to effective date	Update Registration BMI	Participant	AOLR
2	The Participant sets initial Unit Registration and Trading Parameters in the AoLR system	5WD prior to effective date	Update AOLR portal	Participant	AOLR
3	The AOLR approves or rejects Registration Data and Parameters and notifies the Participant; If Parameters are rejected, return to step 2.	Prior to effective date	Review of AOLR portal and e-mail	AOLR	Participant
4	The Participant has the option to add or modify additional Parameters	For Registration Parameters: 5WD prior to parameter effective date; for Availability Parameters: anytime prior to the next available DAM or IDM Gate Closure; for Market Parameters: anytime prior to the start of the next available TD-1 (23:00 GMT on D-2)	Update AOLR portal	Participant	AOLR portal

5	<p>If updated Parameters pass validation go to step 6</p> <p>If updated Parameters failed validation:</p> <ul style="list-style-type: none"> <li>- Participant receives parameter error notification detailing cause of the error;</li> <li>- return to step 4 to update parameter else <b>END PROCESS</b>;</li> <li>- AOLR: receives parameter error notification detailing cause of the error;</li> </ul>	Immediately after step 4	Notification from AOLR portal	AOLR portal	Participant and AOLR
6	<p>When updated parameters pass validation, the AOLR portal stores and displays validated parameters; <b>END PROCESS.</b></p>	Immediately after step 4	Update or notification on AOLR portal	AOLR portal	Participant

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## APPENDIX 1: DEFINITIONS AND ABBREVIATIONS

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### Definitions

<b>Agent of Last Resort</b>	has the meaning given to it in AoLR Contract
<b>AOLR Minimum Trading Quantity</b>	means the minimum quantity for which an additional trade will be submitted
<b>AOLR Price Trading Range Lower</b>	“€” or “£” to set the min price applicable when creating offers
<b>AOLR Price Trading Range Upper</b>	“€” or “£” to set the max price applicable when creating offers
<b>AOLR Unit Availability</b>	means MW of availability based on Participant forecast
<b>AOLR Unit Capacity</b>	means the maximum MW availability of the Unit
<b>Balancing Market Interface</b>	has the meaning given to it in the Trading and Settlement Code
<b>Default Forecast</b>	means a profile of MW output that can be used in the event that no Participation Type is selected
<b>Forecast Trading Quantities</b>	means the quantity to be traded in the DAM and IDM by the AOLR on behalf of the Participant
<b>Generator Unit</b>	has the meaning given to it in the Trading and Settlement Code
<b>Market Allocation</b>	means % of Forecast Trading Quantities to be submitted into each auction
<b>NEMO Unit ID</b>	means the Unit ID assigned as part of registration under the SEMOpX Exchange rules
<b>Participation Type</b>	means a classification indicating the forecast data to be used in the determination of Forecast Trading Quantities
<b>Unit ID</b>	means the Unit ID assigned as part of registration under the Trading and Settlement Code

### Abbreviations

<b>AOLR</b>	Agent of Last Resort
<b>BMI</b>	Balancing Market Interface
<b>DAM</b>	Day-ahead market

<b>IDM</b>	Intraday market
<b>MO</b>	Market Operator
<b>NEMO</b>	Nominated Electricity Market Operator
<b>TSO</b>	Transmission System Operator