

The Single Electricity Market (SEM)

Agreed Procedure 1: Participant and Unit Registration and Deregistration

Version 10.0

21 October 2011

SEM Agreed Procedure

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| Version | 10.0 |
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RELATED DOCUMENTS

| Document Title | Version | Date | By |
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| Trading and Settlement Code | V10.0 | 21/10/2011 | SEMO |
| Agreed Procedure 3 "Communication Channel Qualification" | | | |
| Agreed Procedure 4 "Data Transaction Submission and Validation" | | | |
| Agreed Procedure 6 "Publications" | | | |
| Agreed Procedure 9 "Management of Credit Cover and Credit Default" | | | |
| Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support" | | | |
| Agreed Procedure 14 "Disputes" | | | |

1. INTRODUCTION

1.1 BACKGROUND AND PURPOSE

This Agreed Procedure sets out the Participant and Unit Registration and Deregistration processes, administered by the Market Operator, and with which Parties to the Code must comply.

1.2 SCOPE OF AGREED PROCEDURE

This Agreed Procedure is a definition of procedural steps to be followed by the Market Operator and Participants setting out the detail of the registration and deregistration process. 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.

For avoidance of doubt, the following topics are out of scope of this Agreed Procedure:

- The registration process for Parties who will not be Participants in the Single Electricity Market.
- Communication Channel qualification process (described in Agreed Procedure 3 "Communication Channel Qualification").
- Party Termination for default.

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

The Market Operator **operates** the competitive wholesale Single Electricity Market (SEM) that allows Participants to trade wholesale energy. All Parties intending to participate in the market must complete the Participant registration process.

The registration processes consist of two major steps:

- Party registration (for accession to the market): registration as a Party to the Code.
- Unit registration (for participation in the market): a Party becomes a Participant by registering Unit(s).

Party and Unit deregistration **is** facilitated by the Market Operator under specific conditions.

The following sections describe:

- The main entities involved in the Participant registration process.
- The Participant registration and deregistration process overview.

2.1 REGISTRATION PROCESS AND ENTITIES OVERVIEW

2.1.1 APPLICANTS AND PARTIES

An Applicant, who applies for accession to the SEM, **must** register with the Market Operator as a Party.

To achieve this, the Applicant **shall**:

- Complete a Party Application Form which includes accession conditions;
- Comply with eligibility requirements as set out in paragraph 2.33 of the Code **and on the Party Application Form**;
- Pay the Accession Fee; **and**
- Execute the Accession Deed.

All of **the required** information **shall** be submitted to the Market Operator and will be validated by the Market Operator within the **relevant** timelines as detailed in this Agreed Procedure, **in** section 3.1 Party Registration.

A Party (or Applicant) shall only be permitted to participate in the SEM **via** a registered Unit. Registration of Units cannot take effect until the Applicant has become a Party **to the Code**. An Applicant may submit an application to register Units prior to becoming a Party, provided **that** a completed Participation Notice has been submitted to the Market Operator.

2.1.2 PARTICIPANTS AND UNITS

Upon registering its first Unit within a **Jurisdiction**, a Party becomes a Participant. A Participant will receive a Participant ID and Account ID at this time. The Participant ID is a unique identifier **pursuant to** which Units are **aggregated** for the purposes of **calculating the Required Credit Cover**. The Account ID is a unique identifier **pursuant to** which Units are **aggregated** for the purposes of:

- Self-Billing Invoices/Invoicing (AP15);
- Settlement Reallocation Agreements; and
- Having access to the data in relation to those Units through a unique digital certificate **(as detailed in Agreed Procedure 3 and Agreed Procedure 5)**.

Save as expressly provided in the Code, a Party may not register more than one Participant in each Jurisdiction.

- A unique digital certificate will be assigned to each Account ID, which permits access to the Participant's data.
- **An individual Participant may only have** Participant ID but may have more than one Account ID where it registers both Generator Units and Supplier Units.

In order to register a Unit, the required information (Registration Data) must be submitted to the Market Operator by the Party/Applicant and will be assessed by the Market Operator, to ensure that the Registration Data is complete and fulfils the eligibility requirements as set out in the Code. Once the Market Operator has confirmed that the Registration Data is complete (and taking into account the table in section 3.2.4), any questions or clarifications shall be progressed by all relevant Parties (Participant, Meter Data Provider, System Operator, and/or Distribution System Operator) at the initial Unit Registration meeting.

2.2 UNITS AS PART OF TRADING SITES

- Each Generator Unit (except for Pumped Storage Units, Interconnector Residual Capacity Units, Interconnector Error Units and Interconnector Units) and each Demand Side Unit shall be registered as part of a Trading Site. As a result, each Trading Site shall contain at least one Generator Unit or one Demand Side Unit.
- A Trading Site shall also include a Trading Site Supplier Unit, or record to it an Associated Supplier Unit.
 - A Trading Site containing an Aggregated Generator Unit must record to it an Associated Supplier Unit
- Each Unit registered as part of a Trading Site shall be registered to the same Participant except where the Party does not intend to register a Trading Site Supplier Unit:
 - Where a Trading Site Supplier Unit is not registered to a Trading Site, the Party registering the Generator Unit must register an Associated Supplier Unit as part of the relevant Trading Site.
 - This Associated Supplier Unit may be registered by a different Participant to the Participant registering the Generator Unit.
 - A Supplier Unit can be registered as an Associated Supplier Unit for multiple Trading Sites.
 - A Trading Site Supplier Unit can only contain Demand related to the Trading Site to which it is registered.
 - The Firm Access Quantity of a Trading Site shall be recorded within the Participation Notice, where a Generator Unit operates under a Connection Agreement which provides for a Firm Access Quantity which is less than the Maximum Export Capacity of the relevant site.

2.2.1 Interconnector Unit and Pumped Storage Unit Registration

Interconnector Units and Pumped Storage Units do not form part of a Trading Site. Interconnector Units and Pumped Storage Units are registered under a Generator Unit-only Participant ID.

2.2.2 Intermediaries

A person that is not the Unit Owner (excluding Supplier Units) may accede to the Code and register a Generator Unit on the Unit Owner's behalf with a Form of Authority from the Unit Owner and with the consent of the Regulatory Authorities.

2.3 NAMING CONVENTIONS

The naming convention for Parties, Participants and Units is set out in the table below:

| Role | Convention | Proposed Initial Name(s) |
|----------------|------------|--------------------------|
| Party | PY_nnnnnn | PY_000001 etc. |
| Participant ID | CP_nnnnnn | CP_000001 etc. |

| | | |
|---|---------------------------|--|
| Account ID | PT_nnnnnnn | PT_000001 etc. |
| Trading Site | TS_nnnnnnn | TS_000001 etc. |
| Supplier Unit (also for Trading Site Supplier Units and Associated Supplier Units) | SU_nnnnnnn | SU_000001 etc. |
| Generator Unit | GU_nnnnnnn | GU_000001 etc. |
| Demand Side Unit | DSU_nnnnnnn | DSU_000001 etc. |
| System Operator | TSO_aaaaaaaaa | TSO_SONI TSO_EirGrid |
| Meter Data Provider | MDP_aaaaaaaaa | MDP_SONI MDP_EirGrid MDP_NIE MDP_MRSO |
| Interconnector | I_JJaaaaaaaa ¹ | I_NIMoyle, etc. |
| Interconnector Administrator | IA_aaaaaaaaa | IA_aaaa, etc. |

2.3.1 Interconnector Unit Components

Each Interconnector Unit shall be comprised of the following data items:

- The Interconnector to which the Interconnector Unit is registered;
- The Participant ID; and
- The Gate Window Identifier with which the Interconnector Unit is associated.

For example, an Interconnector Unit may be comprised of the following:

- I_NIMOYLE (the identifier for the Moyle Interconnector)
- PT_999999 (the Participant Account ID)
- EA1 (identifies that the Unit may only submit Commercial Offer Data to the EA1 Gate Window).

2.4 DEREGISTRATION PROCESS OVERVIEW

The Deregistration process is used by a Participant to voluntarily deregister any Units registered to the Participant. This process is also used where the Market Operator determines that a Participant should be terminated.

The Deregistration process is further described in section 3.5 and the Intermediary removal process is further described in section 3.6.

2.5 REGISTRATION OF USER ACCESS RIGHTS FOR PARTICIPANTS

¹ Where “JJ” is a two character identifier for the Jurisdiction in which the Interconnector injection point resides (e.g. NI or RI).

Appendix 2 sets out the registration of Access Rights and Roles of Users following a Participant's successful first Registration of a Unit.

2.6 UPDATING REGISTRATION DETAILS

All updates to the Registration Data of Registered Units are completed **in accordance with** Agreed Procedure 4 "Data Transaction Submission and Validation", with the exception of changes to the Registered Capacity or Maximum Generation of an Aggregated Generator Unit, or the Firm Access Quantity of Trading Site *s* for each Trading Day *t* (FAQSst). In the case of a change to the Registered Capacity or Maximum Generation of an Aggregated Generator Unit, the Participant must first send a Registration Pack with updated information for the Aggregated Generator Unit to the Market Operator, following the procedure in section 3.2.5, with no requirement for **any** Registration Fee to be paid. Once this Registration Pack has been received and validated, Agreed Procedure 4 "Data Transaction Submission and Validation" **should** then **be** followed.

In the case of a change to the Firm Access Quantity of Trading Site *s* for each Trading Day *t* (FAQSst), the Participant shall inform the Market Operator of the change by completing the appropriate form which can be downloaded from the SEMO website. The form shall then be provided to the relevant System Operator and shall be validated in accordance with 2.69 of the Trading and Settlement Code.

3. PROCEDURE DEFINITION

3.1 PARTY REGISTRATION

3.1.1 Overview

In order to become a Party, an Applicant must apply for accession to the SEM according to the Party registration process steps described below.

- The process flow in Section 3.1.2 details the timelines and information involved in the accession of a Party.
- The Applicant retrieves/downloads the electronic Application Form from the Market Operator Website. This form contains the accession conditions, the eligibility requirements and relevant information required.
- The Applicant completes the Application Form and submits it to the Market Operator via registered mail. The Accession Fees must accompany the Application Form. A schedule of Accession Fees is published by the Market Operator.
- If the Accession Fee is not paid with the Application Form, the Market Operator may withdraw the Application, sending a Deemed Withdrawn Notice to the Applicant by registered mail.
- If the Applicant is registering as an Intermediary, it must provide the relevant Form of Authority on submission of the Application Form.
- Following the receipt of sufficient information, the Market Operator will provide to the Applicant, via registered mail, an Accession Deed.
- Upon receipt of the Accession Deed, the Applicant must execute the Accession Deed and return it to the Market Operator. The Accession Deed must be executed by an authorised signatory previously cited by the Participant in the completed Application Form.
- Following receipt by the Market Operator of an executed Accession Deed the Applicant shall become a Party on the date specified within the Accession Deed.

3.1.2 Procedural Steps

| # | Procedural Step | Timing | Method | By/From | To |
|---|---|--|------------------------------|-----------------|-----------------|
| 1 | Retrieve Application Form | As required | Download from the MO Website | Applicant | |
| 2 | Complete Application Form | As required | - | Applicant | |
| 3 | Send Application Form and Accession Fee in the form of a bank draft or Electronic Funds Transfer (EFT) | As required | Registered Post / Bank | Applicant | Market Operator |
| 4 | Receive Accession Fee and Application Form. If no Accession Fee received with the Application form, Then go to step 5 Otherwise go to step 6 | - | - | Market Operator | |
| 5 | Deem the application to be withdrawn and inform the Applicant by sending a Deemed Withdrawn Notice End of Process | Within 10 WDs of receipt of Application Form | Registered post | Market Operator | Applicant |
| 6 | Assess Application Form. If further clarification is required then go to step 7 Otherwise go to step 17 | Within 10 WDs of receipt of Application Form | | Market Operator | |

| # | Procedural Step | Timing | Method | By/From | To |
|----|---|---|---------------------|-----------------|-----------------|
| 7 | Notify the Applicant that further information is required or that clarification of information that has been sent is required Go to step 8 and step 15 | Within 10 WDs of receipt of Application Form | Registered post/fax | Market Operator | Applicant |
| 8 | Receive notification that further information is required or that clarification of information that has been sent is required. If more time than the allotted 20 WDs is required to assess the response, then go to step 9. If no further time is required then go to step 13 | 1 WD before deadline for submission of additional information | | Applicant | |
| 9 | Request more time to submit additional information. | 1 WD before deadline for submission of additional information | Registered post/fax | Applicant | Market Operator |
| 10 | Consider the request for additional time and, if granted, inform the Applicant of how much additional time has been granted. If additional time has not been granted go to step 12 | Within 1 WD of receipt of request for additional time | Registered post/fax | Market Operator | Applicant |
| 11 | Receive notice that additional time has been granted to provide further information or clarification of the Application Form. If further time is required beyond that given in the extension period then go to step 9. If further time is not required go to step 13 | 1 WD before deadline for submission of additional information | | Applicant | |

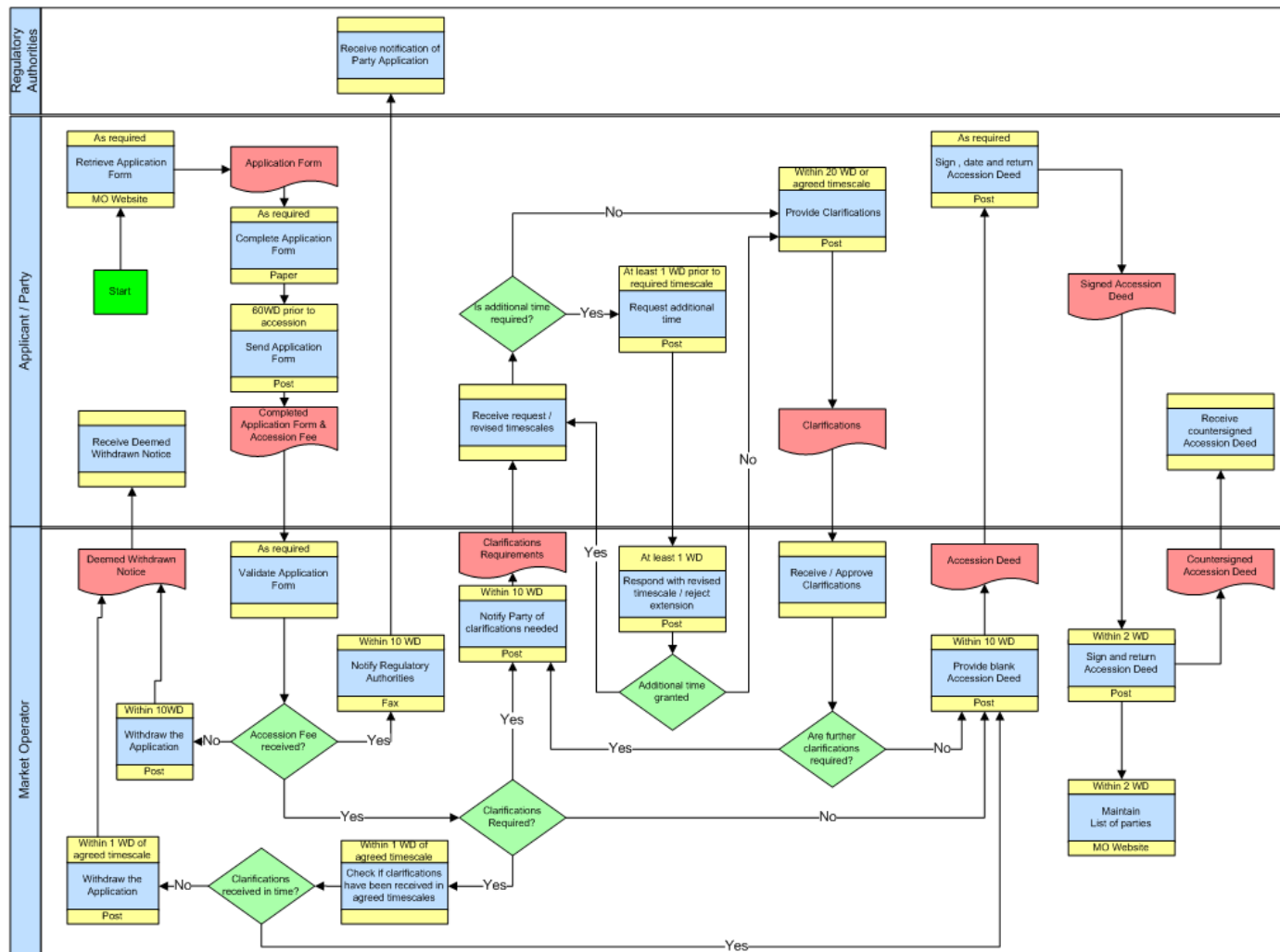
| # | Procedural Step | Timing | Method | By/From | To |
|----|--|---|---------------------|-----------------|-----------------|
| 12 | Inform Applicant that additional time has not been granted with a reason | Within 1 WD of receipt for additional time | Registered post/fax | Market Operator | Applicant |
| 13 | Provide the additional information or clarification information requested | Within 20 WDs of request for information or such other time agreed with the Market Operator | Registered post/fax | Applicant | Market Operator |
| 14 | If further clarification is required go to step 7. If no further clarification required go to step 17 | Within 10 WDs of receipt of Application Form | Registered post/fax | Market Operator | Applicant |
| 15 | If required information is not received by the deadline then go to step 16 Otherwise go to step 17 | Within 1 WD of failure to meet the agreed deadline | Registered post | Market Operator | Applicant |
| 16 | Deem the application to be withdrawn and inform the Applicant by sending a Deemed Withdrawn Notice End of Process | Within 1 WD of failure to meet the agreed deadline | Registered post | Market Operator | Applicant |
| 17 | On receipt of all required information, and provided the Applicant fulfils the conditions for accession, the Market Operator provides the Applicant with a blank Accession Deed. | Within 10 WDs of final receipt of required information | Registered post | Market Operator | Applicant |

| # | Procedural Step | Timing | Method | By/From | To |
|----|---|---|-----------------|-----------------|-----------------|
| 18 | Applicant signs, dates, and returns the Accession Deed to the Market Operator | Within 20 WDs of receipt or such other time agreed with the Market Operator | Registered post | Applicant | Market Operator |
| 19 | Market Operator signs and dates the Accession Deed, sending a copy to the Applicant | Within 2WD of receipt of signed Accession Deed | Registered post | Market Operator | Applicant |
| 20 | Applicant becomes a Party to the Code | On date specified in Accession Deed | | | |
| 21 | Market Operator publishes the fact that the Applicant has/will become a Party | Within 2 Working Days of the completed Accession Deed | MO Website | Market Operator | |

3.1.3 Swimlane – Party Registration:

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.

Party Accession



3.2 PARTICIPANT AND UNIT REGISTRATION

3.2.1 Overview

In order to become a Participant a Party (or Applicant) must register a Unit.

- The process flow in Section 3.2.5 details the timelines and information involved in the registration of a Unit.
- The Party (or Applicant) downloads a Registration Pack from the **Market Operator Website**. The Registration Pack includes the Participation Notice which can be used by the Party (or Applicant) to register its first or any subsequent Unit.
- The Party (or Applicant) completes the Registration Pack and submits it to the Market Operator via registered mail.
- The completed Registration Pack must be submitted to the Market Operator at least 60 Working Days prior to the **proposed Effective Date** for the Unit, as requested in the Participation Notice. Note: **the 60 Working Day timeline shall** not commence until the Market Operator has confirmed acceptance of the **submitted** Registration Data.
- Where the Party (or Applicant) is registering a new Generator Unit, the Meter Data Provider **shall** validate the Meter Data for that Unit in accordance with the relevant Metering Code.
- The Market Operator shall share and validate **the** Registration Data provided by the Party (or Applicant) with System Operators, Interconnector Administrator or Meter Data Providers, **as appropriate**, for the purpose of processing registration and facilitating participation in respect of the **relevant Unit**. The dependencies on System Operators, Interconnector Administrators and Meter Data Providers are described in Section 3.2.4.
- If the Party (or Applicant) fails to satisfy any part of the timelines or provision of required information under the registration process, the Market Operator may withdraw the Participation Notice, sending a Deemed Withdrawn Notice to the Party by registered mail and **shall** refund the relevant portion of the Participation Fees.
- Once all **of the** information requested has been provided and validated by the Market Operator and the Party is not in breach of the Code or the Framework Agreement, a Commencement Notice **shall** be sent by registered mail, to the Party, with a copy sent by email to each System Operator and the relevant External Data Provider.
- During the registration process, the **Market Operator shall** receive data through fax and registered post. The **Market Operator shall** manually input the Unit information into the registration system. A Participant is given a status of 'Pending' and a classification of 'Trading Participant'.
- When the Commencement Notice is issued, the Participant is given a status of 'Active'. **The Units registered to the Participant will be eligible for trading as determined by their registered Effective Date. For Trading, a Unit will become effective at the start of a Trading Day which corresponds with the relevant Effective Date.**
- **Once the Commencement Notice is issued, Participant staff that have been nominated as Users and have been allocated Digital Certificates as appropriate (Agreed Procedure 3 "Communication Channel Qualification") will be able to access the Market Website and perform different actions depending on their roles. This is explained further in Appendix 2.**
- **If a Participant subsequently registers additional Users, no additional Communication Channel Qualification shall be required in respect of these new Users. The User registration requirements will be approved by the Market Operator, and include application for, retrieval of and installation of a valid Digital Certificate for each new User. This is explained further in Appendix 2.**

3.2.2 Updating Registration Details

Participants may submit updates and modifications to registration information, with the exception of the data specified in section 2.6 above, in the Market Operator's Isolated Market System via the Market Participant Interface (MPI) using the Communication

Channel(s) for which they have been previously qualified. Updates using Type 2 Channel or Type 3 Channel communication will be carried out in accordance with Agreed Procedure 4 "Transaction Submission and Validation".

An update request to registration data, with the exception of the data specified in section 2.6 above, shall be submitted at least 3 Working Days before it becomes effective. This does not include Default Commercial Offer Data or a subset of Default Technical Offer Data, further details of which are available in Agreed Procedure 4 "Transaction Submission and Validation". Where a Generator Unit has Priority Dispatch, the Participant can change the Generator Unit's Generic Settlement Class from Predictable Price Maker to Predictable Price Taker and vice-versa or Variable Price Maker to Variable Price Taker and vice-versa, subject to 29 Trading Days' notice, by submitting a Unit Registration update to the Market Operator.

All updates and requests submitted by the Participant shall be validated by the Market Operator (with agreement from the System Operators, Interconnector Administrator and/or Meter Data Providers as appropriate) before being approved and applied. Rejection and acceptance notifications are described in Agreed Procedure 4 "Transaction Submission and Validation".

3.2.3 Key operational rules

Parties that have Generator Units and Supplier Units may register a single Participant that incorporates both types of Units, noting that they will be allocated separate Participant IDs to allow for invoicing compliant with VAT rules.

3.2.4 Information and Validation of Information of Data by External Organisations

The procedure in 3.2.5 requires the provision of registration data to the Market Operator. The following table details those organisations external to the Market Operator, i.e. the System Operator, Interconnector Administrator, and/or Meter Data Provider, that will facilitate registration by:

- giving the Party (or Applicant) support to provide the required registration information;
- validating the information provided to the Market Operator within the timelines specified in this Agreed Procedure;
- the Party (or Applicant) should liaise with the System Operator, Interconnector Administrator, and/or Meter Data Provider as appropriate prior to the submission of the Registration Pack to facilitate the validation of the registration data within 20 Working Days by the relevant external organisations; or
- Units will be required by the System Operator to be compliant with the Grid Code and/or Distribution Code as appropriate.

| Unit Type | Registration Configuration | Availability of Market Data | Confirm Active Date: Step 25 in 3.2.5 |
|---|--|--|---------------------------------------|
| Supplier Unit | Retail Meter Data Provider confirms retail market eligibility | Retail Meter Data Provider: MDvh | Retail Meter Data Provider |
| Generator Unit (Transmission Connected, non-Autonomous) | System Operator confirms relationship between Generator and Generator Unit | System Operator: Dispatch Instructions, Availability System Operator as Meter Data Provider: MGuh | System Operator |

| Unit Type | Registration Configuration | Availability of Market Data | Confirm Active Date: Step 25 in 3.2.5 |
|--|---|--|---|
| Generator Unit (Distribution Connected, non-Autonomous) | System Operator confirms relationship between Generator and Generator Unit | System Operator: Dispatch Instructions, Availability System Operator as Meter Data Provider: MGuh | System Operator |
| Generator Unit (Transmission Connected, Autonomous) | System Operator confirms relationship between Generator and Generator Unit | System Operator as Meter Data Provider: MGuh | System Operator |
| Generator Unit (Distribution Connected, Autonomous) | Retail Meter Data Provider confirms relationship between Generator and Generator Unit | Retail Meter Data Provider: MGuh | Retail Meter Data Provider |
| Trading Site: Generator Unit / Supplier Unit configurations (Transmission Connected) | Transmission System Operator with Connection Agreement | System Operator as Meter Data Provider, Retail Market Operator: MDvh | Retail Meter Data Provider and System Operator as Meter Data Provider |
| Trading Site: Generator Unit / Supplier Unit configurations (Distribution Connected) | Distribution System Operator with Connection Agreement | Retail Market Operator: MDvh | Retail Meter Data Provider |
| Interconnector Unit | Interconnector Administrator confirms Participant is an Interconnector User | Interconnector Administrator | |
| Demand Side Unit | | System Operator: Dispatch Instructions, Availability Retail Meter Data Provider: MDvh | Retail Meter Data Provider and System Operator as Meter Data Provider |
| Aggregated Generator Unit (Predictable Price Maker or Predictable Price Taker, Variable Price Maker or Variable Price Taker, Transmission and/or Distribution Connected) | System Operator confirms relationship between relevant Generators, Aggregated Generator Unit, and Generator Aggregator as contained in the Generator Aggregator System Operator Agreement | System Operator: Dispatch Instructions, Availability System Operator as Meter Data Provider: MGuh | System Operator, and System Operator as Meter Data Provider |

3.2.5 Unit Classification

A Party (or Applicant, as applicable) may apply to register a Generator Unit as:

- a Variable Price Maker Generator Unit, or
- a Variable Price Taker Generator Unit,

only if an Operational Readiness Confirmation has been received by the Party (or Applicant, as applicable) in accordance with Section 2.33 of the Code. In accordance with Section 2.53A of the Code, a Party may apply to register as Autonomous Generator Unit until such time as this Operational Readiness Confirmation has been granted. The Unit must, upon receipt of this Operational Readiness Confirmation, apply to change its classification to a Variable Price Maker/Taker Generator Unit. Change of Unit Classification is dealt with in Section 3.9 of this Agreed Procedure.

3.2.5 Procedural Steps

| # | Procedural Step | Timing | Method | By/From | To |
|---|--|--|--|--------------------|---|
| 1 | Retrieve Participation Notice and Registration Pack, confirm required information with external organisations with reference to table in 3.2.4 | As Required | Download from the MO Website, Communication with external organisation | Party or Applicant | System Operator, Meter Data Providers, Interconnector Administrator |
| 2 | Complete Participation Notice and Registration Pack, interacting with System Operator, Interconnector Administrator, and Meter Data Providers as appropriate | As Required | - | Party or Applicant | |
| 3 | Submit Participation Notice and completed Registration Pack and the required Participation Fees in the form of a bank draft. Where the Unit is being registered by an Intermediary then the Nominating Party shall submit a duly executed Form of Authority. The Registration Pack will detail how to commence completion of certain eligibility requirements. | At least 60 WDs in advance of the Units proposed Effective Date | Email and Registered Post | Party or Applicant | Market Operator |
| 4 | <p>Receive/Validate Participation Notice, Registration Pack and any Form of Authority. Send confirmation that these items have been received and that information is complete.</p> <ul style="list-style-type: none"> • If Registration Fee is not included with Registration Pack, go to step 5 • If there are omissions in the required information, advise Party or Applicant, go back to step 2. • Otherwise go to step 6 | Within 2 WDs of receipt of Participation Notice and Registration Pack | Email | Market Operator | Party or Applicant |
| 5 | Issue a Deemed Withdrawn Notice. Go to step 23 | Within 10 WDs of receipt of Registration Pack | Email/Registered post | Market Operator | Party or Applicant |
| 6 | Send completed Registration to the relevant System Operator, Interconnector Administrator, and/or Meter Data Provider | Within 3 WDs of receipt of Participation Notice and Registration Pack. | Email | Market Operator | System Operator / Meter Data Provider / Interconnector |

| # | Procedural Step | Timing | Method | By/From | To |
|----|---|--|---------------------------------|--|---|
| | | | | | Administrator |
| 7 | <p>Validate Registration Data provided by Participant, as set out in the Registration Pack;</p> <p>Identify if there are any issues and clarifications required with information provided, if so, advise Market Operator and go back to step 4). Otherwise, confirm it is complete, and commence work on MDP/SO systems and processes to achieve Unit Registration.</p> | Within 3 WDs of SO receipt of Registration Pack from MO. | Email | System Operator / Interconnector Administrator / Meter Data Provider | Market Operator/Market Participant |
| 8 | <p>Organise and hold initial Unit Registration meeting for the purposes of:</p> <ul style="list-style-type: none"> • identification of a possible Meter Data Export Date which leads to • decision on Effective Date <p>(this step can be performed in tandem with Step 9).</p> | Within 7 WDs of receipt of Registration Pack, Meeting to be held within 15 WDs of receipt of Registration Pack | Conference Call/ Meeting | Market Operator | System Operator, External Data Provider(s), Participant |
| 9 | Inform Party (or Applicant) of any clarifications or information needed, otherwise go to step 17. | Within 10 WDs of receipt of Registration Pack or 1 WD after initial meeting | Email/Registered Post/Telephone | Market Operator | Party or Applicant |
| 10 | If the Party (or Applicant) requires additional time to provide clarifications then go to step 11 otherwise go to step 13 | | | | |
| 11 | Request additional time to provide clarifications | Within 15 WDs of receipt of clarification request | Email/Registered Post/Telephone | Party or Applicant | Market Operator |
| 12 | Respond to request with any revised timescales or confirm original timescales | Within 5 WDs of request for revised timescales | | Market Operator | Party or Applicant |

| # | Procedural Step | Timing | Method | By/From | To |
|----|---|---|---------------------------------|--|--|
| 13 | <p>If Party (or Applicant) requests to withdraw the Participation Notice then go to step 23</p> <p>Otherwise</p> <p>Provide clarifications, liaising with System Operator, Interconnector Administrator, or MDP as appropriate</p> | Within 20 WDs of receipt of clarification request or other timescale agreed in step 12 | Email/Registered Post/Telephone | Party or Applicant | Market Operator |
| 14 | Send appropriate information from the clarifications to the relevant System Operator, Interconnector Administrator, and relevant Meter Data Provider | Within 1 WDs of receipt of clarifications from the Party (or Applicant) | Email/Registered Post/Telephone | Market Operator | System Operator / Meter Data Provider / Interconnector Administrator |
| 15 | Validate appropriate clarifications and confirm with Market Operator. If those clarifications are not valid, or if there are any other issues, advise the Market Operator, go back to step 9. | Within 2 WDs of receipt of clarifications from the MO | Email/Registered Post/Telephone | System Operator / Interconnector Administrator / Meter Data Provider | Market Operator |
| 16 | <p>Validate clarifications & responses from the System Operator / Interconnector Administrator / Meter Data Provider</p> <ul style="list-style-type: none"> If complete clarifications are not received from the Party (or Applicant), or if those clarifications are not valid (as determined by the System Operator / Interconnector Administrator / Meter Data Provider) within timeframe then go to step 21 <p>Otherwise go to step 17</p> | <p>Within 2 WD of receipt of SO response</p> <p>Go to Step 21 if no clarifications received from Party (or Applicant) after 20 WDs of requesting clarifications</p> | | Market Operator | |

| # | Procedural Step | Timing | Method | By/From | To |
|----|--|---|----------------------------|-----------------|--|
| 17 | Issue Notice of Effective Date to Party (or Applicant) with a copy to the System Operator, Interconnector Administrator, Meter Data Provider and inform Party of Required Credit Cover. | Within 5 WDs of initial Registration Meeting or receipt of the requested clarifications from Party (or Applicant), whichever is earlier | Registered Post/Email | Market Operator | Party or Applicant, System Operator, Interconnector Administrator, Meter Data Provider |
| 18 | <p>Hold final Registration meeting with all relevant Parties to determine if the Effective Date is achievable and discuss any outstanding clarifications or issues.</p> <ul style="list-style-type: none"> • If there are no outstanding issues, continue from step 17. • If there are outstanding issues, Party (or Applicant), System Operator, Meter Data Provider, and/or Interconnector Administrator work together to resolve the issue, with the Market Operator coordinating and facilitating meetings and communication contacts, the 60-day process is on hold until issue resolved. • If the outstanding issue (from step 18) relates to Credit Cover, whereby Credit Cover is posted on the Trading Day more than 1 year after the Effective Date in the Commencement Notice, then go to step 21. • If a delay to an effective date is agreed by all relevant Parties go to step 17 • If the registration is withdrawn, go to step 22. <p>If a Dispute is raised under Agreed Procedure 14 “Disputes” at this time, the process stops at this step until a resolution is reached.</p> | 20 - 30 WDs prior to proposed Effective Date | Conference call or Meeting | Market Operator | Participant, System Operator, Interconnector Administrator, Meter Data Provider |

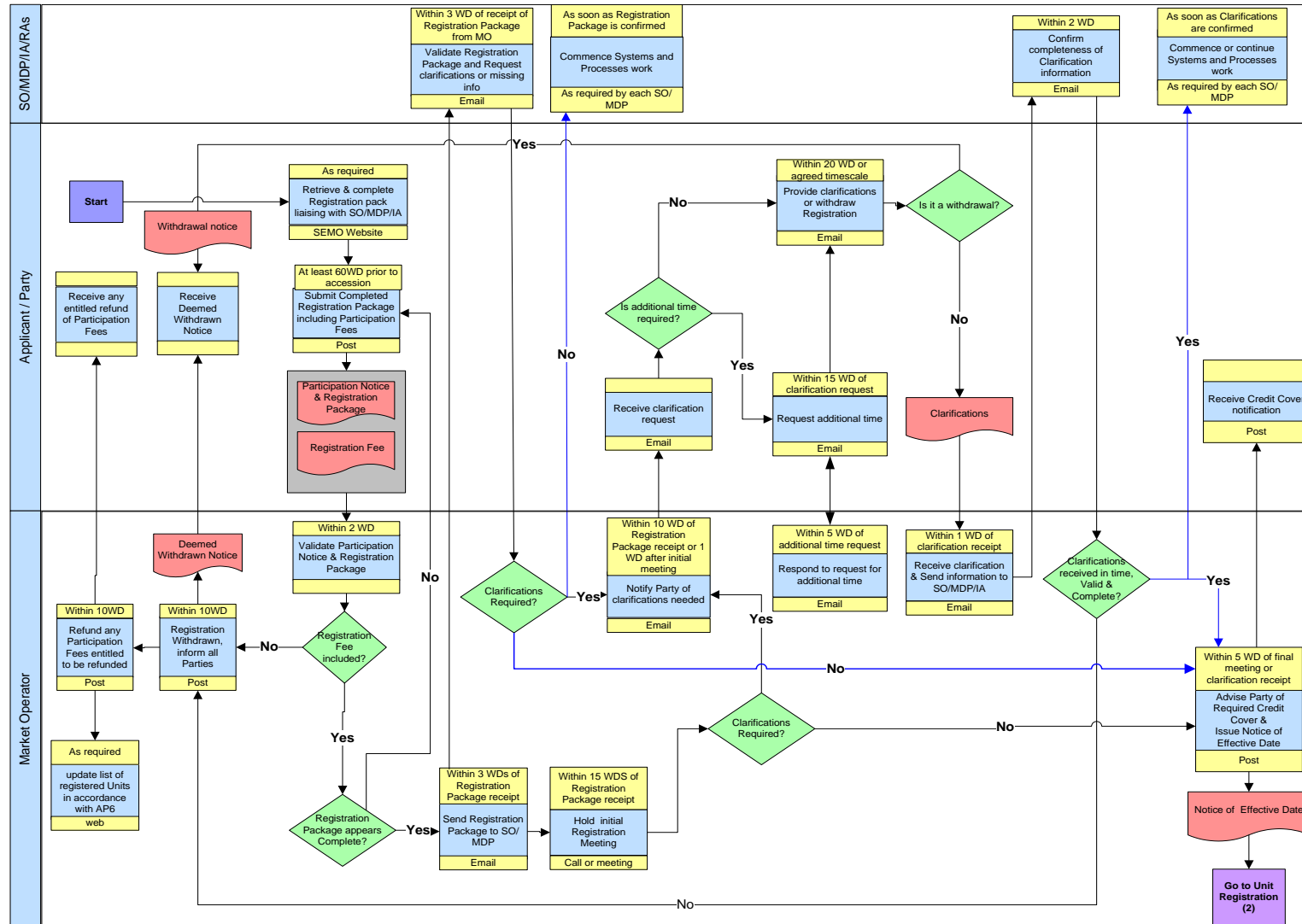
| # | Procedural Step | Timing | Method | By/From | To |
|----|---|--|---|--|--|
| 19 | System Operators, Interconnector Administrators, and/or Meter Data Providers issue a final confirmation summarising the following: <ul style="list-style-type: none"> Operational Readiness Confirmation (if available) Operational readiness of metering, and all systems and processes used to collect and submit data required by the Market Operator If it is a Generator Unit, the System Operator provides DLAFs, TLAFs and CLAFs from the Effective Date onwards. Any other relevant information | As early as possible but at least 10 WDs prior to Effective Date | Email Type 3 Channel for TLAFs | System Operator / Interconnector Administrator / Meter Data Provider (see Section 3.2.4) | Market Operator |
| 20 | Post required Credit Cover based on Agreed Procedure 9 "Management of Credit Cover and Credit Default" <ul style="list-style-type: none"> If Credit Cover is not posted according to timelines, go back to step 16 | As early as possible but at least 5 Working Days prior to the Effective Date | - | Party | Market Operator |
| 21 | Issue a Commencement Notice to the Party and a copy to System Operators and External Data Provider(s) | As early as possible but at least 4 working days prior to the Effective Date | Registered Post and Fax (to Party), Email to System Operators & External Data Provider(s) | Market Operator | Party, each System Operator, the appropriate External Data Provider(s) (see Section 3.2.4) |
| 22 | Maintain and publish list of registered Units in accordance with Agreed Procedure 6 "Publications". End of Process. | As early as possible prior to the Effective Date | MO Website | Market Operator | |
| 23 | Issue a Deemed Withdrawn Notice. | Within 1 WD | Email/Registered Post | Market Operator | Party |
| 24 | Inform Market Operator of withdrawal of the Participation Notice | As Required | Email/Registered Post | Party (or Applicant) | Market Operator |

| # | Procedural Step | Timing | Method | By/From | To |
|----|---|--|-----------------------|---------------------|--|
| 25 | Inform the relevant System Operator, Interconnector Administrator and/or relevant Meter Data Provider. Update the published list of registered Units in accordance with Agreed Procedure 6 “Publications” if Unit(s) has already been included in the list. | Within 1 WD | Email/Registered Post | Market Operator | System Operator / Meter Data Provider / Interconnector Administrator |
| 26 | Refund any Participation Fees entitled to be refunded. End Process. | Within 10 WD | Email/Registered Post | Market Operator | Party (or Applicant) |
| 27 | Complete Meter Data validation. | Subsequent to Effective Date; see Meter Data Validation Date Glossary Definition | Email | Meter Data Provider | Market Operator, Party (or Applicant) |
| 28 | Communicate Meter Data Validation Date to Market Operator and to the Participant. | On Meter Data Validation Date | Email | Meter Data Provider | Market Operator, Party (or Applicant) |
| 29 | Update Meter Data if required, in accordance with Section 6 of the Code and AP13: Query Generation and resubmit Meter Data to the Market Operator End Process | Ad hoc | Email | Meter Data Provider | Market Operator |

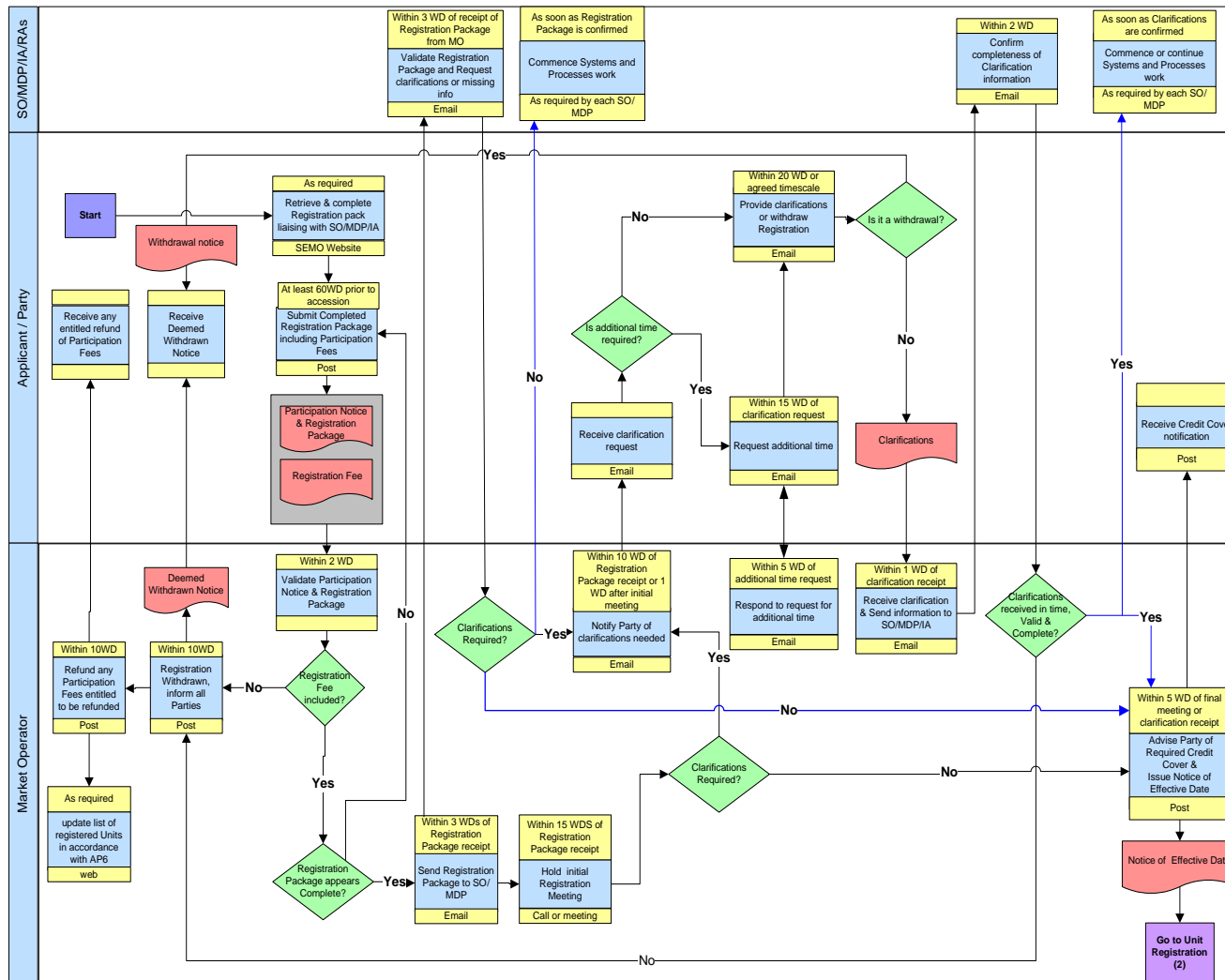
3.2.6 Swimlane – Unit Registration: 1

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

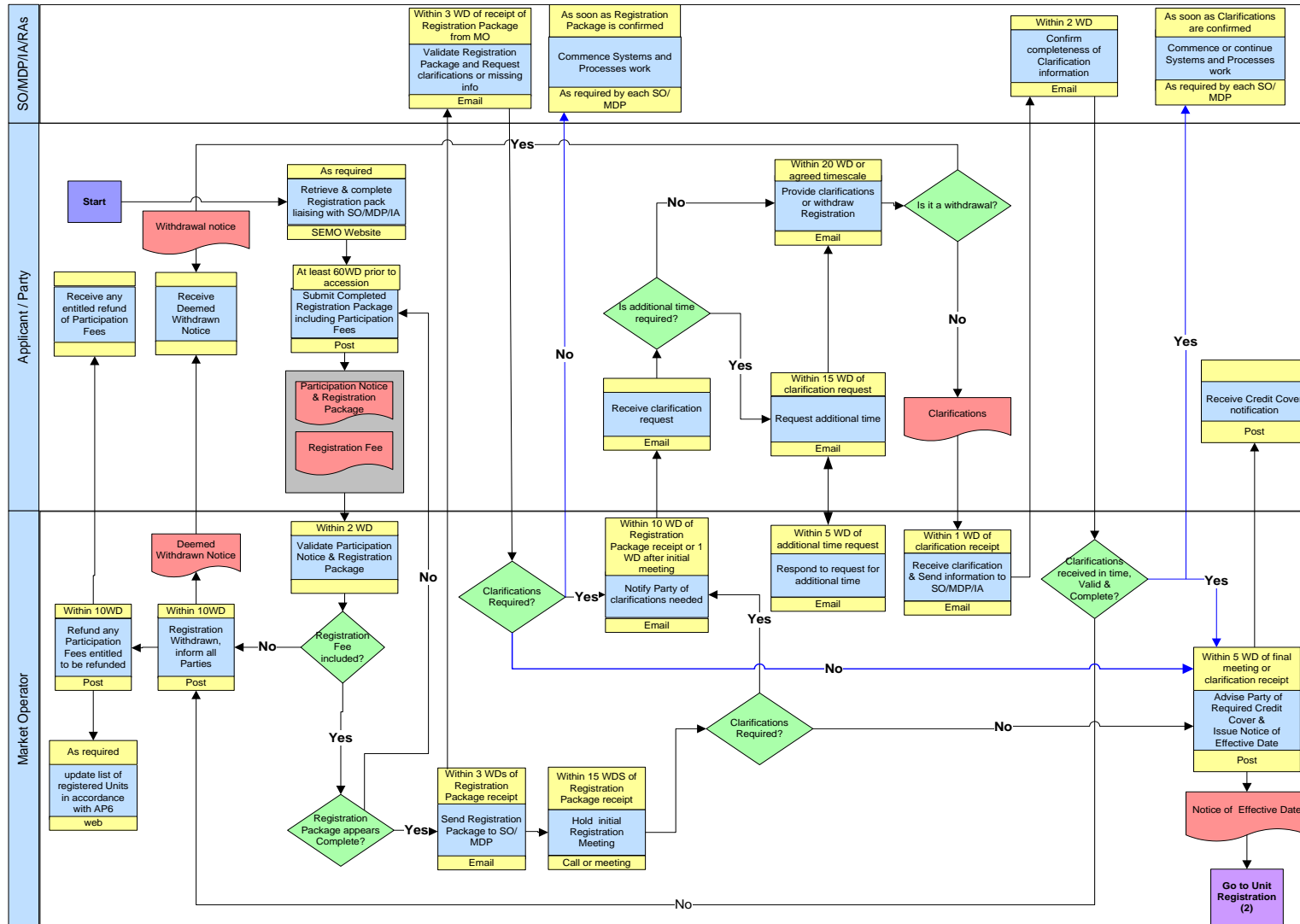
Unit Registration (1)



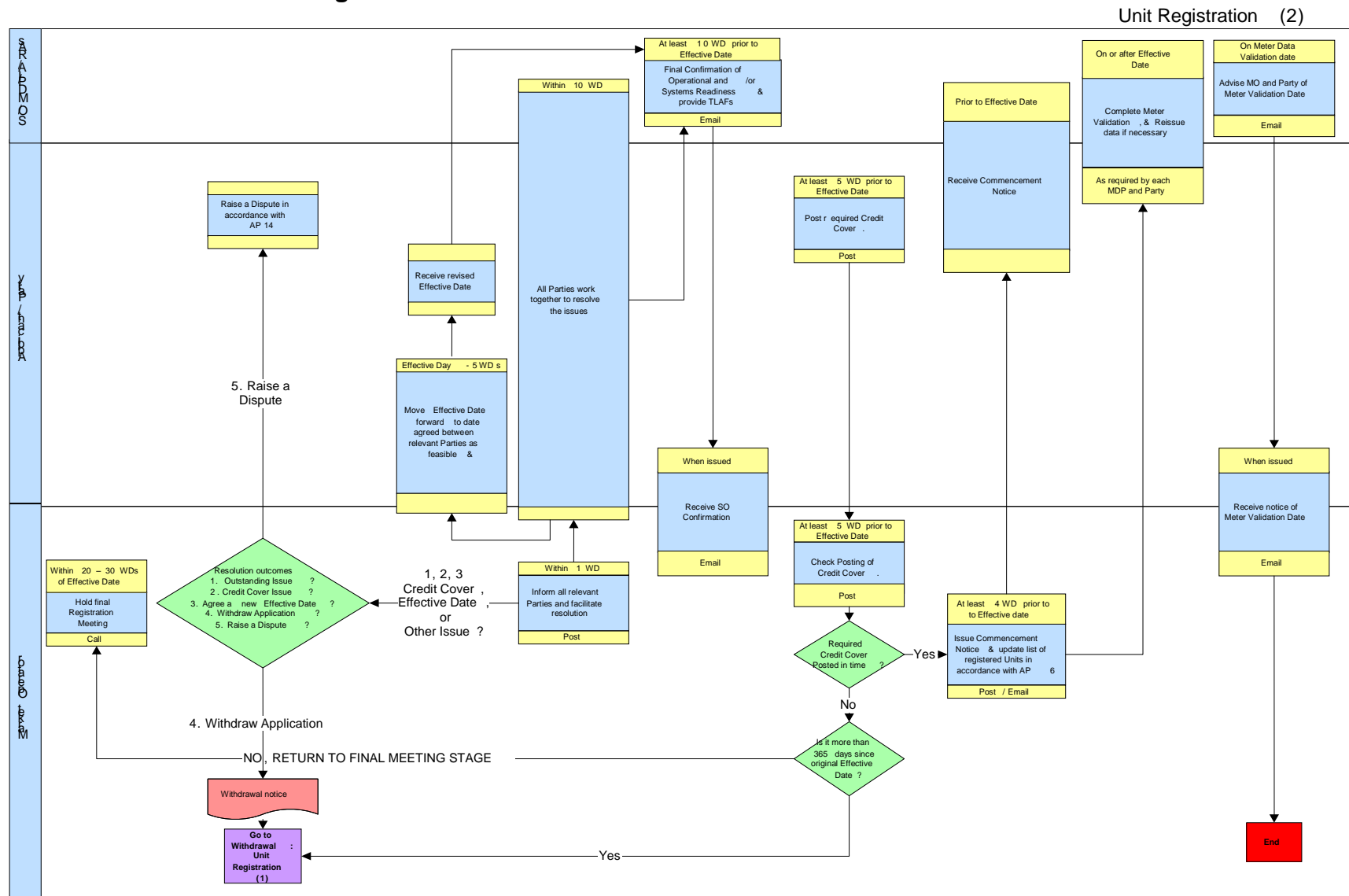
Unit Registration (1)



Unit Registration (1)



3.2.7 Swimlane – Unit Registration: 2



3.3 INTERMEDIARY REGISTRATION

A Unit Owner may nominate an Intermediary to become a Party to the Code and a Participant in respect of its Generator Units (with the exception of the Interconnector Residual Capacity Unit and the Interconnector Error Unit which will be registered to the relevant Party as defined by the Code).

The Unit Owner is required to complete a Form of Authority for the Intermediary, and the Intermediary must obtain Regulatory Authority consent. The Intermediary will provide this Form of Authority and proof of the Regulatory Authority consent with the Application Form to the Market Operator in step 3 of process 3.1.2 (Party accession), and again with the Registration Pack in step 3 of process 3.2.5 (Unit Registration).

The Intermediary shall otherwise follow the standard processes for registering as a Party and registering Units. The Intermediary removal process is detailed in section 3.6.

3.4 REGISTRATION OF SPECIAL UNITS

3.4.1 Supplier of Last Resort

This Supplier of Last Resort (SoLR) process details:

- The manner in which a Supplier Unit ceases Trading following the expiration of the Supplier Suspension Delay Period.
- The requirements for retail Meter Data Providers to facilitate this process.

A single SoLR Supplier Unit per Jurisdiction will be registered by the Supplier of Last Resort using the same process as a Participant registering a Unit with the exception that the SoLR Supplier Unit will not be actively trading. Therefore, the Supplier of Last Resort will not receive Settlement Statements or Invoices in respect of this Unit until the SoLR Supplier Unit is made effective. This occurs as set out in the process below. At a high-level, this process requires the retail Meter Data Providers to have completed the removal of the final customers from the Suspended Supplier Units by the end of the Supplier Suspension Delay Period.

In the event that there are multiple defaults occurring at or around the same time, all retail customers affected by these default events will be managed under one SoLR Supplier Unit.

The provisions for Adjusted Participant in Agreed Procedure 9 "Management of Credit Cover and Credit Default" will apply to the SoLR Supplier Unit once it becomes effective.

3.4.2 Procedural Steps

| # | Procedural Step | Timing | Method | By/From | To |
|----|--|--|----------------------------|---------------------------|--|
| 1 | <ul style="list-style-type: none"> Issue Suspension Order in respect of some or all of a Participant's Units, containing the method to remedy the Default that led to the Suspension Order, and the Suspension Delay Period | As Required | Fax/ Registered Post | Market Operator | System Operator, Distribution System Operator, Meter Data Provider, affected Participants, Interconnector Administrator, Regulatory Authorities |
| 2 | Publish Suspension Order | <ul style="list-style-type: none"> No later than two Working Days after issue of Suspension Order | Website | Market Operator | |
| 3a | Assuming that the Suspension Order is not lifted for any reason before this step, the Regulatory Authorities will direct the retail Meter Data Providers that all demand represented by that Supplier Unit shall be met by the Supplier of Last Resort | As required, at least 5 days before the expiry of the Supplier Suspension Delay Period | Fax/ Registered Post | Regulatory Authorities | Meter Data Provider, Market Operator |
| 3b | <p>If the Suspension Order is lifted by Regulatory Authorities, send a confirmation notice to the Market Operator, retail Meter Data Providers and affected Participant.</p> <p>End Process</p> | As required, at least 5 days before the expiry of the Supplier Suspension Delay Period | Fax/ Registered Post | Regulatory Authorities | Meter Data Provider, Market Operator, affected Participant |
| 3c | <p>If the Suspension Order is lifted by Participant rectifying the underlying Default, send a notice to that effect to the Regulatory Authorities and retail Meter Data Providers.</p> <p>End Process</p> | As required, at least 5 days before the expiry of the Supplier Suspension Delay Period | Fax/ Registered Post | Market Operator | Regulatory Authorities, Meter Data Provider |

| # | Procedural Step | Timing | Method | By/From | To |
|----|---|---|---------------------------------------|------------------------|---|
| 4 | Set the SoLR Supplier Unit to be effective for trading on the day on which the retail SoLR process begins | Prior to the running of Settlement for the day following the expiry of the Suspension Delay period | Manual update of registration details | Market Operator | |
| 5 | Inform retail Meter Data Providers of the effective SoLR Supplier Unit | After receipt of the commence retail SoLR process | Fax/ Registered Post | Market Operator | Meter Data Providers |
| 6 | Begin transfer of the customers of the Suspended Supplier Units to the SoLR Supplier Unit (or other Suppliers which the customers of the Suspended Supplier Units may have chosen according to the rules of the retail SoLR process). | After the expiry of the Suspension Delay period, prior to the running of the Meter Data aggregation for Settlement for the day following the expiry of the Suspension Delay period, | Type 3 Channel as per AP16 | Meter Data Providers | System Operator, Meter Data Provider, Regulatory Authorities |
| 7 | Send Meter Data for defaulting Supplier Units (with decreasing volumes) and data for the effective SoLR Supplier Unit (with increasing volumes) to the Market Operator for Indicative Settlement | Under normal data submission timelines, during the 5 day period between the effective date of the commence retail SoLR process and the expiry of the Suspension Delay Period | Type 3 Channel as per AP16 | Meter Data Providers | Market Operator |
| 8a | If Suspension Order lifted by the Regulatory Authorities, send notice to Market Operator, retail Meter Data Provider, affected Participant, but continue this process, but <u>exclude</u> step 11a | As required, completed within 5 days of the end of the Suspension Delay Period | Fax/ Registered Post | Regulatory Authorities | Retail Meter Data Provider, Market Operator, affected Participant |
| 8b | If Suspension Order is lifted by Participant rectifying the underlying Default, send notice to that effect to Regulatory Authorities and retail Meter Data Providers. | As required, completed within 5 days of the end of the Suspension Delay Period | Fax/ Registered Post | Market Operator | Regulatory Authorities, retail Meter Data Provider |
| | End Process | | | | |

| # | Procedural Step | Timing | Method | By/From | To |
|-----|---|--|-------------------------------------|-----------------------------|-----------------------------|
| 9 | Continue and complete the transfer of customers until the Suspended Supplier Units contain no customers. If all final customers are removed from the Suspended Supplier Units, send over “zero-populated” meter data for those Supplier Units. All customers’ transfer will be effective on the day of transfer in the retail market. | As required, completed before the expiry of the Suspension Delay Period | Manual/ automated retail processes | Retail Meter Data Providers | |
| 10 | Confirm that all Supplier Units subject to the Suspension Order now contain zero data | By the day before the Supplier Suspension Order takes effect | Fax | Retail Meter Data Providers | Market Operator |
| 11a | Market Operator deregisters all Suspended Supplier Units | Before MDP aggregation commences for the day after the last day of the Suspension Delay Period | Manual / automated retail processes | Market Operator | |
| 11b | Market Operator reconfigures all Trading Site configurations with the Suspended Supplier Units so that the SoLR Supplier Unit is an Associated Supplier Unit for affected Trading Sites. | Before MDP aggregation commences for the day after the last day of the Suspension Delay Period | Manual / automated retail processes | Market Operator | |
| 12 | Market Operator confirms configuration changes Remove Suspended Supplier Units from retail market. Deregister Suspended Units in the wholesale market following the expiry of the Suspension Delay Period | Before MDP aggregation commences for the day after the last day of the Suspension Delay Period | Fax | Market Operator | Retail Meter Data Providers |
| 13 | Retail Meter Data Providers deregister the Suspended Supplier Units from the retail systems | Before MDP aggregation commences for the day after the last day of the Suspension Delay Period | Manual / Automated Process | Retail Meter Data Providers | |

| # | Procedural Step | Timing | Method | By/From | To |
|----|---|--|----------------------------|-----------------------------|-----------------|
| 14 | Retail Meter Data Providers only supply Meter Data aggregations for Effective Supplier Units (note depending on Step 8a and 8b, this may include the Supplier Units which were subject to the Suspension Order) | For all days Meter Data aggregations following the expiry of the Suspension Delay Period, following the timeline in AP16 | Type 3 Channel as per AP16 | Retail Meter Data Providers | Market Operator |

3.4.3 Registration of Error Supplier Unit

An Error Supplier Unit shall be registered in each Jurisdiction by the Party that is required by its Licence to register such a Unit. Each Error Supplier Unit shall be registered in the same manner as any other Unit.

3.4.4 Registration of Interconnector Units

A Party shall register the Interconnector pursuant to the Code, following the same process as a Participant registering a Unit. As part of the data provided in its Participation Notice, the registering Party shall provide the Interconnector Registration Data.

. A Participant (or Applicant) shall register one Interconnector Unit per Gate Window for a given Interconnector. Each Interconnector Unit is registered by the Party (or Applicant) using the same process as for any other Unit, noting the interactions with the Interconnector Administrator in Section 3.2.4. All Interconnector Units in respect of an Interconnector registered within a particular Jurisdiction shall be registered to a single Account ID for each Participant.

3.4.5 Registration of an Aggregated Generator Unit

As set out under Paragraph 5.192 of the Code, a Generator Aggregator may register or procure the registration of an Aggregated Generator Unit, subject to the consent of the Regulatory Authorities and the Generator Aggregator entering into an agreement with the relevant Regulatory Authority whereby the Generator Aggregator agrees to comply with the same obligations in relation to participation in the Single Electricity Market as a licensed Generator would be required to comply with.

The Generator Aggregator will provide proof of the Regulatory Authority consent with the Application Form to the Market Operator in step 3 of process 3.1.2 (Party accession), and again with the Registration Pack in step 3 of process 3.2.5 (Unit Registration). The Regulatory Authority consent notification will set out the details of when the agreement referred to in 5.192.2 will come into effect, being before the Effective Date for the Generator Aggregator Unit to commence operation in the SEM.

The Generator Aggregator shall, unless otherwise specified in the Code, follow the standard processes registering as a Party and registering Units.

3.5 PARTICIPANT AND UNIT DEREGISTRATION

3.5.1 Overview

The Participant may choose to deregister any Unit registered in its name at any time by submitting a Deregistration Form to the Market Operator.

The Market Operator shall review the Deregistration Form, in conjunction with the appropriate MDP and/or System Operator, following which the Market Operator shall make a decision to approve or reject the Deregistration request in respect of the Unit(s). Once a decision has been made, the Market Operator shall notify the Participant by registered mail issuing a Deregistration Consent Order. The Market Operator shall permit the Deregistration of Units if all amounts due and payable by the relevant Party in respect of the relevant Units have been paid in full, up to and including the date of Termination and, in respect of Supplier Units, where the provisions of the applicable Metering Code have been complied with. If the provisions of the Metering Code have not been complied with, the Deregistration of Units shall be delayed until the relevant conditions are complied with, or until the Participant indicates that the Deregistration of those Units is no longer required. All the processes relative to the period when the Unit was active continue. This includes market Resettlement, invoices related to this, and Credit Cover requirement to cover for exposures related to the Settlement Reruns.

Once the Deregistration request is approved for all Units registered to the Participants, the Participant is granted with the status 'Cancelled' and an effective end date.

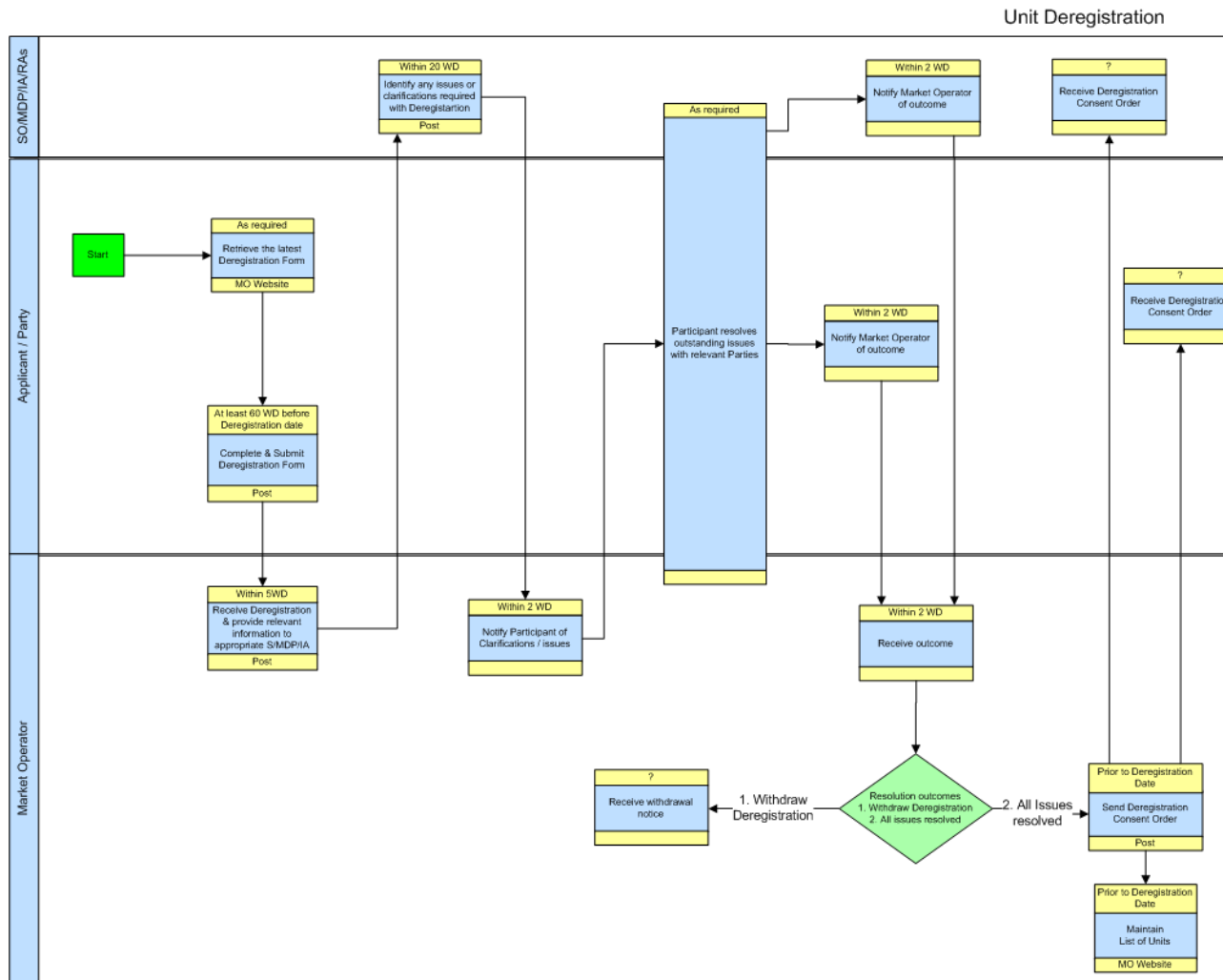
3.5.2 Procedural Steps

| # | Procedural Step | Timing | Method | By/From | To |
|---|---|--|--------------------------|--|--|
| 1 | Retrieve Deregistration Form from MO Website | As Required | MO Website | Participant | |
| 2 | Participant submits completed form | At least 60 WDs in advance of the proposed Deregistration date | Registered Post | Participant | Market Operator |
| 3 | Submit appropriate Deregistration details to relevant System Operator / Meter Data Provider / Interconnector Administrator | Within 5WDs of receipt of Deregistration Form | Email/Registered Post | Market Operator | System Operator / Meter Data Provider / Interconnector Administrator |
| 4 | Respond to Deregistration request details either confirming compliance with relevant Metering Code or raise issues with respect to the Deregistration | Within 20 WDs of receipt of Deregistration details from MO | Email/Registered Post | System Operator / Meter Data Provider / Interconnector Administrator | Market Operator |
| 5 | Notify Participant of raised issues | Within 5 WD | Email/Registered Post | Market Operator | Participant |
| 6 | Participant leads resolution of the issues with System Operator / Meter Data Provider / Interconnector Administrator | As required | Email/telephone/Meetings | Participant, Market Operator, System Operator, Meter Data Provider, Interconnector Administrator | |

| # | Procedural Step | Timing | Method | By/From | To |
|----|---|------------------------------|-----------------|--|--|
| 7 | Participant and Party raising issue confirm the outcome of the resolution (either (1) all outstanding issues resolved, or (2) Deregistration of the Unit is no longer required. | Within 2 WD | Email | Participant, System Operator, Meter Data Provider, Interconnector Administrator | Market Operator |
| 8 | If all outstanding issues resolved got to step 9 If Deregistration is no longer required – end of process | - | - | Market Operator | |
| 9 | Market Operator sends Deregistration Consent Order to Participant and System Operator, Meter Data Provider, Interconnector Administrator, and Regulatory Authorities | Prior to Deregistration date | Registered Post | Market Operator | Participant, System Operator, Meter Data Provider, Interconnector Administrator, Regulatory Authorities |
| 10 | Where Deregistration Consent Order has been issued, maintain and publish list of registered Units in accordance with Agreed Procedure 6 “Publications” | Prior to Deregistration date | | Market Operator | |

3.5.3 Swimlane – Unit Deregistration:

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.



3.6 INTERMEDIARY REMOVAL

3.6.1 Overview

Three cases of removal of an Intermediary are possible:

- Case 1: an Intermediary's consent is revoked by **the** Regulatory Authorities, or the expiration of Form of Authority
- Case 2: an Intermediary wishes to voluntarily de-register any or all of the Units
- Case 3: an Intermediary ceases participating in respect of any Units without first voluntarily de-registering the Units or the Unit Owner wishing to revoke the Intermediary

The Market Operator will deregister the Units in all cases.

In all cases, the Unit Owner may either (subject to Regulatory Authority consent) either procure a substitute Intermediary to reregister the Units or may reregister the Units itself and become the Participant in respect of those Units, unless

- The Unit is decommissioned; or
- The Unit is below de minimis and the Unit Owner does not wish the Unit to be registered to a Participant in the SEM.

Note that in any event, the removed Intermediary continues to be bound by the enduring obligations of the Code in respect of the deregistered Units.

3.6.2 Procedural Steps

| # | Procedural Step | Timing | Method | By/From | To |
|----|---|--|---|-------------------------------------|---|
| 1a | Intermediary's Form of Authority is revoked by Regulatory Authorities, or expiration of Form of Authority communicated to Market Operator | As Required, as soon as determined | - | Regulatory Authorities / Unit Owner | Market Operator |
| 1b | Market Operator Deregisters Units registered to the removed Intermediary | On the date of the Intermediary removal | - | Market Operator | |
| 2a | Form of Authority retrieved from MO Website (Appendix R of Code) | As Required | - | Unit Owner | |
| 2b | Form of Authority completed and provided to Registering Party | As Required | Registered Post | Unit Owner | Registering Party (to become the Intermediary) |
| 3 | Start at steps 3 of Unit Registration process in 3.2.5, returning to step 4 from step 26 where a Commencement Notice is issued to the new Intermediary, System Operators and External Data Provider(s). | 60 WDs prior to revocation date of Form of Authority of old Intermediary, or prior to notification from Unit Owner of proposed effective date of removal of Intermediary | Registered Post | Registering Party | Market Operator |
| 4 | Previous Form of Authority returned to Intermediary to be removed with approval decision on Intermediary revocation | Within 10 WDs of step 11 of Unit Registration process in 3.2.5. | Registered Post | Market Operator | Old Intermediary |
| 5 | Issue a Commencement Notice to new Intermediary to the Party and a copy to System Operators and External Data Provider(s) | Within 10 WDs of step 11 of Unit Registration process in 3.2.5 | Registered Post and Fax (to party), Email (to System Operators & External Data Provider(s)) | Market Operator | Registering Party, each System Operator, the appropriate External Data Provider |

| # | Procedural Step | Timing | Method | By/From | To |
|---|--|-----------------------------|-----------------|-----------------|-------------------|
| 6 | Post Required Credit Cover | Prior to the Effective Date | - | Intermediary | Market Operator |
| 7 | If Required Credit Cover is posted prior to Effective Date then end of process Otherwise go to step 8 | Effective Date – 1 WD | | | |
| 8 | New Form of Authority returned to Registering Party with rejection decision on Intermediary revocation | Within 1 WD of step 7 | Registered Post | Market Operator | Registering Party |
| 9 | Refund any Participation Fees entitled to be refunded. | Within 10 WD | Registered Post | Market Operator | Registering Party |

3.7 UNIT SUSPENSION PROCESSES

3.7.1 Overview

The Unit Suspension process is set out in the Code.

The process commences when the Suspension Order is issued by the Market Operator to the Participant in respect of some or all its Units for reason of Default under the Code. The terms of the Suspension Order allow a Suspension Delay Period for the Participant to rectify the Default. At the end of the Suspension Delay Period (assuming the Default has not been rectified), the Units specified in the Suspension Delay Period are deregistered. See Section 3.4.1 for the Supplier of Last Resort process where a Supplier Unit is suspended.

3.8 PARTY TERMINATION PROCESSES

3.8.1 Overview

There are two possible processes for Party Termination:

- Voluntary Termination: in this scenario, the Party must provide 90 Days notice, obtain the consent of the Regulatory Authorities, and comply with the Unit Deregistration procedure (section 3.5). The Market Operator issues a Voluntary Termination Consent Order with an effective date once all criteria have been fulfilled.
- Involuntary Termination: in this scenario, the Market Operator issues a Termination Order to the Party in question with Regulatory Authority approval when a Participant has not complied with the terms specified in a Suspension Order, and all its Units have been Suspended.

3.9 CHANGE OF UNIT GENERIC SETTLEMENT CLASS

Changes in Unit Classification is triggered by a Participant request in accordance with paragraph 2.56a of the Code. The Participant must provide 29 days notice of its intent to reclassify each Unit(s), and submit any additional information which is required by the Market Operator to enable the new Unit Classification. For each Classification change, the MO shall determine if all Eligibility requirements have been complied with.

3.9.1 Procedural Steps

| # | Procedural Step | Timing | Method | By/From | To |
|---|--|---|--------------|---|--|
| 1 | Retrieve Classification change request from the MO website | As required | SEMO website | Party | |
| 2 | <p>Submit completed Classification change request form to MO along with any additional data or information relevant to the Classification change</p> <p>Where the Unit has been registered by an Intermediary, then the Nominating Party shall submit the Classification change request</p> | At least 29 WDs prior to the proposed reclassification date | Email | Party | Market Operator |
| 3 | Validate Classification change request; Send information from the Classification change request to the relevant System Operator, Interconnector Administrator, and/or relevant Meter Data Provider, | Within 2 WDs of receipt of Classification change request | Email | Market Operator | System Operator / Meter Data Provider / Interconnector Administrator |
| 4 | <p>Determine if the Unit complies with eligibility requirements for the change of Classification.</p> <p>Identify any additional information, issues and clarifications required around new Unit Classification and inform Party, continue from step 5.</p> <p>Otherwise send proposed change of Classification date to all Parties and continue from step 7</p> | Within 5 WDs of receipt of Classification change request | Email | Market Operator, External Data Provider and System Operator | Market Participant |
| 5 | Respond to request for information or clarification | Within reasonable time | Email | Market Participant | Market Operator |
| 6 | <p>If no response to request for information or clarification, terminate process, otherwise continue from step 7.</p> <p>Otherwise, validate clarifications & responses from the Party/</p> | | Email | Market Operator | |

| # | Procedural Step | Timing | Method | By/From | To |
|----|---|--|-----------------|---|---|
| | System Operator | | | | |
| 7. | Determine with the External Data Providers if a change in Data Provider is appropriate. If no change in External Data Provider, continue from step 10 | Within 5 WDs of receipt of Classification change request | | Market Operator, External Data Provider /System Operator | External Data Provider |
| 8. | If additional time is required, send request to the MO, continue from step 10. | Within 7 WDs of receipt of Classification change request | | Market Operator | Market Participant/ External Data Provider /System Operator |
| 9 | Confirm additional time request and advise all relevant Parties | Within 8 WDs of receipt of Classification change request | Market Operator | External Data Provider | Market Participant/ External Data Providers/ System Operator/ |
| 10 | Confirm the change of Classification date with all Parties | Within 10 WDs of receipt of Classification change request | | Existing External Data Provider and New External Data Provider | Market Operator |
| 11 | Complete the change of Classification in all systems, recording the change of Classification date, inform all relevant Parties that this has been completed | At least 5 WDs prior to the proposed reclassification date | Email | Market Operator | Market Participant/ System Operator/ Interconnector Administrator/ Meter Data Provider |

APPENDIX 1: DEFINITIONS AND ABBREVIATIONS

DEFINITIONS

| | |
|---|--|
| Accession Deed | As defined in the Code |
| Accession Fee | As defined in the Code |
| Account ID | An identifier representing either a unique grouping of Generator Units or a unique grouping of Supplier Units. A Participant may have multiple Account IDs registered in the Central Market Systems. |
| Adjusted Participant | As defined in the Code |
| Aggregated Generator Unit | As defined in the Code |
| Agreed Procedure | As defined in the Code |
| Applicant | As defined in the Code |
| Application Form | Means the form available on the MO Website which is required to be completed by an Applicant to become a Party to the Code. |
| Associated Supplier Unit | As defined in the Code |
| Bank Automated Clearing System, or BACS | As defined in the Code. |
| Certificate Authority | As defined in Agreed Procedure 5 “Data Storage and IT Security” |
| Change of Supplier | AP1 – Note that this is a Retail Market term and may need to refer to Retail Market documentation for its definition. |
| Clearing House Automated Payments System, or CHAPS | As defined in the Code. |
| Classification | As defined in the Code |
| Code | As defined in the Code |
| Commencement Notice | As defined in the Code |
| Communication Channel | As defined in the Code |
| Connection | As defined in the Code (under Connected) |
| Credit Cover | As defined in the Code |
| Currency Zone | As defined in the Code |

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|---|--|
| Deemed Withdrawn Notice | Notification provided by the Market Operator that an application for registration is being withdrawn |
| Demand | As defined in the Code |
| Demand Side Unit | As defined in the Code |
| Deregistration | As defined in the Code |
| Deregistration Form | A form that provides notice that a Participant requires the deregistration of a Unit |
| Digital Certificate | As defined in Agreed Procedure 5 "Data Storage and IT Security" |
| Distribution System Operator | As defined in the Code |
| Effective Date | As defined in the Code |
| Electronic Funds Transfer, or EFT | As defined in the Code. |
| Error Supplier Unit | As defined in the Code |
| First Participation Information Notice | As defined in the Code |
| Form of Authority | As defined in the Code |
| Functional Area | Means the different parts of the Market Participant Interface that Users may be provided access as set out in this Agreed Procedure. |
| Generator | As defined in the Code |
| Generator Aggregator | As defined in the Code |
| Generator Aggregator System Operator Agreement | As defined in the Code |
| Meter Data Export Date | As defined in the Code |
| Generator Unit | As defined in the Code |
| Generic Settlement Class | As defined in the Code |
| Help Desk | As defined in Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support" |
| Interconnector | As defined in the Code |
| Interconnector Administrator | As defined in the Code |

| | |
|--|---|
| Interconnector Unit | As defined in the Code |
| Interconnector User | As defined in the Code |
| Intermediary | As defined in the Code |
| Invoice | As defined in the Code |
| Isolated Market System | As defined in the Code |
| Jurisdiction | As defined in the Code |
| Market Operator | As defined in the Code |
| Market Operator Charge | As defined in the Code |
| Market Participant Interface | The function within the Market Operator's Isolated Market System that interfaces to the Type 2 Channel and Type 3 Channel communications |
| Meter Validation Date | As defined in the Code |
| MO Website or Market Operator Website | The Market Operator's website that is accessed by the general public and where information that is required to be published by the Market Operator can be accessed. |
| Meter Data Provider | As defined in the Code |
| Netting Generator Unit | As defined in the Code |
| Nominating Party | Means a Party who nominates an Intermediary to register its Unit as allowed under the Code. |
| Offer Data | As defined in the Code |
| Operational Readiness Confirmation | As defined in the Code |
| Participant | As defined in the Code |
| Participant ID | An identifier that represents the unique grouping of Generator and/or Supplier Units to the entity defined as a Participant in the Code and is used in the Central Market Systems to calculate Required Credit Cover. |
| Participation Fee | As defined in the Code |
| Participation Notice | As defined in the Code |
| Party | As defined in the Code |
| Party ID | A unique identifier allocated by the Market Operator |
| Party Name | The name of the Party |

| | |
|---|--|
| Priority Dispatch | As defined in the Code |
| Public Electricity Supplier | The supplier of electricity to consumers within each Jurisdiction prior to market competition |
| Pumped Storage Unit | As defined in the Code |
| Receiving Party | As defined in the Code |
| Registration Data | As defined in the Code |
| Registration Pack | Documentation and information that assists with Party registration |
| Regulatory Authorities | As defined in the Code |
| Rejection Notice | As defined in the Code |
| Required Credit Cover | As defined in the Code |
| Resettlement | As defined in the Code |
| Retail Market Operator | The business group within ESB Networks or NIE T&D responsible for managing the retail market data, registrations, and deregistration between final consumers and Supplier Units. |
| Settlement | As defined in the Code |
| Settlement Statement | As defined in the Code |
| Single Electricity Market | As defined in the Code |
| Supplier | As defined in the Code |
| Supplier of Last Resort | As defined in the Code |
| Supplier Suspension Delay Period | As defined in the Code |
| Supplier Unit | As defined in the Code |
| Suspension | As defined in the Code |
| System Operator | As defined in the Code |
| Termination | As defined in the Code |
| Termination Date | As defined in the Code |
| Termination Order | As defined in the Code |
| Trading Site | As defined in the Code |
| Trading Site Class | The classification of a Trading Site. |

| | |
|--|--|
| Trading Site Supplier Unit | As defined in the Code |
| Transmission Network | As defined in the Code |
| 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 | As defined in the Code |
| Unit Owner | As defined in the Code |
| Unit Registration | As defined in the Code |
| User | <p>In relation to a Participant: a nominated member of the Participant staff who is authorised to utilise qualified communication facilities that interact with the Market Operator's Isolated Market System;</p> <p>In relation to the Market Operator: a member of the Market Operator staff who has been authorised to access specific parts of the Market Operator Isolated Market System.</p> |
| VAT | As defined in the Code |
| Working Day | As defined in the Code |
| Meter Point Registration Number | As defined in the Code |

ABBREVIATIONS

| | |
|-------------|---------------------------------|
| AP | Agreed Procedure |
| DSO | Distribution System Operator |
| ESU | Energy Supplier Unit |
| IU | Interconnector User |
| MDP | Meter Data Provider |
| MO | Market Operator |
| MPI | Market Participant Interface |
| MPRN | Meter Point Registration Number |
| PES | Public Electricity Supplier |
| QH | Quarter Hour |
| RAs | Regulatory Authorities |

| | |
|-------------|---------------------------|
| RMO | Retail Market Operator |
| SEM | Single Electricity Market |
| SoLR | Supplier of Last Resort |

APPENDIX 2: ACCESS ROLES AND RIGHTS OF USERS

ACCESS ROLES OVERVIEW

The Participant defines the access roles and rights of its Users. Although the Participant is responsible for designating the read and write privileges of its Users to each of the Functional Areas of the Market Participant Interface, it is the Market Operator who approves all new Users and amendments to existing Users. (In this section, references to User relate to a User for a specific Participant).

A User must have a Digital Certificate obtained under Agreed Procedure 3 “Communication Channel Qualification” to access the Market Participant Interface, which will enable data submission by Type 2 or Type 3 communication. Each User will have a Digital Certificate which is tied to a Market Participant. For a User to be eligible to submit or view data for more than one Market Participant, they will need a different Digital Certificate for each relevant Market Participant.

CONTACT TYPES

At a minimum a Participant will have to define a primary contact, a scheduling contact, and a billing contact.

- Contact Types:
 - FullContact: Full access contact.
 - MainContact: Main organisation contact.
 - Invoicing: Financial, invoicing and banking contact.
 - Settlement: Settlement and billing contact.
 - Trading: Scheduling contact.
 - Other: Contact for other functional areas.

Contacts will be registered and managed by Participants and approved by the Market Operator.

USER TYPES

User Types is the selection of pre-defined roles providing access to specific Functional Areas.

- User Types:
 - FullUser: Full access User.
 - MainContact: Main organisation User.
 - Invoicing: Financial, invoicing and banking User.
 - Settlement: Settlement and billing User.
 - Trading: Scheduling User.
 - Other: Users for other Functional Areas.

Users will be registered in the Market systems by Participants and assigned a User Types in respect of their role in the Market. The User with User Type “FullUser” will have the ability to establish and manage the access of its Users to each of the Functional Areas together with the access rights “Read -Only” or “Read-Write”. The “MainContact” is the User who is preloaded by the Market Operator during the registration process and has the same access rights as a “FullUser”. There is only one “MainUser” but can be many “FullUser”s.

The Market Participant Interface encompasses the following Functional Areas:

- Trading
- Registration
- Settlements

The mapping of the different User Types to Functional Area is:

| | Functional Area | | |
|-------------------------------|--------------------------------------|---------|-------------|
| User Type | Registration | Trading | Settlements |
| Main Organisation User | Yes | Yes | Yes |
| Full User | Yes | Yes | Yes |
| Registration | Yes | - | - |
| Trading | - | Yes | - |
| Invoicing | - | - | Yes |
| Settlement | - | Yes | Yes |
| Other | Any combination of the above systems | | |

ACCESS RIGHTS (READ-WRITE, READ-ONLY)

ACCESS RIGHTS FOR EACH FUNCTIONAL AREA

Each Functional Area has the following access rights which can be provided to Users.

| | Access Right | |
|---------------------|--------------|------------|
| Functional Area | Read-Only | Read-Write |
| Trading | - | Yes |
| Registration | Yes | Yes |
| Settlements | Yes | - |

The access right permissions are only relevant to the “Registration” Functional Area. Users given access to the “Trading” Functional Areas can only be given “Read-Write” access rights and those given access to the “Settlement” Functional Area can only be given “Read-Only”.

Users are provided Read-Write access to “Registration” and will be able to access data for all Units for the relevant Participant.

Read-Only Access

A User with Read-Only access:

- Is restricted only to that Participant's data.
- Can only view that Participant's information in the relevant Functional Area but cannot submit any changes to the database.
- Cannot view details of other Participants.
- Any User with READ Only permission can edit the data on the web page but cannot submit changes to the database. The SUBMIT button will be disabled.

Read-Write Access

A User with Read-Write access:

- Is restricted only to data relevant to this Participant.
- Can view/add/edit only information relevant to this Participant.
- Cannot view details of other Participants.
- Can request to Apply/Reactivate/De-register, by setting the request type to an appropriate value. However, these changes are applied to the system only after it has been reviewed and accepted by the operator.

An Interconnector Administrator with Read-Write access:

- Is restricted to Interconnector information.

DATA PROCESSING ENTITY

A Party, other than the Market Operator, may appoint a Data Processing Entity to submit Data Transactions, raise Data Queries and Settlement Queries and to view Settlement Statements.

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

- Party name
- name of person authorised to notify Market Operator of a Data Processing Entity
- name of Data Processing Entity
- tasks that can be carried out by the Data Processing Entity

The Market Operator shall acknowledge the submission within 2 days of its receipt. The Party may then treat the Data Processing Entity as a User restricted to the tasks that it allows it to undertake.

- Access and permissions for the Data Processing Entity is set in the same as other Users in accordance with Agreed Procedure 3 “Communication Channel Qualification” for obtaining a Digital Certificate, this Agreed Procedure for setting the Functional Areas and access rights to the Market Participant Interface and Agreed Procedure 11 “Market System Operation, Testing, Upgrading and Support” for authorisations for fax and registered post communication permissions.

APPENDIX 3: REGISTRATION INFORMATION COMMUNICATED TO METER DATA PROVIDER PARTIES BY THE MARKET OPERATOR

OVERVIEW

All communication of registration events between the Market Operator and the Meter Data Providers will follow the same timeline process:

1. **Working Day 1** – On behalf of the Participant, the Market Operator will contact the Meter Data Provider to confirm that the unit being referred to is correctly managed by that MDP. This will be a manual communication. This will set out a proposed effective date no earlier than 20 Working Days away. This occurs during the validation of the eligibility requirements during the registration of a Unit.
2. **Working Day 4** – Market Operator sends a fax with a notification form to the Meter Data Provider containing the information for the particular type of registration event. The full set of registration events is set out in the table below. This notice will contain the proposed effective date for the registration event, no earlier than 16 working days away.
3. **Working Day 6** – Confirmation from the Meter Data Provider is sent back to the Market Operator noting that the information for the registration event is understood. This is by fax.
4. **Working Day 17** - Final confirmation from Meter Data Provider to Market Operator that the proposed effective day in the fax on Working Day 4 is achievable. This final confirmation is by fax. If the proposed effective day cannot be met, the Meter Data Provider must clearly identify the reason why the proposed effective day is not possible and state a date by which the date is possible. The Market Operator has to take appropriate action to postpone effective date. The process stays at this step until the final confirmation is sent through by fax three Working Days before the effective date.
5. **Working Day 20 (or earliest effective date)** – This date represents the earliest activation data for which all parties involved in the management of meter data provision/receipt must target as their readiness date.

There are 15 standard registration events. The registration for SEM Go-live may follow a different process but should achieve identical registration results.

1. New Generator Unit Registered (or inclusion of a further Generation Site into an Aggregated Generator Unit)
2. New Supplier Unit Registered
3. New Trading Site Registered
4. Deregister a Generator Unit
5. Deregister a Supplier Unit
6. Deregister a Trading Site
7. Change of a Trading Site Demand from a Trading Site Supplier Unit to a different Trading Site Supplier Unit
8. Change of Trading Site Demand from a Trading Site Supplier Unit to an Associated Supplier Unit
9. Change of Trading Site Demand from an Associated Supplier Unit to a Trading Site Supplier Unit
10. Change of a Trading Site from non-firm access to firm access
11. Change of a Trading Site from firm access to non-firm access

12. Change of Trading Site Demand from an Associated Supplier Unit to a different Associated Supplier Unit
13. Cancellation of Change of Trading Site Demand from an Associated Supplier Unit to a different Associated Supplier Unit
14. Deregistration of Supplier Units due to a Termination Order
15. Notification of Meter Data Export Date and Meter Data Validation Date

The timelines for registration events numbered 12 to 15 are detailed explicitly below.

TIMELINES

| Registration Event | Prerequisites Market Operator check | Working Day 1 | Working Day 4 | By Working Day 6 | By Working Day 17 | Effective Date | Comment |
|----------------------------------|---|---|---|--|---|---|--|
| 1. New Generator Unit Registered | Check to see if this is joining an existing Trading Site. | Email / Phone call with proposed effective date to Meter Data Provider from Market Operator | Section 5.4 (to register the new Generator Unit) Section 5.5 (to update the Trading Site as necessary) by fax to Meter Data Provider from Market Operator | Acknowledgement that form is complete by fax to Market Operator from Meter Data Provider | Acknowledgement that go-active date is complete by fax, or alternative date provided with reasons why to Market Operator from Meter Data Provider | Cut-over by Market Operator and Meter Data Provider. Phone call to confirm successful cut-over even if no rejection of Meter Data Provider file send to Market Operator | The new Generator Unit may be an existing generator that has previously availed of the opportunity to not participate outside the SEM. |
| 2. New Supplier Unit Registered | None | Email / Phone call with proposed effective date to Meter Data Provider from Market Operator | Section 5.3 (to register a new Supplier Unit) by fax to Meter Data Provider from Market Operator | Acknowledgement that form is complete by fax to Market Operator from Meter Data Provider | Acknowledgement that go-active date is complete by fax, or alternative date provided with reasons why to Market Operator from Meter Data Provider. See comment. | Cut-over by Market Operator and Meter Data Provider. Phone call to confirm successful cut-over even if no rejection of Meter Data Provider file send to Market Operator | The Meter Data Provider will reject this request if the Supplier Unit is being registered by a party that does not have a supply licence, or has not undergone the retail registration process |

| Registration Event | Prerequisites Market Operator check | Working Day 1 | Working Day 4 | By Working Day 6 | By Working Day 17 | Effective Date | Comment |
|--------------------------------|---|---|--|--|---|---|---|
| 3. New Trading Site Registered | Generator Unit being registered simultaneously, Supplier Unit identified in Section 5,6 existing or being registered simultaneously | Email / Phone call with proposed effective date to Meter Data Provider from Market Operator | Section 5.5 (to register the new Trading Site), Section 5.4 (to register a new Generator), Section 5.3 (if a new Supplier Unit registered for Trading Site), Section 5.6 (if an existing Supplier Unit is being used for the Trading Site) by fax to Meter Data Provider from Market Operator | Acknowledgement that form is complete by fax to Market Operator from Meter Data Provider | Acknowledgement that go-active date is complete by fax, or alternative date provided with reasons why to Market Operator from Meter Data Provider. See comment. | Cut-over by Market Operator and Meter Data Provider. Phone call to confirm successful cut-over even if no rejection of Meter Data Provider file send to Market Operator | The MDP will reject this request if the Supplier Unit is being registered by a party that does not have a supply licence, or has not undergone the retail registration process |
| 4. Deregister a Generator Unit | Check that the Generator Unit had existed in SEM up to now. Check that the Trading Site rules are being maintained (i.e. all Generator Units on a Trading Site must all participate at the same time) | Email / Phone call with proposed effective date to Meter Data Provider from Market Operator | Section 5.8 (to deregister the Generator Unit), Section 5.5 (if the Generator Unit is being decommissioned from a site where there are still other Generator Units); Section 5.12 (to deregister the Trading Site if the Generator Unit is the only Generator Unit on the Trading Site, Section 5.7 (if a Supplier Unit linked to a Trading Site is needs to be simultaneously deregistered with the Trading Site), Section 5.6 (if the Trading Site is deregistered and the Supplier Unit endures) by fax to Meter Data Provider from Market Operator | Acknowledgement that form is complete by fax to Market Operator from Meter Data Provider | Acknowledgement that go-active date is complete by fax, or alternative date provided with reasons why to Market Operator from Meter Data Provider. See comment. | Cut-over by Market Operator and Meter Data Provider. Phone call to confirm successful cut-over even if no rejection of Meter Data Provider file send to Market Operator | The Metered Data Provider will have to ensure that this Generator Unit is being decommissioned if there are other Generator Units on the site, or is being re-registered simultaneously by another Party under the SEM. |

| Registration Event | Prerequisites Market Operator check | Working Day 1 | Working Day 4 | By Working Day 6 | By Working Day 17 | Effective Date | Comment |
|-------------------------------|--|---|--|--|---|---|--|
| 5. Deregister a Supplier Unit | Check that it is not part of a Trading Site. If it is, then one of the Change of Supplier for a Trading Site Processes (7, 8, or 9) is required instead. | Email / Phone call with proposed effective date to Meter Data Provider from Market Operator | Section 5.7 (to deregister a Supplier Unit) by fax to Meter Data Provider from Market Operator | Acknowledgement that form is complete by fax to Market Operator from Meter Data Provider | Acknowledgement that go-active date is complete by fax, or alternative date provided with reasons why to Market Operator from Meter Data Provider. See comment. | Cut-over by Market Operator and Meter Data Provider. Phone call to confirm successful cut-over even if no rejection of Meter Data Provider file send to Market Operator | The Meter Data Provider will reject this request if there is any MPRN in the Supplier Unit at Working Day 17 |
| 6. Deregister a Trading Site | Ensure that all Generator Units on the site are deregistered, that the Generator Units are de minimis or being decommissioned, or a parallel request to deregister/reregister these Generator Units have been made | Email / Phone call with proposed effective date to Meter Data Provider from Market Operator | Section 5.12, accompanied by Section 5.8 for each Generator Unit being deregistered at the same time, and Section 5.7 for any supplier unit being deregistered at the same time, Section 5.6 for any supplier unit that continues to operate, but not as a Trading Site Supplier Unit or Associated Supplier Unit by fax to Meter Data Provider from Market Operator | Acknowledgement that form is complete by fax to Market Operator from Meter Data Provider | Acknowledgement that go-active date is complete by fax, or alternative date provided with reasons why to Market Operator from Meter Data Provider | Cut-over by Market Operator and Meter Data Provider. Phone call to confirm successful cut-over even if no rejection of Meter Data Provider file send to Market Operator | If the Supplier Unit is deregistered, it must have no MPRN. |

| Registration Event | Prerequisites Market Operator check | Working Day 1 | Working Day 4 | By Working Day 6 | By Working Day 17 | Effective Date | Comment |
|--|---|---|---|--|--|---|---|
| 7. Change of a Trading Site Demand from a Trading Site Supplier Unit to a different Trading Site Supplier Unit | <p>Ensure that the Generator Units are simultaneously deregistered, and reregistered to the same Party that owns the Trading Site Supplier Unit. Simultaneous change of old Trading Site Supplier Unit registration class, or deregistration of the Trading Site Supplier Unit, as appropriate.</p> <p>Ensure that the new Trading Site Supplier Unit exists.</p> | Email / Phone call with proposed effective date to Meter Data Provider from Market Operator | Section 5.9 (to change the Supplier Unit). Section 5.7 (to deregister the Generator Units), Section 5.4 (to reregister the Generator Units to a different Participant), Section 5.6 (for the old Trading Site Supplier Unit to continue to operate), Section 5.7 (for any Trading Site Supplier Unit being deregistered), Section 5.3 (if a new Trading Site Supplier Unit exists) or Section 5.6 (if an existing Supplier Unit is to become the Trading Site Supplier Unit) by fax to Meter Data Provider from Market Operator | Acknowledgement that form is complete by fax to Market Operator from Meter Data Provider | Acknowledgement that go-active date is complete by fax, or alternative date provided with reasons why to Market Operator from Meter Data Provider. | Cut-over by Market Operator and Meter Data Provider. Phone call to confirm successful cut-over even if no rejection of Meter Data Provider file send to Market Operator | The same Party that registers a Generator Unit and Trading Site must also register the Trading Site Supplier Unit. Therefore this can only occur where the Generator Units are re-registered by another Party |
| 8. Change of Trading Site Demand from a Trading Site Supplier Unit to an Associated Supplier Unit | <p>Check that the Associated Supplier Unit is not another Trading Site Supplier Unit and that it exists.</p> <p>Simultaneous deregistration of the old Trading Site Supplier Unit, or change of its class as appropriate.</p> | Email / Phone call with proposed effective date to Meter Data Provider from Market Operator | Section 5.9 (to change the class of the Supplier Unit), Section 5.7 (if a the old Trading Site Supplier Unit is deregistered), Section 5.6 (if the old Trading Site Supplier Unit is to endure as a different Supplier Unit) by fax to Meter Data Provider from Market Operator | Acknowledgement that form is complete by fax to Market Operator from Meter Data Provider | Acknowledgement that go-active date is complete by fax, or alternative date provided with reasons why to Market Operator from Meter Data Provider. | Cut-over by Market Operator and Meter Data Provider. Phone call to confirm successful cut-over even if no rejection of Meter Data Provider file send to Market Operator | None |

| Registration Event | Prerequisites Market Operator check | Working Day 1 | Working Day 4 | By Working Day 6 | By Working Day 17 | Effective Date | Comment |
|---|--|---|--|--|--|---|---------|
| 9. Change of Trading Site Demand from an Associated Supplier Unit to a Trading Site Supplier Unit | <p>Check that the Trading Site Supplier Unit is registered by the same participant as the Generator Units.</p> <p>Potential simultaneous registration of a new Trading Site Supplier Unit, or change of a Supplier Unit's class as appropriate.</p> <p>Potential simultaneous deregistration of the Associated Supplier Unit</p> | Email / Phone call with proposed effective date to Meter Data Provider from Market Operator | Section 5.9 (to change the class of the Supplier Unit), Section 5.3 (if a new Supplier Unit is to be registered), Section 5.7 (if the old Associated Supplier Unit is deregistered), Section 5.6 (if the Trading Site Supplier Unit is an existing Supplier Unit) by fax to Meter Data Provider from Market Operator | Acknowledgement that form is complete by fax to Market Operator from Meter Data Provider | Acknowledgement that go-active date is complete by fax, or alternative date provided with reasons why to Market Operator from Meter Data Provider. | Cut-over by Market Operator and Meter Data Provider. Phone call to confirm successful cut-over even if no rejection of Meter Data Provider file send to Market Operator | None |
| 10. Change of a Trading Site from non-firm access to firm | Appropriate validation of the registration data | Email / Phone call with proposed effective date to Meter Data Provider from Market Operator | Section 5.5; Section 5.6 (for the relevant Supplier Units) to Meter Data Provider from Market Operator | Acknowledgement that form is complete by fax to Market Operator from Meter Data Provider | Acknowledgement that go-active date is complete by fax, or alternative date provided with reasons why to Market Operator from Meter Data Provider. | Cut-over by Market Operator and Meter Data Provider. Phone call to confirm successful cut-over even if no rejection of Meter Data Provider file send to Market Operator | None |

| Registration Event | Prerequisites Market Operator check | Working Day 1 | Working Day 4 | By Working Day 6 | By Working Day 17 | Effective Date | Comment |
|---|---|---|--|--|--|---|---------|
| 11. Change of a Trading Site from firm access to non-firm | Appropriate validation of the registration data | Email / Phone call with proposed effective date to Meter Data Provider from Market Operator | Section 5.5; Section 5.6 (for the relevant Supplier Units) to Meter Data Provider from Market Operator | Acknowledgement that form is complete by fax to Market Operator from Meter Data Provider | Acknowledgement that go-active date is complete by fax, or alternative date provided with reasons why to Market Operator from Meter Data Provider. | Cut-over by Market Operator and Meter Data Provider. Phone call to confirm successful cut-over even if no rejection of Meter Data Provider file send to Market Operator | None |

These four procedures do not follow the usual timeframes

| | Prerequisite checks | Working Day 1 | Working Day 4 | By Working Day 6 | Comment |
|--|-------------------------------------|---|--|---|---------|
| 12. Change of Trading Site Demand from an Associated Supplier Unit to a different Associated Supplier Unit | This is an Associated Supplier Unit | Email / Phone Call (from Meter Data Provider to Market Operator) within 1 Working Day of the change becoming known or have been completed, i.e. potentially retrospectively | Section 5.9 (from Meter Data Provider to Market Operator) (by email and fax) | Acknowledgement by email and fax from Market Operator | None |

| Registration Event | Prerequisites Market Operator check | Working Day 1 | Working Day 4 | By Working Day 6 | By Working Day 17 | Effective Date | Comment |
|--|--|---|---|--|---|--|----------------|
| 13. Cancellation of Change of Trading Site Demand from an Associated Supplier Unit to a different Associated Supplier Unit | This is an Associated Supplier Unit | Email / Phone Call (from Meter Data Provider to Market Operator) within 1 Working Day of the change being rewound known or being verbal effective date (potentially retrospective) | Section 5.10 (from Meter Data Provider to Market Operator) (by email and fax) | Acknowledgement by email and fax from MO | This will only occur if the Retail Market Operator has included this functionality in their retail market design. | | |
| | Prerequisite checks | Working Day 0 | During execution of Termination Order | On final execution of Termination Order | After final execution of Termination Order, before next scheduled file send from MDP | Comment | |
| 14. Deregistration of Supplier Units due to a Suspension Order | Check all Supplier Units, Generator Units, and Trading Sites, registered to the Participant are included. Check to see if the participant has any Unique Associated Supplier Units. Check to see if the participant has any Trading Site Supplier Units. | <p>Email / Phone Call on day of Suspension Order, supported by fax from Market Operator to Meter Data Provider.</p> <p>Section 5.7 (for all affected Supplier Units). Section 5.3 for any Unique Associated Supplier Units that are required. Section 5.6 for any changes to Trading Sites affected by SoLR event. Section 5.5 for any Generator Units that are owned by the defaulting supplier.</p> <p>Section 5.12 for any Trading Sites which are deregistered.</p> | Populate SoLR Supplier Unit. Notify by email and fax as new units are set up and/or deregistered in time for next file send, from Meter Data Provider to Market Operator. | Acknowledgement by email and fax to Meter Data Provider from Market Operator that process is complete, and Supplier Units have been deregistered | Acknowledgement from Market Operator of process being complete | It is assumed that the MO will inform the MDPs of all Trading Site Events during the registration process. | |
| | Prerequisites check | Working Day 1-3 | Working Day 3-10 | Post Effective Date | | | |

| Registration Event | Prerequisites Market Operator check | Working Day 1 | Working Day 4 | By Working Day 6 | By Working Day 17 | Effective Date | Comment |
|---|---|--|---|---|--------------------------|-----------------------|----------------|
| 15. Notification of Meter Data Export Date and Meter Data Validation Date | Market Operator validation of the Registration Pack, initial Registration meeting | Email with initiation of Meter Data Validation process , (from Meter Data Provider to Market Operator) | Email with notification of proposed Meter Data Export Date, (from Meter Data Provider to Market Operator) | Final Email with notification of Meter Data Validation Date (from Meter Data Provider to Market Operator) | | | |

NEW SUPPLIER UNIT REGISTRATION

| New Supplier Unit Registration | |
|---------------------------------|---|
| Issuing Party | Market Operator |
| Receiving Party | Meter Data Providers responsible for Supplier Unit aggregations (currently MDP_MRSO and MDP_NIE) |
| Timing | <p>During the Participant registration process and starting at least 20 Working Days prior to the Proposed Effective Date.</p> <p>This information will be sent to the MDPs by fax on Day 4 i.e. 16 Working Days in advance having already been communicated in a phone call.</p> |
| Nature of Communication | New information/registration details of Supplier Units joining SEM. |
| Content of Communication | <p>The following details will be provided to the Meter Data Providers on registration of a new Supplier Unit:</p> <p>Supplier Unit ID – this is the identifier which will be used to group aggregated Demand quantities.</p> <p>Transmission ID – this will denote the type of Unit (NPED or PED)</p> <p>Participant ID – this is the identifier of the owner of the Supplier Unit</p> <p>Participant Name – this is the name of the owner of the Supplier Unit, generally the company name.</p> <p>DUoS/TUoS billable party – if the Participant Name and Participant ID is ambiguous</p> <p>Trading Site Supplier Flag – set to yes or no. A yes value indicates this is a Trading Site Supplier Unit and can only be used to aggregate Demand quantities at a specified Trading Site.</p> <p>Generator Aggregator – for Aggregated Generator Units only</p> <p>Generator Aggregator System Operator Agreement – for Aggregated Generator Units only</p> <p>Trading Site ID – if the Trading Site Supplier Flag is yes, the Trading Site ID will be provided.</p> <p>Firm/Non-Firm Flag – set to yes or no. A yes value indicates that there are special Firm/Non-Firm calculations required at the Trading Site. This flag is effective for Trading Site Supplier Units only.</p> <p>Proposed Effective Date – the date from which this Supplier Unit is requesting to participate in the SEM</p> <p>Comments Field.</p> |

| | |
|-----------------------|---|
| <p>Comment</p> | <p>This communication will pass from the Market Operator to the relevant Meter Data Providers when a new Supplier Unit is registering to participate in the SEM.</p> <p>Once the Market Operator has passed these details on, the Unit will be registered in the SEM systems and it will be expected that any future meter data files for the relevant Transmission ID will include quantities for this Supplier Unit. If quantities are not included, the SEM-MDP file will be rejected as incomplete.</p> <p>Demand Quantities at a Trading Site must be recorded Interval Metering</p> <p>Supplier Unit registration is set up from Effective Date. If there are no MPRNs registered to the Supplier Unit then a value of 0MWh for each Trading Periods is expected. 0 is a valid record.</p> <p>Where a Supplier Unit is a Trading Site Supplier Unit, there can be no further MPRNs included in the Supplier Unit aggregation. This means that if the Retail Market Operator receives an application for a new MPRN under the Trading Site Supplier Unit, it will be rejected.</p> |
|-----------------------|---|

| New Generator Unit Registration | |
|---------------------------------|--|
| Issuing Party | Market Operator |
| Receiving Party | Meter Data Providers responsible for reading of Generator Units |
| Timing | During the Participant registration process and starting at least 20 Working Days prior to the Proposed Effective Date. |
| Nature of Communication | New information/registration details of Generator Units joining SEM. |
| Content of Communication | <p>The following details will be provided to the Meter Data Providers on registration of a new Generator Unit.</p> <p>Generator Unit ID – this is the identifier which will be used to supply generation quantities.</p> <p>Unit Address – actual address of the physical Unit</p> <p>Transmission ID – this will denote the type of Unit (NPEG or PEG)</p> <p>Participant ID – this is the identifier of the owner of the Generator Unit.</p> <p>Participant Name – this is the name of the owner of the Generator Unit, generally the company name.</p> <p>Trading Site ID – the ID of the Trading Site to which this Generator Unit belongs.</p> <p>Proposed Effective Date – the date from which this Generator Unit is requesting to participate in the SEM</p> <p>MPRN of the Generation Site (or equivalently a Connection Agreement reference where the MPRN can be identified)</p> <p>Comments Field.</p> |
| Comment | <p>This communication will pass from the Market Operator to the relevant Meter Data Providers when a new Generator Unit is registering to participate in the SEM.</p> <p>Once the Market Operator has passed these details on, the Unit will be registered in the SEM systems and it will be expected that any future meter data files for the relevant Transmission ID will include quantities for this Generator Unit. If quantities are not included, the SEM-MDP file will be rejected as incomplete.</p> <p>All Generator Units must be part of a Trading Site. The MO will send information to the Metered Data Providers regarding the relevant Trading Site at the same time as per Registration Event 1.</p> |

² Note: This excludes non-physical Generator Units i.e. Interconnector Units, Interconnector Residual Capacity Units, Interconnector Error Units and Netting Generator Units

TRADING SITE REGISTRATION

| Trading Site Registration | |
|---------------------------------|---|
| Issuing Party | Market Operator |
| Receiving Party | All Meter Data Providers |
| Timing | During the Participant registration process and starting at least 20 Working Days prior to the Proposed Effective Date. |
| Nature of Communication | New registration information |
| Content of Communication | <p>The following details will be provided to the Meter Data Providers on registration of a new Trading Site.</p> <p>Trading Site ID – this is the identifier by which the Trading Site will be known.</p> <p>Trading Site Name – this is the external name of the site.</p> <p>Trading Site Location – this is the physical location of the site.</p> <p>Trading Site Address – postal address of the site</p> <p>Trading Site Supplier Unit Flag – set to yes or no. A yes value indicates this is a Trading Site Supplier Unit and can only be used to aggregate Demand quantities at a specified Trading Site.</p> <p>Generator Unit ID – the IDs of the Generator Unit(s) within that Trading Site (as appropriate)</p> <p>Supplier Unit ID – the ID of the Supplier Unit to which Demand quantities at this Trading Site are to be aggregated. If the Trading Site Supplier Unit Flag is set to yes, then only specified MPRNs can be included in this aggregation.</p> <p>Proposed Effective Date – the proposed date from which this information is effective</p> <p>Comments Field.</p> |
| Comment | <p>To effectively manage the settlement rules around netting of Trading Sites, it is essential that the Market Operator's records with regard to Trading Site, Generator Unit and Supplier Unit relationships are complete and up-to-date. If not, this will result in incorrect settlement of Units. To this end, the Retail Market Operators who will be responsible for managing the retail contracts that form the basis of the Trading Site to Associated or Trading Site Supplier Unit relationship must now retain that information in their systems. This can only be done at MPRN level. To this end, the Meter Data Providers require access to the Connection Agreement (or MPRN information) for each Generator Unit.</p> <p>From a Market Operator perspective, in general the Market Operator does not require details about meters or meter IDs or Meter Point Registration Numbers.</p> |

UPDATE TO SUPPLIER UNIT'S TRADING SITE CLASS

| Update to Supplier Unit's Trading Site Class | |
|--|--|
| Issuing Party | Market Operator |
| Receiving Party | Meter Data Provider responsible for aggregations of the Supplier Unit to which this Trading Site is part. |
| Timing | At least 20 Working Days prior to the Proposed Effective Date. |
| Nature of Communication | Update to the Status of a Supplier Unit which represents a Trading Site in SEM. |
| Content of Communication | <p>The following details will be provided to the Meter Data Providers on update to a Trading Site Class.</p> <p>Supplier Unit ID - this is the identifier which will be used to group aggregated Demand quantities</p> <p>Trading Site ID – the ID of the Trading Site.</p> <p>Old Class – may be Trading Site Supplier Unit, Associated Supplier Unit or a Supplier Unit not connected to a Trading Site</p> <p>New Class – may be Trading Site Supplier Unit, Associated Supplier Unit or a Supplier Unit not connected to a Trading Site, but cannot be the same as the previous class.</p> <p>Proposed Effective Date – the date from which this change is applicable in the SEM</p> <p>Comments Field.</p> |
| Comment | <p>This covers the potential change from a Trading Site Supplier Unit to an Associated Supplier Unit.</p> <p>It should be possible for a Supplier Unit who is initially set up as a Trading Site Supplier Unit to expand on the supply business and become an Associated Supplier Unit. In this instance, the Participant responsible for the Supplier Unit which is the Trading Site Supplier will apply to the Market Operator for a status change. The change will be recorded in the Market Operator systems and this detail will be sent to the Meter Data Providers by the Market Operator.</p> <p>Just as a Supplier Unit can expand from a Trading Site Supplier Unit to an Associated Supplier Unit, therefore it is possible for an Associated Supplier Unit to shed its supply business from under a single Supplier Unit aggregation and reduce this to only managing quantities for the Trading Site.</p> |

SUPPLIER UNIT TERMINATION

| Supplier Unit Termination | |
|---------------------------------|--|
| Issuing Party | Market Operator |
| Receiving Party | Meter Data Providers responsible for this Supplier Unit aggregations (currently MDP_MRSO and MDP_NIE) |
| Timing | <i>All these will be ad-hoc; should specify for some of the updates the window within which a submission has to be made.</i> |
| Nature of Communication | Update to existing Supplier Unit information, specifically a notice to Terminate the Supplier Unit's participation in the SEM |
| Content of Communication | <p>The following details will be provided to the Meter Data Providers on issue of a Termination Order to a Supplier Unit.</p> <p>Supplier Unit ID – this is the identifier of the Supplier Unit to which the Termination Order applies.</p> <p>Participant ID – this is the identifier of the owner of the Supplier Unit.</p> <p>Participant Name – this is the name of the owner of the Supplier Unit, generally the company name.</p> <p>Trading Site Supplier Flag – set to yes or no. A yes value indicates this is a Trading Site Supplier Unit and can only be used to aggregate Demand quantities at a specified Trading Site.</p> <p>Trading Site ID – if the Trading Site Supplier Flag is yes, the Trading Site ID will be provided.</p> <p>Date Of Issue – the date on which the Termination Order is issued. (See comments below)</p> <p>Comments Field.</p> |
| Comment | <p>Following from a Default and Suspension event in the SEM, the Market Operator may seek a Suspension Order against all or some of a named Participant's Units. Once approved by the Regulatory Authorities, this Suspension Order will be processed to the Meter Data Provider responsible for the relevant Supplier Unit's of this Participant to terminate the relevant Supplier Units in accordance with the processes in place in the relevant retail market.</p> <p>Suspension from SEM following from a payment default is by Participant can be by Supplier Unit (i.e. not all Supplier Units might be Suspended). As such, the Market Operator will be required to issue multiple Supplier Unit Deregistration communications for each of the Supplier Units that a given Participant is operating in SEM. It is the responsibility of the Meter Data Provider/Retail Market Operator to ensure that the Termination Order is executed in accordance with their published processes and that all MPRNs for which the Supplier Unit under the order are managed effectively.</p> <p>The Effective Date of the Suspension Order is at the end of the Suspension Order Delay Period. See the Supplier of Last Resort process in Section 3.4.1</p> <p>A Participant may opt to cease its participation in respect of a single Supplier Unit and the Participant may continue to trade in respect of other Supplier Units for which it is responsible. The responsibility for managing the change of customers between aggregations will need to be assigned. A Party may opt to retire a Unit (giving 90 Working Days notice).</p> |

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| | <p>The MDP should maintain the capability of providing the revised data for the Supplier Unit for updates related to past activities for duration of 14 months into the future, (as per the invoice timeframe).</p> <p>Once the Market Operator has passed these details on, the Unit will be deregistered in the SEM systems and it will be expected that any future meter data files for days past the day of deregistration/suspension for the relevant Transmission ID will not include quantities for this Supplier Unit. If quantities are included for a time period after the Termination Date, the SEM-MDP file will be rejected as invalid. Please note that with regard to timetabled revisions, the time period involved will be for a time when this Supplier Unit was active in SEM.</p> |
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GENERATOR UNIT TERMINATION

| Generator Unit Termination | |
|---------------------------------|---|
| Issuing Party | Market Operator |
| Receiving Party | Meter Data Providers responsible for this Generator Unit aggregations |
| Timing | <i>All these will be ad-hoc; should specify for some of the updates the window within which a submission has to be made.</i> |
| Nature of Communication | Update to existing Generator Unit information, specifically a notice to Terminate the Generator Unit's participation in the SEM |
| Content of Communication | <p>The following details will be provided to the Meter Data Providers on issue of a Termination Order to a Generator Unit.</p> <p>Generator Unit ID – this is the identifier of the Generator Unit to which the Termination Order applies.</p> <p>Participant ID – this is the identifier of the owner of the Generator Unit.</p> <p>Participant Name – this is the name of the owner of the Generator Unit, generally the company name.</p> <p>Proposed Effective Date – the date from which the Termination is to be effected</p> <p>Comments Field.</p> |
| Comment | <p>Termination of Generator Units can follow from a Participant opting to retire a Unit (giving 90 Working Days notice) or as a result of a market default event against either the Unit individually or the Participant as a whole.</p> <p>In the event that the termination is part of the termination of a Participant in its entirety, each Unit for which that Participant is responsible will be subject to a separate Generator Unit Termination communication.</p> <p>The MDP should maintain the capability of providing the revised data for the Generator Unit for updates related to past activities for duration of 14 months into the future, (as per the invoice timeframe).</p> <p>Once the Market Operator has passed these details on, the Unit will be deregistered in the SEM systems and it will be expected that any future meter data files for the relevant Transmission ID will not include quantities for this Generator Unit. If quantities are included for a time period after the Termination Date, the SEM-MDP file will be rejected as invalid. Please note that with regard to timetabled revisions, the time period involved will be for a time when this Generator Unit was active in SEM.</p> |

NOTIFICATION OF CONFIRMATION OF CHANGE OF SUPPLIER FOR TRADING SITE

| Notification of confirmation of Change of Supplier for Trading Site | |
|---|--|
| Issuing Party | Meter Data Provider (MDP_MRSO, MDP_NIE, any MDP responsible for Supplier Unit aggregations) |
| Receiving Party | Market Operator |
| Timing | <i>All these will be ad-hoc; should specify for some of the updates the window within which a submission has to be made.</i> |
| Nature of Communication | Update of know registration information. |
| Content of Communication | <p>The following details will be provided by the Meter Data Providers on when a Change of Supplier in the retail market impacts on a Trading Site that is operating in SEM.</p> <p>Trading Site ID – this is the identifier by which the Trading Site will be known.</p> <p>Trading Site Name – this is the external name of the site.</p> <p>Trading Site Location – this is the physical location of the site.</p> <p>Trading Site Supplier Unit Flag – set to yes or no. A yes value indicates this is a Trading Site Supplier Unit and can only be used to aggregate Demand quantities at a specified Trading Site. For this communication, the Trading Site Supplier Unit Flag must be No. If the flag value is Yes, the communication will be rejected as invalid. (see Comment below)</p> <p>Firm/Non-Firm Flag – set to yes or no. A yes value indicates that there are special Firm/Non-Firm calculations required at the Trading Site for which this is the Supplier Unit (either Trading Site Supplier Unit or Associated Supplier Unit). If the Trading Site Supplier Flag is set to no, it should be noted that this Supplier Unit can only be used to aggregate Demand quantities at a specified Trading Site with Firm/Non-Firm calculations. This can be known as a Unique Associated Supplier Unit</p> <p>Old Supplier Unit ID – the ID of the old Supplier Unit whose aggregated quantities included Demand quantities for this Trading Site.</p> <p>New Supplier Unit ID – the ID of the new Supplier Unit whose aggregated quantities will include Demand quantities for this Trading Site.</p> <p>Proposed Effective Date – the date from which this information is effective.</p> <p>Comments Field.</p> |
| Comment | <p>See earlier comments on Trading Site Registration in Appendix 3.</p> <p>This event will occur if a Demand customer in the retail market chooses to effect a Change of Supplier transaction.</p> <p>In normal events, Demand customers can change from one Supplier to the next in the retail market with no visible effect in the wholesale markets. The Retail Market Operator will manage details of what MPRN values are to be included in what aggregations and the wholesale market takes these aggregations as accurate and settles accordingly.</p> <p>However, the rules of SEM require special netting around the Associated Supplier Unit. To this end, the Market Operator must know what Supplier Unit is acting as an Associated Supplier Unit for each Trading Site.</p> <p>Therefore, if a Demand customer who is representative of the Demand</p> |

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| | <p>quantities at a Trading Site elects to move from one Supplier to another, the Retail Market Operator must notify the Market Operator of this change. The Market Operator will update its registration information that the Demand quantity for this Trading Site will be part of a different Supplier Unit's aggregations from the specified Effective Date.</p> <p>This notification is only required where the Demand customer represents the Demand quantities at a Trading Site and the Supplier Unit for this Trading Site has a Trading Site Supplier Flag set to No and the Firm/Non-Firm Flag for the Trading Site is set to No.</p> <p>In the event that a Demand customer who is representative of the Demand quantities at a Trading Site and the Supplier Unit for this Trading Site has a Trading Site Supplier Flag set to Yes, this Supplier Unit must also be subjected to a Supplier Unit Deregistration communication. This process has yet to be documented. For the Trading Site to contract its Demand to another Supplier Unit (who will become the Associated Supplier Unit for this Trading Site), it will mean that the Trading Site Supplier Unit originally registered for this Trading Site is no longer effective in the SEM. This means the Trading Site Supplier Unit will be deregistered in the SEM and a Supplier Unit Deregistration will be issued to the MDPs to remove this Supplier Unit from their systems.</p> |
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CANCELLATION OF NOTIFICATION OF CONFIRMATION OF CHANGE OF SUPPLIER FOR TRADING SITE

| Cancellation of Notification of Confirmation of Change of Supplier for Trading Site | |
|---|---|
| Issuing Party | Meter Data Provider (MDP_MRSO, MDP_NIE, any MDP responsible for Supplier Unit aggregations) |
| Receiving Party | Market Operator |
| Timing | Based on previous communication of a Notification of confirmation of Change of Supplier for Trading Site. The cancellation must occur within 5 Working Days of the original notification. |
| Nature of Communication | Cancellation of previously communicated information |
| Content of Communication | <p>The following details will be provided by the Meter Data Providers when there is a cancellation of an already communicated Change of Supplier in the retail market which impacts on a Trading Site that is operating in SEM.</p> <p>Trading Site ID – this is the identifier by which the Trading Site will be known.</p> <p>Trading Site Name – this is the external name of the site.</p> <p>Trading Site Location – this is the physical location of the site.</p> <p>Trading Site Supplier Unit Flag – set to yes or no. A yes value indicates this is a Trading Site Supplier Unit and can only be used to aggregate Demand quantities at a specified Trading Site. For this communication, the Trading Site Supplier Unit Flag must be No. If the flag value is Yes, the communication will be rejected as invalid. (see Comment below)</p> <p>Firm/Non-Firm Flag – set to yes or no. A yes value indicates that there are special Firm/Non-Firm calculations required at the Trading Site for which this is the Supplier Unit (either Trading Site Supplier Unit or Associated Supplier Unit). If the Trading Site Supplier Flag is set to no, it should be noted that this Supplier Unit can only be used to aggregated Demand quantities at a specified Trading Site with Firm/Non-Firm calculations. This can be known as a Unique Associated Supplier Unit</p> <p>Old Supplier Unit ID – the ID of the old Supplier Unit whose aggregated quantities included Demand quantities for this Trading Site.</p> <p>New Supplier Unit ID – the ID of the new Supplier Unit whose aggregated quantities will include Demand quantities for this Trading Site.</p> <p>Proposed Effective Date – the date from which this information is effective.</p> <p>Comments Field.</p> |
| Comment | <p>See earlier comments on Trading Site Registration in Appendix 3.</p> <p>This event will occur if a Change of Supplier transaction in the retail market systems is communicated to Market Operator and then is cancelled. Cancellation of a Change of Supplier notification can occur up to 5 Working Days after the original Change of Supplier notification.</p> <p>This notification is only possible where it is in respect of an Associated Supplier Unit.</p> |

COMMUNICATION CANCELLATION

| Communication Cancellation | |
|---------------------------------|--|
| Issuing Party | Market Operator |
| Receiving Party | Meter Data Providers |
| Timing | As required. |
| Nature of Communication | Cancellation of previously communicated date. |
| Content of Communication | <p>The following details will be provided to the Meter Data Providers on cancellation.</p> <p>Communication Type – Was the previous communication a New Generator Unit, New Supplier Unit, etc</p> <p>Date Of Communication – Date (and time) of issue of erroneous communication</p> <p>Supplier Unit ID/Generator Unit ID – this is the identifier of the Unit referred to in the previous communication.</p> <p>Comments Field.</p> |
| Comment | <p>This communication will pass from the Market Operator to the relevant Meter Data Providers when it is found that a previously issued communication is in error.</p> <p>This will primarily be used if the previous communication was issued to the wrong Meter Data Provider.</p> |

TRADING SITE TERMINATION

| Trading Site Termination | |
|---------------------------------|---|
| Issuing Party | Market Operator |
| Receiving Party | All Meter Data Providers |
| Timing | As required. |
| Nature of Communication | Update to existing Trading Site information, specifically a notice to Terminate the Trading Site's existence in relation to a particular Participant |
| Content of Communication | <p>The following details will be provided to the Meter Data Providers on registration of a new Trading Site.</p> <p>Trading Site ID – this is the identifier by which the Trading Site will be known.</p> <p>Trading Site Name – this is the external name of the site.</p> <p>Trading Site Location – this is the physical location of the site.</p> <p>Trading Site Address – postal address of the site</p> <p>Trading Site Supplier Unit Flag – set to yes or no. A yes value indicates this is a Trading Site Supplier Unit and can only be used to aggregate demand quantities at a specified Trading Site.</p> <p>Generation Unit ID – the IDs of the Generation Unit(s) within that Trading Site (as appropriate)</p> <p>Supplier Unit ID – the ID of the Supplier Unit to which demand quantities at this Trading Site are to be aggregated. If the Trading Site Supplier Unit Flag is set to yes, then only specified MPRNs can be included in this aggregation.</p> <p>Proposed Effective Date – the proposed date from which this information is effective</p> <p>Comments Field.</p> |
| Comment | <p>A Trading Site can be removed when:</p> <ul style="list-style-type: none"> a) all Generating Units on the Site have been decommissioned and the Participant wishes to voluntarily deregister the site b) all Generator Units choose to exit the SEM and trade as below de minimis generators c) the Participant that registered the Site is subject to a Termination Order; d) the Participant has sold all Generators on the site to another Participant, and no longer wishes to be the registrant of either the Generator Units or the Trading Site due to the extra participation fees this entails <p>The Market Operator should include this information in the comments field.</p> |

NOTIFICATION OF METER DATA EXPORT DATE AND METER DATA VALIDATION COMPLETION

| <u>Notification of Meter Data Export Date and Meter Data validation completion</u> | |
|---|---|
| Issuing Party | Meter Data Providers |
| Receiving Party | Market Operator |
| Timing | As required. |
| Nature of Communication | Notice to inform Market Operator of initiation and progress of Meter validation process |
| Content of Communication | <p>The following will be emailed to the Market Operator by the relevant Meter Data Provider subsequent to the initial registration meeting</p> <p>Email Notification of Initiation of Meter Data Validation process</p> <p>Email Notification of proposed Meter Data Export Date,</p> <p>Email Notification of Meter Data Validation Date</p> <p>Emails will include the following information</p> <p>Generation Unit ID – the IDs of the Generation Unit(s) within that Trading Site (as appropriate)</p> <p>Comments Field.</p> |
| Comment | |

CHANGE OF GENERATOR UNIT GENERIC SETTLEMENT CLASS

| Change of Generator Unit Generic Settlement Class | |
|---|---|
| Issuing Party | Market Operator |
| Receiving Party | Meter Data Providers responsible for reading of Generator Units |
| Timing | During the Participant change of classification process and starting within 2WDs of receipt of classification change request |
| Nature of Communication | Information on Generator Units changing Generic Settlement Class |
| Content of Communication | <p>The following details will be provided to the Meter Data Providers on reclassification of a new Generator Unit.</p> <p>Generator Unit ID – this is the identifier which will be used to supply generation quantities.</p> <p>Unit Address – actual address of the physical Unit</p> <p>Transmission ID – this will denote the type of Unit (NPEG or PEG)</p> <p>Participant ID – this is the identifier of the owner of the Generator Unit.</p> <p>Participant Name – this is the name of the owner of the Generator Unit, generally the company name.</p> <p>Trading Site ID – the ID of the Trading Site to which this Generator Unit belongs.</p> <p>MPRN of the Generation Site (or equivalently a Connection Agreement reference where the MPRN can be identified)</p> <p>Old Meter Data Provider</p> <p>New Meter Data Provider</p> <p>Proposed Reclassification Date – the date from which this Generator Unit is requesting to reclassify</p> <p>Comments Field.</p> |
| Comment | <p>This communication will pass from the Market Operator to the relevant Meter Data Providers when a Generator Unit is changing its classification in the SEM.</p> <p>Once the classification change has been approved by all Parties, the Unit will be reclassified in the SEM systems and it will be expected that any future meter data files for the relevant Generator ID will be provided to SEM by the new Meter Data Provider. If quantities are not included, the SEM-MDP file will be rejected as incomplete.</p> |