



B90

Balancing Market - Transitional Registration Guide

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****For Transitional Registration Use Only****

Balancing Market – Transitional Registration Guide

DO NOT send this document back with your application. It is provided only as a reference.

1. Introduction

This guide outlines the documents required for the registration of existing SEM Parties, Participants and Units under the I-SEM Trading and Settlement Code Arrangements (referred to as “Transitional Registration”).

For a Party to complete the Transitional Registration of its Units there are a number of requirements that must be met. This guide outlines these requirements. Where possible the extent of the registration requirements have been minimised to facilitate an efficient Transitional Registration.

The timelines for Balancing Market Transitional Registration are provided in the [Transitional Registration Plan](#).

The general process is:

1. Obtain the relevant application forms from the SEMO website or by contacting the SEMO helpdesk.
 2. Prepare the relevant application forms and supporting information with assistance from the SEMO helpdesk.
 3. Submit the Balancing Registration Data Spreadsheet and Data Confirmation Form to SEMO by **1st May 2017**.
 4. Submit a draft of the Trading and Settlement Code Framework Agreement to SEMO in order to confirm correctness by **15th May 2017**.
 5. Submit the relevant application forms and supporting information to SEMO by **16th June 2017**.
 6. SEMO will then process the Transitional Registration for the Balancing Market in co-ordination with all relevant Parties (including Meter Operators, Transmission System Operators, Distribution System Operators and you as the Party registering the Unit).
 7. Submit the signed Trading and Settlement Framework Agreement, other agreements and user access forms by **28th July 2017**.
 8. Once all Balancing Market Transitional Registration has been complete, SEMO will notify you of the completion of this initial setup of the Transitional Registration and advise you of any follow up activities and documentation needed to be ready for Market Trial and Go-Live.
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2. Contact Details

The following are the official contact details that should be used for submitting the transitional registration application documents.

Postal Correspondence:

*I-SEM Registration
SEMO
The Oval
160 Shelbourne Road,
Ballsbridge
Dublin 4
D04 FW28
IRELAND*

Email Correspondence:

i-semregistration@sem-o.com

Phone Correspondence:

If you have any questions on the application process or details please contact:
1800 726772 (ROI) or 0800 0726772 (NI)
+353 (1) 2370584 (International)

3. Application Checklist

A checklist of the forms or supporting information required for Transitional Registration is provided below.

Not all forms or supporting information may be relevant. Details of the relevancy of documentation are provided in the checklist below and further details in Section 4 and 5.

Document ID	Document Name	Relevance	Due Date	Submission Format	
B93	Balancing Market – Transitional Registration Data	Mandatory ¹	1 st May 2017	Spreadsheet emailed to SEMO with B91 Data Confirmation	<input type="checkbox"/>
B91	Balancing Market - Data Confirmation	Mandatory	1 st May 2017	Signed, scanned copy emailed to SEMO	<input type="checkbox"/>
B11	Balancing Market - Unit Participation Notice	New Assetless and Trading Units only	16 th June 2017	Signed, scanned copy emailed to SEMO	<input type="checkbox"/>
B15	Forecast Volumes	Mandatory	16 th June 2017	Spreadsheet emailed to SEMO	<input type="checkbox"/>
B02	Balancing Market - Party Administrative User (PAU) Authorisation	Mandatory	16 th June 2017	Signed, scanned copy emailed to SEMO <u>plus</u> registered post for 1 x original to SEMO	<input type="checkbox"/>
B92	Balancing Market - User Access	Mandatory	16 th June 2017	Signed scanned copy emailed to SEMO	<input type="checkbox"/>
B14	Form of Authority & Proof of Consent	Intermediaries only	3rd August 2017	Scanned copies emailed to SEMO <u>plus</u> registered post for 1 x original of Form of Authority to SEMO	<input type="checkbox"/>
B95	TSC Framework Agreement	Mandatory	Comments by 10 th May 2017 Draft by 15 th May 2017 Final by 28 th July 2017	Signed, scanned copy emailed to SEMO <u>plus</u> 1 x original sent by registered post to SEMO	<input type="checkbox"/>
B17	Settlement Reallocation Agreement (SRA) Form	Optional	Late 2017/Early 2018	Signed, scanned copy emailed to SEMO <u>plus</u> 1x original sent to SEMO via registered post	<input type="checkbox"/>

¹ Except where the registration is for a Party with only Assetless Units. In this case B11 is relevant and B93 and B91 are not needed.

Supporting Documents	Relevance	Due Date	Submission Format	
Proof of Company Register	Mandatory – requirement dependent on jurisdiction of company.	28 th July 2017	Scanned copy emailed to SEMO	<input type="checkbox"/>

4. Application Form Explanation

Further information is provided in this section about each application document and its relevance.

4 (a) B93 Balancing Market – Transitional Registration Data

In November 2016, information on the existing SEM Parties and its Units were provided by SEMO for Transitional Registration purposes. For Parties or Units that registered after November 2016, the information will have been provided in late March 2017.

This information has been mapped from the existing SEM entity setups to the new I-SEM entity setups and requires review by Parties.

The Registration Data is needed for Transitional Registration in the Balancing Market. By using the information from the existing SEM system it is intended to minimise the registration effort required for the I-SEM Arrangement.

The [Balancing Registration Data User Guide](#) was also published to assist Parties in completing the validation and update of the Balancing Registration Data.

The “B93 Balancing Market – Transitional Registration Data” form is **mandatory** for all Transitional Registrations excluding Parties that only have Assetless Units or Trading Units.

The “B93 Balancing Market – Transitional Registration Data” **spreadsheet** must be **emailed to SEMO**, with a **signed, scanned “B91 Balancing Market – Data Confirmation”** by **1st May 2017**.

4 (b) B91 Balancing Market – Data Confirmation

To verify the authenticity of “B93 Balancing Market – Transitional Registration Data”, the form must be **emailed** to SEMO with a **signed, scanned “B91 Balancing Market – Data Confirmation”** form.

The confirmation form is **mandatory** where “B93 Balancing Market Transitional Registration Data” is being submitted and must be signed by a lawfully appointed director of the company and **emailed** to SEMO by **1st May 2017**

4 (c) B11 Balancing Market - Unit Participation Notice

Where a new Unit is required by the Party for the Transitional Registration i.e. Assetless Unit or Trading Unit a "B11 Balancing Market - Unit Participation Notice" must be completed instead of using the "B93 Balancing Market – Transitional Registration Data" form.

This Unit Participation Notice provides information on the relevant Party and Participant of the Unit as well as key Unit information to assist in processing the Unit application. Where a Party does not have a Participant already created in the jurisdiction of the Unit, then the form will request details to allow the setup of the Participant.

The form also includes a confirmation section to ensure the application has been approved and signed by a lawfully appointed director of the company registering the Unit.

This application form is **only required for new Assetless or Trading Units**.

A **signed, scanned copy** of the form must be **emailed** to SEMO by the **16th June 2017**.

4 (d) B15 Forecast Volumes

In order for SEMO to calculate initial credit cover requirements for the Unit in the Balancing Market, information is required from the Party on the forecast volume of trading in each I-SEM Market.

It is in the best interest of the Party to ensure this information is correct, as under estimation could result in credit calls needing to be resolved within two working days, and the halting of trading in the Day Ahead/Intraday Markets due to insufficient credit cover in the Balancing Market.

The Forecast Volumes form is **mandatory** for Transitional Registration.

The Forecast Volumes form **spreadsheet** must be **emailed** to SEMO by the **16th June 2017**.

Note: A separate form is required for each Unit of the Party.

4 (e) B02 Balancing Market - Party Administrative User (PAU) Authorisation

At least one Party Administrative User (PAU) must be appointed and registered on behalf of each Party. The purpose of the PAU is to create “users” and maintain their access rights and user information relating to the Party in the Balancing Market Interface and Capacity Auction System. This includes, for example, nominating and managing the access rights of certain users as “Authorised Persons”, who will be responsible for communicating (on behalf of the Party) to SEMO the information in the applicable “Authorised Category” as set out in TSC Agreed Procedure 11.

Where a Party wishes to add users or amend existing users in the Balancing Market Interface or Capacity Auction System the PAU (and only the PAU) will have system access to make these changes.

The PAU Authorisation form confirms the users which have authorisation to act as PAUs in the Balancing Market Interface and Capacity Auction System, and who have authority to create other users within their Party.

Due to the importance of the PAU role and the administrative tasks the role can perform, the appointment of a user as a PAU requires the approval of a lawfully appointed director of the Party.

SEMO would also recommend that at least two PAUs are authorised to avoid issues where a PAU is unavailable.

This form is **mandatory**.

A **signed, scanned copy** of the form must be **emailed** to SEMO by the **16th June 2017**. In addition, **1x original** must be sent to SEMO **via registered** post by **16th June 2017**.

4 (f) B92 Balancing - User Access

The User Access Form is only to be used for Transitional Registration. It allows the initial setup of users for a Party in the Balancing Market Interface, for use in Market Trial and I-SEM Go-Live. Once these initial users have been created in the Balancing Market Interface the individual user will have the ability to amend their details, but not their authorisations or system access, directly in the Balancing Market Interface.

The user information includes three key components:

- 1) System Access – determines access within the Balancing Market Interface.
- 2) Key Contacts – identifies who should be contacted within a Party in certain circumstances.
- 3) Security Questions – allows confirmation of identity for requests and authorisations.

Additional users or amendments to users can be made by a PAU once they have access to the Balancing Market Interface.

At least one Registration User must be defined to allow for amendment of the Balancing Market Transitional Registration Data.

This form is **mandatory**. It must be signed by a lawfully appointed director of the Party or a PAU.

A **signed, scanned copy** of the user access form must be **emailed** to SEMO by the **16th June 2017**.

4 (g) B14 Form of Authority & Proof of Consent

A Unit Owner may wish to appoint another Party (an Intermediary) to register and participate in the I-SEM in respect of their Unit(s). The Unit Owner must have signed a Form of Authority with the Intermediary and have Regulatory Consent for the Intermediary to act as an intermediary for the Unit in the SEM.

The Intermediary registering a Unit(s) must provide SEMO with proof of this Regulatory Consent.

The Form of Authority and Proof of Consent is **only required for Parties who will be acting as an Intermediary**.

A **scanned copy** of the Letter of Consent given by the Regulatory Authorities, and a **scanned copy** of the Form of Authority must be **emailed** to SEMO by the **3rd August 2017**. In addition, **1x original Form of Authority must be sent to SEMO by registered post by 3rd August 2017**.

4 (h) B95 Trading and Settlement Code (TSC) Framework Agreement

An existing Party to the Trading and Settlement Code is able to sign up directly to the new I-SEM version of the TSC Framework Agreement, rather than go through the full accession process.

This will require a correctly completed TSC Framework Agreement signed and submitted to SEMO.

A draft pro-forma TSC Framework Agreement is included in the registration pack. If participants have any comments on the draft agreement, please provide them to i-semregistration@sem-o.com by the 10th May 2017, so that they can be considered for the final approved version. SEMO will ensure any comments received are forwarded to the Regulatory Authorities.

Based on the draft TSC Framework Agreement wording, SEMO intend to issue draft TSC Framework Agreements to each Party by the 1st May 2017. It is strongly recommended that this draft is reviewed by Parties to confirm the Company details and other particulars are correct. An updated version of this **draft TSC Framework Agreement** (without signatories) should be provided to SEMO by the **15th May 2017**. SEMO will then provide the finalised TSC Framework Agreement wording with the relevant confirmed particulars for each Party by 30th May 2017.

This will allow validation of the draft TSC Framework Agreement prior to signing by the Party and submitting the **completed TSC Framework Agreement by 28th July 2017**.

Completion of the Framework Agreement is **mandatory**.

A signed, scanned copy of the Framework Agreement must be **emailed** to SEMO **by the 28th July 2017**. In addition, **an original** must be sent via **registered post** to SEMO and must arrive **by the 28th July 2017**.

4 (i) B17 Settlement Reallocation Agreement (SRA) Form

A Settlement Reallocation Agreement assigns financial responsibility of a Participant to another Participant. In doing so it allows:

- a) Netting of collateral requirements
- b) Netting of payments owed or owing

Submission of a Settlement Reallocation Agreement is *optional*. It may also be submitted at a later date taking account of the eligibility criteria which includes, submissions only being valid during period 60-20 days before the settlement period the SRA is proposed to apply from.

Further details on Settlement Reallocation Agreements are provided in Section 9.17 of the Trading and Settlement Code and in Agreed Procedure 10 “Settlement Reallocation”.

The SRA is *optional* and can be submitted in *late 2017/early 2018*.

Signed, scanned copy of the SRA Agreement must be **emailed** to SEMO. In addition, **1x original** signed copy of the SRA Agreement must be sent via **registered post** to SEMO.

5. Supporting Documents

5 (a) Proof of Company Register

Applicants are required to submit proof of company registration. The requirements are different based on the jurisdiction of the company.

For **Republic of Ireland and United Kingdom** companies the following must be provided, unless it has already been provided as part of the signing of the Capacity Code Framework Agreement.

Republic of Ireland (ROI) - Companies registering from the Republic of Ireland are required to provide copies of the **Memorandum & Articles of Association/Constitution**, the **Certificate of Incorporation** and an up-to-date **CRO - Company Printout**.

United Kingdom (UK) - Companies registering from the United Kingdom are required to provide copies of the **Constitution**, a copy of the **Certificate of Incorporation** and an up-to-date **Companies House - Company Report**.

Where the company is registered in a **different jurisdiction to the Republic of Ireland or United Kingdom**, the following is required on submission of the Accession Deed:

Other – If you are registering a company outside of the Republic of Ireland and the United Kingdom then you are required to provide *written confirmation from the applicant’s legal counsel of the following:-*

- a) his/her qualification as a lawyer in the relevant country;

- b) that the Framework Agreement has been executed on behalf of the Applicant company in accordance with the Articles of Association (or equivalent) of the company; and (if applicable); and
- c) that any/all papers submitted in respect of authorised signatories are sufficient to meet the legal requirements under the governance of the applicant company and the laws of the relevant country for the appointment of authorised signatories.

A scanned copy must be emailed to SEMO with the Framework Agreement by the 28th July 2017.
