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| **MODIFICATION PROPOSAL FORM** | | | | | |
| **Proposer** | **Date of receipt** | | **Type of Proposal** | | **Modification Proposal ID** |
| **SEMO** | **23 September 2013** | | **Standard** | | **Mod\_09\_13\_v2** |
| **Contact Details for Modification Proposal Originator** | | | | | |
| **Name** | | **Telephone number** | | **Email address** | |
| **Mike Harrington** | | **(01) 23 70445** | | **Michael.Harrington@sem-o.com** | |
| **Modification Proposal Title** | | | | | |
| **Amendment of AP7 to include the use of e-mail notification and the SEMO public website in the event of a GSF.** | | | | | |
| **Documents affected** | | **Section(s) Affected** | | **Version number of T&SC or AP used in Drafting** | |
| **AP 7** | | **2.2.1, 2.2.2, 3.1, 5.1, Glossary** | | **V13.0** | |
| **Explanation of Proposed Change**  *(mandatory by originator)* | | | | | |
| It is proposed to amend AP7 to include the use of the Market Operator public website and market message e-mail alerts to supplement the current emergency communication methods. The methods set out in AP7 are fax and telephony based. The use of fax and telephone calls in practice does not lend itself to efficient communication with affected parties in the event of a General Systems Failure whereas using the Market Operator public website and e-mail alerts is instant and the established participant communication method. | | | | | |
| **Legal Drafting Change**  *(Clearly show proposed code change using* ***tracked*** *changes, if proposer fails to identify changes, please indicate best estimate of potential changes)* | | | | | |
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| **2.2 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.  The 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.  3.1 General System Failure  3.1.1 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 with 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.  **5 Procedural Steps**  **5.1General System Failure**   | **#** | **Procedural Step** | **Timing** | **Method** | **By / From** | **To** | **Linkage** | | --- | --- | --- | --- | --- | --- | --- | | 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” | Immediately following determination of a General System Failure | - | Market Operator |  | 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 |  | | 6 | 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 |  | | 7 | Invoke internal procedures to switch to alternative communication methods | Immediately following receipt of communication method details. | - | All impacted Parties |  |  | | 8 | 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 |  | | 9 | 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 |  | | 10 | 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 |  | | 11 | 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” | | | | | | |
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**Transaction Notification Form**

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| **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:** |

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| **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  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 General Communication Failure are as follows:

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| **Data Transaction** | **Alternative Communication Method** | **Is it a vital Transaction**  (Y/N) | **Emergency Transaction Timeline** |
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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

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)

**Emergency Communication Form**

**Emergency Communication Form ECF Reference:**

**GENERAL COMMUNICATION FAILURE** *(delete as appropriate)*

**PART 1 – Notification of Failure Date Issued:**

Appendix 1 Definitions and Abbreviations

Complete PART 5 of this form immediately and return to: Fax Number \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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>>

**PART 4 – Notification of return to normal Communication Channels**

Date / Time of Failure:

Restoration Category: 1 hr / 1-4hrs / 4-12hrs /

*(delete as appropriate)*  0.5-2 days / >2days

**PART 3 – Update Estimate of return to normal Communication Channels**

Date / Time of Update:

Date / Time of Failure:

Restoration Category: 1 hr / 1-4hrs / 4-12hrs /

*(delete as appropriate)*  0.5-2 days / >2days

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

Complete PART 2 of this form immediately and return to: Fax Number \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

I acknowledge receipt of the notification to return to normal Communication Channels:

Party Name: Party Id: Date:

Authorised Person (Name): Signature: Password:

**PART 5 – Acknowledgement of Return to normal Communication Channels**

I acknowledge receipt of the emergency notification:

Party Name: Party Id: Date:

Authorised Person (Name): Signature: Password:

**PART 2 – Acknowledgement of Notification**

Definitions

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| **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 |

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| An issue was raised in relation to AP7 as part of the SEM Market Audit, specifically in relation to the steps that the Market Operator needs to follow when a General Systems Failure is declared. | |
| **Code Objectives Furthered**  *(State the Code Objectives the Proposal furthers, see Section 1.3 of T&SC for Code Objectives)* | |
| 1. To facilitate the efficient discharge by the Market Operator of the obligations imposed upon it by its Market Operator Licences;   5. To provide transparency in the operation of the Single Electricity Market; | |
| **Implication of not implementing the Modification Proposal**  *(State the possible outcomes should the Modification Proposal not be implemented)* | |
| A lack of transparency will remain in the method of communication with Market Participants during a General System Failure. | |
| **Working Group**  *(State if Working Group considered necessary to develop proposal)* | **Impacts**  *(Indicate the impacts on systems, resources, processes and/or procedures)* |
| No. | Change in communication process for General System Failure. No CMS changes. |
| ***Please return this form to Secretariat by email to*** [***modifications@sem-o.com***](mailto:modifications@sem-o.com) | |

**Notes on completing Modification Proposal Form:**

1. **If a person submits a Modification Proposal on behalf of another person, that person who proposes the material of the change should be identified on the Modification Proposal Form as the Modification Proposal Originator.**
2. **Any person raising a Modification Proposal shall ensure that their proposal is clear and substantiated with the appropriate detail including the way in which it furthers the Code Objectives to enable it to be fully considered by the Modifications Committee.**
3. **Each Modification Proposal will include a draft text of the proposed Modification to the Code unless, if raising a Provisional Modification Proposal whereby legal drafting text is not imperative.**
4. **For the purposes of this Modification Proposal Form, the following terms shall have the following meanings:**

**Agreed Procedure(s): means the detailed procedures to be followed by Parties in performing their obligations and functions under the Code as listed in Appendix D “List of Agreed Procedures”.**

**T&SC / Code: means the Trading and Settlement Code for the Single Electricity Market**

**Modification Proposal: means the proposal to modify the Code as set out in the attached form**

**Derivative Work: means any text or work which incorporates or contains all or part of the Modification Proposal or any adaptation, abridgement, expansion or other modification of the Modification Proposal**

**The terms “Market Operator”, “Modifications Committee” and “Regulatory Authorities” shall have the meanings assigned to those terms in the Code.**

**In consideration for the right to submit, and have the Modification Proposal assessed in accordance with the terms of Section 2 of the Code (and Agreed Procedure 12), which I have read and understand, I agree as follows:**

**1. I hereby grant a worldwide, perpetual, royalty-free, non-exclusive licence:**

* 1. **to the Market Operator and the Regulatory Authorities to publish and/or distribute the Modification Proposal for free and unrestricted access;**
  2. **to the Regulatory Authorities, the Modifications Committee and each member of the Modifications Committee to amend, adapt, combine, abridge, expand or otherwise modify the Modification Proposal at their sole discretion for the purpose of developing the Modification Proposal in accordance with the Code;**
  3. **to the Market Operator and the Regulatory Authorities to incorporate the Modification Proposal into the Code;**

**1.4 to all Parties to the Code and the Regulatory Authorities to use, reproduce and distribute the Modification Proposal, whether as part of the Code or otherwise, for any purpose arising out of or in connection with the Code.**

**2. The licences set out in clause 1 shall equally apply to any Derivative Works.**

**3. I hereby waive in favour of the Parties to the Code and the Regulatory Authorities any and all moral rights I may have arising out of or in connection with the Modification Proposal or any Derivative Works.**

**4. I hereby warrant that, except where expressly indicated otherwise, I am the owner of the copyright and any other intellectual property and proprietary rights in the Modification Proposal and, where not the owner, I have the requisite permissions to grant the rights set out in this form.**

**5. I hereby acknowledge that the Modification Proposal may be rejected by the Modifications Committee and/or the Regulatory Authorities and that there is no guarantee that my Modification Proposal will be incorporated into the Code.**

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)