

# **Agreed Procedure 7 Emergency Communications**

Version 0.1

11 November 2016

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## DOCUMENT HISTORY

Version	Date	Author	Comment
0.1	11/11/2016		

## RELATED DOCUMENTS

Document Title	Version	Date	By
Trading and Settlement Code			
Agreed Procedure 1 "Registration"			
Agreed Procedure 4 "Data Transaction Submission and Validation"			
Agreed Procedure 5 "Data Storage and IT Security"			
Agreed Procedure 6 "Data Publication and Data Reporting"			
Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support"			

# 1. INTRODUCTION

## 1.1 Background and Purpose

This Agreed Procedure supplements the rules set out in the Trading and Settlement Code (hereinafter referred as the “**Code**”) in relation to communication and system failures. It sets out procedures with which Parties to the Code must comply.

## 1.2 Scope of Agreed Procedure

This Agreed Procedure sets out procedures in relation to:

- (a) a General System Failure;
- (b) a General Communication Failure; and
- (c) a Limited Communication Failure.

For the avoidance of doubt, this Agreed Procedure does not apply to REMIT Data however, the Market Operator will comply with all requirements set out by the European Agency for the Cooperation of Energy Regulators where events which relate to communication channels and system performance will impact on REMIT Data Transactions.

This Agreed Procedure forms an annex to, and is governed by, the Code. It is a statement of process and procedure. Parties’ rights and obligations are set out in the Code. In the event of any conflict between a Party’s obligations set out in the Code and this Agreed Procedure, the Code shall take precedence.

## 1.3 Definitions

Words and expressions defined in the Code shall, unless the context otherwise requires or unless otherwise defined herein at Appendix 1 “Definitions and Abbreviations”, 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 of the Code.

## **2. OVERVIEW**

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

### **2.1 Communication and system failures**

There are three types of communication and system failure defined in the Code:

- (a) General System Failure
- (b) General Communication Failure
- (c) Limited Communication Failure

In the event that a communications failure or any error affecting the System Operator, Interconnector Administrator, outside of the Market Operator’s Isolated Market System such that a System Operator and Interconnector Administrator CMS Data Transaction (Appendix K “Other Market Data Transactions” of the Code) has not been received by the Market Operator, such CMS Data Transactions shall be submitted as soon as practicable following the specified submission deadline.

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

#### **2.1.1 General System Failure**

In the event that the Market Operator fails to meet its obligations under the Code in relation to calculation of payments and charges and Settlement under a General System Failure or in the opinion of the Market Operator is expected to fail to meet such obligations due to a General System Failure, the Market Operator will notify impacted Parties of the situation as soon as practicable. The Market Operator will also notify impacted Parties of Communication Channel alternatives.

Following notification of a General System Failure the Market Operator will provide regular (not less than daily) status updates to impacted Parties of the General System Failure. Each status update will include the original notification and will provide each impacted Party of an estimate of when the Market Operator’s Isolated Market System will be restored. Restoration time will be categorised in one of five bands namely; less than 1 hour, 1-4 hours, 4-12 hours, 0.5-2 days, greater than 2 days from the date of the original notification. If the restoration category changes in relation to a General System Failure, the Market Operator shall notify each impacted Party.

Notification of a General System Failure and status updates will be provided to Market Participants via the Market Operator web site and email. The website e-mail alerts are subscribed to by Participants as part of the website functionality. If the Market Operator website is unavailable then the Market Operator will use e-mail to notify Participants. In the unlikely event that both the Market Operator website and e-mail are unavailable, the Market Operator may use any other available means to notify and update Participants.

### **2.1.2 General Communication Failure**

In the event of a General Communication Failure the Market Operator will notify each impacted Party of the General Communication Failure (via Market Operator website or email) and issue instructions to each impacted Party in relation to how each relevant Data Transaction should be communicated to the Market Operator via e-mail or telephone.

In addition, the Market Operator will highlight those Data Transactions that are required for Settlement and detail the allowed timeline for each of these Data Transactions (the Emergency Transaction Timeline).

Where the failure also prevents the Market Operator receiving Data Transactions from the System Operators, the Market Operator will also notify the System Operator and that submission of Market Operator System Data Transactions will need to be submitted as soon as practicable following the specified submission deadline.

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

## **2.2 Limited Communication Failure**

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

In the event that an impacted Party is unable to re-establish its normal Communication Channel and the impacted Party incurs a Limited Communication Failure, the impacted Party will notify the Market Operator as soon as practicable following becoming aware that they have communication problems and they shall operate their alternative Communication Channel method for the specified Data Transactions.

In the event of a Limited Communication Failure, a Participant shall inform the Market Operator of its preferred method of communication and provide the Market Operator with any information required in this regard. If there is any change to this information the Participant shall notify the Market Operator.

The impacted Party will provide regular (i.e. not less than daily) status updates to the Market Operator of progress in relation their attempts to restore their normal Communication Channel.

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

Where a Limited Communication Failure relates to Offer Data for a Gate Window scheduled to close within five minutes, the impacted Party should follow the procedural steps set out in section 3.3 (Offer Data Limited Communication Failure). Otherwise, the impacted Party should follow the procedural steps set out in section 3.4 (Standard Limited Communication Failure).

### **2.3 Alternative Forms of Communication**

In the event of a communication failure, alternatives to the normal method of communication will be employed for the submission of Data Transactions. The three Communication Channels available are set out at paragraph C.2.1.1 of the Code: (i) Type 1 Channel; (ii) Type 2 Channel; and (iii) Type 3 Channel.

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

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

- (a) If Type 3 Channel is affected by a communication fault, then Type 2 Channel
- (b) If Type 2 Channel affected then, Type 1 Channel.

The Market Operator uses e-fax (Type 1 Channel) which is a software based fax solution. The application takes inbound faxes, converts them to e-mail and then sends them directly to an e-mail address or a distribution list. It also converts all received faxes to PDFs and stores them in a local directory. E-fax allows the Market Operator to send faxes via the application interface to single or multiple recipients without the need to manually send a fax using a traditional fax machine setup. From a Participant perspective, the interface is the same as sending and receiving fax information by traditional means.

During a General Communication Failure the response given by a Market Operator confirming receipt of a Data Transaction, whether by e-fax, or hand, shall be sent by e-fax or e-mail. The Market Operator shall act prudently in the event of a General Communication Failure and shall prioritise Data Transactions necessary for the calculation of Imbalance Price, Trading Payments, Trading Charges and Settlement. It is recognised that in the event of a General Communication Failure some of the Market Operator's obligations cannot be reasonably fulfilled.

In the event of issues with CMS Data Transactions, an impacted Party may also contact the Market Operator Helpdesk as set out in Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support".

### 3. PROCEDURAL STEPS

#### 3.1 General System Failure

Step	Procedural Step Description	Timing	Method	From / By	To
1	Attempt restoration of the Market Operator's Isolated Market System in accordance with Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support".	Immediately following determination of a General System Failure	-	Market Operator	-
2	Notify all impacted Parties of General System Failure.	Immediately following the failure to meet a deadline in accordance with the Code	Market Operator website / Email alert / E-fax	Market Operator	All impacted Parties
3	Notify all impacted Parties of alternative communication method and any associated timelines.	Within 1 hour of determination of General System Failure	Market Operator website / Email alert / E-fax	Market Operator	All impacted Parties
4	Invoke internal procedures to switch to alternative communication methods	Immediately following receipt of alternative Communication Channel details.	-	All impacted Parties	-
5	Notify all impacted Parties of best estimate of when the Market Operator Isolated Market System will be restored	Following any change to best estimate of restoration of the Market Operator's Isolated Market System or at 17:00 hours each day	Market Operator website / Email alert / E-fax	Market Operator	All impacted Parties
6	Notify all impacted Parties of restoration of the Market Operator's Isolated Market System	Immediately following restoration of the Market	Market Operator	Market Operator	All impacted Parties



Step	Procedural Step Description	Timing	Method	From / By	To
		Operator's Isolated Market System	website / Email alert / E-fax		
7	Resume processing and restore operation to normal timescales in accordance with the Code and inform all impacted Parties of any changes to the Settlement Calendar as a result of the General System Failure.	As soon as practicable following the restoration of the Market Operator's Isolated Market System	Market Operator website / Email alert / E-fax	Market Operator	All impacted Parties
8	Commission an externally audited report in accordance with Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support"	Within timescales defined in Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support"	-	Market Operator	-

### 3.2 General Communication Failure

Step	Procedural Step Description	Timing	Method	From / By	To
1	Notify impacted Parties of the General Communication Failure	Immediately following determination of a General Communication Failure	Market Operator's website / Email	Market Operator	All impacted Parties
2	Where any questions arise, impacted parties will contact the Market Operator.		Helpdesk / emergency communication's telephone / Email / E-fax	All impacted Parties	Market Operator
3	Notify all impacted Parties of the alternative communication method to be used and if necessary the Emergency Transaction Timeline.		Market Operator website / Email	Market Operator	All impacted Parties
4	Notify all impacted Parties of best estimate of when the Market Operator Isolated Market System will be restored.	Following change to best estimate of recovery or at 17:00 hours each day	Market Operator website / Email	Market Operator	All impacted Parties
5	Notify all impacted Parties of restoration of Market Operator Isolated Market System using Part 4 of the Emergency Communication Form.	Immediately following restoration of Communication Channels	Market Operator website / Email	Market Operator	All impacted Parties
6	Commission the externally audited report in accordance with Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support".	Within timescales defined in Agreed Procedure 11 "Market System Operation, Testing, Upgrading and Support"	-	Market Operator	

### 3.3 Offer Data Limited Communication Failure

Step	Procedural Step Description	Timing	Method	From / By	To
1	Notify the Helpdesk that there is a Limited Communication Failure which impacts submission of Offer Data for the next scheduled Gate Closure.	Immediately on becoming aware of Limited Communication Failure and at least five minutes prior to next scheduled Gate Closure	Email / e-fax and telephone	Party	Market Operator
2	Confirm receipt of notification of Limited Communication Failure.	As soon as practicable following completion of step 1	Email	Market Operator	Party
3	Assess if Limited Communication Failure is valid and notify Impacted Party.	As soon as practicable following completion of step 1		Market Operator	Party
4	Submit bids by providing a correctly formatted xml file of containing the Offer Data for all relevant units. Submission should include Party Authorised User, applicable password and the reference number received at step 2.	At least five minutes before next scheduled Gate Closure	Email / E-fax	Party	Market Operator
5	If Offer Data is received at least five minutes before next scheduled Gate Closure, the Market Operator shall make reasonable efforts to submit the Offer Data to the Balancing Market Interface before the next scheduled Gate Closure.	Immediately on completion of step 4		Market Operator	
6	If the Offer Data is received less than five minutes before next scheduled Gate Closure, the Market Operator shall not submit the Offer Data to the Balancing Market Interface and shall notify the Party that the Offer Data was not	As soon as practicable on completion of step 4	Email	Market Operator	Party

Step	Procedural Step Description	Timing	Method	From / By	To
	provided to the Market Operator with the required timelines.				
7	<p>Confirm receipt of the Offer Data and,</p> <p>(a) inform the Party that Offer Data has been successfully submitted to the Balancing Market Interface before the next scheduled Gate Closure; or</p> <p>(b) inform the Party that the Offer Data Offer Data was not able to be submitted to the Balancing Market Interface before the next scheduled Gate Closure.</p>	As soon as practicable following completion of step 5	Email	Market Operator	Party

### 3.4 Standard Limited Communication Failure

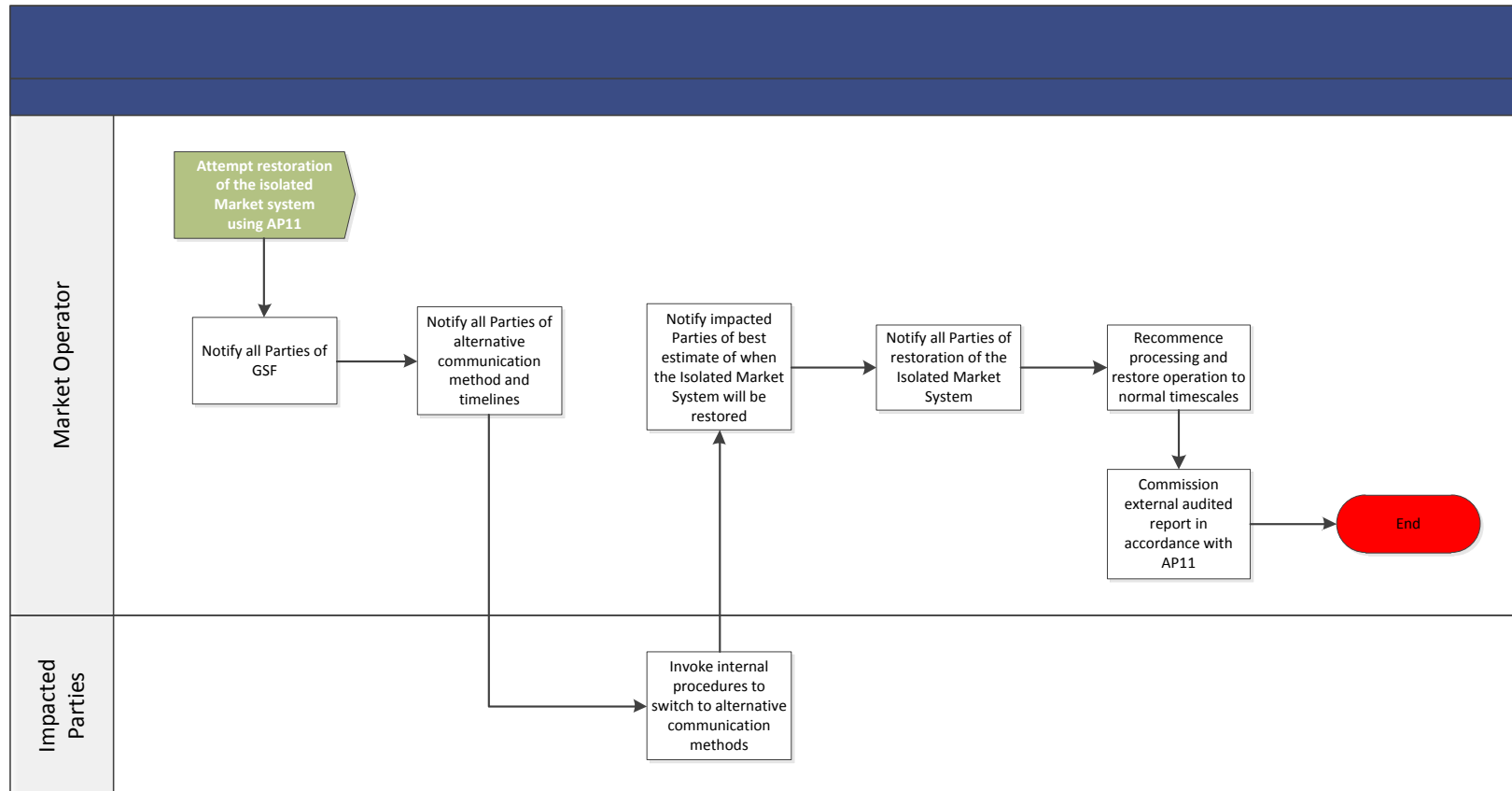
Step	Procedural Step Description	Timing	Method	From / By	To
1	Notify the Helpdesk that there is a Limited Communication Failure.	Immediately on becoming aware of Limited Communication Failure	E-fax / Email	Impacted Party	Market Operator
2	Confirm receipt of notification at of Limited Communication Failure.	Within 1 hour of receipt	E-fax / Email	Market Operator	Impacted Party
3	Assess if Limited Communication Failure is valid and notify Impacted Party.	As soon as practicable following notification of the Limited Communication Failure			
3	Notify Market Operator of: (i) alternative Communication Channels to be used for each of the Data Transactions; and (ii) the estimated timeline of the Limited Communication Failure	Within 1 hour of notifying Market Operator of the Limited Communication Failure	E-fax / Email	Impacted Party	Market Operator
4	Acknowledge receipt of notification at step 3	Within 1 hour of receipt	E-fax / Email	Market Operator	Impacted Party
5	Invoke internal processes to accept Data Transactions from the alternative Communication Channel notified at step 3	As soon as practicable following step 3	-	Market Operator	
6	Advise if there is any change to the estimated timescales for the disruption to normal operation.	Immediately following any change to the previous estimate given for expected return to normal operation	E-fax / Email	Impacted Party	Market Operator
7	Notify Market Operator of restoration of normal Communication Channels.	Immediately following restoration of normal Communication Channels	E-fax / Email and Telephone	Impacted Party	Market Operator
8	Acknowledge receipt of notification of restoration	Within 1 hour of receipt of	E-fax / Email	Market Operator	Impacted Party

	to normal Communication Channels	notification at step 7		
<b>9</b>	Invoke internal processes to revert to normal Communication Channels for the Party	As soon as practicable following receipt of notification at step 7	-	Market Operator

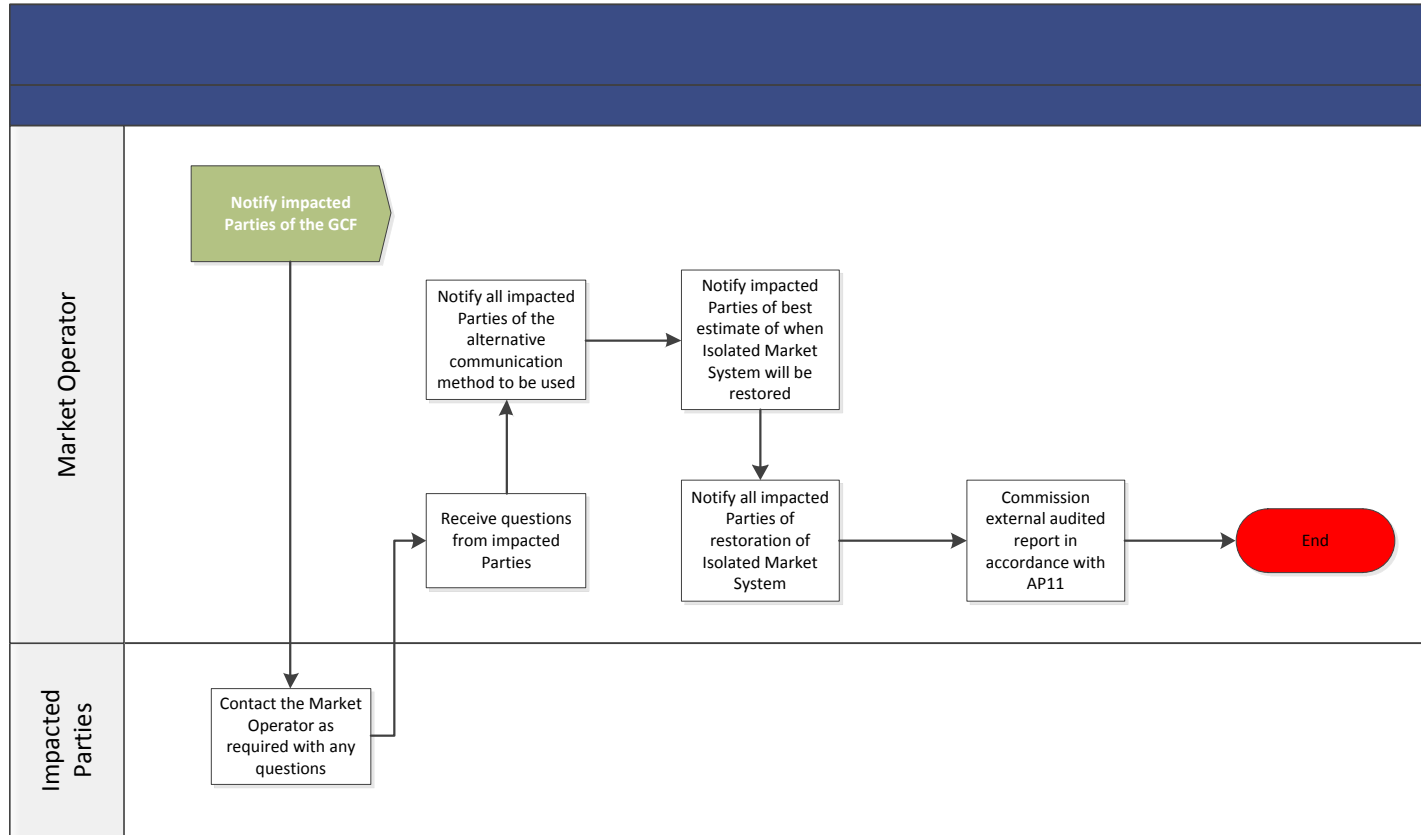
## 4. SWIMLANES

It is not intended that there be any inconsistency or conflict between this section 4 “Swimlanes” and section 3 “Procedural Steps”. However, in the event of any inconsistency or conflict, section 3 “Procedural Steps” shall take precedence.

### 4.1 General Systems Failure

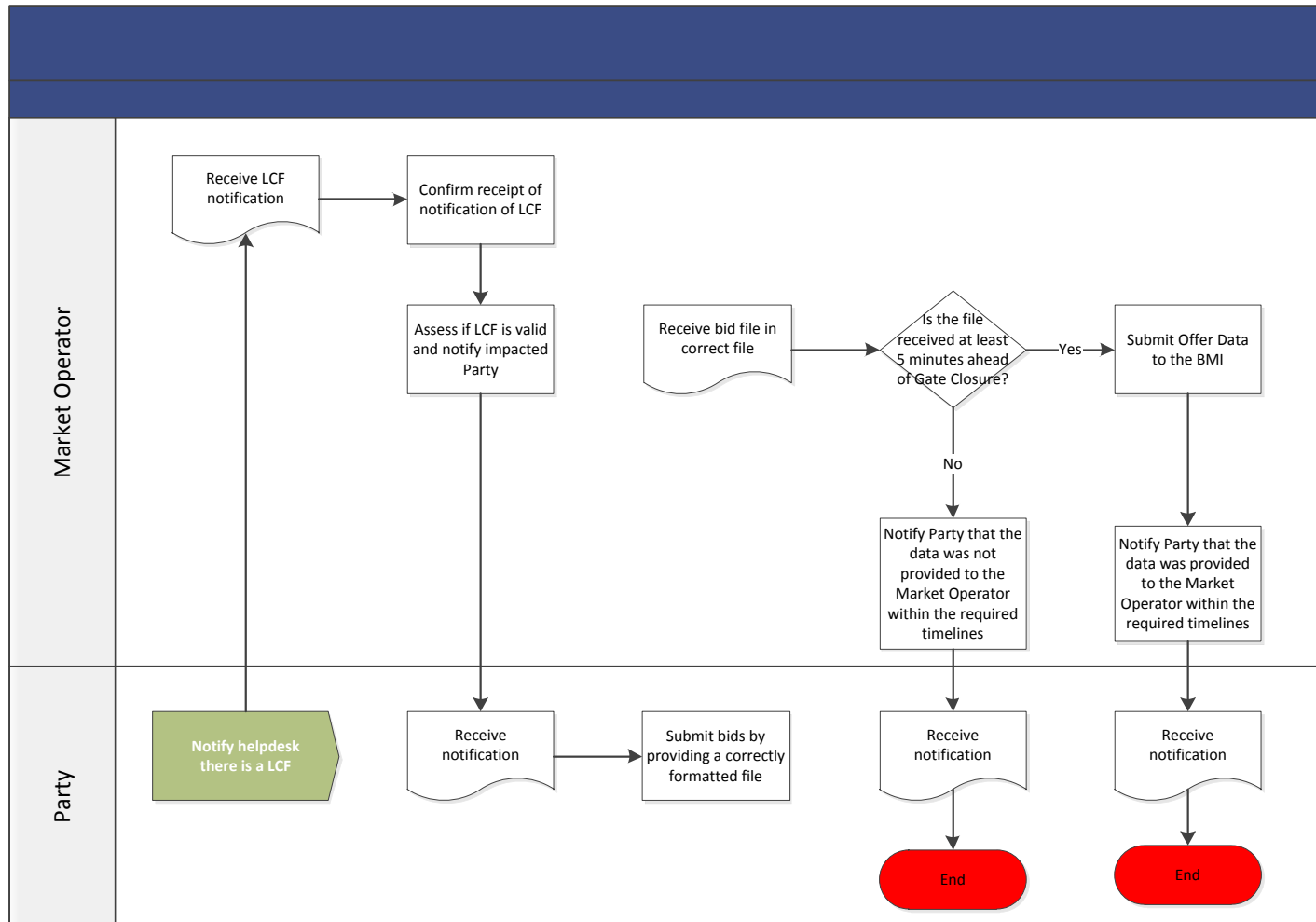


## 4.2 General Communication Failure

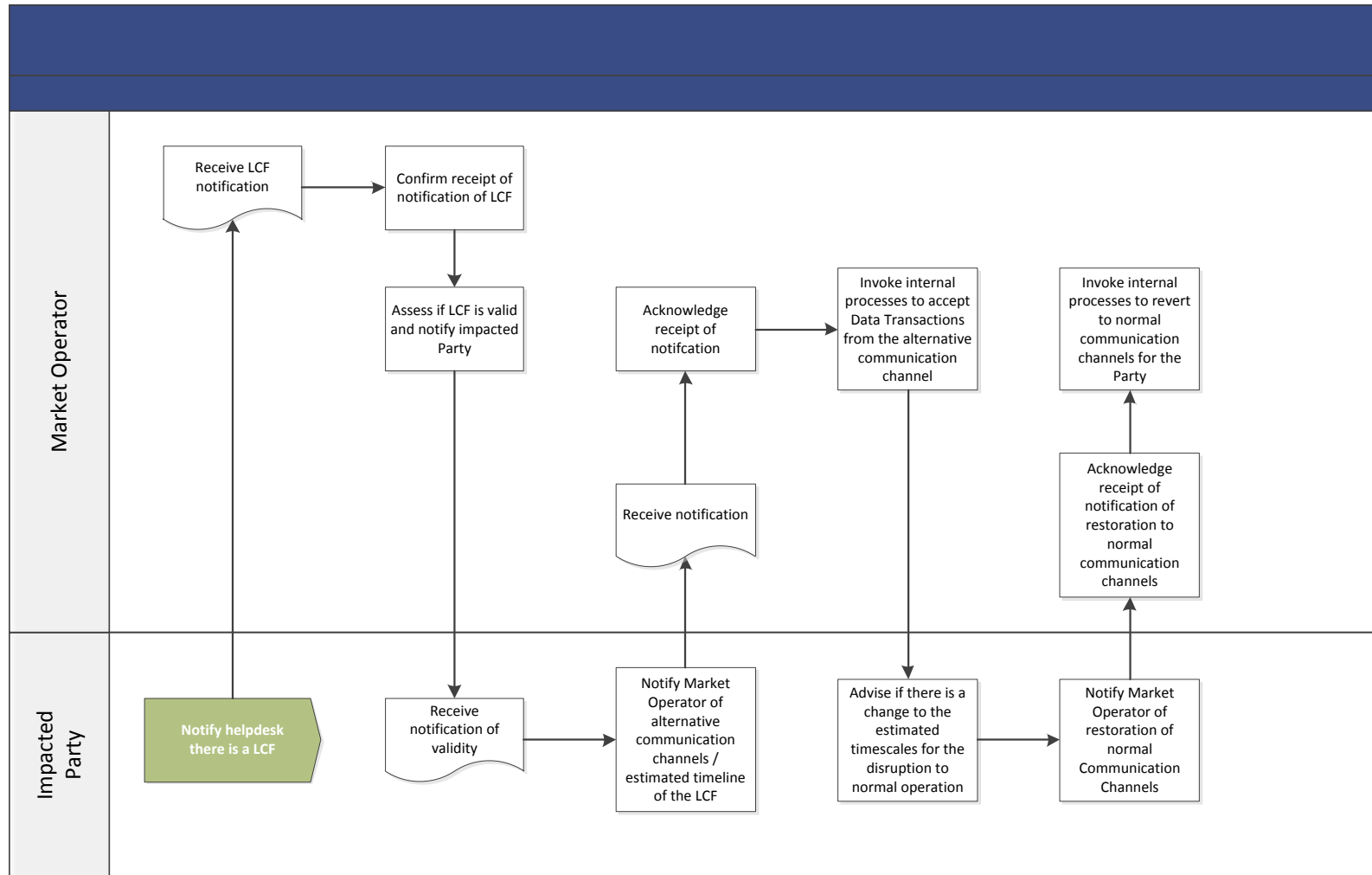




### 4.3 Offer Data Limited Communication Failure



#### 4.4 Standard Limited Communication Failure



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## APPENDIX 1 DEFINITIONS AND ABBREVIATIONS

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Words and expressions used herein shall have the same meaning given to them in the Code, unless otherwise specified here.

### DEFINITIONS

<b>Authorised Person</b>	means the representative of a Party who is authorised by that Party to communicate with the Market Operator.
<b>Balancing Market Interface</b>	means the function within the Market Operator's systems that interfaces to the Type 2 Channel and Type 3 Channel communications in accordance with the Code.
<b>Emergency Transaction Timeline</b>	means the timeline for Data Transactions in the event of a communication failure.