

# MARKET PROCEDURE: RULE PARTICIPANT REGISTRATION AND DE-REGISTRATION

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## VERSION RELEASE HISTORY

Version	Effective Date	Summary of Changes
1.0	21 September 2006	Market Procedure for Registration of Rule Participants as at Market Start
2.0	10 June 2008	IMO amended changes to the Procedure resulting from Procedure Change Proposal PC_2008_01
2.0	24 July 2009	IMO amended changes to the Procedure resulting from Procedure Change Proposal PC_2009_03
3.0	1 November 2013	IMO amended changes to the Procedure resulting from Procedure Change Proposal PC_2013_02
4.0	30 November 2015	Changes resulting from the transfer of functions from the IMO to AEMO
<u>5.0</u>	<u>18 April 2017</u> <del>TBC</del>	<u>Changes resulting from the transfer of System Management functions to AEMO</u>

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## CHAPTER 1. PROCEDURE OVERVIEW

### 1.1. Relationship with the Market Rules

- 1.1.1. This Market Procedure for Rule Participant Registration and De-Registration (Procedure) is made in accordance with clause 2.31.23 of the Wholesale Electricity Market (WEM) Rules (Market Rules).
- 1.1.2. Reference to particular Market Rules within the Procedure in bold and square brackets **[Clause XX]** are current as of ~~2 September 2013~~ ~~31 October~~ December 2016. These references are included for convenience only and are not part of this Procedure.
- 1.1.3. This Procedure is made in accordance with clause 2.31.23 of the Market Rules.

### 1.2. Purpose of this Procedure

- 1.2.1. The Procedure specifies the protocols by which AEMO can register and de-register Rule Participants.

### 1.3. Application of this Procedure

- 1.3.1. In this Procedure where obligations are conferred on a Rule Participant that Rule Participant must comply with the relevant obligations in accordance with ~~clauses~~ sections 2.28, 2.31, 2.32 and 2.33 of the Market Rules, as applicable.

### 1.4. Associated Market Procedures

- 1.4.1. The following AEMO Market Procedures are associated with this Procedure:
- (a) Facility Registration, De-Registration and Transfer Procedure.
- 1.4.2. The following market documents are associated with this Procedure:
- (a) Application for WEMS Access;
  - (b) Standard Naming Conventions document;
  - (c) Market Participant Nomination of Market Participant Administrator form;
  - (d) Recipient Created Tax Invoice Agreement;
  - (e) Declaration of Rule Participant Registration form;
  - (f) Declaration of Rule Participant De-Registration form;
  - (g) Market Participant Registration User Guide; and
  - (h) Market Participant Registration Technical Guide.

### 1.5. Conventions Used

- 1.5.1. In this Procedure, the conventions specified in clauses 1.3 to 1.5 of the Market Rules apply.

## 1.6. Terminologies and Definitions

1.6.1. A word or phrase defined in the Electricity Industry Act, the Regulations or the Market Rules has the same meaning when used in this Procedure. In addition the following defined terms have the meaning given.

**Table 1 Defined Term**

Term	Definition
Applicant	An entity or person(s) applying for Registration or De Registration as a Rule Participant
Application(s)	Any of the submissions required to register or de-register as a Rule Participant
De-Registration	The process of termination of a Rule Participant’s Registration from a Rule Participant class
Intermediary	A person to be registered instead of an Applicant in accordance with clause 2.28.16A(a)(i)
Recipient Created Tax Invoice (RCTI)	The form authorising AEMO to issue a Recipient Created Tax Invoice to an Applicant
Registration	The process of registering as a Rule Participant into a Rule Participant class
RSA Token	A device which generates a random number every few minutes in order to provide a secure authentication into the WEMS
Short Name	A name that identifies the Rule Participant within systems and processes used by AEMO (including in its capacity as System Management), the Meter Data Agent, and the Network Operator and System Management. Created in accordance with the Standard Naming Convention document available on the Market Web Site
Wholesale Electricity Market System (WEMS)	An IT interface system that AEMO uses to administer/operate the Wholesale Electricity Market

## CHAPTER 2. PROCEDURE LAYOUT

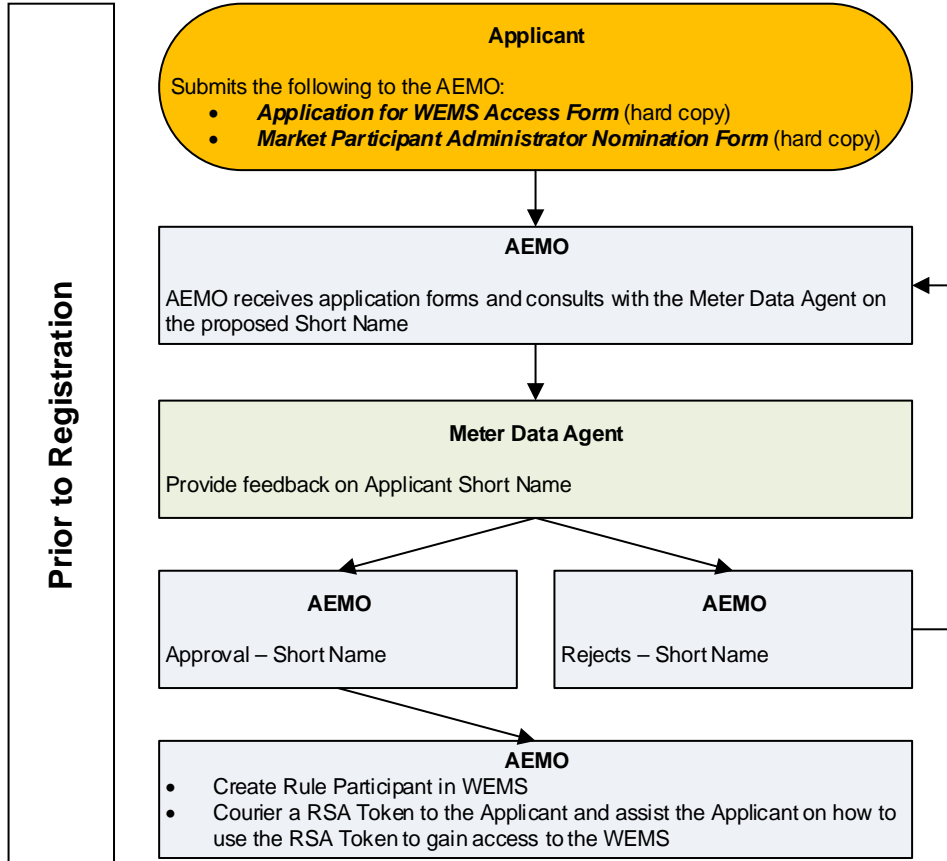
2.1.1. The following table provides a link between the illustration of a particular process and its written explanation.

**Table 2 Process Overview Table**

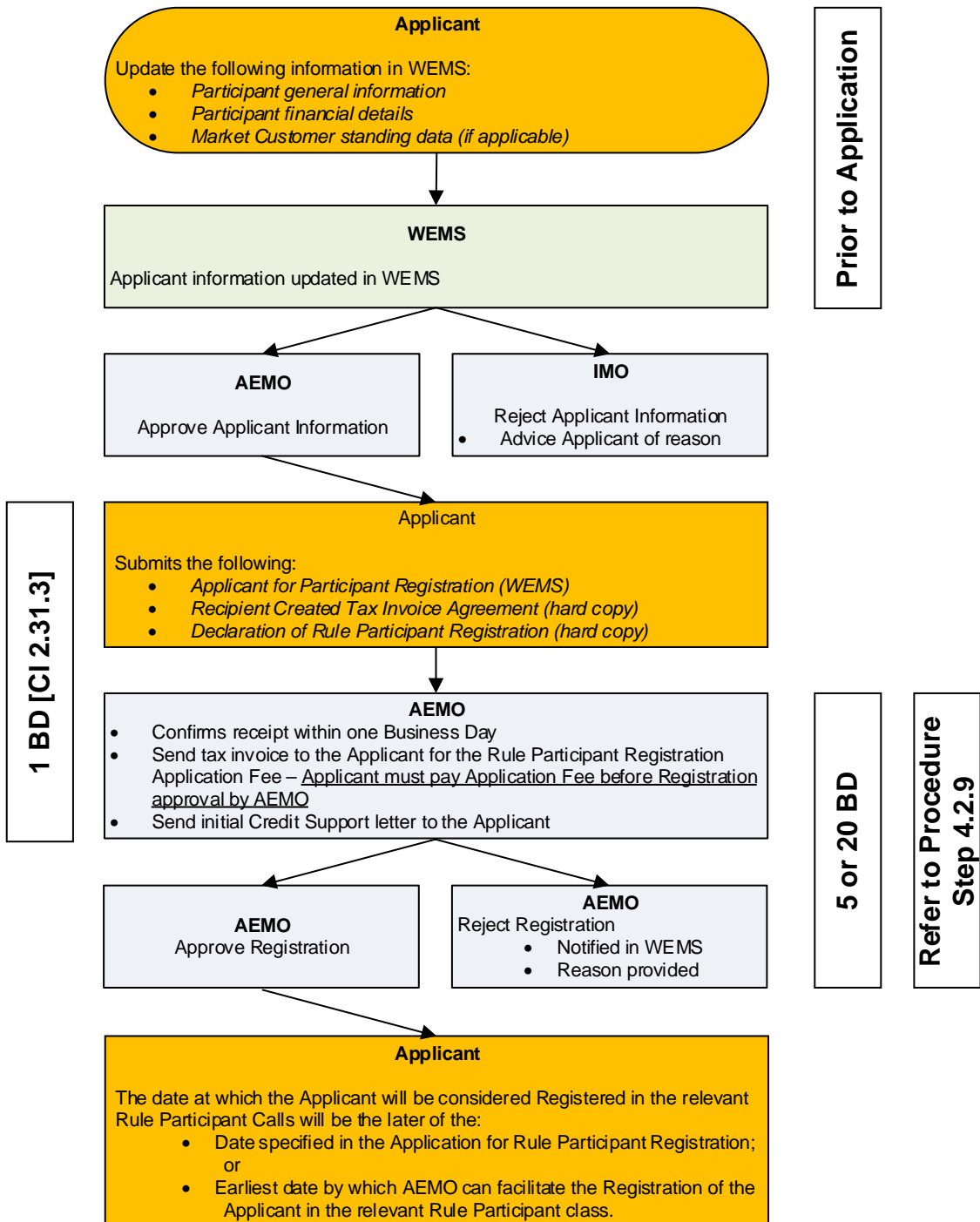
Process Flow Diagram	Process Explanation
3.1 - Application and WEMS Access	4.1 - Application and WEMS Access
3.2 - Rule Participant Registration	4.2 - Rule Participant Registration
3.3 - Rule Participant De-Registration	5.1 - Rule Participant De-Registration
	5.2 - AEMO De-Registers a Rule Participant
	6.1 - Exemption from Registering as a Rule Participant

## CHAPTER 3. PROCESS OVERVIEW FLOWCHARTS

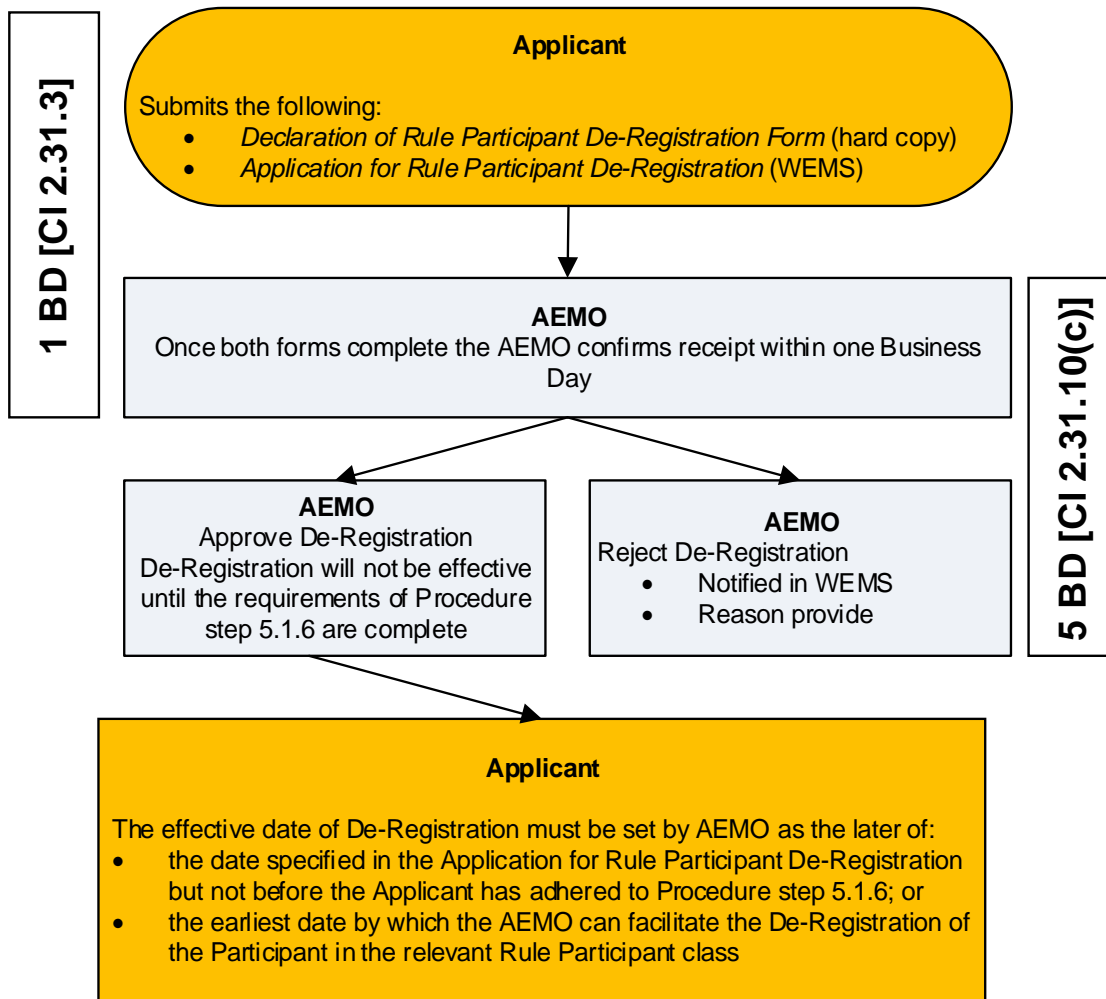
### 3.1. Application and WEMS Access



### 3.2. Rule Participant Registration



### 3.3. Rule Participant De-Registration





## CHAPTER 4. RULE PARTICIPANT REGISTRATION

### 4.1. Application and WEMS Access

- 4.1.1. Person(s) or entities who are not already Rule Participants (Applicant) and intend to register in a Rule Participant class for the first time must, prior to Registration, apply for WEMS access.
- 4.1.2. Applicants must download the most recent version from the Market Web Site, complete and submit the following in hard copy:
  - (a) Application for WEMS Access form; and
  - (b) Market Participant Administrator Nomination form.
- 4.1.3. Applicants may access the information on how to submit the forms above by reading the submission details on the forms and/or the Market Web Site.
- 4.1.4. The Application for WEMS Access Form must include:
  - (a) a proposed Rule Participant Short Name; and
  - (b) the user who will be the Market Participant Administrator<sup>1</sup>.
- 4.1.5. Upon receipt of the Application for WEMS Access Form AEMO must consult with the Meter Data Agent on the proposed Short Name as soon as practical.
- 4.1.6. If the Meter Data Agent does not endorse the Short Name, AEMO must notify the Applicant as soon as practical and propose a new Short Name. The Applicant may accept the new proposed name by AEMO or request a different Short Name.
- 4.1.7. AEMO may reject the Short Name proposed by the Applicant and propose a new Short Name as soon as practical. The Applicant may accept the new proposed name or request a different Short Name.
- 4.1.8. AEMO must consult with the Meter Data Agent regarding a change to an Applicant's Short Name.
- 4.1.9. AEMO must create a Rule Participant in WEMS, within five Business Days, upon:
  - (a) the Meter Data Agent endorsing an Applicant's Short Name; and
  - (b) AEMO receiving and approving the forms detailed in step 4.1.1.
- 4.1.10. Once AEMO creates the Rule Participant in WEMS, AEMO must deliver an RSA Token to the Applicant and instruct the Applicant on how to use the token to gain access to WEMS.

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<sup>1</sup> Primary contact for the Applicant used by AEMO in WEMS for management of the account and access to the system.

4.1.11. An Applicant may access the information on how to use WEMS in the ~~Market Participant Registration~~ WEMS MPI User Guide and Market Participant Registration Technical Guide, available from the Market Web Site.

## 4.2. Rule Participant Registration

4.2.1. In order to initiate the Rule Participant Registration process, an Applicant must provide the following information in WEMS:

- (a) Participant general information;
- (b) Participant financial details; and
- (c) Market Customer Standing Data (for those applicants wishing to register in the Market Customer Rule Participant class).

4.2.2. An Applicant may access the information on what and how to submit the data in Procedure step 4.2.1 in the ~~Market Participant Registration User Guide~~ WEMS MPI User Guide and Market Participant Registration Technical Guide, available on the Market Web Site.

4.2.3. AEMO must review the information provided by the Applicant in Procedure step 4.2.1 and approve or reject the information in WEMS as soon as practical.

4.2.4. If the information is rejected by AEMO, the Applicant must be advised via WEMS and the Applicant must be contacted by AEMO, via email, and informed of the reasons for rejection.

4.2.5. Once AEMO has accepted an Applicant's information prescribed in Procedure step 4.2.1 the Applicant may register to become a Rule Participant by submitting the following forms available from the Market Web Site or in WEMS, where applicable, to AEMO **[Clause 2.31.2]**:

- (a) Application for Participant Registration (WEMS);
- (b) Recipient Created Tax Invoice Agreement (hard copy); and
- (c) Declaration of Rule Participant Registration (hard copy).

4.2.6. Once a Recipient Created Tax Invoice Agreement (RCTI) is received by AEMO, AEMO must send a tax invoice for the Rule Participant Registration Application Fee to the Applicant in hard copy.

4.2.7. Upon AEMO receiving payment of the Rule Participant Registration Application Fee<sup>2</sup>, the Application for Participant Registration (submitted in WEMS) and the Declaration of Rule Participant Registration (submitted in hard copy), AEMO must confirm receipt of these forms, via email, with the Applicant within one Business Day **[Clause 2.31.3]**.

4.2.8. Upon AEMO acknowledging receipt of the information in step 4.2.7, AEMO must issue an initial Credit Limit letter to the Applicant if Credit Support is required. Credit Support must be provided in accordance with the Market Procedure for Prudential Requirements.

<sup>2</sup> Information on how to pay Application Fees available at <http://wa.aemo.com.au/Registration-fees>

- 4.2.9. From the date of notification to the Applicant by AEMO, AEMO must review and decide whether to accept or reject the Applicant's Registration in the respective Rule Participant Class in accordance with the Market Rules within:
- (a) five Business Days for applications related to **[Clause 2.31.10(c)]**:
    - (i) a Network Operator; and
    - (ii) an Ancillary Service Provider; or
  - (b) 20 Business Days for applications related to **[Clause 2.31.10(b)]**:
    - (i) a Market Generator; or
    - (ii) a Market Customer<sup>3</sup>.
- 4.2.10. AEMO may request additional information where that information provided is inadequately specified within the Application for Rule Participant Registration and/or Declaration of Rule Participant Registration. If AEMO requests additional information from an Applicant, the review period detailed in Procedure step 4.2.9 must begin from the time at which this information is provided to AEMO **[Clause 2.31.4]**.
- 4.2.11. Upon AEMO approving an Application for Rule Participant Registration, the date at which the Applicant is considered Registered in the relevant Rule Participant Class must be the later of the **[Clause 2.31.11(a)]**:
- (a) date specified, and approved by AEMO, in the Application for Participant Registration; or
  - (b) earliest date by which AEMO can facilitate the Registration of the Applicant in the relevant Rule Participant class.
- 4.2.12. Upon AEMO rejecting an Application for Rule Participant Registration, AEMO must **[Clause 2.31.12]**:
- (a) notify the Applicant in WEMS; and
  - (b) inform the Applicant of the reasons for the rejection by email.

## CHAPTER 5. RULE PARTICIPANT DE-REGISTRATION

### 5.1. Rule Participant De-Registration

- 5.1.1. An Applicant may apply for De-Registration from a Rule Participant class by submitting the following forms to AEMO **[Clause 2.31.2]**:
- (a) an Application for Rule Participant De-Registration (WEMS); and
  - (b) a Declaration of Rule Participant De-Registration Form (hard copy).

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<sup>3</sup> Applicants wishing to register as both a Market Generator and a Market Customer must do so through separate Applications that cannot be submitted at the same time.

- 5.1.2. An Applicant may access the information on how to submit the forms in Procedure step 5.1.1 in the ~~Market Participant Registration User Guide~~ WEMS MPI User Guide and Market Participant Registration Technical Guide, available from the Market Web Site.
- 5.1.3. Upon AEMO receiving a Declaration of Rule Participant De-Registration Form (submitted in hard copy) and an Application for Rule Participant De-Registration (submitted in WEMS) AEMO must confirm receipt with the Applicant, via email, within one Business Day [Clause 2.31.3].
- 5.1.4. From the date of notification to the Applicant by AEMO, AEMO must review and decide whether to accept or reject an Application to De-Register an Applicant in the respective Rule Participant class within five Business Days [**Clause 2.31.10(c)**].
- 5.1.5. AEMO may request additional information where that information is inadequately specified within the Application for Rule Participant De-Registration and/or Declaration of Rule Participant De-Registration form. If AEMO requests additional information from an Applicant the review period detailed in Procedure step 5.1.4 must begin from the time at which this information is provided to AEMO [**Clause 2.31.4**].
- 5.1.6. Before AEMO can de-register a Rule Participant an Applicant must complete the following [**Clause 2.31.11(b)(ii)**]:
- (a) de-register all of its Facilities<sup>4</sup> applicable to the class;
  - (b) resolve and settle all outstanding disputes, investigations and enforcement actions;
  - (c) pay all outstanding amounts owing to AEMO; and
  - (d) have received final payment of all amounts owed to it by AEMO [**Clause 2.31.16**].
- 5.1.7. Upon AEMO approving an Application for Rule Participant De-Registration from a Market Customer or Market Generator, AEMO must notify the Applicant, via email, that the Applicant must cease trading as a Market Customer or Market Generator on the date specified in the Application for Rule Participant De-Registration, where that date must not be earlier than 10 Business Days after the date of Application [**Clause 2.31.11(b)(i)**].
- 5.1.8. The effective date of De-Registration must be set by AEMO as the later of:
- (a) the date specified in the Application for Rule Participant De Registration, and approved by AEMO, but not before the Applicant has adhered to Procedure step 5.1.6; or
  - (b) the earliest date by which AEMO can facilitate the De-Registration of the Applicant in the relevant Rule Participant class.
- 5.1.9. Upon rejecting an Application for Rule Participant De-Registration AEMO must [**Clause 2.31.12**]:
- (a) notify the Applicant in WEMS; and
  - (b) inform the Applicant of the reasons for the rejection by email.

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<sup>4</sup> See Facility Registration, De-Registration and Transfer Procedure.

## 5.2. AEMO De-registers a Rule Participant

- 5.2.1. AEMO may, at any time, review the Rule Participant class of a Market Customer or Market Generator to determine if they continue to satisfy the criteria specified in clause 2.28.19 of the Market Rules **[Clause 2.32.7A]**.
- 5.2.2. If AEMO determines a Market Customer or Market Generator no longer meets the requirements of clause 2.28.19 of the Market Rules, AEMO may issue a Registration Correction Notice **[Clause 2.32.7B]**. The Registration Correction Notice must be in the format of a letter and contain the information required in clause 2.32.7C of the Market Rules.
- 5.2.3. AEMO must consider any evidence or submissions provided by a Market Customer or Market Generator in response to a Registration Correction Notice and determine whether or not the Market Customer or Market Generator meets the criteria detailed in clause 2.28.19 of the Market Rules. If AEMO determines the Market Customer or Market Generator no longer meets the requirements of clause 2.28.19 of the Market Rules AEMO may issue a De-Registration Notice.
- 5.2.4. A De-Registration Notice issued in accordance with Procedure step 5.2.3, must be in writing and contain the date and time in which the Market Customer or Market Generator must be De-Registered.
- 5.2.5. AEMO may also apply to the Electricity Review Board for De-Registration of a Rule Participant if the Rule Participant has been suspended for 90 days **[Clause 2.32.6]**.
- 5.2.6. If the Electricity Review Board, in its notice to AEMO, decides the Rule Participant should not be registered, AEMO must advise the Rule Participant of the decision as soon as practical, in writing, and begin the process of de-registering the Rule Participant in WEMS. AEMO must also de-register all Facilities registered to the Rule Participant.
- 5.2.7. The effective date of the Rule Participant and Facility De-Registration will be the time specified in the notice from the Electricity Review Board **[Clause 2.32.7]**.

## CHAPTER 6. EXEMPTION

### 6.1. Exemption from Registering as a Rule Participant

- 6.1.1. Clause 2.28.16A of the Market Rules allows a person to request to be exempt from registering as a Rule Participant. The Applicant can also notify AEMO of an Intermediary to be registered instead of the Applicant **[Clause 2.28.16A]**.
- 6.1.2. If an Applicant requests to have an Intermediary registered, it must provide to AEMO a letter containing the consent of the Intermediary to act as the Intermediary.
- 6.1.3. If an exemption under clause 2.28.16A(a) is granted by AEMO, the Intermediary must apply to AEMO to be a registered Rule Participant in accordance with section CHAPTER 44 of the Procedure and they must satisfy all the requirements in clause 2.28.16A(b).
- 6.1.4. AEMO may issue an exemption to an Applicant, in writing, subject to any conditions stipulated by AEMO **[Clause 2.28.16]**. AEMO may stipulate these conditions on a case by case basis, and must do so in writing.

- 6.1.5. Upon notice of 15 Business Days AEMO may revoke an exemption given to an Applicant **[Clause 2.28.16]**. AEMO may revoke an exemption under clause 2.28.16 on a case by case basis.
- 6.1.6. The Applicant may revoke the appointment of an Intermediary by notifying AEMO in writing.
- 6.1.7. At 4.30 AM, two Business Days after AEMO receives this notice, the Intermediary will automatically cease to be considered the Applicant's Intermediary in accordance with the Market Rules **[Clause 2.28.16A(e)]**.
- 6.1.8. An Applicant may apply to AEMO for an exemption to the requirement to register as a Rule Participant by submitting a letter to AEMO justifying why it should be exempt from registering as a Rule Participant under the Market Rules.
- 6.1.9. AEMO may exempt an Applicant from registering as a Rule Participant pursuant to the conditions stipulated under clause 2.28.16B of the Market Rules.
- 6.1.10. An Applicant may apply for exemption from registering as a Rule Participant pursuant to clause 2.28.16B of the Market Rules by submitting a letter to AEMO providing the following:
- (a) an explanation of how the Applicant currently meets the requirements of clause 2.28.16B of the Market Rules and how the Applicant will continue to meet the requirements in the future;
  - (b) all relevant Facilities under the Applicant's operation;
  - (c) how all these Facilities meet the requirements listed in clause 2.28.16B(a) and (b) of the Market Rules;
  - ~~(d)~~ ~~written confirmation from System Management that the Applicant meets the requirements of clause 2.28.16B(c) of the Market Rules; and~~
  - ~~(e)~~ ~~(d)~~ written confirmation from the Meter Data Agent that the Applicant meets the requirements of clause 2.28.16B(d) of the Market Rules, including any National Metering Identifier and the retailer registered to that meter.
- 6.1.11. AEMO may request further information from an Applicant prior to granting an exemption under clause 2.28.16B of the Market Rules.
- 6.1.12. An Applicant must advise AEMO, in writing, within two Business Days if the Applicant no longer satisfies the conditions stipulated in clause 2.28.16B of the Market Rules.
- 6.1.13. AEMO may issue an exemption, under clause 2.28.16B of the Market Rules, to an Applicant subject to any conditions stipulated by AEMO. AEMO may stipulate these conditions on a case by case basis, and must do so in writing.
- 6.1.14. AEMO must advise an Applicant, in writing, of the decision to grant or reject an exemption under clause 2.28.16B of the Market Rules within five Business Days of the Application.
- 6.1.15. Upon AEMO rejecting an Application for exemption under clause 2.28.16B of the Market Rules, AEMO must advise the Applicant of the reason for the rejection in writing.
- 6.1.16. Upon notice of 15 Business Days AEMO may revoke an exemption given to an Applicant under clause 2.28.16B of the Market Rules. AEMO may revoke an exemption under clause 2.28.16B of the Market Rules on a case by case basis.

6.1.17. Upon an Applicant being revoked an exemption from registering as a Rule Participant; the Applicant must either re-commence the process of registering for an exemption or apply for Registration as a Rule Participant.