

**Code Contingency Guidelines
Documents
Version 1:0**

Draft

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.

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.

TPD Section V 12 GENERAL PROVISIONS RELATING TO UNC RELATED DOCUMENTS

'12.1 Purpose

*The purpose of this Section is to establish generic governance arrangements in respect of the following UNC Related Documents (each a "**Document**" and collectively the "**Documents**"):*

(a) Network Code Operations Reporting Manual as referenced in Section V9.4;

(b) Network Code Validation Rules referenced in Section M1.5.3;

(c) ECQ Methodology as referenced in Section Q6.1.1(c);

(d) Measurement Error Notification Guidelines for NTS to LDZ and LDZ to LDZ Measurement Installations as referenced in OAD Section D3.1.5.: and

(e) Code Contingency Guidelines Document as referenced in Section U6.1.1 (a)'

Code Contingency Guidelines Document

Index

- Chapter 1** **Supply Point Administration (SPA)
Contingency Guidelines** *(Currently part of the
UK Link Manual)*
- Chapter 2** **Invoicing Code Contingency Guidelines**
(Currently part of the UK Link Manual)
- Chapter 3** **Sites and Meters Code Contingency
Guidelines** *(Currently part of the UK Link Manual)*
- Chapter 4** **Gemini Code Contingency Guidelines**

Code Contingency Guideline Documents

Chapter 4 – Gemini Code Contingency Arrangements

Version 1:0

Code Contingency Guidelines document Chapter 4 - Gemini Contingency Arrangements

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Draft

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.

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 application transfer link. 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. 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 Code Contingency that is associated with a failure of the Gemini system.

1.3.2. National Grid NTS 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 NTS 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
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	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. 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 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 NTS will advise Users of the likely additional downtime and, where necessary, declare a Code Contingency.

1.6. UK Link Network Unavailability

National Grid NTS 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 NTS and Users. National Grid NTS 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. The primary form of communication from National Grid NTS to Users will be via ANS but where appropriate will be supported and backed up by website notifications, e-mail, fax etc. Further details of how and when such communications will be used can be found in section 4 of these Guidelines.

2.1.2. 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 Users during the contingency is defined in section 4 of these guidelines.

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

- Gas flow nominations, Trade Nominations (and renominations) EOD
- Demand Forecasting
- Gas trade registration
- Measurement
- Allocations and Balancing

3.2.2. Capacity

- Capacity Trading
- Long Term Entry Capacity Auctions (QSEC, AMSEC, RMTTSEC, DRSEC)
- Short Term Auctions (Day Ahead Firm and Interruptible and within day Firm)
- Constraint management (Scalebacks and Capacity Buy Backs)

3.2.3. Contingency Communications

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

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

A Code Contingency 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 following scenarios :

- 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 diagrams represent the sequence of events and activities that need to occur to enable business operations to continue following a Gemini system failure. The scenarios should 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.

- 4.2.1. 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 steps 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 Energy Trade Nominations

4.3.3. Capacity Scenarios

4.3.4. Manage QSEC auction

4.3.5. Manage AMSEC auction

4.3.6. Manage RMTTSEC auction

4.3.7. Manage Short term auctions (Firm and interruptible)

4.3.8. Manage DRSEC auction

4.3.9. Manage Capacity trades

4.3.10. Manage Capacity Buyback auctions

4.3.11. Manage Scale Back

4.4. Forms of Communication

4.4.1. Active Notification System

4.4.2. Email

4.4.3. Fax

4.5. 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 National Grid NTS, 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 NTS 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 NTS 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
V1.0	Draft	Claire Thorneywork	02/12/08	

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 initiated.

Annex B – Extended Product 1

National Grid NTS 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 NTS 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 NTS 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.

Annex C: Contingency Flow Diagrams

4.3.1: Energy Balancing

4.3.2: Manage Gas Flow and Energy Trade Nominations

4.3.3: Capacity Scenarios

4.3.4: Manage QSEC auction

4.3.5: Manage AMSEC auction

4.3.6: Manage RMTTSEC auction

4.3.7: Manage Short term auctions (Firm and interruptible)

4.3.8: Manage DRSEC auction

4.3.9: Manage Capacity trades

4.3.10: Manage Capacity Buyback auctions

4.3.11: Manage Scale Back

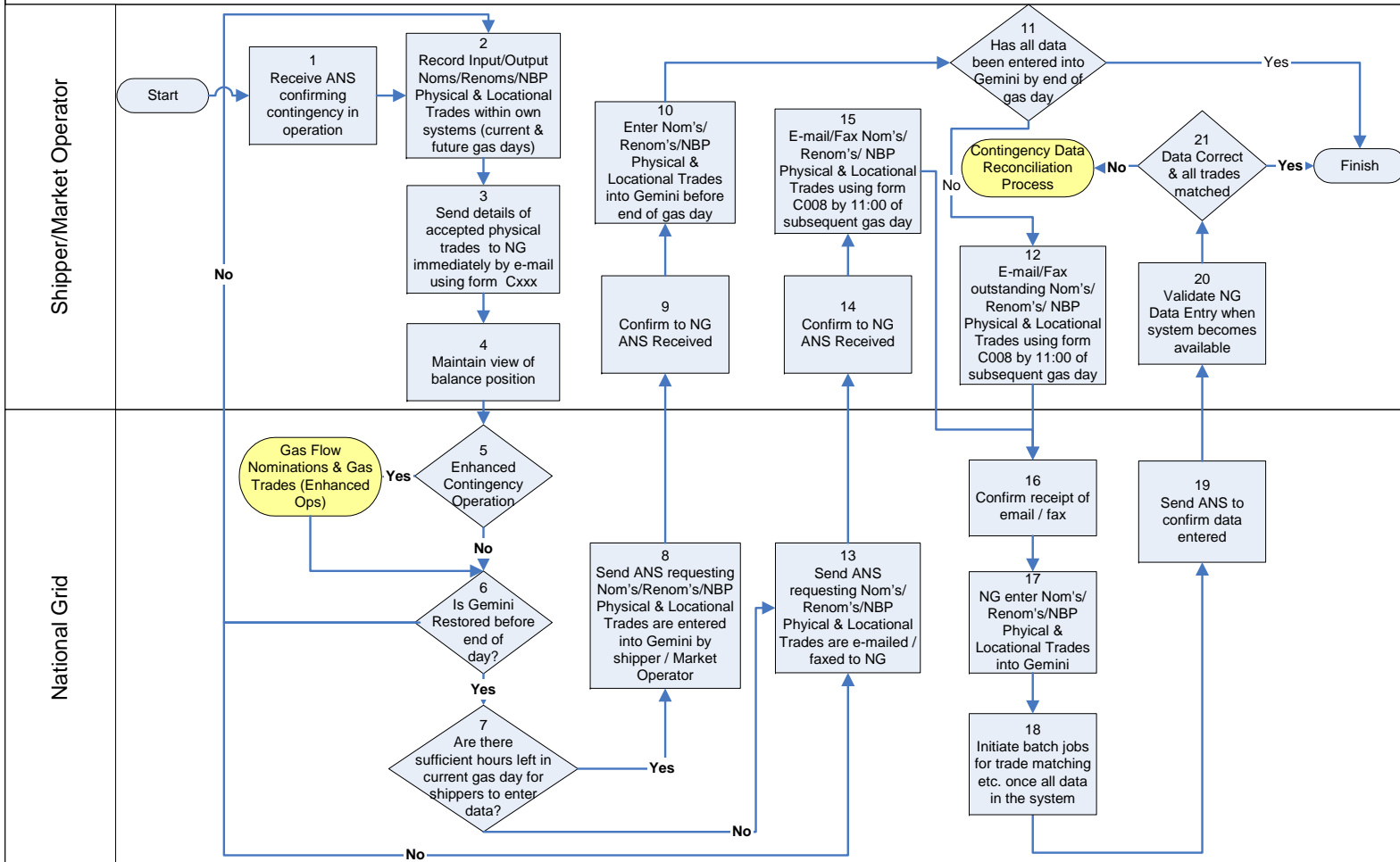
Energy Balancing

4.3.2: Manage Gas Flow and Energy Trade Nominations

4.3.2: Manage Gas Flow and Energy Trade Nominations

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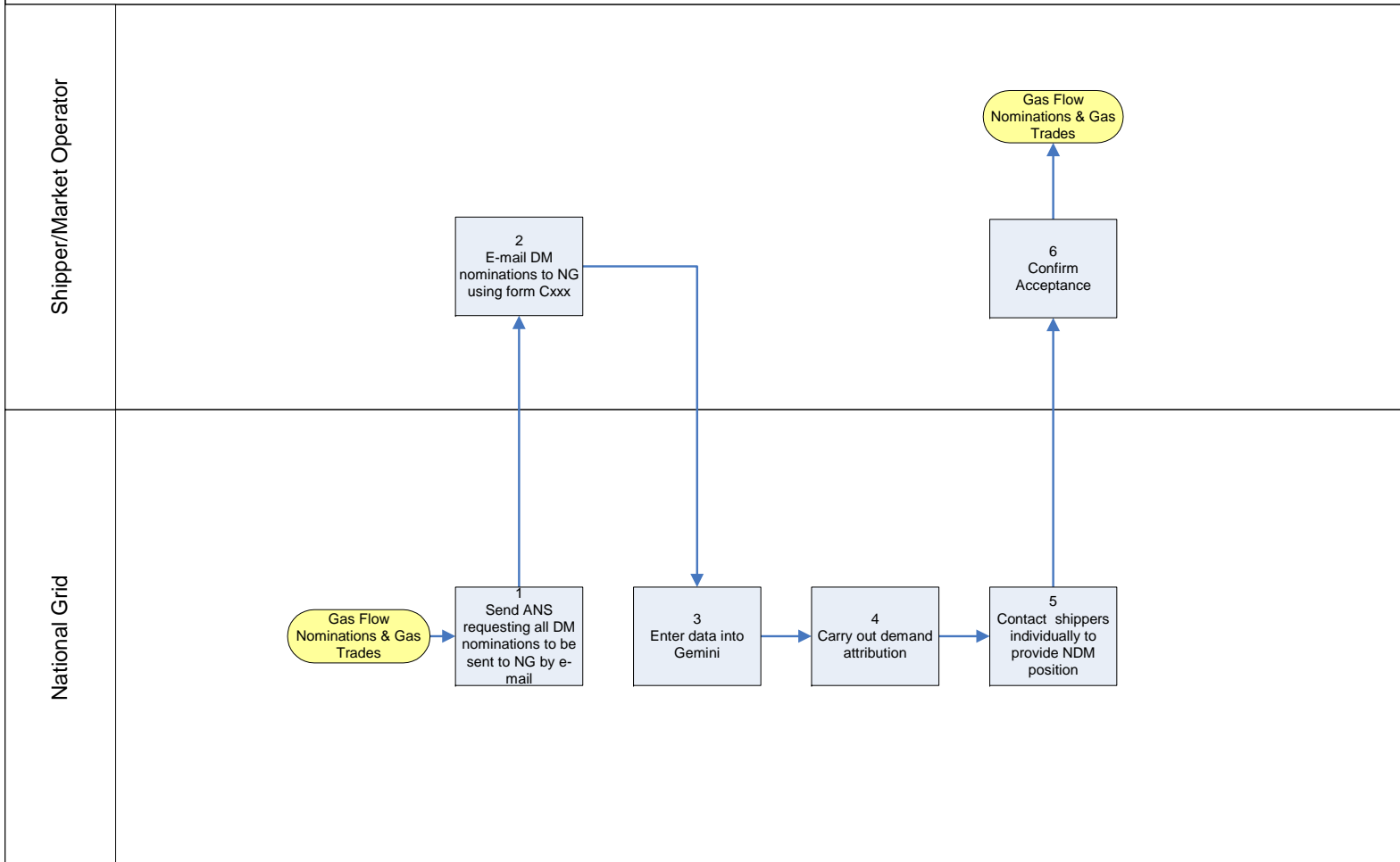
Version 1.1



4.3.2: Manage Gas Flow and Energy Trade Nominations (Enhanced Ops)

Date of Issue:


Version 1.1



4.3.2: Manage Gas Flow and Energy Trade Nominations (Contingency Data Reconciliation Process)

Date of Issue:

Version 1.1

Shipper/Market Operator	
National Grid	

4.3.2: Manage Gas Flow and Energy Trade Nominations: Procedural stages

Process No.	Process	Procedure	Owner
1.	Receive ANS confirming contingency in operation.	ANS Message Received by Shipper/Market Operator confirming contingency process to be adopted	Shipper / Market Operator
2.	Record Input/Output Nom's/Renom's/NBP Physical & Locational Trades within own systems (current & future gas days).	Shippers / Market Operators maintain own records of Input/Output Nom's/Renom's/NBP physical & locational trades to keep track of actions during the system outage.	Shipper / Market Operator
3	Send details of accepted physical trades to NG immediately by e-mail using form Cxxx	Shippers / Market Operators provide details behind all their accepted physical trades to NG via e-mail	Shipper / Market Operator
4.	Maintain view of balance position.	Shipper / Market Operator uses own records to evaluate current balance position and take appropriate actions.	Shipper / Market Operator
5.	Enhanced Contingency Operation?	Do National Grid have the system functionality and resources to provide a DM nomination data entry service.	National Grid
6.	Is Gemini Restored before end of day?	Ongoing checks of Gemini functionality undertaken with xoserve.	National Grid
7.	Are there sufficient hours left in the current gas day for shippers to enter data?	Check to identify if there is sufficient time left in the gas day for users to enter data into Gemini at the end of an incident.	National Grid
8.	Send ANS requesting Nom's/Renom's/NBP Physical & Locational Trades are entered into Gemini by shipper / Market Operator.	Notification provided to Shippers / Market Operators via ANS of requirements for the Shipper / Market Operator to enter data directly into Gemini following restoration of Gemini functionality.	National Grid
9.	Confirm to NG ANS Received.	Shipper/Market Operator receives ANS Message and sends confirmation of receipt via fax to NG.	Shipper / Market Operator
10.	Enter Nom's/Renom's/NBP Physical & Locational Trades into Gemini before end of gas day.	Shipper/Market Operator enters outstanding Nom's/Renom's/NBP physical & locational trade data into Gemini for current Gas Day (and future?)	Shipper / Market Operator
11.	Has all data been entered into Gemini	Shipper / Market Operators to identify whether all the required data has been	Shipper / Market

	by end of gas day?	successfully entered into the Gemini system by the end of the gas day.	Operator
12.	E-mail/Fax outstanding Nom's/Renom's/NBP Physical & Locational Trades using form C008 by 11:00 of subsequent gas day.	Shipper/Market Operator e-mails/faxes C008 Proforma to: <ul style="list-style-type: none"> • geminicontingency@uk.ngrid.com • Fax no: TBD 	Shipper / Market Operator
13.	Send ANS requesting Nom's/Renom's/ NBP Physical & Locational Trades are e-mailed / faxed to NG.	Notification provided to Shippers / Market Operators via ANS of requirements for the Shipper / Market Operator to e-mail or fax relevant data directly to National Grid on the appropriate form.	National Grid
14	Confirm to NG ANS Received	Shipper/Market Operator receives ANS Message and sends confirmation of receipt via fax to NG.	Shipper / Market Operator
15	E-mail/Fax Nom's/Renom's/NBP Physical & Locational Trades using form C008 by 11:00 of subsequent gas day.	Shipper/Market Operator e-mails/faxes C008 Proforma to: <ul style="list-style-type: none"> • geminicontingency@uk.ngrid.com • Fax no: TBD 	Shipper / Market Operator
16	Confirm receipt of e-mail / fax.	NG provide notification to each Shipper / Market operator of fax/e-mail received.	National Grid
17	NG enter Nom's/Renom's/NBP Physical & Locational Trades into Gemini	NG enter faxed/e-mailed Nom/Renom/NBP physical & locational trade data into Gemini.	National Grid
18	Initiate Batch Jobs for Trade matching etc. once All Data In The System.	Gemini batch Jobs are authorised to run in the system only following the entry of all required data.	National Grid
19	Send ANS to confirm data entered.	Notification provided to Shippers / Market Operators via ANS of data having been entered into Gemini.	National Grid
20	Validate NG Data Entry When System becomes Available.	Shipper / Market Operator to log into Gemini when the system becomes available and validate correct data entry by NG.	Shipper / Market Operator
21	Data Correct & All Trades Matched?	Shipper / Market Operator to determine that data entered is correct or not.	Shipper / Market Operator

4.3.2: Manage Gas Flow and Energy trade Nominations (Enhanced Ops):Procedural stages

Process No.	Process	Procedure	Owner
1.	Send ANS requesting all DM nominations to be sent to NG by e-mail.	Notification provided to shippers / market operators via ANS of requirements for the shipper / market operator to provide to National Grid all DM nominations via e-mail to enable National Grid to enter these directly into Gemini.	National Grid
2.	E-mail DM nominations to NG using form Cxxx.	Shipper / market operator provide nominations to National Grid via e-mail using for Cxxx	Shipper / Market Operator
3	Enter Data into Gemini.	National Grid enters shippers DM nominations into Gemini.	National Grid
4.	Carry out demand attribution.	National Grid runs demand attribution process to assess shipper NDM positions.	National Grid
5.	Contact shippers individually to provide NDM position.	National Grid contacts each shipper individually via e-mail/fax providing their NDM position.	National Grid
6.	Confirm acceptance.	Shipper / market operator reviews NDM position and confirms acceptance.	Shipper / Market Operator

4.3.2: Manage Gas Flow and Energy Trade Nominations (Contingency Data Reconciliation Process):Procedural stages

Process No.	Process	Procedure	Owner
TBD			

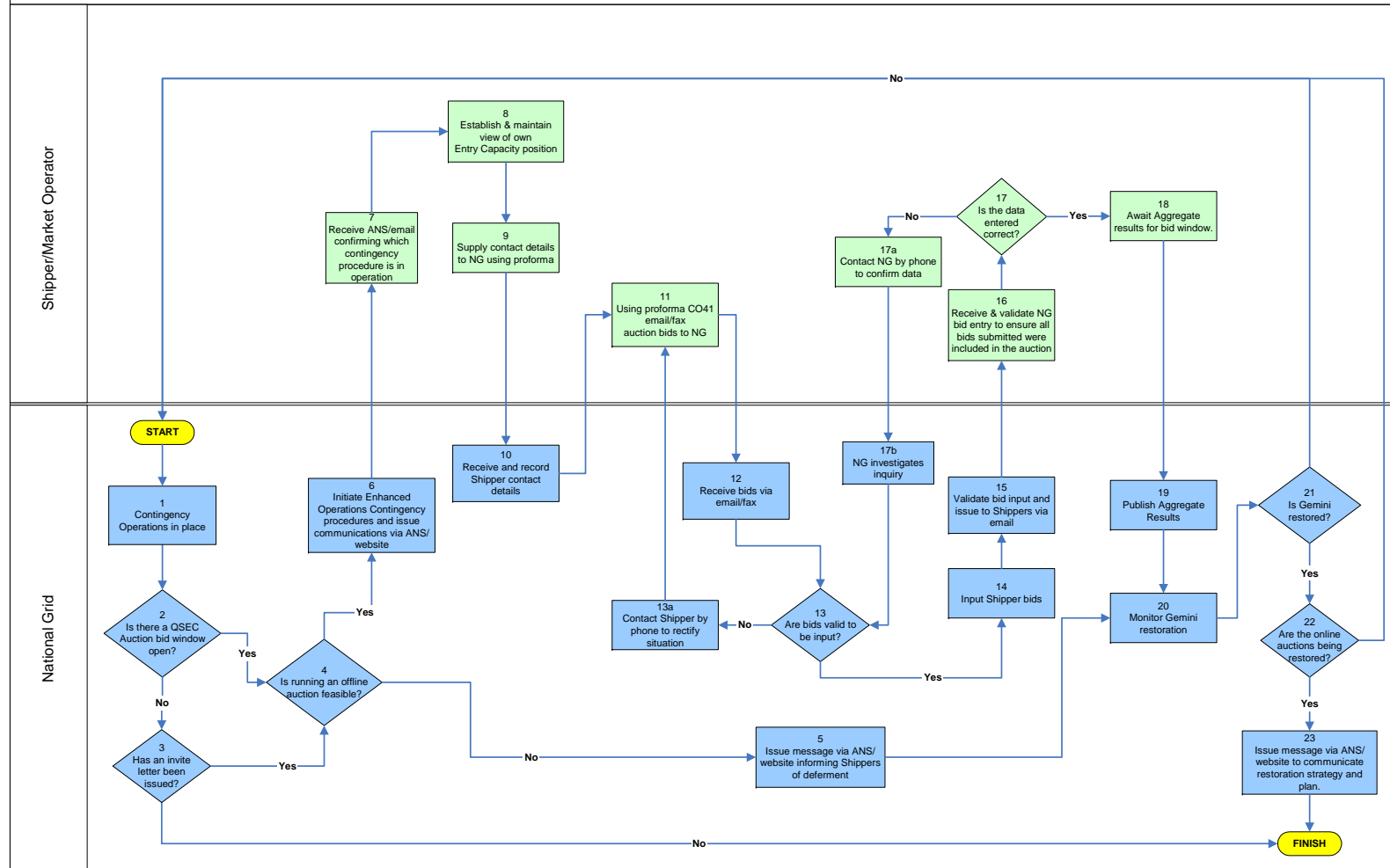
Capacity Scenarios

4.3.4: Manage QSEC Auction

4.3.4: Manage QSEC Auction

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4.3.4: Manage QSEC Auction: Procedural stages

Process No.	Process	Procedure	Owner
1.	Contingency Operations in place		National Grid
2.	Is there a QSEC bid window open?	If yes: decision must be made as to whether running an offline auction is feasible (step 4).	National Grid
3.	Has an invite letter been issued?	If yes: decision must be made as to whether running an offline auction is feasible (step 4).	National Grid
4.	Is running an offline auction feasible?	Yes/No	National Grid
5.	Issue ANS message via Joint Office informing Shippers of deferment	Inform Shippers of the procedure that will be followed. Go to Step 20.	National Grid
6.	Initiate Enhanced Operations Contingency procedures and issue communications via ANS/Website	Inform Shippers of the procedure that will be followed.	National Grid
7.	Receive ANS/email confirming which contingency procedure is in operation	ANS message received by Shipper confirming which contingency process is to be adopted.	Shipper
8.	Establish & maintain view of own Entry Capacity position	Shipper uses own records to evaluate current Entry Capacity position and consider appropriate actions.	Shipper
9.	Supply contact details to NG using proforma	Send an e-mail to National Grid at www.capacityauctions@uk.ngrid.com stating your name, contact phone number, Gemini Shipper name and Gemini 3 letter Business Associate (Shipper) code.	Shipper
10.	Receive and record Shipper contact details	Details should be as above.	National Grid
11.	Using proforma email/fax auction bids to NG	Shipper e-mails/faxes QSEC proforma C031 to: <ul style="list-style-type: none"> www.capacityauctions@uk.ngrid.com 	Shipper

		<ul style="list-style-type: none"> Fax no: 01926 656615. 	
12.	Receive bids via email/fax		National Grid
13.	Are bids valid to be input?	If not NG will phone the Shipper to resolve the problem.	National Grid
14.	Input Shipper bids	National Grid input the QSEC auction bids into Gemini on behalf of the Shipper.	National Grid
15.	Validate bid input and issue to Shippers via email	Check the input of bids into Gemini before informing the Shippers.	National Grid
16.	Receive and validate NG bid entry to ensure all bids submitted were included in the auction	Shipper to verify the bid information report.	Shipper
17.	Is the data entered correct?	Shipper to determine whether data entered is correct or not. If it is not, contact National Grid via phone	Shipper
18.	Await aggregate results for bid window		Shipper
19.	Publish aggregate results		National Grid
20.	Monitor Gemini restoration	Ongoing checks of Gemini functionality undertaken with xoserve.	National Grid
21.	Is Gemini restored?		National Grid
22.	Are the online auctions being restored?	Determine process for restoring auction.	National Grid
23.	Issue message via ANS/email to Shippers to communicate restoration strategy and plan.		National Grid

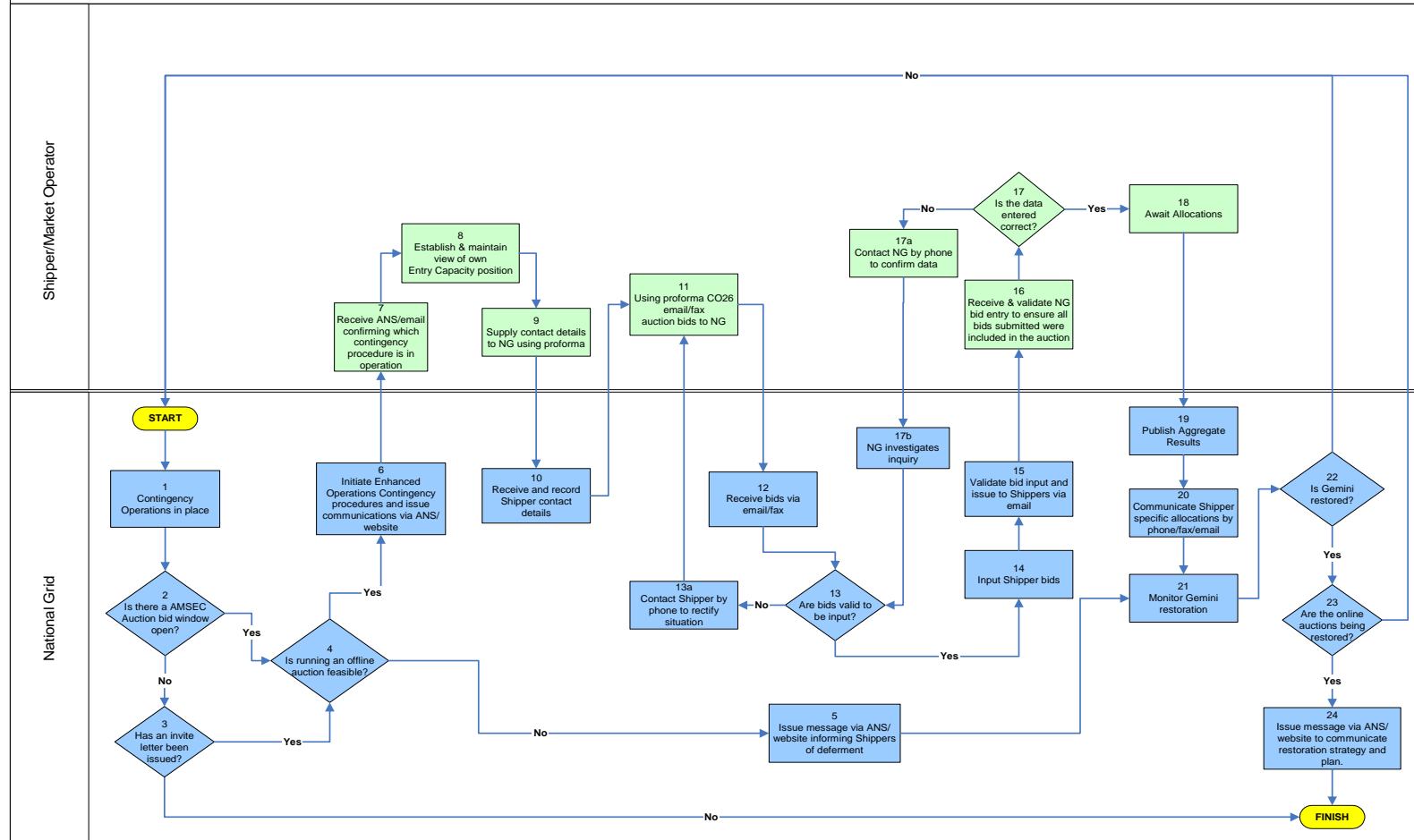
Capacity Scenarios

4.3.5: Manage AMSEC Auction

4.3.5: Manage AMSEC Auction

Date of Issue:

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4.3.5: Manage AMSEC Auction: Procedural stages

Process No.	Process	Procedure	Owner
1.	Contingency Operations in place		National Grid
2.	Is there an AMSEC bid window open?	If yes: decision must be made as to whether running an offline auction is feasible (step 4).	National Grid
3.	Has an invite letter been issued?	If yes: decision must be made as to whether running an offline auction is feasible (step 4).	National Grid
4.	Is running an offline auction feasible?	Yes/No	National Grid
5.	Issue ANS message via Joint Office informing Shippers of deferment	Inform Shippers of the procedure that will be followed. Go to Step 20.	National Grid
6.	Initiate Enhanced Operations Contingency procedures and issue communications via ANS/Website	Inform Shippers of the procedure that will be followed.	National Grid
7.	Receive ANS/email confirming which contingency procedure is in operation	ANS message received by Shipper confirming which contingency process is to be adopted.	Shipper
8.	Establish & maintain view of own Entry Capacity position	Shipper uses own records to evaluate current Entry Capacity position and consider appropriate actions.	Shipper
9.	Supply contact details to NG using proforma	Send an e-mail to National Grid at www.capacityauctions@uk.ngrid.com stating your name, contact phone number, Gemini Shipper name and Gemini 3 letter Business Associate (Shipper) code.	Shipper
10.	Receive and record Shipper contact details	Details should be as above.	National Grid
11.	Using proforma email/fax auction bids to NG	Shipper e-mails/faxes AMSEC proforma C026 to:	Shipper

		<ul style="list-style-type: none"> • www.capacityauctions@uk.ngrid.com • Fax no: 01926 656615. 	
12.	Receive bids via email/fax		National Grid
13.	Are bids valid to be input?	If not NG will phone the Shipper to resolve the problem.	National Grid
14.	Input Shipper bids	National Grid input the QSEC auction bids into Gemini on behalf of the Shipper.	National Grid
15.	Validate bid input and issue to Shippers via email	Check the input of bids into Gemini before informing the Shippers.	National Grid
16.	Receive and validate NG bid entry to ensure all bids submitted were included in the auction	Shipper to verify the bid information report.	Shipper
17.	Is the data entered correct?	Shipper to determine whether data entered is correct or not. If it is not, contact National Grid via phone	Shipper
18.	Await allocations		Shipper
19.	Publish aggregate results		National Grid
20.	Communicate Shipper specific allocations via phone/fax/email		
21.	Monitor Gemini restoration	Ongoing checks of Gemini functionality undertaken with xoserve.	National Grid
22.	Is Gemini restored?		National Grid
23.	Are the online auctions being restored?	Determine process for restoring auction.	National Grid
24.	Issue message via ANS/email to Shippers to communicate restoration strategy and plan.		National Grid

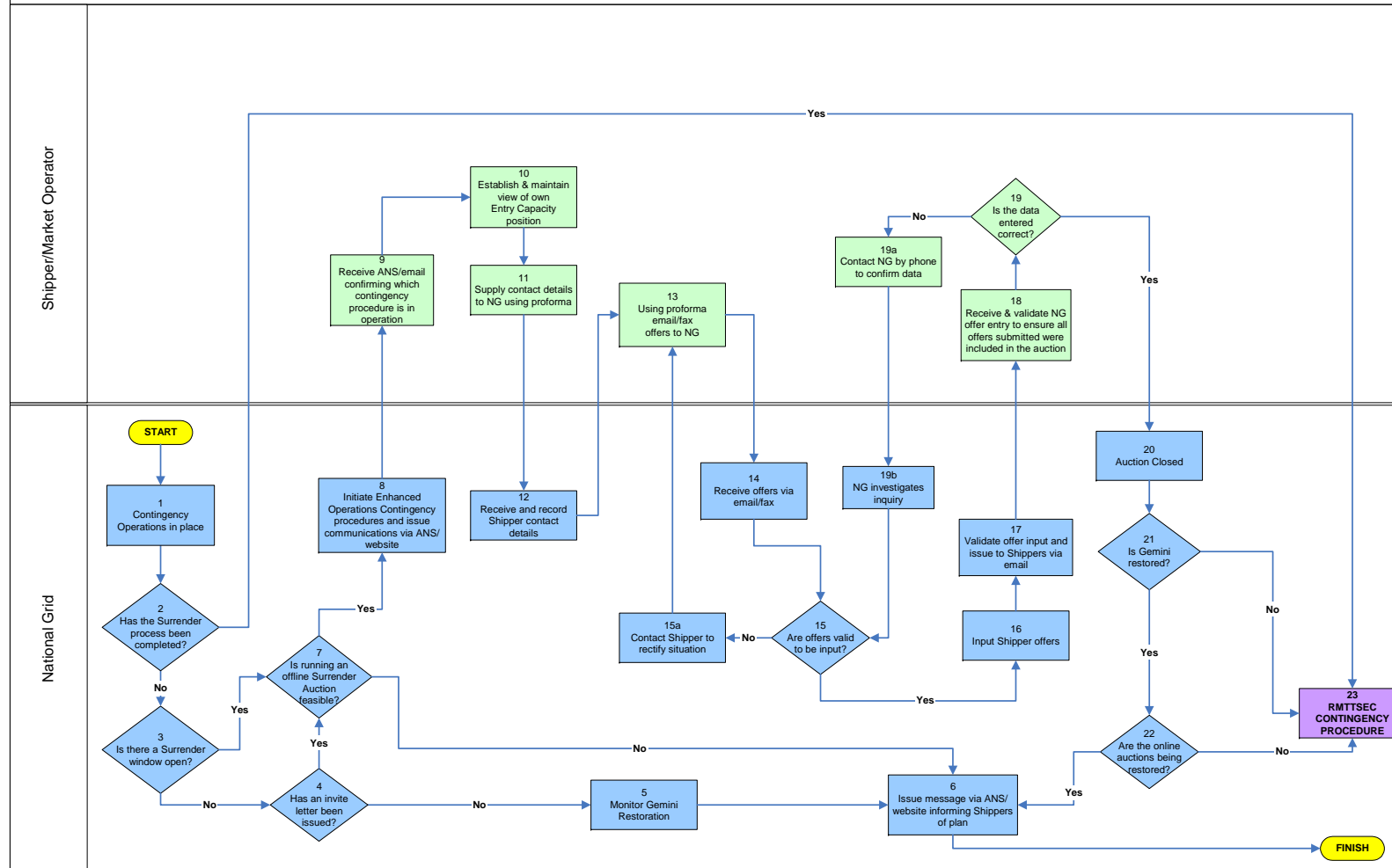
Capacity Scenarios

4.3.6: Manage RMTTSEC Auction

4.3.6 Manage RMTTSEC Auction (1 of 2): Surrender

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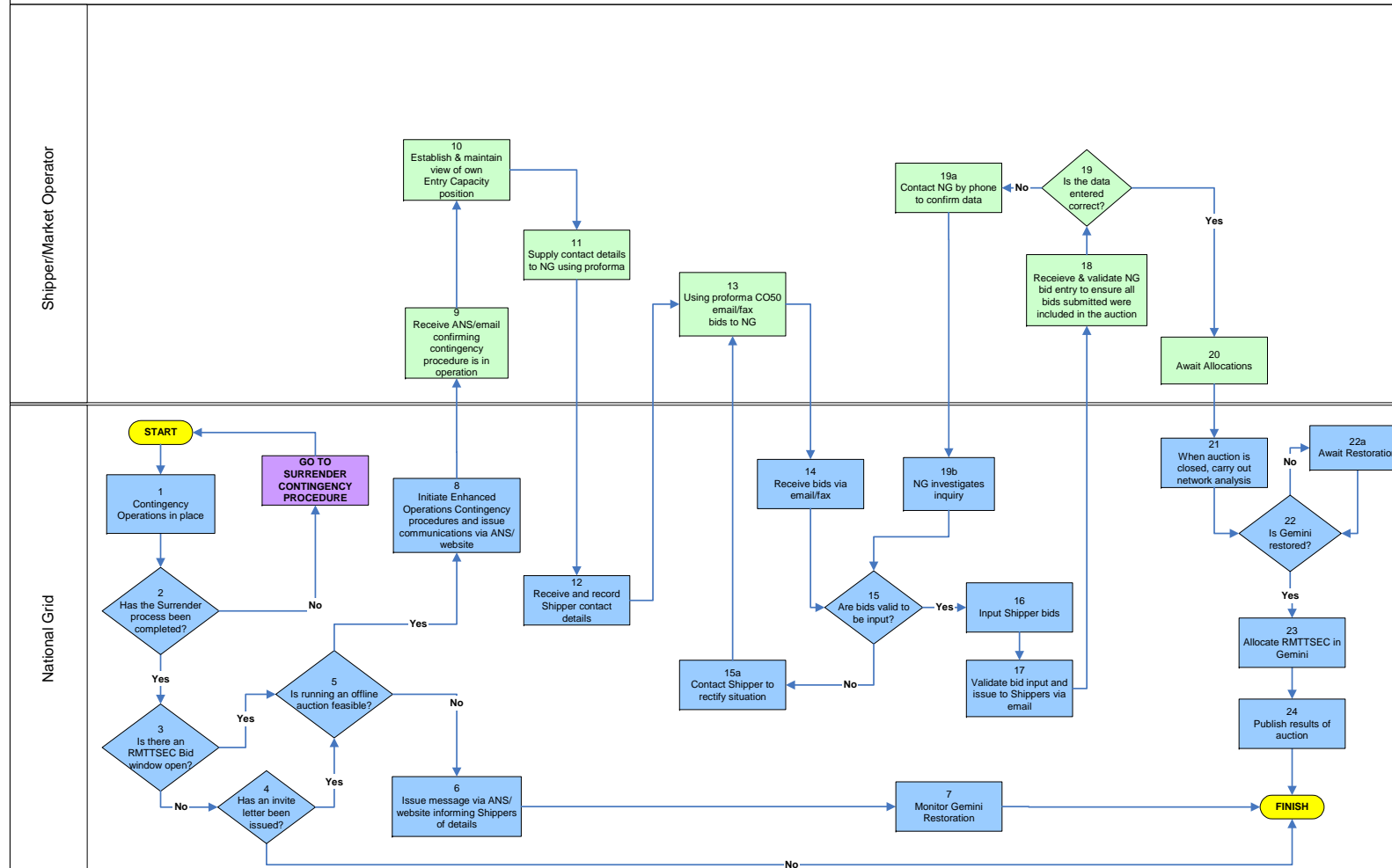
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4.3.6: Manage RMTTSEC Auction (2 of 2): RMTTSEC

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4.3.6: Manage RMTTSEC Auction (Surrender): Procedural stages

Process No.	Process	Procedure	Owner
1.	Contingency Operations in place		National Grid
2.	Has the Surrender process been completed?	Has the offer window already taken place?	National Grid
3.	Is there a Surrender window open?	<i>If yes: the decision as to whether running an offline auction is feasible must be made (step 7).</i>	National Grid
4.	Has an invite letter been issued?	<i>If yes: the decision as to whether running an offline auction is feasible must be made (step 7).</i>	National Grid
5.	Monitor Gemini Restoration		National Grid
6.	Issue ANS message/letter via Joint Office informing Shippers of plan	Inform Shippers of the procedure that will be followed.	
7.	Is running an offline Surrender Auction feasible?	Yes/No <i>If yes: go to step 8</i>	National Grid
8.	Initiate Enhanced Operations Contingency procedures and issue communications via ANS/Website	Inform Shippers of the procedure that will be followed.	National Grid
9.	Receive ANS/email confirming which contingency procedure is in operation	ANS message received by Shipper confirming contingency process to be adopted.	Shipper
10.	Establish & maintain view of own Entry Capacity position	Shipper uses own records to evaluate current Entry Capacity position and consider appropriate actions.	Shipper
11.	Supply contact details to NG using proforma	Send an e-mail to National Grid at www.capacityauctions@uk.ngrid.com stating your name, contact phone number, Gemini Shipper name and Gemini 3 letter Business Associate (Shipper) code.	Shipper
12.	Receive and record Shipper contact details	Details should be as above.	National Grid
13.	Using proforma email/fax offers to NG	Shipper e-mails/faxes TTBB proforma Cxxx to: <ul style="list-style-type: none"> • www.capacityauctions@uk.ngrid.com • Fax no: 01926 656615. 	Shipper

14.	Receive offers via email/fax		National Grid
15.	Are offers valid to be input?	If not NG will phone the Shipper to resolve the problem.	National Grid
16.	Input Shipper offers	National Grid input the offers into Gemini on behalf of the Shipper.	National Grid
17.	Validate offer input and issue to Shippers via email	Check the input of offers into Gemini before informing the Shippers.	National Grid
18.	Receive and validate NG offer entry to ensure all offers submitted were included in the auction	Shipper to verify the offer information report.	Shipper
19.	Is the data entered correct?	Shipper to determine whether data entered is correct or not. If it is not, contact National Grid by phone.	Shipper
20.	Auction Closed		National Grid
21.	Is Gemini restored?	Ongoing checks of Gemini functionality undertaken with xoserve.	National Grid
22.	Are the online auctions being restored?	Determine process for restoring auction.	National Grid
23.	PROCEED WITH RMTTSEC CONTINGENCY PROCEDURE		National Grid

4.3.6: Manage RMTTSEC Auction (RMTTSEC): Procedural stages

Process No.	Process	Procedure	Owner
1.	Contingency Operations in place		National Grid
2.	Has the Surrender process been completed?	If not: GO TO SURRENDER CONTINGENCY PROCEDURE (see above)	National Grid
3.	Is there an RMTTSEC window open?	<i>If yes:</i> the decision as to whether running an offline auction is feasible must be made (step 5).	National Grid
4.	Has an invite letter been issued?	<i>If yes:</i> the decision as to whether running an offline auction is feasible must be made (step 5).	National Grid
5.	Is running an offline auction feasible?	Yes/No <i>If yes: go to step 8</i>	National Grid
6.	Issue ANS message/letter via Joint Office informing Shippers of details	Inform Shippers of the procedure that will be followed.	National Grid
7.	Monitor Gemini Restoration		National Grid
8.	Initiate Enhanced Operations Contingency procedures and issue communications via ANS/Website	Inform Shippers of the procedure that will be followed.	National Grid
9.	Receive ANS/email confirming which contingency procedure is in operation	ANS message received by Shipper confirming contingency process to be adopted.	Shipper
10.	Establish & maintain view of own Entry Capacity position	Shipper uses own records to evaluate current Entry Capacity position and consider appropriate actions.	Shipper
11.	Supply contact details to NG using proforma	Send an e-mail to National Grid at www.capacityauctions@uk.ngrid.com stating your name, contact phone number, Gemini Shipper name and Gemini 3 letter Business Associate (Shipper) code.	Shipper
12.	Receive and record Shipper contact details	Details should be as above.	National Grid
13.	Using proforma	Shipper e-mails RMTTSEC proforma	Shipper

	C050 email/fax bids to NG	C050 to: <ul style="list-style-type: none"> www.capacityauctions@uk.ngrid.com Fax no: 01926 656615. 	
14.	Receive bids via email/fax		National Grid
15.	Are bids valid to be input?	If not NG will phone the Shipper to resolve the problem.	National Grid
16.	Input Shipper bids	National Grid input the bids into Gemini on behalf of the Shipper.	National Grid
17.	Validate bid input and issue to Shippers via email	Check the input of bids into Gemini before informing the Shippers.	National Grid
18.	Receive and validate NG bid entry to ensure all bids submitted were included in the auction	Shipper to verify the bid information report.	Shipper
19.	Is the data entered correct?	Shipper to determine whether data entered is correct or not. If it is not, contact National Grid via phone	Shipper
20.	Await Allocations		Shipper
21.	When auction is closed, carry out network analysis	Assess bids based on network analysis and decide allocations.	National Grid
22.	Is Gemini restored?	<i>If yes: continue to step 23</i>	National Grid
23.	Allocate RMTTSEC in Gemini based on analysis (step 21).		National Grid
24.	Publish results of auction	Produce report and upload to the Information Exchange	National Grid

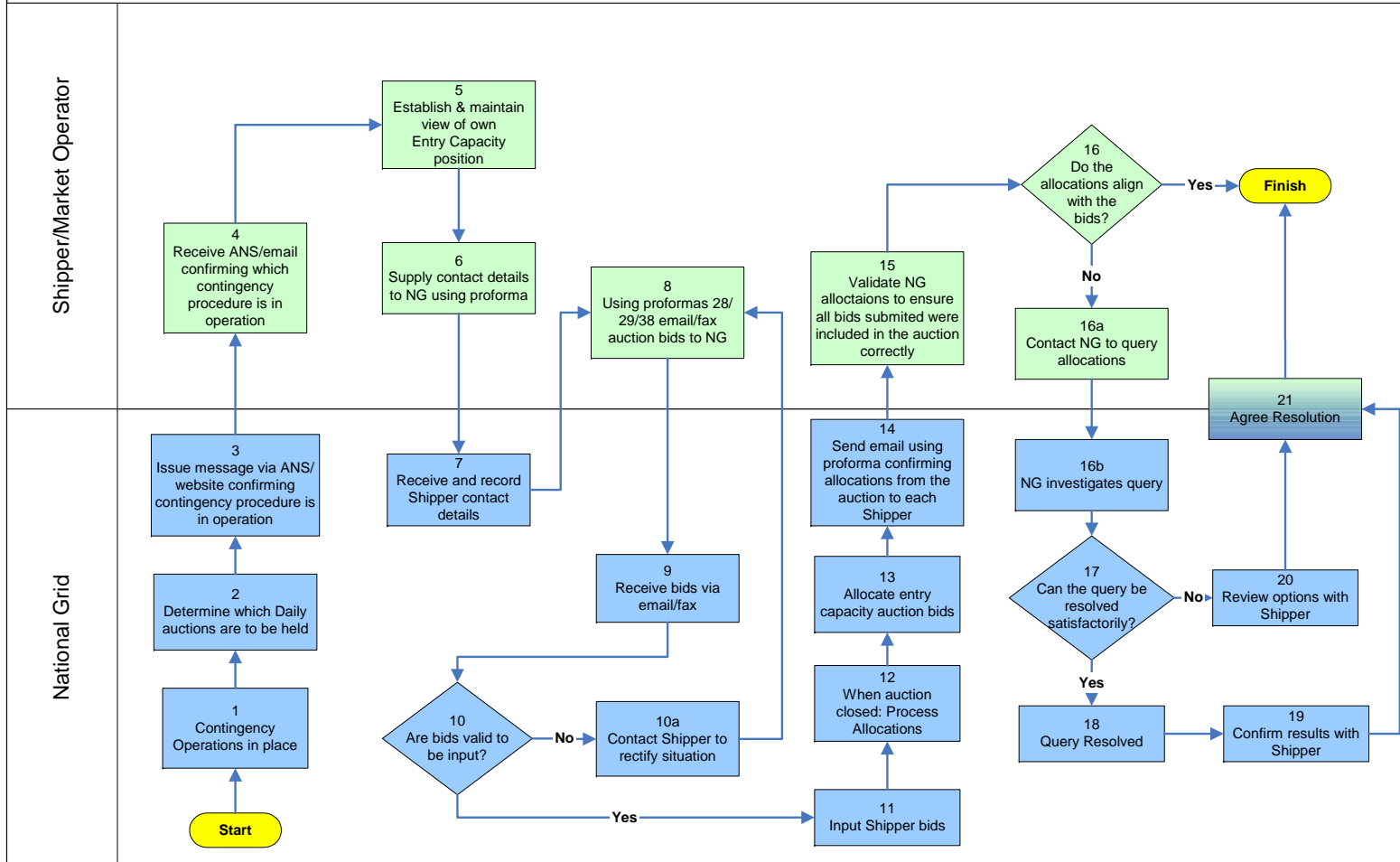
Capacity Scenarios

4.3.7: Manage Short Term Auctions (Firm & Interruptible)

4.3.7: Manage Short Term Auctions (Firm & Interruptible)

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4.3.7: Manage Short Term Auctions (Firm & Interruptible): Procedural stages

Process No.	Process	Procedure	Owner
1.	Contingency Operations in place		National Grid
2.	Determine which auctions are to be held.	This may depend on what time the contingency process begins.	National Grid
3.	Issue message via ANS/website confirming contingency procedure is in operation.	Notice explains what auctions will take place, the timescale and what procedure will be followed.	National Grid
4.	Receive ANS/email confirming contingency procedure is in operation.	ANS Message Received by Shipper confirming contingency process to be adopted	Shipper
5.	Establish & maintain view of own Entry Capacity position.	Shipper uses own records to evaluate current Entry Capacity position and consider appropriate actions.	Shipper
6.	Supply contact details to NG using proforma	Send an E-mail to National Grid [see communications] stating your name, contact phone number, Gemini Shipper Name and Gemini 3 letter Shipper code.	Shipper
7.	Receive and record shipper contact details	Details should be as above.	National Grid
8.	Using proformas 28/29/28 email/fax auction bids to NG	Shipper e-mails/faxes C038 (WDDSEC)/ CO28 (DISEC) Proforma to NG (for details see communications).	Shipper
9.	Receive bids via e-mail or fax.	Collect and collate the e-mails/faxes from the appropriate machines.	National Grid
10.	Are bids valid to be input	NG check for errors, duplicates or missing information.	National Grid
11.	Input shipper bids	National Grid input the Entry Capacity auction bids into Gemini on behalf of the Shipper.	National Grid
12.	When auction closed: Process Allocations		National Grid
13.	Allocate Entry Capacity auction bids		National Grid
14.	Send email using proforma confirming allocations from the auction to each Shipper	Shipper receives E-mail to confirm Allocations from the auction <ul style="list-style-type: none"> Formatted copy of the Bid Information screen report post allocation 	National Grid
15.	Validate NG allocations to ensure all bids submitted were included in the auction correctly.	Shipper to verify the bid information report to ensure all bids submitted were included in the auction.	Shipper
16.	Do the allocations align with the bids?	Shipper to determine that data entered is correct or not. If not, National Grid should be contacted to investigate the query.	Shipper
17.	Can the query be resolved satisfactorily?	Yes/no	

18.	Query resolved		National Grid
19.	Confirm results with Shipper	By email	National Grid
20.	Review options with Shipper		National Grid
21.	Agree solution		Shipper/National Grid

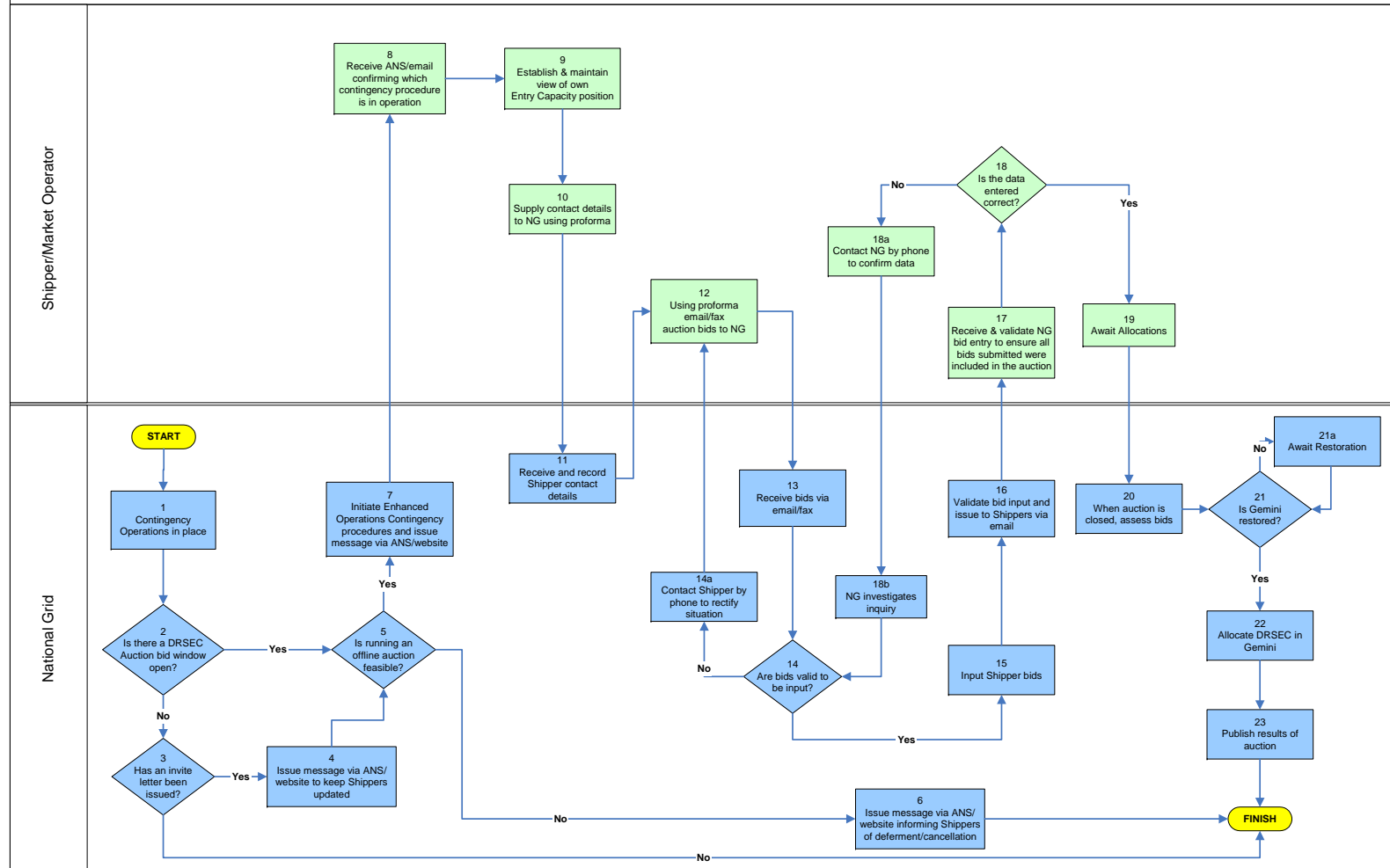
Capacity Scenarios

4.3.8: Manage DRSEC Auction

4.3.8: Manage DRSEC Auction

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4.3.8: Manage DRSEC Auctions: Procedural stages

Process No.	Process	Procedure	Owner
1.	Contingency Operations in place		National Grid
2.	Is there an Auction bid window open?	<i>If yes: decision must be made as to whether to run an offline auction (step 5).</i>	National Grid
3.	Has an invite letter been issued?	<i>If yes: continue to step 4. If no: end process</i>	National Grid
4.	Issue ANS message/letter via Joint Office to keep Shippers updated.	Inform Shippers of the procedure that will be followed.	National Grid
5.	Is running an offline auction feasible?	Yes/No <i>If yes: continue to step 7</i>	National Grid
6.	Issue ANS message/letter via Joint Office informing Shippers of deferment/cancellation	Inform Shippers of the procedure that will be followed in deferring/cancelling the auction.	National Grid
7.	Initiate Enhanced Operations Contingency procedures and issue communications via ANS/Website	Inform Shippers of the procedure that will be followed.	National Grid
8.	Receive ANS/email confirming contingency procedure is in operation	ANS message received by Shipper confirming contingency process to be adopted.	Shipper
9.	Establish & maintain view of own Entry Capacity position	Shipper uses own records to evaluate current Entry Capacity position and consider appropriate actions.	Shipper
10.	Supply contact details to NG using proforma	Send an e-mail to National Grid at www.capacityauctions@uk.ngrid.com stating your name, contact phone number, Gemini Shipper name and Gemini 3 letter Business Associate (Shipper) code.	Shipper
11.	Receive and	Details should be as above.	National

	record Shipper contact details		1 Grid
12.	Using proforma email/fax auction bids to NG	Shipper e-mails/faxes proforma to: <ul style="list-style-type: none"> • www.capacityauctions@uk.ngrid.com • Fax no: 01926 656615. 	Shipper
13.	Receive bids via email/fax		National Grid
14.	Are bids valid to be input?	If not NG will contact the Shipper to resolve the problem.	National Grid
15.	Input Shipper bids	National Grid input the DRSEC auction bids into Gemini on behalf of the Shipper.	National Grid
16.	Validate bid input and issue to Shippers via email	Check the input of bids into Gemini before informing the Shippers.	National Grid
17.	Receive and validate NG bid entry to ensure all bids submitted were included in the auction	Shipper to verify the bid information report.	Shipper
18.	Is the data entered correct?	Shipper to determine whether data entered is correct or not. If it is not, contact National Grid by phone	Shipper
19.	Await Allocations		Shipper
20.	When auction is closed, assess bids.	Assess bids based on network analysis and decide allocations.	National Grid
21.	Is Gemini restored?	<i>If yes: continue to step 22</i>	National Grid
22.	Allocate DRSEC in Gemini based on analysis (step 20).		National Grid
23.	Publish results of auction	Produce report and upload to the Information Exchange	National Grid

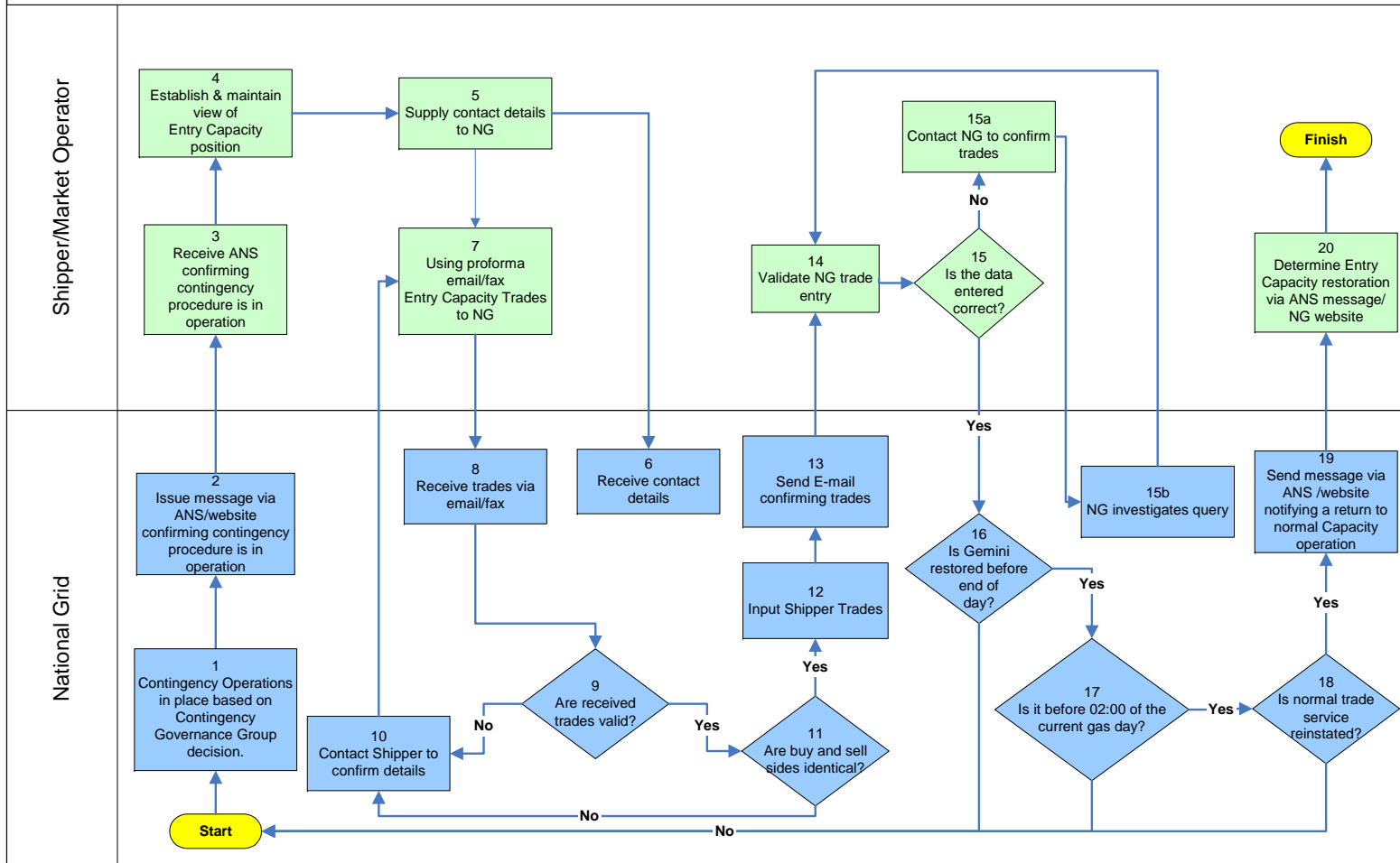
Capacity Scenarios

4.3.9: Manage Capacity Trades

4.3.9: Manage Capacity Trades

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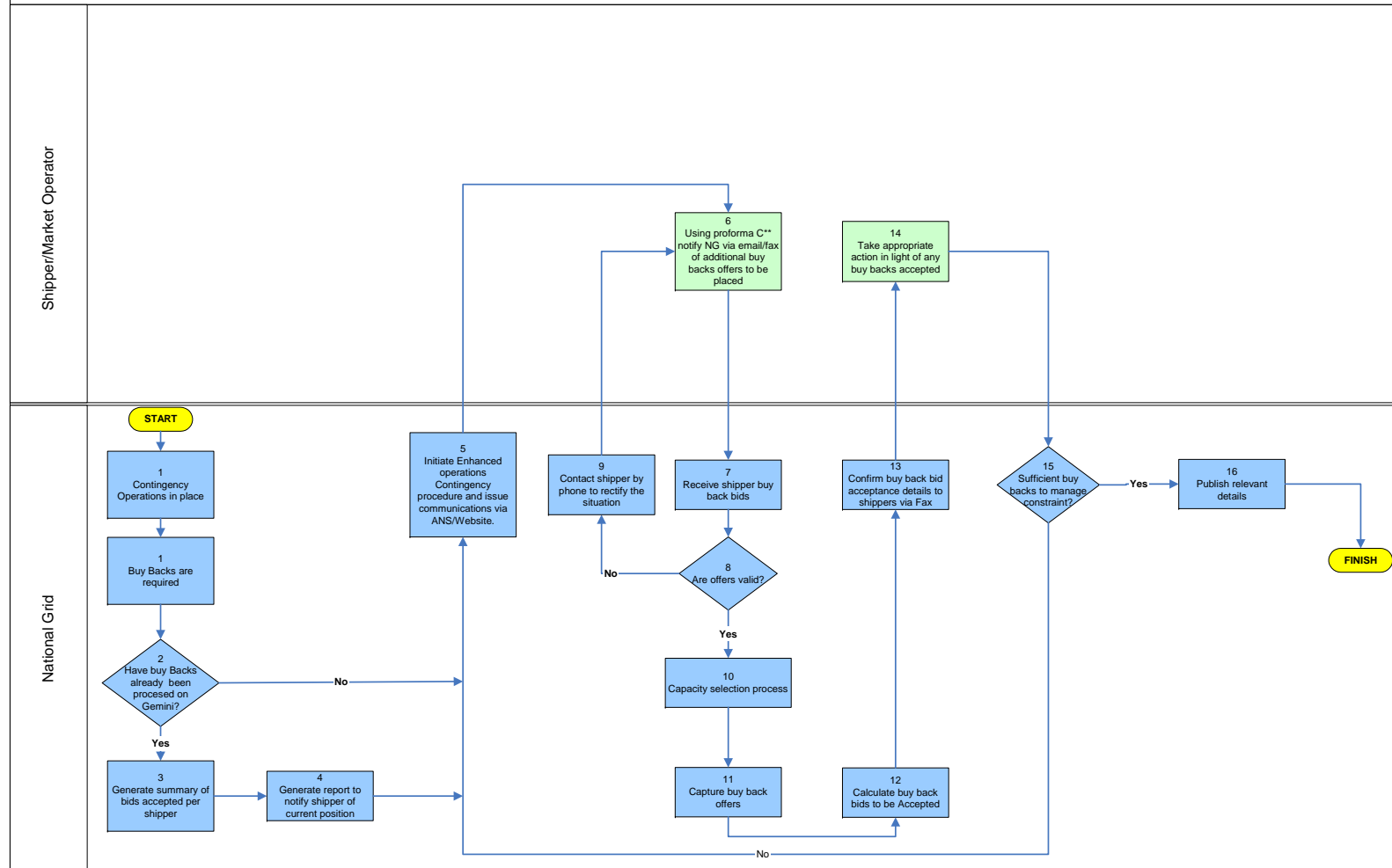


4.3.9: Manage Capacity Trades: Procedural stages

Process No.	Process	Procedure	Owner

Capacity Scenarios

4.3.10: Manage Capacity Buyback Auctions



4.3.10: Manage Capacity Buyback Auctions: Procedural stages

Process No.	Process	Procedure	Owner
1.	Contingency Operations in place		National Grid
2.	Buy backs have been identified as being required	Due to system capability, Entry capacity buy backs are required.	National Grid
3.	Have buy backs been processed on Gemini?	Has Gemini been available to process buy back bids	National Grid
4.	Generate a summary of buy backs accepted per shipper	A summary of shippers offers, accepted, or otherwise is generated	National Grid
5.	Generate report to notify shipper of current position	A report is generated to notify those shippers who have submitted buy back offers of their current position in relation to buy back offers accepted or otherwise and current position	National Grid
6.	Initiate Enhanced Operations Contingency procedure and issue communications via ANS/Website.	Contingency procedure initiated and shippers notified	National Grid
7.	Using pro-forma C** notify NG via email/fax of additional buy backs offers to be placed	Shippers use pro-forma to notify NG of additional buy back offers the shipper would like to place	Shipper
8.	Receive shipper buy back bids	Buy back offers received from shipper	National Grid
9.	Are offers valid?	Proformas are checked	National Grid
10.	Contact shipper by phone to rectify the situation	The shipper is contacted via phone to investigate and request shipper to correct pro-forma and re submit proforma.	National Grid
11.	Capacity selection process	Process undertaken to identify buy back and offers to be accepted.	National Grid
12.	Capture buy back offers	Capture valid buy back offers received from shippers	National Grid
13.	Calculate buy back bids to be accepted	Calculate buy back bids to be accepted	National Grid
14.	Confirm buy	Shippers are notified of the buy back offers	National Grid

	back bid acceptance details to shippers	accepted.	I Grid
15	Take appropriate action in light of any buy backs accepted	Shipper adjusts their position accordingly in light of any impact from capacity buy backs	
16	Publish relevant details	Communications issued regarding contingency arrangements state of play and summary of buy back actions	

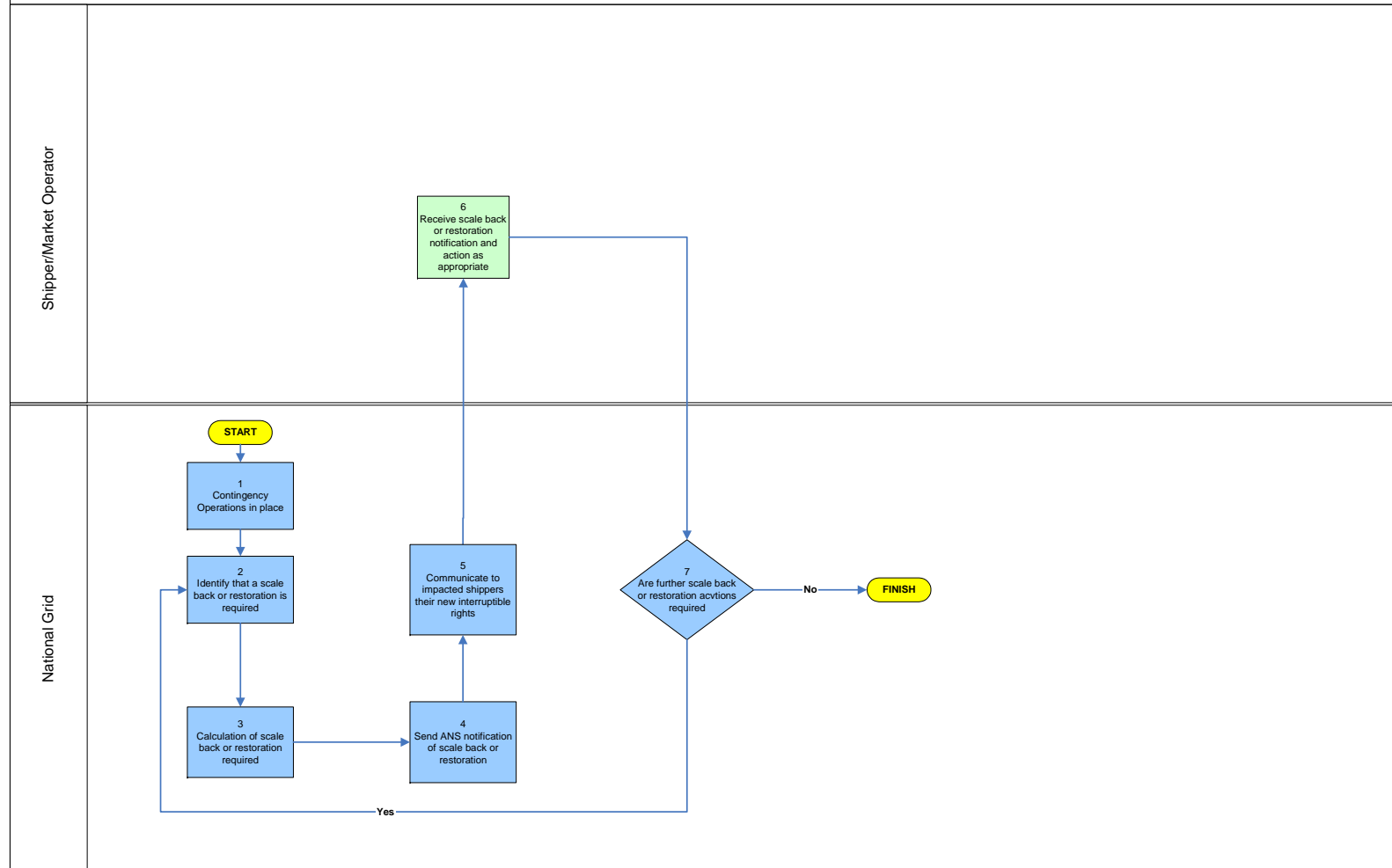
Capacity Scenarios

4.3.11: Manage Scale Back

4.3.11 Manage Scale Back

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4.3.11: Manage Scale Back: Procedural stages

Process No.	Process	Procedure	Owner

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