

**Code Contingency Guidelines
Documents
Version 2.1
July 2010**

Purpose

A "**Code Contingency**" is an event or circumstance affecting UK Link, of a kind specified in the Contingency Procedures, which affects the ability of the Transporters or Users (or where so specified in the Contingency Procedures, of a particular Transporter or User or particular Transporters or Users) to give or receive UK Link Communications, or to generate information to be contained in a Code Communication.

A Code Contingency will generally be caused by a partial or complete loss of a key commercial system forming part of the UK Link suite.

These Guidelines provide a consolidated, single point of reference, which sets out the processes and procedures required in the event of a Code Contingency. The Code Contingency Guidelines Document is an annex of the UK Link Manual and governed, in accordance with the UK Link Manual, under TPD Section U – 1.4 UK Link Manual. Any amendments to the Guidelines will be in accordance TPD section 8 – UK Link Modifications.

Introduction

This section describes the arrangements which the Transporters have put in place to mitigate the impact from failures of UK Link on UK Link Users. The arrangements cover both the manual procedures which are necessary to enable UK Link Users to continue to communicate with the Transporters and the recovery procedures which are designed to ensure that any failure of UK Link is rectified as quickly as possible.

The Transporters have developed a comprehensive set of contingency plans to mitigate the impact that any failures of UK Link on the normal operations of both UK Link Users and the Transporters. The contingency arrangements have been designed with four possible failure scenarios in mind:

- no-one can operate a given process;
- individual UK Link Users cannot operate a given process;
- only partial operation of a given process is possible by some/all UK Link Users;
- UK Link Users will miss a deadline.

The Transporters may in accordance with the Code, declare a Code Contingency whenever any of these situations occur, due to a fault, unavailability, or serious degradation of service of UK Link. The Transporters will not declare a Code Contingency for failure of a UK Link User's internal systems, although Users may use the XP1 Gemini contingency in certain circumstances, as described in Appendix C of Chapter 4 – Gemini Code Contingency Arrangements.

The contingency procedures have been developed to encompass all business processes which are set out in the UK Link Manual "Procedures Documentation for the Transporters Customers" and will be reviewed on a continual basis. The detailed procedures to be followed in the event that the Transporters declare a Code Contingency are contained within the relevant chapter of these Guidelines (or within the Code Contingency Manual (transitional)).

Code Contingency Guidelines Document

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- Chapter 2 Invoicing Code Contingency Guidelines**
(Code Contingencies requiring Contingency Procedures currently identified as part of appendix 5b of the UK Link Manual and Contingency Procedures Documentation for the Transporters Customers)
- Chapter 3 Sites and Meters Code Contingency
Guidelines**
(Code Contingencies requiring Contingency Procedures currently identified as part of appendix 5b of the UK Link Manual and Contingency Procedures Documentation for the Transporters Customers)
- Chapter 4 Gemini Code Contingency Guidelines**

Code Contingency Guideline Documents

Chapter 4 – Gemini Code Contingency Arrangements

Version 2.0

Code Contingency Guidelines document

Chapter 4 - Gemini Contingency Arrangements

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1. Introduction

1.1 Aims and Objectives

The purpose of this document is to provide consolidated details of procedures and processes required for Code Contingency arrangements that are associated with Gemini systems failures – a “**Gemini Code Contingency**”.

The aim of the document is to define both the processes and procedures that will be followed during a Code Contingency and the responsibilities placed on Users and Transporters.

1.2. Definition of Gemini

“**Gemini**” is the system upon which the energy balancing and entry and exit capacity business processes involved in the transportation of gas are conducted.

1.3. Contingency Management Process

1.3.1. This document seeks to provide a guide and greater clarification of the processes and procedures, for all relevant parties, required during a Code Contingency that is associated with a failure of the Gemini system.

1.3.2. The Transporters may in accordance with the Code, declare a Gemini Code Contingency whenever any of the following situations occur;

- outage due to a fault;
- unavailability;
- serious degradation of service on the Gemini system.

The Transporters will not declare a Code Contingency for failure of a UK Link User’s internal systems, although UK Link Users may use the XP1 Gemini Contingency in certain circumstances, as described in **Appendix C – Extended Product 1 (XP1)**

1.3.3. Class ‘A’ Code Contingency

In accordance with the UNC TPD: A ‘Class A’ Code Contingency is defined as one where:

‘U6.3 Class A Contingencies

6.3.1 It is agreed that where certain Code Contingencies occur or continue for particular periods or at particular times:

(a) the application of certain provisions of the Code (in particular, the requirement for Users to pay certain charges, or the basis on which such charges are determined), will be modified); and/or

(b) the timetable provided for in the Code for the giving of certain Code Communications may be extended

as provided in the relevant Section of the Code.

6.3.2 A Code Contingency of the kind referred to in paragraph 6.3.1 is a "**Class A Contingency**".

6.3.3 The Code Contingencies which are Class A Contingencies are specified, for the purposes of the relevant provisions of the Code, in the Contingency Procedures.'

1.3.4. These Guidelines define the step by step scenarios to be followed by UK Link Users, the Transporters and Transporters Agent, for each of the Contingency Procedures and reflect any relaxation of Code provisions where such provisions have been identified as class 'A' Code Contingencies referenced in section **U6.3 Class 'A' Contingencies**.

1.3.5. Code arrangements referenced in the relevant sections of the UNC TDP as requiring Gemini Code Contingency procedures;

Affected Area	Sections of UNC TPD where Code Contingency applies
Gemini	B – System Use and Capacity, C – Nominations, D – Operations, Balancing and Trading Arrangements, E – Daily Quantities, Imbalances and Reconciliation H – Demand Estimation and Demand Forecasting - 5.2.1 – Notify Demand Forecast for Flow Day K – Operating Margins - 4.8.1 (i) Submit Output Trade Noms for injection into storage to cover 'relevant deficiency' N Shrinkage - 2.2.2 (i), (ii) – NTS Shrinkage Factors; N 4.4.1 – Output Nominations for Shrinkage Provider

	noms
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1.3.6. For further details please refer to the UK Link Manual - Appendix 5B – Network Code Principal Document and relevant sections of the UNC TPD.

1.3.7. Note that Automated Programmable Interfaces (APIs) are not recognised under the UNC.

1.4. Planning

Disaster recovery arrangements are in place, which are designed to restore the system within 12 – 48 hours of a major failure of the Gemini system. The data on the system will be restored to the point at which the daily back up was taken. In any event, this will be to a point not greater than 26 hours prior to the time of the disaster.

1.4.1. Code Contingency plans are intended to allow the business to continue, albeit in some cases in a limited way, until the Gemini system is available and operational.

1.5. Contingency Arrangements during Planned Downtime

There will be periods, known as “**Planned Downtime**”, when Gemini is unavailable to UK Link Users; these are defined in Appendix 2 of the UK Link IS Service Definition. Planned Downtime falls into two categories:

- a short period which occurs each Day during the hours 04:00 to 06:00;
- a less frequent, but potentially longer period which may occur at any time of the Day.

Code Contingencies will not be declared for Planned Downtime occurring during the period 04:00 to 06:00. For all other Planned Downtime, UK Link Users will be notified whether a Code Contingency is to be declared.

In the event that any period of Planned Downtime exceeds the originally planned period, The Transporters will advise UK Link Users of the likely additional downtime and, where necessary, declare a Code Contingency.

1.6. UK Link – Gemini System Unavailability

The Transporters will endeavour to ensure that the Gemini Network is available on a 24 hours a day basis and will also attempt to schedule any necessary outages at times which will cause the least business impact to The Transporters and UK Link Users. The Transporters’ Agent will use its

reasonable endeavours to ensure that UK Link Users are given at least three months notice of any planned outage.

- 1.6.1 Unavailability of Batch Transfer Communications or Shipper Information Service will not normally affect the ability of UK Link Users to access Gemini unless the unavailability is the result of either failure or a period of downtime of the UK Link Network.

2. Communication

It is recognised that prompt communication, notifications and regular updates, before, during and following Code Contingency, are key to ensure that necessary information exchanges are achieved during a Gemini outage.

2.1 Notification Processes

It may be appropriate to notify the community that a system outage or failure may be likely, as well as provide regular updates of the status of the contingency during the outage.

UK Link Users should use the helpdesk as the first point of contact for notification of an issue associated with the performance of the Gemini system. Once a Code Contingency has been announced the form and timing of communications to be used by UK Link Users, during the contingency, is defined in Section 4 of these guidelines.

The primary form of communication from the Transporters to UK Link Users will be via the Active Notification System (ANS), but where appropriate may be supported by website notifications, e-mail or fax. Further details of how and when such communications will be used can be found in Section 4 of these Guidelines.

3. Testing Arrangements and Availability of Code Contingency Documentation

Familiarisation of the Code Contingency procedures, by all affected parties, is critical to the successful deployment of the Code Contingency arrangements. This in turn provides all parties with the continued capability to meet their Code obligations during Gemini system failure. Provision of a scheduled 'Dry Run' testing programme (Exercises) of the Gemini Code Contingency arrangements may help to facilitate such familiarisation.

3.1 Roles during and post Gemini Code Contingency Exercise

The Transporters' Agent will be responsible for coordinating the Gemini Code Contingency Exercise arrangements, reporting on and undertaking post event support.

The relevant Transporters, Transporters Agent and all UK Link Users that use Gemini will be required to participate in the Exercise.

3.2 Testing Policy

Gemini Code Contingency procedures will be tested at least every 2 years.

3.2.1 Through the UK LINK committee, UK Link Users will be notified 3 months prior to a Gemini Code Contingency Exercise of the scope of the testing programme.

3.2.2 A document providing details of the Gemini Code Contingency Exercise will be available prior to the initiation of the testing programme.

3.2.3 During the Gemini Code Contingency exercise, the following areas may be tested:

Energy Balancing

- Input, Output (“**Gas Flow**”) and Trade Nominations (and Renominations) (End Of Day)
- Demand Forecasting
- Determination of Trade Nomination Quantities (“**Gas Trade Registration**”)
- Measurement
- Determination of User Daily Quantity Inputs and User Daily Quantity Inputs (“**Allocations**”) and Daily Imbalances (“**Balancing**”)

Capacity

- Capacity Trading
- “**Long Term Entry Capacity Auctions**”
 - (Quarterly NTS Entry Capacity (“**QSEC**”),
 - Monthly NTS Entry Capacity under the annual invitation (“**AMSEC**”),
 - Monthly NTS Entry Capacity under the rolling invitation, in accordance with the Entry Capacity Transfer and Trade Methodology Statement (“**RMTTSEC**”),
 - Discretionary NTS Entry Capacity (“**DRSEC**”)
- “**Short Term Auctions**”
 - Daily Firm NTS Entry Capacity sold at Day ahead stage (“**DADSEC**”)
 - Daily Interruptible NTS Entry Capacity sold at Day ahead stage (“**DISEC**”)
 - Daily Firm NTS Entry Capacity sold within Day (“**WDDSEC**”)

- Capacity Management (curtailment of Interruptible NTS Entry Capacity “**Scalebacks**” and acceptance of offers to surrender Available Firm NTS Entry Capacity “**Buy Backs**”)

Exit Capacity

- Enduring and Annual Application Window (long term capacity applications for increases and/or reductions in “**Enduring NTS Exit Flat Capacity**” and requests for “**Annual NTS Exit Flat Capacity**” via the annual application window)

3.2.4 Testing of the Forms of Contingency Communications

The following forms of communication may be used during a Gemini Contingency exercise and reflect the forms of communication described in paragraph 4.4:

- Helpdesk
- ANS
- SIS
- Telephone
- Website
- Email communication
- Fax
- Conventional Notice as defined under TPD section U 1.2.2

3.3 Post Gemini Code Contingency Exercise

3.3.1 The Transporters’ Agent will prepare and issue the results and findings of the Exercise.

3.3.2 UK Link Users will be provided with feedback and results relating to the outcome of the Exercise.

4 Scenarios and Procedures

4.2 Overview

A Code Contingency is associated with a failure of the Gemini system due to any of the failures defined in section 1. The Contingency arrangements described within these guidelines have been designed to cater for the failures leading to the following scenarios:

- All UK Link Users unable to operate a specific Gemini process;
- Individual UK Link Users unable to operate a given process;
- UK Link Users only able to carry out partial operation of a given process;
- UK Link Users unable to meet a deadline prescribed in Code.

4.3 Contingency Flow Diagrams

The “**Contingency Scenarios**” and “**Contingency Flow Diagrams**” represent the sequence of events and activities that need to occur to enable business operations to continue following a Gemini system failure. The Contingency Scenarios will be used to identify:

- Initiation of contingency; Who should be told in the event of a degradation or failure;
- Communication chain ; the forms and times of communications that need to be carried out during the contingency period
- The parties responsible for each element of the contingency process
- The processes necessary to reinstate ‘normal’ operations once the system is recovered.

4.3.1 The Transporters are responsible for declaring the Code Contingency, updating UK Link Users on the contingency procedures available and scenarios to be adopted, and ending the Code Contingency.

4.3.2 The scenarios demonstrate the sequence of steps that need to be taken before, during and after the system degradation or failure.

4.4 Guide to the Gemini Code Contingency Scenarios

Each of the contingency scenarios described below allow a specific business process to be carried out once a contingency has been invoked. The process maps and supporting documentation for each scenario define the process to be adopted by the transporters and users, the key decision points during the contingency, the methods of communication to be adopted at each point of the contingency, and the responsibilities at each point in the process.

It is not the intention to define the decisions that will be taken at each stage of the processes as these will vary depending upon the circumstances of the particular failure which has led to the contingency being called, however the aim is to provide clarity as to when the decisions will be made and how the outcomes of these decisions will be communicated as well as the processes that should be followed once a decision has been made.

4.4.1 Energy Balancing

Manage Gas Flow and Energy Trade Nominations

This aim of this process is to ensure that all Users nominations and trades are entered into the Gemini system at the earliest opportunity. The default position if the system returns before the end of the gas day is to allow shippers to enter their own data, whereas if the system failure crosses the end of the gas day the default is for NG to enter the data once following the end of each gas day. The flow diagram does however provide for a within day option to manage the maintenance of users NDM positions through the gas day to improve the users ability to manage their overall portfolio balance position, however adoption of this additional process will depend upon the circumstances of the system failure and the availability of appropriate resources to the support the process.

4.4.2 Entry Capacity Auctions Manage QSEC Auction

This process will only be adopted if the contingency is invoked in the period immediately before or during a QSEC auction. The default position will be to defer the auction until the end of the contingency period however the flow diagram does provide the option for carrying out an offline auction process dependant upon the circumstances of the system failure and the availability of appropriate resources to support the process

4.4.3 Manage AMSEC Auction

This process will only be adopted if the contingency is invoked in the period immediately before or during an AMSEC auction. The default position will be to defer the auction until the end of the contingency period however the flow diagram does provide the option for carrying out an offline auction process dependant upon the circumstances of the system failure and the availability of appropriate resources to support the process

4.4.4 Manage RMTTSEC Auction

These processes will only be adopted if the contingency is invoked in a period of the month that is critical to either the surrender or bidding elements of the RMTTSEC auction process. The default process is to carry out an offline process to ensure that auction can be completed by the end of the calendar month unless a short term deferment will not impact the overall auction timescales.

4.4.5 Manage Short term auctions (Firm and interruptible)

The aim of this process is to ensure that a short term (D-1 and/or D) auction process can be carried out. This process gives the opportunity for users to refine their capacity position near to real time and therefore allows the overrun process to operate as normal. The particular combination of day ahead and within day firm and interruptible auctions that will be held will depend upon the particular circumstances of the failure but will be communicated to users as part of this process and may vary on a day to day basis during the period of the contingency.

4.4.6 **Manage DRSEC Auction**

This process will only be adopted if the contingency is invoked in the period immediately before or during a DRSEC auction. The default position will be to defer the auction until the end of the contingency period however the flow diagram does provide the option for carrying out an offline auction process dependant upon the circumstances of the system failure and the availability of appropriate resources to the support the process

4.4.7 **Entry Capacity Trading**

Manage Capacity trades

This process allows users to register capacity trades that they have carried out to allow the users overall position to be maintained and to support the overrun and constraint management processes.

4.4.8 **CAPACITY CONSTRAINT MANAGEMENT**

Manage Capacity Buyback auctions and actions

This process allows NG to carry out capacity buyback actions during the contingency period as required.

4.4.9 **Manage Capacity Scale Back process**

This defines the Scaleback process that NG would carry out during the contingency period if required

4.4.10 **Manage NTS Exit Capacity Annual Application Window process**

This defines the process that NG would carry out during the contingency period if required for the Enduring and Annual Exit Capacity Application Window (long term capacity applications for increases and/or reductions in “Enduring NTS Exit Flat Capacity” and requests for “Annual NTS Exit Flat Capacity” via the annual application window)

4.5 **Forms of Communication**

4.5.1 In some cases where a Code Contingency is declared, this may affect;

the form and/or manner in which a Communication normally given as a Link Communication is to be given; and/or

the restrictions on timescales for giving the Communication.

4.5.2 This section 4 and Annex A of these Guidelines defines how the relevant UK Link Communication is to be given for each of the Contingency Procedures and specifies any relaxation in the time limits allowed for giving the Communication

4.5.3 Forms of a communication will be in accordance with the provision set out in the UK Link Manual Appendix 5a Code Communication Summary Table and will include that following communication types:

4.5.4 Active Notification System

Primary notification system used by the transporters to all registered users for all contingency related communications. The system will also be used to direct users to other communication media, e.g. the website, where these are seen as more suitable for certain types of communication, e.g. circulation of documents and proformas for use and support during the contingency

4.5.5 Fax

Primary form of user specific communication during the contingency

4.5.6 Email Communications

Used to support user specific communications during the course of the contingency

4.5.7 Telephone

Not intended for use as a primary communication form during the contingency but will be used as and when required to resolve specific user issues.

4.5.8 National Grid Website (exact web address to be notified users via ANS process at the start of the contingency period)

Used to provide generic industry information during the contingency, and to provide documentation and information to users that does not lend itself to distribution via the ANS service, e.g. long documents, proformas etc

4.6 **Default processes**

Each contingency scenario defines the set of minimum processes that all parties must carry out, these are known as the default processes.

On notification of a Gemini Code Contingency, initially the 'default' processes for the particular failure will be instigated and changes from this level of contingency management to include additional processes will be decided upon by the Transporters, taking into account any operational issues and resourcing capabilities.

4.7 **Priority of processes**

The Transporters will notify UK Link Users at the start of the Code Contingency period, and at appropriate times during the contingency, which if any elements of the arrangements are being prioritised with respect to either introduction of the process or the level at which the process is being operated.

5 Other Considerations

5.2 Interfaces to other UK Link Applications

S&M /SPA

Should any of the interfaces into Gemini be subject to a Code Contingency period, the relevant S&M /SPA contingency processes and procedures will include the appropriate Gemini 'data catch-up' elements.

5.2.1 Invoicing

where an outage has delayed or prevented closeout processes from being completed, the production of invoices affected by such a delay will be suspended awaiting recovery of the system and generation of the closeout data.

5.3 Impacts on Other Parties

5.3.1 On-the-day Commodity Market (OCM)

The OCM Trade Nominations contingency process will be similar to that encompassed within the Nominations (OTC NBP) contingency process/procedure.

OCM Physical re-nominations (including logging of OCM trades into Gemini) to be further considered.

Consideration of the effects on parties associated with UNC obligations and Communication Service Level Agreements e.g. under the TPD, Annex D1, the Market Operator is required to send trade notifications to National Grid NTS within 5 minutes. [Suspension of the PRI charges]

5.4 Allocations agents

Should any of the allocation input interfaces into Gemini be subject to a Code Contingency period, the Gemini Code Contingency procedures will include the appropriate Gemini 'data catch-up' processes/procedures.

6 Version History

Version	Status	Author	Date Issued	Comments
V1.0	External	National Grid NTS	1/11/2009	Implementation
V2.0	External	National Grid NTS	30/06/2010	Inclusion of Exit Capacity

Annex A: Contingency Flow Diagrams

Energy Balancing

- GE01 Manage Gas Flow and Energy Trade Nominations

Entry Capacity Auctions

- GC01 Manage QSEC auction

- GC02 Manage AMSEC auction

- GC03 Manage RMTTSEC auction

- GC04 Manage Short term auctions (Firm and interruptible)

- GC05 Manage DRSEC auction

Entry Capacity Trading

- GC06 Manage Capacity trades

Capacity Constraint Management

- GC07 Manage Capacity Buyback auctions

- GC08 Manage Scale Back

Exit Capacity Annual Application Window

- GC09 Manage NTS Exit Capacity Annual Application Window Process

Energy Balancing

GE01: Manage Gas Flow and Energy Trade Nominations