Code Contingency Guidelines document
Gemini Contingency Arrangements

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1. Introduction

1.1. 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 UKLINK suite such as GEMINI.

The Code Contingency Guidelines are a UNC related document as defined under the UNC section V12. The Guidelines provide a consolidated single point of reference, which set out the processes and procedures required in the event of a Code Contingency.

1.2. 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.

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.

1.3. Contingency Management Process

1.3.1. What constitutes a 'Code Contingency'?

Code Contingency is defined as, "the code contingency arrangements which are activated when there is a failure during the 'normal' operation of the UNC". This document seeks to provide a guide and greater clarification of the processes and procedures, for all relevant parties, required during a Gemini Code Contingency, that is associated to a failure of the Gemini system.

1.3.2. National Grid Transmission will 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.

National Grid Transmission 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 B – Extended Product 1 (XP1)**

1.3.3. Code arrangements identified as requiring Gemini Code contingency procedures;

Affected Area	Sections of Code where Code Contingency applies
Gemini	B – Capacity, C – Nominations, D – Operations, Balancing & Trading Arrangements, E – Daily Quantities, Imbalances and Reconciliation H 5.2.1 – Notify Demand Forecast for Flow Day K 4.8.1 (i) Submit Output Trade Noms for injection into storage to cover 'relevant deficiency' N 2.2.2 (i), (ii) – NTS Shrinkage Factors N 4.4.1 – Output Nominations for Shrinkage Provider Q – Emergencies R – Storage injection and withdrawal noms?

For further details refer to the UK Link Manual - Appendix 5B – Network Code Principal Document

1.3.4. Please note that Automated Programmable Interfaces (APIs) are not recognised under the UNC.

1.4. Planning

National Grid Transmission has disaster recovery arrangements in place which are designed to restore the system within 12 – 48 hours of a major failure of the UK Link 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 UK Link 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 Users and 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, 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, National Grid Transmission will advise Users of the likely additional downtime and, where necessary, declare a Code Contingency.

1.6. UK Link Network Unavailability

National Grid Transmission will endeavour to ensure that the UK Link 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 National Grid Transmission and Users. National Grid Transmission will use its reasonable endeavours to ensure that Users are given at least three months notice of any planned outage. Unavailability of the File Transfer Facility or Shipper Information Service will not normally affect the ability of Users to access Gemini unless the unavailability is the result of either failure or a period of downtime of the IX Network.

2. Communication

It is recognised that prompt communication, notifications and regular updates, before and during 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.

2.1.1. National Grids Transmission's primary form of communication to Users will be via ANS and where appropriate backed up by website notifications. Further details of such communications can be found in section 4 of these Guidelines.

2.1.2. The helpdesk will be the first point of contact for notification of an issue associated with the performance of the Gemini System.

2.1.3. There is a requirement to explore how is notification and subsequent contingency communication carried out (e.g. ANS, fax, website, phone, issues with using e-mail ?) to the various parties and groups of affected parties (user/shipper specific, shipping community, general market, other relevant parties (xoserve, CVA etc)).

3. Gemini Code Contingency Testing Policy

Familiarisation of the Code Contingency procedures, by all affected parties, is critical to the successful deployment of the Code Contingency arrangements. This in turn would provide 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. Gemini Code Contingency Procedures will be tested once every [2] years.

3.2. Users will be notified 3 months prior to a Gemini Code Contingency exercise of the scope of the testing.

During the Gemini Code contingency exercise the following areas may be tested:

3.2.1. Energy Balancing

- Nominations EOD
- Gas flow nominations, Trade Nominations (and renominations) EOD
- Demand Forecasting
- Gas trade registration from Market Operators
- Measurement
- Allocations and Balancing
- storage inventories

3.2.2. Capacity

- Capacity trading
- Long Term Entry Capacity Auctions (QSEC, AMSEC, RMTTS)
- Short Term Auctions (Day Ahead and Within-day Firm and Interruptible)
- Buy Backs

3.2.3. Contingency Communications

- Helpdesk
- Use of ANS
- Website
- Email communication
- Fax
- SIS

3.3. Post Gemini Code Contingency Exercise

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

3.4. Roles during and post Gemini Code Contingency Exercise

3.4.1. xoserve role – xoserve will be responsible for running the Gemini Code Contingency exercise arrangements, reporting on and undertaking post event support.

3.4.2. All Gemini System Users will be required to participate in the Gemini Code Contingency exercise.

4. Scenarios and Procedures

4.1. Overview

The Contingency arrangements have been designed with four possible failure scenarios in mind:

- All Users unable to operate a specific Gemini process;
- Individual UK Link Users cannot operate a given process;
- Partial operation of a given process is possible by some/all UK Link Users;
- UK Link Users will miss a deadline prescribed in Code.

4.2. Contingency flow diagram

The Contingency Scenarios and Contingency Flow diagram represent the sequence of events and activities that need to occur to enable recovery of business operations following a Gemini system failure. The scenarios should be used to identify:

- Communication Chain; Who should be told in the event of a degradation or failure;
- The point at which specific contingency action is invoked (if required);
- The steps necessary to reinstate 'normal' operations once the system is recovered.

4.2.1. National Grid is responsible for declaring the Code Contingency, updating Users on the level of contingency procedures available and scenarios to be adopted and ending the Code Contingency.

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

4.3. Guide to the Gemini Code Contingency Scenarios

4.3.1. Energy Balancing
4.3.2. Manage Gas Flow and Trade Nominations
4.3.3. contingency day error reconciliation

4.3.4. Capacity Scenarios
4.3.5. Manage QSEC auction
4.3.6. Manage AMSEC auction
4.3.7. Manage RMTTSEC auction
4.3.8. Manage Capacity Buyback auctions
4.3.9. Manage Short term auctions (Firm and interruptible)
4.3.10. Manage capacity trades
4.3.11. Manage CSEP auctions

4.4. Forms of Communication

4.4.1. Active Notification System
4.4.2. Email
4.4.3. Fax

4.5. Default processes

For each defined failure event there will be a 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 National Grid Transmission, taking into account any operational issues and resourcing capabilities.

4.6. Priority of processes

National Grid will notify 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. Potential for Contingency to lead to relaxation/deviation from prevailing UNC obligations

5.1.1. Determination of which UNC obligations might be suspended under various outage scenarios - either linked to specific procedures or generic rules applied.

National Grid Transmission believes that relaxation of, or deviation from, Code has significant implication and requires greater industry consideration, therefore we propose to schedule a session to further explore these issues shortly.

6. Other Considerations

6.1. Interfaces to other UK Link Applications

6.1.1. S&M

6.1.2. SPAA

6.1.3. Invoicing

6.2. Impacts on Other Parties

6.2.1. On-the-day Commodity Market (OCM)

6.2.2. Need to consider effects on the following 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 Transmission within 5 minutes.

6.3. CVA

6.4. Allocations agents

6.5. Market Operator

7. Version History

Version	Status	Author	Date Issued	Comments
V0.1	Draft	Paul Gallagher	23/06/08	
V0.2	Draft	Claire Thorneywork	30/09/08	Reviewed by Steve Pownall/Paul Gallagher Gallagher/Dave Bayliss

Annex A - UNC Principal Document section U

6 – CONTINGENCY ARRANGEMENTS

6.1 General

6.1.1 For the purposes of the Code:

(a) the "**Contingency Procedures**" are procedures forming part of the UK Link Manual for the Transporter and Users to communicate with each other in the event of a Code Contingency;

(b) 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.

6.1.2 The Transporter and UK Link Users agree to adopt and (in the event of a Code Contingency) to implement the relevant Contingency Procedures.

6.1.3 A Code Contingency may (where so specified in the Contingency Procedures) include:

(a) a degradation in performance of UK Link which falls short of a failure thereof (where the Contingency Procedures are likely, having regard to such degradation, to provide a superior method of communicating);

(b) planned UK Link downtime which occurs other than between 04:00 hours and 06:00 hours on any Day.

6.2 Code Communications

6.2.1 In the event of a Code Contingency, where so provided in the Contingency Procedures, a Code Communication which would normally be required to be given as a UK Link Communication may (notwithstanding any other provision of the Code or the UK Link Manual) be given by any means provided for in the Contingency Procedures.

6.2.2 Except as provided in the Code or the Contingency Procedures, the provisions of the Code will apply in and will not be affected by a Code Contingency; and in particular any requirements under the Code or the UK Link Manual as to the timing and content of any Code Communication, and the giving of communications by means other than UK Link, will continue to apply.

6.2.3 Where the Contingency Procedures specify intervals or other requirements for the giving in a Code Contingency of any Code Communication which would normally be given as a T-U On-Line Communication under paragraph 4.3.3(b), the giving of such communication at such intervals will be treated as complying with the relevant requirements of the Code.

6.2.4 Under the Contingency Procedures communication resources of the Transporters and Users will be used for the purposes of facilitating the continued giving (in accordance with the Contingency Procedures) of certain kinds of Code Communications in a Code Contingency, and so may not be available for other kinds of Code Communications; and accordingly in any case where the Contingency Procedures do not make provision for the giving of a particular kind of Code Communication (which is required to be given as a UK Link Communication), it may not be possible for Code Communications of that kind to be given.

6.3 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.

6.4 Short-term suspension of access

Where at any time a failure in or degradation in the performance of any part of UK Link is likely to occur, or such a degradation has occurred, and in the Transporters' judgement it will be possible to prevent such failure or degradation, or remedy such degradation, by suspending access to and use of UK Link or a part thereof at a time and for a period which will not result in

significant inconvenience to Users in the use of UK Link for making Code Communications:

(a) the Transporters shall be entitled, without initiating any Contingency Procedures (but subject to paragraph (b)) which otherwise would be applicable, to suspend access to and use of UK Link (in accordance with such procedures as to notification of UK Link Users and otherwise as may be provided in the UK Link Manual);

(b) if at any time subsequently it becomes apparent to the Transporters that such suspension will continue for a period or at a time at which it will result in such inconvenience to Users, any applicable Contingency Procedures will be

Annex B – Extended Product 1?

National Grid Transmission will supply each User with a security token, logon name and PIN code allowing access to the XP1 Gemini contingency system. This enables Users to continue to access Gemini via an independent telecommunications network in the event that the User's own systems have failed. This system is also known as Extended Product 1 (XP1). The User is responsible for providing a suitable PC and communications hardware. Line provision and call costs are the responsibility of the User. A User may use XP1 at the User's discretion

Regardless of the state of the Users own systems, subject to the following limits:

XP1 will be available on a best endeavours basis at all times other than during planned maintenance.

Where a User invokes XP1 due to a perceived failure of their main IX system, the User must inform the Transporters of the failure.

National Grid Transmission shall have no liabilities or obligations in respect of XP1 and its use by any UK Link User other than those which are set out in Appendix 3.

There will be no consequential change to any procedure associated with energy balancing.

Each UK Link User will be allocated one security token per operating licence. Requests for additional tokens will be considered where there is a clearly defined need. Additional tokens will be assigned to the UK Link User’s existing logon account; no additional accounts will be created. Additional tokens will be charged at a rate enabling National Grid Transmission to recover the cost of the additional token, inclusive of administration and delivery. When additional tokens are due for replacement due to expiry, replacement will be a chargeable service.