



# C90

## Capacity Market - Transitional Registration Guide

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

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## Capacity Market – Transitional Registration Guide

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

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### 1. Introduction

This “C90 Capacity Market - Transitional Registration Guide” outlines the documents required for the registration of existing SEM Parties, Participants and Units looking to register and qualify for the first Capacity Auction under the I-SEM Arrangements (referred to as “CMC Transitional Registration”).

For a Party to complete the CMC Transitional Registration of its Units there are a number of requirements that must be met. Where possible the extent of the registration requirements has been minimised to facilitate an efficient Transitional Registration of existing Parties and Units to the I-SEM Arrangements.

The timelines for Capacity 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 a draft of the Capacity Market Code Framework Agreement to SEMO in order to confirm correctness by **15<sup>th</sup> May 2017**.
  4. Submit the Capacity Unit Registration and Qualification forms and supporting information to SEMO by **3rd August 2017**.
  5. Submit the signed Trading and Settlement Framework Agreement by the **28<sup>th</sup> July 2017**.
  6. SEMO will perform the validation and approval of the qualification.
  7. Once approved SEMO will provide confirmation that the Candidate Units or Capacity Aggregation Unit (CAU) has been approved as a Capacity Market Unit for a given Capacity Auction.
  8. SEMO will then notify you of the completion of this initial setup in the CMC Transitional Registration and Qualification and advise you of the follow up activities and documentation needed to be ready for the Capacity market Mock Auction and Go Live Auction.
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## 2. Contact Details

*The following are the official contact details that should be used for submission of 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](mailto: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)

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### 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	
C02	Capacity Market - PAU Authorisation	Mandatory – (unless completed under TSC Transitional Registration)	3rd August 2017	Signed, scanned copy emailed to SEMO, <u>plus 1x original</u> sent to SEMO via registered post.	<input type="checkbox"/>
C91	CMC Framework Agreement	Mandatory	28 <sup>th</sup> July 2017	Signed, scanned copy emailed to SEMO <u>plus 1x original</u> sent by registered post to SEMO	<input type="checkbox"/>
C92	Capacity Market - Unit Registration and Qualification Application	Mandatory	3rd August 2017	Signed, scanned copy emailed to SEMO	<input type="checkbox"/>
C93	Capacity Market - Auction System User Access	Mandatory	3rd August 2017	Signed, scanned copy emailed to SEMO	<input type="checkbox"/>
C94	Capacity Market - Unit Registration & Qualification Data C94a CU C94b CCU C94c AGU C94d APS	Mandatory	3rd August 2017	Spreadsheet emailed to SEMO	<input type="checkbox"/>
C14	Form of Authority & Proof of Regulatory Consent	Intermediaries only (if not completed as part of Balancing Market Transitional Registration)	3rd August 2017	Scanned copies emailed to SEMO <u>plus 1x original</u> Form of Authority sent to SEMO via registered post.	<input type="checkbox"/>
C33	Capacity Market – Opt Out Notification	Optional	<b>3rd August 2017<sup>1</sup></b>	Signed, scanned copy emailed to SEMO	<input type="checkbox"/>
C20	Capacity Market – REMIT Reporting Agreement	Optional [Agreement not yet available, to be confirmed in line with CMC Rules approval]	7 <sup>th</sup> February 2018	Signed, scanned copy emailed to SEMO plus 1x original sent by registered post to SEMO	<input type="checkbox"/>

<sup>1</sup> Pre-requisite is to have made application to Regulatory Authorities by the 14<sup>th</sup> July 2017.

Supporting Documents	Relevance	Due Date	Submission Format	
<b>Implementation Plan and Evidence of Connection</b>	New Capacity only	3rd August 2017	Scanned copy emailed to SEMO	<input type="checkbox"/>
<b>Evidence of Aggregation Generation Unit</b>	AGU Capacity only	3rd August 2017	Scanned copy emailed to SEMO	<input type="checkbox"/>
<b>DSU Business Plan</b>	DSU New Capacity Only	3rd August 2017	Scanned copy emailed to SEMO	<input type="checkbox"/>
<b>Proof of Company Register</b>	Mandatory – requirement dependent on jurisdiction of company	3rd August 2017	Scanned copy emailed to SEMO	<input type="checkbox"/>
<b>Exception Application - Unit Specific Price Application</b>	Optional	3rd August 2017	Submitted to RAs. Dependent on RA requirements	<input type="checkbox"/>
<b>Exception Application – Maximum Duration for New Capacity</b>	Optional	3rd August 2017	Submitted to RAs. Dependent on RA requirements	<input type="checkbox"/>
<b>Confirmation of Allocation of Maximum Export Capacity for Shared Connection Point</b>	Mandatory for Shared Connection Point – (not applicable for DSU)	3rd August 2017	Scanned copy emailed to SEMO	<input type="checkbox"/>

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## 4. Application Form Explanation

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

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### 4 (a) C02 Capacity 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 users.

Where a Party wishes to add users or amend existing users in the Balancing Market Interface and 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 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 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** and must be signed by a Participant Director.

A **signed, scanned copy** of the form is to be **emailed** to SEMO by the **3rd August 2017** unless the “B02 Balancing – PAU Authorisation” form has been completed as part of Balancing Transitional Registration. In addition, **1x original** must be sent to SEMO via registered post by the **3rd August 2017**.

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#### 4 (b) C91 Capacity Market Code (CMC) 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 CMC Framework Agreement, rather than go through the full accession process.

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

Following the publication of the Capacity Market Code on 2<sup>nd</sup> June 2017, The SEMO has now issued the final Framework Agreement to each individual Party. Please do contact [i-semregistration@sem-o.com](mailto:i-semregistration@sem-o.com) if you have any queries.

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

**A signed, scanned copy** of the CMC Framework Agreement must be **emailed** to SEMO **by the 28<sup>th</sup> July 2017**. In addition, **1 x original** must be sent via **registered post** to SEMO and must arrive **by the 28<sup>th</sup> July 2017**.

Please note that supporting information “Proof of Company Register” must be provided, if it has not already been provided with the Trading and Settlement Code Framework Agreement signing.

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#### 4 (c) C92 Capacity Market - Unit Registration and Qualification Application

The “C92 Capacity Market - Unit Registration and Qualification Application” provides information on the relevant Party, Participant and Candidate Units. 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 Candidate Units.

The application form is **mandatory** for all Candidate Unit registrations and qualification for the first Capacity Auction.

**Note:** For the CMC Transitional Registration process the registration and qualification applications will be submitted together using forms “C92 Capacity Market -Unit Registration and Qualification Application” and “C94a/b/c/d Capacity Market - Unit Registration and Qualification Data”.

**A signed, scanned copy** of the signed form must be **emailed** to SEMO along **with** the “C94a/b/c/d Capacity – Unit Registration and Qualification Data” by **3rd August 2017**.

Candidate Units and Capacity Market Units

A **Candidate Unit (CU)** is a Generator Unit or Interconnector, or a proposed Generator Unit or Interconnector Unit that has been registered under the Capacity Market Code. A Candidate Unit is identified by the Candidate Unit ID e.g. GU\_nnnnnn, DSU\_nnnnnn, IU\_nnnnnn. Where the Candidate Unit is already registered, or being registered under the Trading and Settlement Code then the Candidate Unit ID will be the same as the Unit ID used for the Trading and Settlement Code.

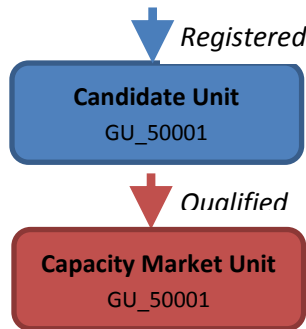
Where a Party wishes to **combine Candidate Units (CCU)** for trading and settlement under the Capacity Market Code it must firstly register a **Capacity Aggregation Unit (CAU)**. This CAU is a virtual unit that is used by the Capacity Market and Balancing Market Systems for the purposes of trading and settlement of a combination of Candidate Units as a Capacity Market Unit. A CAU is identified by the Unit ID e.g. CAU\_nnnnnn.

Once registered, a Party must qualify a Candidate Unit (or combination of Candidate Units) for a Capacity Auction in order to take part in that specific Capacity Auction.

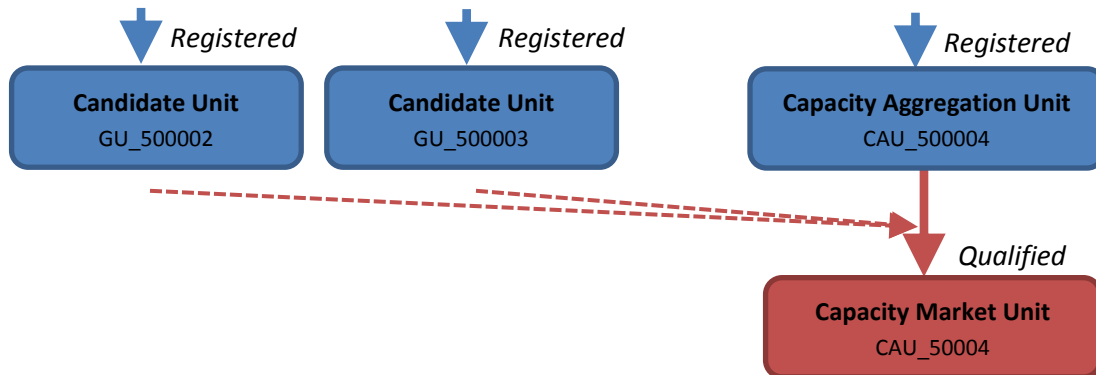
Once qualified the Candidate Unit (or combination of Candidate Units) is defined as a **Capacity Market Unit (CMU)** for the specific Capacity Auction. The CMU is identified by the same Unit ID used for the Candidate Unit (or Capacity Aggregation Unit). e.g. Gu\_nnnnnn, DSU\_nnnnnn, IU\_nnnnnn, CAU\_nnnnnn in the Capacity Auction System and in the Balancing Market Interface for Settlement.

The “C92 Capacity Market -Unit Registration and Qualification Application” form is required as part of the Candidate Unit registration and Capacity Market Unit qualification process.

Single Candidate Unit qualified as a Capacity Market Unit



Combined Candidate Units qualified as a Capacity Market Unit





**4 (d) C94 Capacity Market - Unit Registration and Qualification Data**

Detailed data about the Candidate Unit(s) is required to approve the registration and qualification of a Capacity Market Unit for the first Capacity Auction.

There are four versions of the “C94 Capacity Market - Unit Registration and Qualification Data” :C94a, C94b, C94c and C94d. The correct form to complete is dependent on the Capacity Market Unit you are looking to qualify.

The data forms available for registration and qualification of a Capacity Market Unit are:

Individual Candidate Unit (CU)	<i>Please complete “C94a Capacity Market - Unit Registration and Qualification Data (CU)”.</i> <i>All Candidate Units for which individual CMU qualification are being sought can be included in the one form.</i>
Combined Candidate Units (CCU)	<i>Please complete “C94b Capacity Market - Unit Registration and Qualification Data (CCU)”.</i> <i>A separate form is required for each Combined Candidate Unit.</i>
Aggregated Generation Unit (AGU)	<i>Please complete “C94c Capacity Market - Unit Registration and Qualification Data (AGU)”.</i> <i>A separate form is required for each AGU.</i>
Autoproducer Unit (APS)	<i>Please complete “C94d Capacity Market - Unit Registration and Qualification Data (APS)”.</i> <i>A separate form is required for each APS.</i>

The Unit Data Form is **mandatory** for all Capacity Market Unit qualification applications.

The Unit Data **spreadsheet** must be **emailed** to SEMO **with** the “C92 Capacity Market - Unit Registration and Qualification Application” by **3rd August 2017**.

Please note, where a Unit Specific Price or New Investment Cost Threshold have been indicated in the Qualification Data, an application to the Regulatory Authorities must have been made for these exemptions by the 3rd August 2017.

**4 (e) C93 Capacity Market - Auction System User Access**

The “C93 Capacity Market – Auction System User Access” form is only to be used for a CMC Transitional Registration. It allows the initial setup of users for a Party in the Capacity Auction System, for use in Mock Auction and the Capacity Auctions. Once these initial users have been created in the Capacity Auction System the individual user will have the ability to amend their details directly in the Capacity Auction System.

Additional users or amendments to users can be made by a PAU once the PAU has access to the Capacity Auction System.

This form is **mandatory**. It must be signed and submitted by a Participant Director, or a PAU of the Party.

A **signed, scanned copy** of the user access form must be **emailed** to SEMO by the **3<sup>rd</sup> August 2017**.

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#### 4 (f) C14 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 I-SEM.

The Intermediary registering a Unit must provide 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**.

The Form of Authority covers both the Balancing and Capacity Market. Therefore either this form “C14 Form of Authority & Proof of Consent” or “B14 Form of Authority & Proof of Consent” (as part of the Balancing Market Transitional Registration) should be completed.

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**. The **original Form of Authority must also be sent to SEMO by registered post by the 3rd August 2017**.

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#### 4 (g) C33 Capacity Market - Opt-out Notification

Please note that where a Party wishes to Opt-out of qualification for one or more of its Candidate Units for the First Capacity Auction, an Opt-out notification (one per Candidate Unit) must be submitted along with supporting evidence of consent from the Regulators where applicable.

The Candidate Unit must meet the Opt-out criteria as defined in CMC Section E.3.

The Opt-out notification is only available to Candidate Units as defined in CMC Section E.2. A Party shall not submit an Opt-out notification in respect of a Candidate Unit for which an application for qualification is voluntary.

A Participant seeking a determination of Opt-out to satisfy CMC Section E.3.1.1(b) **shall submit an application to the Regulatory Authorities not later than four weeks prior to the Opt-out Notification Date specified in the Capacity Auction Timetable**. Please refer to CMC Section E.3.2 for detailed requirements. For the first capacity auction, the submission to the **Regulatory Authorities** for a determination to opt-out must be made by the **14<sup>th</sup> July 2017**.

The Opt-out Notification is **optional**.

A **signed, scanned copy** of the C33 Capacity Market – Opt-out Notification must be **emailed** to SEMO by the Opt-out notification deadline of the **3rd August 2017**.

Where a Candidate Unit chooses to Opt-out there will still be a requirement for the Party to sign the CMC Framework Agreement and complete the registration of the Candidate Unit.

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#### 4 (h) C20 Capacity Market - REMIT Reporting Agreement

[The “C20 Capacity Market – REMIT Reporting Agreement” is currently under drafting. The agreement is expected to be confirmed in line with Capacity Market Code approval.]

Members have obligations under the Regulations on Energy Market Integrity and Transparency REMIT to report certain trading information to the European Agency for the Cooperation of Energy Regulators (ACER).

SEMO provide a service as an Organised Market Place to report on behalf of the Member to ACER.

Parties must request this service from SEMOpx via form “C20 Capacity Market - REMIT Reporting Agreement”.

The REMIT Reporting Agreement is **optional**, and may be entered into at a later point (with 15 working days notice).

Please ensure that an ACER Code has been obtained in advance of submitting this form.

A **signed, scanned copy** of the REMIT Reporting Agreement must be **emailed** to SEMO by **7<sup>th</sup> February 2018**. In addition, **1x original signed copy** of the REMIT Agreement must be sent via **registered post by 7<sup>th</sup> February 2018**.

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## 5 Supporting Documents

### 5 (a) Implementation Plan and Evidence of Connection

In accordance with Capacity Market Code Appendix D, where a Party is seeking a New Capacity for inclusion in the qualification of a Capacity Market Unit, an Implementation Plan must be provided as part of the qualification application.

The Implementation Plan must include:

- (i) a brief description of the nature of the construction, repowering or refurbishment works to be undertaken, the expected Total Project Spend and who it is proposed will be undertaking those works.
- (ii) a schedule identifying the earliest and latest dates for achieving the following Milestones (except to the extent not required under the Capacity Market Code):
  - a. Substantial Financial Completion
  - b. Commencement of Construction Works
  - c. Mechanical Completion
  - d. Completion of Network Connection
  - e. First Energy to Network
  - f. Start of Performance/ Acceptance Testing
  - g. Provisional acceptance or Completion of Performance Testing
  - h. Substantial Completion
- (iii) a statement that the Implementation Plan is, to the best of their knowledge and belief:
  - a. accurate and based on reasonable assumptions
  - b. accurately summarises the planned works

c. is not misleading or deceptive

(iv) a statement that the Substantial Completion Milestone enables capacity to be delivered for the start of the Capacity Year.

(v) a copy of either the Connection Agreement(s) or a Connection Offer(s) from the relevant Transmission System Operator or Distribution System Operator (sufficient to accommodate the increased capacity). Such Connection Agreement(s) or a Connection Offer(s) should confirm either the Registered Capacity (or inverter rating, if applicable) of that New Capacity or the capacity that such New Capacity is permitted to export.

The Implementation Plan is **mandatory for all qualification applications where New Capacity is requesting qualification**. Please consult CMC Appendix D for full requirements.

Separate Implementation Plans are required for each Candidate Unit.

Documents must be **emailed** to SEMO by **3rd August 2017**.

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### 5 (b) Evidence of an Aggregated Generation Unit

In accordance with Capacity Market Code Section E 7.4 for existing capacity the following must be provided:

- (a) The Generator Aggregator System Operator Agreement that applies to the Aggregated Generator Unit and each of the Generators comprising it and that agreement will continue to apply for the whole of that Capacity Year; or
- (b) The relevant evidence that the person who owns or controls each Generator comprising the Aggregated Generator Unit has authorised the Participant to include the Generator as part of the Aggregated Generator Unit in the Application for Qualification.

The evidence is **mandatory for all qualification applications where an AGU is seeking to qualify Capacity**.

Separate evidence is required for each Candidate Unit.

A **scanned copy** of the evidence must be **emailed** to SEMO by **3rd August 2017**.

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### 5 (c) DSU Business Plan

In accordance with Capacity Market Code Appendix D, where a Demand Side Unit is seeking a New Capacity for inclusion in a qualification of a Capacity Market Unit, a Business Plan must be provided as part of the qualification application.

The Business Plan must include:

- (a) a business plan setting out the following:
  - (i) an overview of the Demand Side Unit proposal
  - (ii) the Locational Capacity Constraint Area in which the load reduction capability will be located, where all the load reduction capability must be in the same Locational Capacity Constraint Area
  - (iii) details of the programme or strategy for procuring load reduction capability

(iv) details of the programme or strategy for ensuring that load reduction capability is available, including:

- a. method(s) of achieving load reduction
- b. equipment controlled or installed, or to be controlled or installed
- c. details of how the load reduction capability has, or will be, secured to the person submitting the Application for Qualification.

(v) a declaration that the business plan is, to the best of its knowledge and belief:

- a. based on reasonable assumptions
- b. accurately describes the manner in which any load reduction capacity has been or will be secured
- c. is not misleading or deceptive

The DSU Business Plan is **mandatory for all DSU qualification applications where New Capacity is requesting qualification.**

Separate DSU Business Plans are required for each Candidate Unit.

Documents must be **emailed** to SEMO **by 3rd August 2017.**

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#### **5 (d) 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 Trading and Settlement 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 at the time of submitting the CMC Framework Agreement:

*Other* – If you are registering a company outside of the Republic of Ireland and the United Kingdom then you are required to provide *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 **signed, scanned copy** must be **emailed** to SEMO with the Framework Agreement by the **3rd August 2017**.

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#### **5 (e) Exception Application - Unit Specific Price Application**

In accordance with Capacity Market Code Appendix D, where a Party is seeking a Unit Specific Price Cap in respect of Existing Capacity from a Capacity Market Unit, this must be approved by the Regulatory Authority.

For the first capacity auction this **application** must be submitted by to the **Regulatory Authorities by the 3rd August 2017**.

Details of the format for submission will be provided by the Regulatory Authorities.

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#### **5 (f) Exception Application – Maximum Capacity Duration**

In accordance with Capacity Market Code Appendix D, where a Party is seeking a Maximum Capacity Duration in respect of New Capacity from a Capacity Market Unit, evidence of Regulatory Authority approval for a Maximum Capacity Duration must be provided as part of the qualification application..

For the first capacity auction this **application** must be submitted by to the **Regulatory Authorities by the 3rd August 2017**.

Details of the format for submission will be provided by the Regulatory Authorities.

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#### **5 (g) Confirmation of Allocation of Maximum Export Capacity for Shared Connection Point**

In accordance with Capacity Market Code Section C.3.4.1, any Generator Unit (that is not a Demand Side Unit) Connected at a single Connection Point that has not been registered by the same Participant will be required to submit an Application for Qualification which relates to any of those Generator Units. The Application for Qualification must include confirmation from each person that is party to the Connection Agreement (other than a System Operator or, if applicable, a Distribution System Operator) in respect of that Connection Point of the allocation of the Maximum Export Capacity at that Connection Point between those Generator Units such that the allocated Maximum Export Capacity is not exceeded across all of those Generator Units.

A **scanned copy** must be **emailed** to SEMO by **3rd August 2017**

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