

COMPLIANCE ISSUES FOR DECISION

DATE: 18 April 2016
RESPONSIBILITY: Chief Executive Officer

COMPLIANCE ISSUES SUMMARY TABLE:

Breach	Description	Recommendation
<p>Apparent breach of Multiple Rules of the Retail Market Rules by REMCo on gas day 17/03/16</p>	<p>On 18/03/16, a REMCo internet-facing firewall went offline, affecting Gas Retail Market System (“GRMS”) access to the FRC Hub and participant access to the FTP server. This issue resulted in the following reports breaching Retail Market Rules (the “Rules”) by 21 minutes:</p> <ul style="list-style-type: none"> • 17 BID-PUB reports breached Rule 286 for gas day 17/03/16; • 17 MCP-TANUSA reports breached Rule 288(1) for gas day 17/03/16; • 17 MCP-TSS reports breached Rule 287(1) for gas day 17/03/16; • 15 SRQ reports breached Rule 299(1) for gas day 17/03/16; • 19 SS reports breached Rule 300(1) for gas day 17/03/16; • 7 UETW reports breached Rule 228(2) for gas day 17/03/16; • 5 USS reports breached Rule 300(2)(a) for gas day 17/03/16; • 9 UDW reports breached Rule 248(1) for gas day 17/03/16; • 8 BID-ALLOC reports breached Rule 296(1) for gas day 17/03/16; • 27 DGQ reports breached Rule 302(3) for gas day 17/03/16; • 27 DI reports breached Rule 246(1) for gas day 17/03/16; and • 12 OMP-APP reports breached Rule 300(3) for gas day 17/03/16. <p>REMCo systems support staff were alerted of the firewall going offline at 10:43am AWST on 18/03/16. Subsequent investigations identified the source of the issue as a power supply failure.</p>	<p>Submissions were called for, and the submission window closed on 14/04/16.</p> <p>No submissions were received.</p> <p>This indicates that there was no material impact to participants as a result of this incident.</p> <p>Therefore REMCo exercises its discretion under Rule 329 to take no further action in this matter.</p>

	<p>The system issue was resolved by removing the faulty power supply from the primary unit and replacing it with a power supply from a replacement firewall unit. The firewall was rebooted and brought back online at 12:48pm AWST with a notification sent to the WA market to confirm resolution of the outage and restoration of WA GRMS at 12:58pm AWST.</p>	
--	---	--

COMPLIANCE ISSUES:

1. Rule breaches reported by REMCo:

a. Apparent breach of Multiple Rules of the Retail Market Rules by REMCo on gas day 17/03/16.

Description	See the description above.
Action taken	<p>REMCo has undertaken the following actions to mitigate the risk of this situation recurring:</p> <ol style="list-style-type: none"> 1. Investigation regarding implementing firewall redundancy to allow for an immediate failover in the case of firewall failure. <p>REMCo issued a notice to the market on 31/03/16 regarding the apparent Rule breach, and requested submissions from participants to indicate whether they had been adversely impacted by the apparent Rule breach. The consultation period for this notice elapsed on 14/04/16.</p>
Impact	<p>No submissions were received from participants in response to the request for submissions.</p> <p>REMCo therefore considers that the incident did not have a material impact on market participants.</p>
Decision	REMCo exercises its discretion under Rule 329 to take no further action in relation to this matter.