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| **MODIFICATION PROPOSAL FORM** | | | | | |
| **Proposer** | **Date of receipt** | | **Type of Proposal** | | **Modification Proposal ID** |
| **SEMO** | **28 March 2013** | | **Standard** | | **Mod\_30\_12\_v2** |
| **Contact Details for Modification Proposal Originator** | | | | | |
| **Name** | | **Telephone number** | | **Email address** | |
| **Brían McAuley** | | 1. **23 70147** | | [**Brian.McAuley@sem-o.com**](mailto:Brian.McAuley@sem-o.com) | |
| **Modification Proposal Title** | | | | | |
| **Improved Efficiencies in Unit Registration Process** | | | | | |
| **Documents affected** | | **Section(s) Affected** | | **Version number of T&SC or AP used in Drafting** | |
| **AP1** | | **3.2.5; 3.2.6; Appendix 1** | | **12.0** | |
| **Explanation of Proposed Change**  *(mandatory by originator)* | | | | | |
| This modification proposes to streamline the current unit registration process for units entering the SEM as set out in AP1. The procedural steps define a single process which covers all aspects of a unit registration including, inter alia, the Market Operator receiving an application, validation of the application by the various parties involved and the unit becoming effective in the market.  This proposal looks to change the process from a single continuous process to one which is broken down into 4 sequential stages. The stages are as follows:   1. Application 2. Review 3. Participant Readiness 4. Go-Live   In summary the new structure will set out the steps in stages with each stage having a clearly defined requirement to be met before completion. Until this requirement is met the application cannot be advanced to the next stage. This will mean that applications will conform to minimum standards before being circulated amongst validating parties, thereby reducing time wasted unnecessarily by all parties.  In addition to changes to allow for this new structure, the proposal also includes changes which allow for the AP to more accurately reflect the business reality of the process (e.g. the addition of a step where unit IDs are created, definition of documents added since the AP was drafted, etc.).  Operational changes are currently being implemented which will aid in delivering these changes. | | | | | |
| **Legal Drafting Change**  *(Clearly show proposed code change using* ***tracked*** *changes, if proposer fails to identify changes, please indicate best estimate of potential changes)* | | | | | |
| * 1. 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 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.   + 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. | | | | | |

* + 1. Procedural Steps

| # | Procedural Step | Timing | Method | By/From | To |
| --- | --- | --- | --- | --- | --- |
|  | **Stage 1: Application** |  |  |  |  |
| 1.1 | 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 |
| 1.2 | Complete Participation Notice and Registration Pack, interacting with System Operator, Interconnector Administrator, and Meter Data Providers as appropriate | As Required | - | Party or Applicant |  |
| 1.3 | 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. | As Required | Email and Registered Post | Party or Applicant | Market Operator |
| 1.4 | Receive/Check Participation Notice, Registration Pack and any Form of Authority. If Registration Fee is not included with Registration Pack, go to step 1.5   * If there are omissions in the required information, advise Party or Applicant, go back to step 1.2. * Otherwise go to step 1.7 | As Required |  | Market Operator | Party or Applicant |
| 1.5 | Advise Party (or Applicant) that the Registration Pack has been rejected. | Within 1 WD of receipt of Registration Pack | Email/Registered post | Market Operator | Party or Applicant |
| 1.6 | Refund any Participation Fees entitled to be refunded.  End Process: Unit Registration Cancelled | Within 10 WDs | Email/Registered Post | Market Operator | Party or Applicant |
| 1.7 | Issue Confirmation of Receipt of Application  End of Stage 1 | Within 2 WDs of receiving the Registration Pack | Email/Registered Post | Market Operator | Party or Applicant |
|  | **Stage 2: Review & Validation** |  |  |  |  |
| 2.1 | Generate Participant ID, Account ID and Unit ID as required and issue IDs to Applicant.  Note: Steps 2.2 and 2.4 are triggered in tandem after this step | As Required | Email | Market Operator | Party or Applicant |
| 2.2 | Inform Applicant of all the agreements that need to be in place before a Unit can become effective in the market | Within 1 WD of Stage 2 commencing | Email | Market Operator | Party or Applicant |
| 2.3 | The Applicant confirms the following (where applicable):   1. TUoS / DUoS application in progress 2. Submission of EDIL Data in progress 3. Metering is in place 4. Discussions with Interconnector Administrator in progress for registering Interconnector Users 5. Contact TSO ir Interconnector Owner regarding credit cover requirements | Within 15 WD of notification of agreements that need to be in place prior to Unit being effective in the market | Email | Party or Applicant | Market Operator |
| 2.4 | Issue Initial Credit Cover Requirement (ICCR) and Banking Details Confirmation Letter (BDCL) | Within 2 WDs of Step 2.1 | Email/Registered Post | Market Operator | Party or Applicant |
| 2.5 | Send completed Registration Pack and all relevant IDs to the relevant System Operator, Interconnector Administrator, and/or Meter Data Provider | Within 2 WDs of Step 2.1 | Email | Market Operator | System Operator / Meter Data Provider / Interconnector Administrator |
| 2.6 | Check Registration Data provided by Participant, as set out in the Registration Pack;   * Identify if there are any issues and clarifications required with information provided, if so, advise Market Operator and go to step 2.7 * Otherwise, confirm it is complete, and commence work on MDP/SO systems and processes to achieve Unit Registration. Go to Step 2.10 | Within 15 WDs of SO receipt of Registration Pack from MO. | Email | System Operator / Interconnector Administrator / Meter Data Provider | Market Operator |
| 2.7 | Inform Applicant of any clarifications or information needed. | Within 2 WDs of request for clarification from SO/IA/MDP | Email | Market Operator | Party or Applicant |
| 2.8 | Provide all necessary clarifications or additional information requested. | Within 5 WDs of request for clarification from MO | Email | Party or Applicant | Market Operator |
| 2.9 | Send appropriate information from clarifications to the relevant System Operator, Interconnector Administrator, and relevant Meter Data Provider. Return to Step 2.6 | Within 1 WD of receipt of clarifications from the Applicant | Email | Market Operator | System Operator / Interconnector Administrator / Meter Data Provider |
| 2.10 | Have all requirements for Stage 2 been met?   * If Applicant requirements have not been met go back to Step 2.2 * If Registration Pack has not been checked then go back to Step 2.6 * If all requirements have been met this completes Stage 2   End of Stage 2 |  |  |  |  |
|  | **Stage 3: Participant Readiness** |  |  |  |  |
| 3.1 | Organise initial Unit Registration meeting for the purposes of:   * + identification of a possible Meter Data Export Date   + Propose an Effective Date   Note: Steps 3.2 and 3.4 are triggered in tandem after this step | Within 1 WD of completion of Stage 2 | Conference Call/ Meeting | Market Operator | System Operator, External Data Provider(s),  Party or Applicant |
| 3.2 | Provide written confirmation of outstanding requirements, data and documents relating to the registration. | Within 1 WD of Initial Meeting | Email | Market Operator | Party or Applicant, System Operator, Interconnector Administrator, Meter Data Provider |
| 3.3 | Check responses from the Applicant based on written confirmation of outstanding issues:   * If all Applicant requirements from the Initial Meeting have been satisfied within 20 WDs, go to Step 3.6 * If all requirements have not been satisfied within 20 WDs, return to Step 3.1 | Within 20 WDs of written confirmation of outstanding issues | Email /Telephone | Market Operator | Party or Applicant, System Operator, Interconnector Administrator, Meter Data Provider |
| 3.4 | Commence work on Operational and System(s) readiness | Within 1 WD of Initial Meeting |  | System Operator, Interconnector Administrator, Meter Data Provider |  |
| 3.5 | Check responses from the System Operator/Interconnector Administrator/Meter Data Provider based on requirements from the Initial Meeting.   * If all requirements have been satisfied within 20 WDs go to Step 3.6 * If all requirements have not been satisfied within 20 WDs return to Step 3.1 |  |  |  |  |
| 3.6 | Have all requirements for Stage 3 been met?   * If all requirements haven’t been met then go back to Step 3.1 * Otherwise if all requirements have been met this completes Stage 3   End of Stage 3 |  |  |  |  |
|  | **Stage 4: Go Live** |  |  |  |  |
| 4.1 | Organise final Registration meeting with all relevant Parties to determine the Effective Date and discuss any outstanding clarifications or issues.   * If there are no outstanding issues, continue from step 4.2 and 4.3 in tandem. * 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 process is on hold until issue resolved. * If the registration is withdrawn all parties are informed and the process ends. | 1 WD after Stage 3 completion | Conference call or Meeting | Market Operator | Participant, System Operator, Interconnector Administrator, Meter Data Provider |
| 4.2 | Post required Credit Cover based on Agreed Procedure 9 “Management of Credit Cover and Credit Default”   * If Credit Cover is not posted according to timelines, go back to step 4.1 | As early as possible but at least 5 Working Days prior to the Effective Date | - | Party | Market Operator |
| 4.3 | Issue written confirmation that all outstanding actions have been completed and confirm Final Effective Date | Within 5 WDs prior to the Effective Date | Email | Market Operator | Party or Applicant, System Operator, Interconnector Administrator, Meter Data Provider |
| 4.4 | If the Unit is a Generator Unit, the System Operator provides DLAFs, TLAFs and CLAFs from the Effective Date. | As early as possible but at least 2 WDs prior to the Effective Date | Type 3 Channel | System Operator | Market Operator |
| 4.5 | 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,Interconnector Administrator, the appropriate External Data Provider(s) (see Section3.2.4) |
| 4.6 | Maintain and publish list of registered Units in accordance with Agreed Procedure 6 “Publications”. | As early as possible prior to the Effective Date | MO Website | Market Operator |  |
| 4.7 | Complete Meter Data validation. | Subsequent to Effective Date; see Meter Data Validation Date Glossary Definition | Email | Meter Data Provider | Market Operator, Party (or Applicant) |
| 4.8 | 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) |
| 4.9 | 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: Unit Registration Complete | Ad hoc | Email | Meter Data Provider | Market Operator |

**3.2.6 Swimlane – Unit Registration: Stage 1- Application**



* + 1. Swimlane – Unit Registration: Stage 2 – Review



* + 1. Swimlane – Unit Registration: Stage 3 – Participant Readiness



* + 1. Swimlane – Unit Registration: Stage 4 – Go Live



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| **Modification Proposal Justification**  *(Clearly state the reason for the Modification)* | |
| Separating the process into individual stages adds transparency to the process. It will be easier for Applicants to monitor the progress of their application and be aware of which steps are next. It will also be easier to monitor at what point in the process delays have occurred.  As the new stages are distinct, delays in one earlier section will not affect the deliverability of another later section. Under the current steps, unit registration is a single process and delays late in the process can cause the process to revert to much earlier in the process.  The new process will mitigate the circulation of incomplete data between the parties involved by imposing validation checks and a more sequential progression. Currently documentation may be forwarded by the Market Operator which does not have minimum requirements. This wastes time and leads to multiple versions of data unnecessarily. | |
| **Code Objectives Furthered**  *(State the Code Objectives the Proposal furthers, see Section 1.3 of T&SC for Code Objectives)* | |
| * “to facilitate the efficient discharge by the Market Operator of the obligations imposed upon it by its Market Operator Licences;” * “to facilitate the participation of electricity undertakings engaged in the generation, supply or sale of electricity in the trading arrangements under the Single Electricity Market;” * “to provide transparency in the operation of the Single Electricity Market;” | |
| **Implication of not implementing the Modification Proposal**  *(State the possible outcomes should the Modification Proposal not be implemented)* | |
| The unit registration process will continue to operate under the current procedural steps. This will lead to inefficiencies in the operation of the process by the Market Operator. Without the additional content (e.g. unit ID creation) the AP will not fully reflect the business reality of unit registration. | |
| **Working Group**  *(State if Working Group considered necessary to develop proposal)* | **Impacts**  *(Indicate the impacts on systems, resources, processes and/or procedures)* |
| No | Streamlining of Registration process |
| ***Please return this form to Secretariat by email to*** [***modifications@sem-o.com***](mailto:modifications@sem-o.com) | |

**Notes on completing Modification Proposal Form:**

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

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

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

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

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

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

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

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

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

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

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

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

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

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