



INDEPENDENT
MARKET
OPERATOR



Market Procedure: Rule Participant Registration and De-Registration

Version 3



ELECTRICITY INDUSTRY ACT 2004
ELECTRICITY INDUSTRY
(WHOLESALE ELECTRICITY MARKET)
REGULATIONS 2004
WHOLESALE ELECTRICITY MARKET RULES
COMMENCEMENT:

This Market Procedure took effect from 8:00am (WST) on the same date as the Wholesale Electricity Market Rules.

VERSION HISTORY

Version	Effective Date	Notes
1	21 September 2006	Market Procedure for Registration of Rule Participants as at Market Start
2	10 June 2008	IMO amended changes to the Procedure resulting from Procedure Change Proposal PC_2008_01
2	24 July 2009	IMO amended changes to the Procedure resulting from Procedure Change Proposal PC_2009_03
3	1 November 2013	IMO amended changes to the Procedure resulting from Procedure Change Proposal PC_2013_02

TABLE OF CONTENTS

1	PROCEDURE OVERVIEW	4
1.1	<i>Relationship with the Market Rules</i>	4
1.2	<i>Purpose of this Procedure</i>	4
1.3	<i>Application of this Procedure</i>	4
1.4	<i>Associated Market Procedures and Market Documents</i>	4
1.5	<i>Conventions Used</i>	4
1.6	<i>Terminologies and Definitions</i>	4
2	PROCEDURE LAYOUT	5
2.1	<i>Process Overview Table</i>	5
3	PROCESS OVERVIEW FLOWCHARTS	6
3.1	<i>Application and WEMS Access</i>	6
3.2	<i>Rule Participant Registration</i>	7
3.3	<i>Rule Participant De-Registration</i>	8
4	RULE PARTICIPANT REGISTRATION	9
4.1	<i>Application and WEMS Access</i>	9
4.2	<i>Rule Participant Registration</i>	9
5	RULE PARTICIPANT DE-REGISTRATION	11
5.1	<i>Rule Participant De-Registration</i>	11
5.2	<i>IMO De-registers a Rule Participant</i>	12
6	EXEMPTION	13
6.1	<i>Exemption from Registering as a Rule Participant</i>	13

LIST OF TABLES

Table 1 - Defined Terms	5
Table 2 - Process Overview Table	5

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. 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 the IMO 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 2.28, 2.31, 2.32 and 2.33 of the Market Rules, as applicable.

1.4 Associated Market Procedures and Market Documents

1.4.1 The following 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 Terms

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 the IMO 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 the IMO, the Meter Data Agent, 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 the IMO uses to administer/operate the Wholesale Electricity Market

2 PROCEDURE LAYOUT

2.1 Process Overview Table

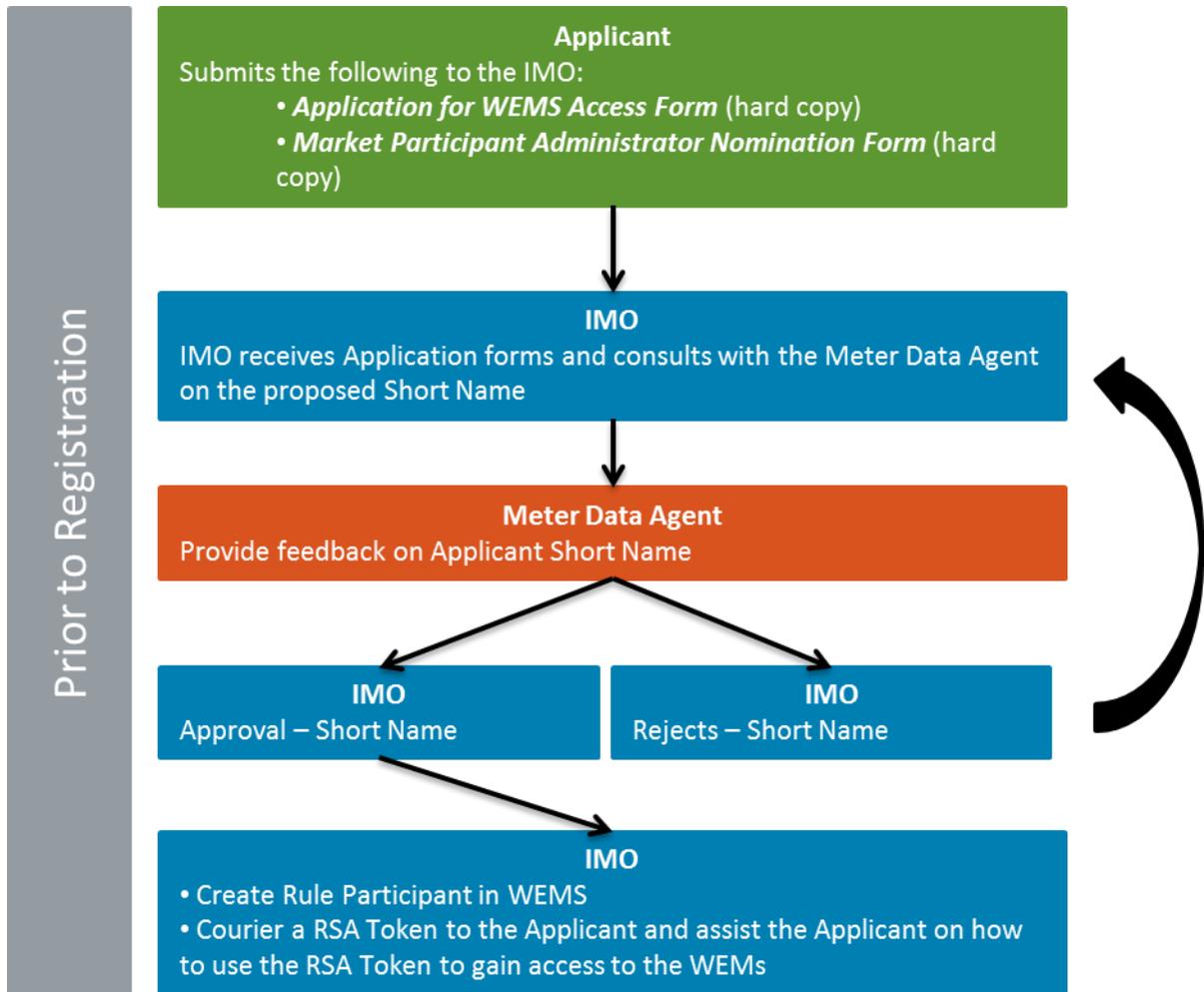
2.1.1 The following table provides a link between the illustration of a particular process and its written explanation.

Table 2 - Process Overview Table

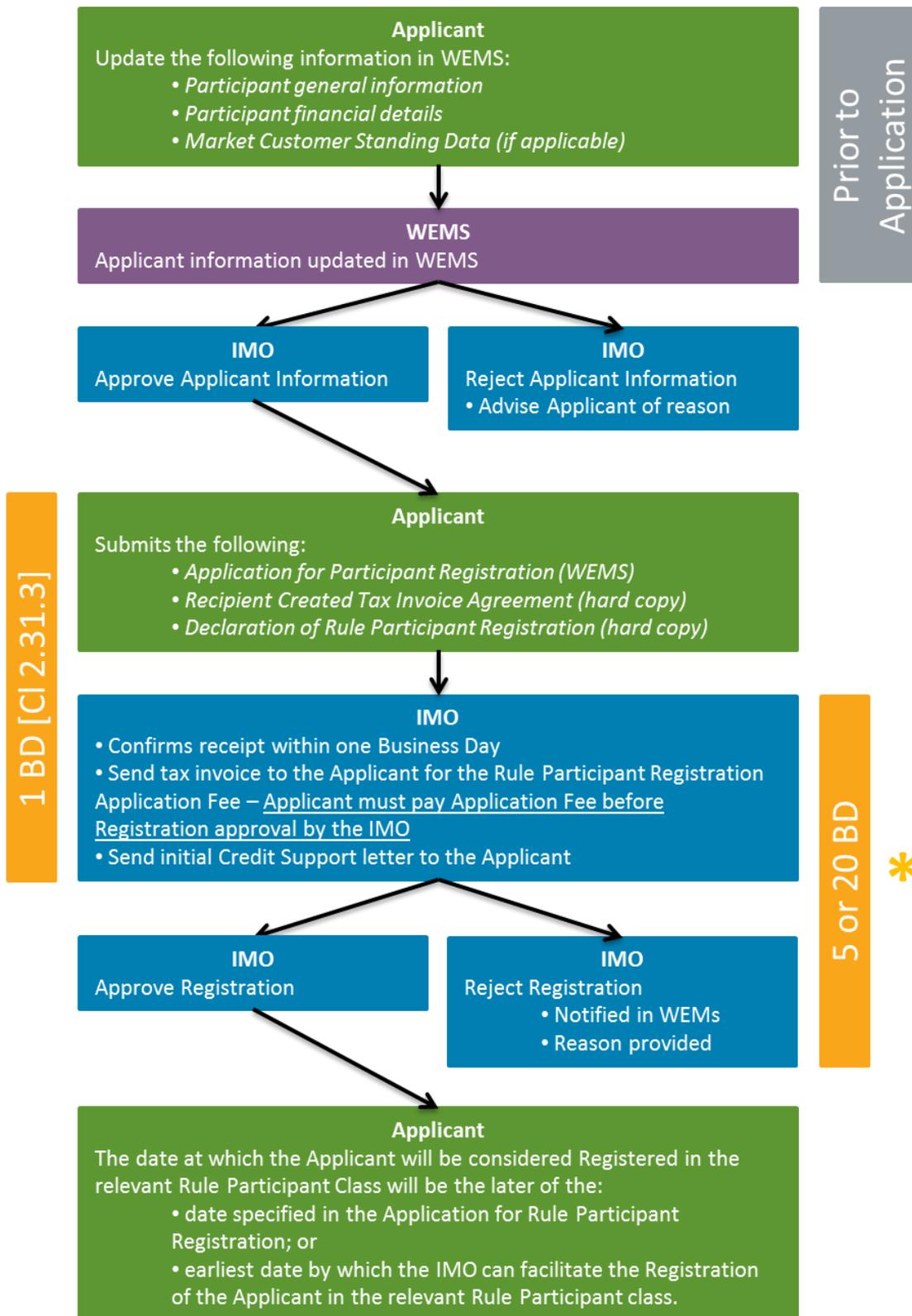
Process Flow Diagram	Process Explanation
3.1 - Application and WEMS Access	4.1 - Application and WEMS Access
3.2 - Rule Participant Registration	4.2 - Rule Participant Registration
3.3 - Rule Participant De-Registration	5.1 - Rule Participant De-Registration
	5.2 - IMO De-Registers a Rule Participant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

3 PROCESS OVERVIEW FLOWCHARTS

3.1 Application and WEMS Access



3.2 Rule Participant Registration



Prior to Application

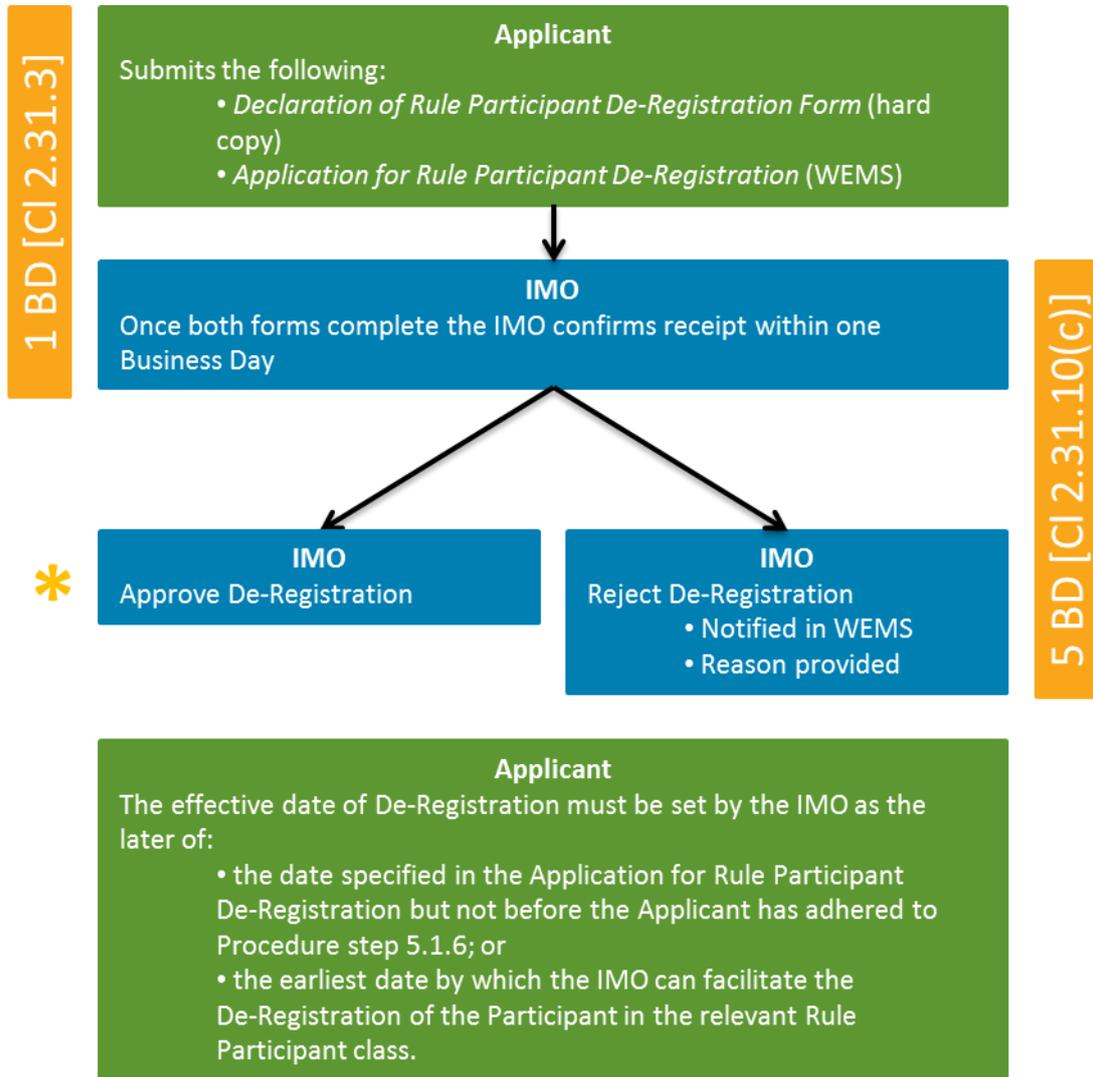
1 BD [CI 2.31.3]

5 or 20 BD *

* Refer to Procedure Step 4.2.9



3.3 Rule Participant De-Registration



* De-Registration will not be effective until the requirements of Procedure step 5.1.6 are complete.

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 Administrator¹.
- 4.1.5 Upon receipt of the *Application for WEMS Access* Form the IMO 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, the IMO must notify the Applicant as soon as practical and propose a new Short Name. The Applicant may accept the new proposed name by the IMO or request a different Short Name.
- 4.1.7 The IMO 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 The IMO must consult with the Meter Data Agent regarding a change to an Applicant's Short Name.
- 4.1.9 The IMO 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) the IMO receiving and approving the forms detailed in step 4.1.1.
- 4.1.10 Once the IMO creates the Rule Participant in WEMS, the IMO must deliver an RSA Token to the Applicant and instruct the Applicant on how to use the token to gain access to WEMS.
- 4.1.11 An Applicant may access the information on how to use WEMS in the *Market Participant Registration 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;

¹ Primary contact for the Applicant used by the IMO in WEMS for management of the account and access to the system.

- (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* and *Market Participant Registration Technical Guide*, available on the Market Web Site.
- 4.2.3 The IMO 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 the IMO, the Applicant must be advised via WEMS and the Applicant must be contacted by the IMO, via email, and informed of the reasons for rejection.
- 4.2.5 Once the IMO 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 the IMO **[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 the IMO, the IMO must send a tax invoice for the Rule Participant Registration Application Fee to the Applicant in hard copy.
- 4.2.7 Upon the IMO receiving payment of the Rule Participant Registration Application Fee², the *Application for Participant Registration* (submitted in WEMS) and the *Declaration of Rule Participant Registration* (submitted in hard copy), the IMO must confirm receipt of these forms, via email, with the Applicant within one Business Day **[Clause 2.31.3]**.
- 4.2.8 Upon the IMO acknowledging receipt of the information in step 4.2.7, the IMO 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.
- 4.2.9 From the date of notification to the Applicant by the IMO, the IMO 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 Customer³.

² Information on how to pay Application Fees available at <http://www.imowa.com.au/n147.html>

³ 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.

- 4.2.10 The IMO 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 the IMO 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 the IMO [**Clause 2.31.4**].
- 4.2.11 Upon the IMO 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 the IMO, in the *Application for Participant Registration*; or
 - (b) earliest date by which the IMO can facilitate the Registration of the Applicant in the relevant Rule Participant class.
- 4.2.12 Upon the IMO rejecting an Application for Rule Participant Registration, the IMO must [**Clause 2.31.12**]:
- (a) notify the Applicant in WEMS; and
 - (b) inform the Applicant of the reasons for the rejection by email.

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 the IMO [**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).
- 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* and *Market Participant Registration Technical Guide*, available from the Market Web Site.
- 5.1.3 Upon the IMO receiving a *Declaration of Rule Participant De-Registration Form* (submitted in hard copy) and an *Application for Rule Participant De-Registration* (submitted in WEMS) the IMO 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 the IMO, the IMO 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 The IMO 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 the IMO 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 the IMO [**Clause 2.31.4**].
- 5.1.6 Before the IMO can de-register a Rule Participant an Applicant must complete the following [**Clause 2.31.11(b)(ii)**]:

- (a) de-register all of its Facilities⁴ applicable to the class;
 - (b) resolve and settle all outstanding disputes, investigations and enforcement actions;
 - (c) pay all outstanding amounts owing to the IMO; and
 - (d) have received final payment of all amounts owed to it by the IMO [**Clause 2.31.16**].
- 5.1.7 Upon the IMO approving an *Application for Rule Participant De-Registration* from a Market Customer or Market Generator, the IMO 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 the IMO as the later of:
- (a) the date specified in the *Application for Rule Participant De-Registration*, and approved by the IMO, but not before the Applicant has adhered to Procedure step 5.1.6; or
 - (b) the earliest date by which the IMO 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* the IMO must [**Clause 2.31.12**]:
- (a) notify the Applicant in WEMS; and
 - (b) inform the Applicant of the reasons for the rejection by email.
- 5.2 IMO De-registers a Rule Participant**
- 5.2.1 The IMO 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 the IMO determines a Market Customer or Market Generator no longer meets the requirements of clause 2.28.19 of the Market Rules, the IMO 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 The IMO 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 the IMO determines the Market Customer or Market Generator no longer meets the requirements of clause 2.28.19 of the Market Rules the IMO 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.

⁴ See Facility Registration, De-Registration and Transfer Procedure.

- 5.2.5 The IMO 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 the IMO, decides the Rule Participant should not be registered, the IMO 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. The IMO 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**].

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 the IMO 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 the IMO 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 the IMO, the Intermediary must apply to the IMO to be a registered Rule Participant in accordance with section 4 of the Procedure and they must satisfy all the requirements in clause 2.28.16A(b).
- 6.1.4 The IMO may issue an exemption to an Applicant, in writing, subject to any conditions stipulated by the IMO [**Clause 2.28.16**]. The IMO 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 the IMO may revoke an exemption given to an Applicant [**Clause 2.28.16**]. The IMO 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 the IMO in writing.
- 6.1.7 At 4.30 AM, two Business Days after the IMO 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 the IMO for an exemption to the requirement to register as a Rule Participant by submitting a letter to the IMO justifying why it should be exempt from registering as a Rule Participant under the Market Rules.
- 6.1.9 The IMO 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 the IMO 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) 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 The IMO 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 the IMO, 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 The IMO may issue an exemption, under clause 2.28.16B of the Market Rules, to an Applicant subject to any conditions stipulated by the IMO. The IMO may stipulate these conditions on a case by case basis, and must do so in writing.
- 6.1.14 The IMO 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 the IMO rejecting an Application for exemption under clause 2.28.16B of the Market Rules, the IMO must advise the Applicant of the reason for the rejection in writing.
- 6.1.16 Upon notice of 15 Business Days the IMO may revoke an exemption given to an Applicant under clause 2.28.16B of the Market Rules. The IMO 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.