



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	DD MM YYYY	IMO amended changes to the Procedure resulting from Procedure Change Proposal PC_20XX_XX

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1 PROCEDURE OVERVIEW

1.1 Relationship with the Market Rules

- 1.1.1 This Participant Registration and De-registration Market Procedure (Procedure) should be read in conjunction with clause 2.28, 2.31, 2.32 and 2.33 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 1 January 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 This Procedure applies to the IMO and System Management, persons intending to become Rule Participants and existing Rule Participants.

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 - 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.

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, de-register as a Rule Participant
De-Registration	The process of termination of a Rule Participant's Registration from a Rule Participant Class
RCTI	Recipient Created Tax Invoice Agreement. The form authorising the IMO to issue a Recipient Created Tax Invoice to an Applicant
Registration	The process of registering as a Rule Participant
RSA Token	A device which generates a random number every few minutes in order to provide a secure authentication into the WEMS
WEMS (Wholesale Electricity Market System)	An IT interface system that the IMO uses to administer/operate the Wholesale Electricity Market

Table 1 – Defined Terms

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.

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
N/A	5.2 – IMO De-Registers a Rule Participant
N/A	6.1 – Exemption from Registering as a Rule Participant

Table 2 – Process Overview Table

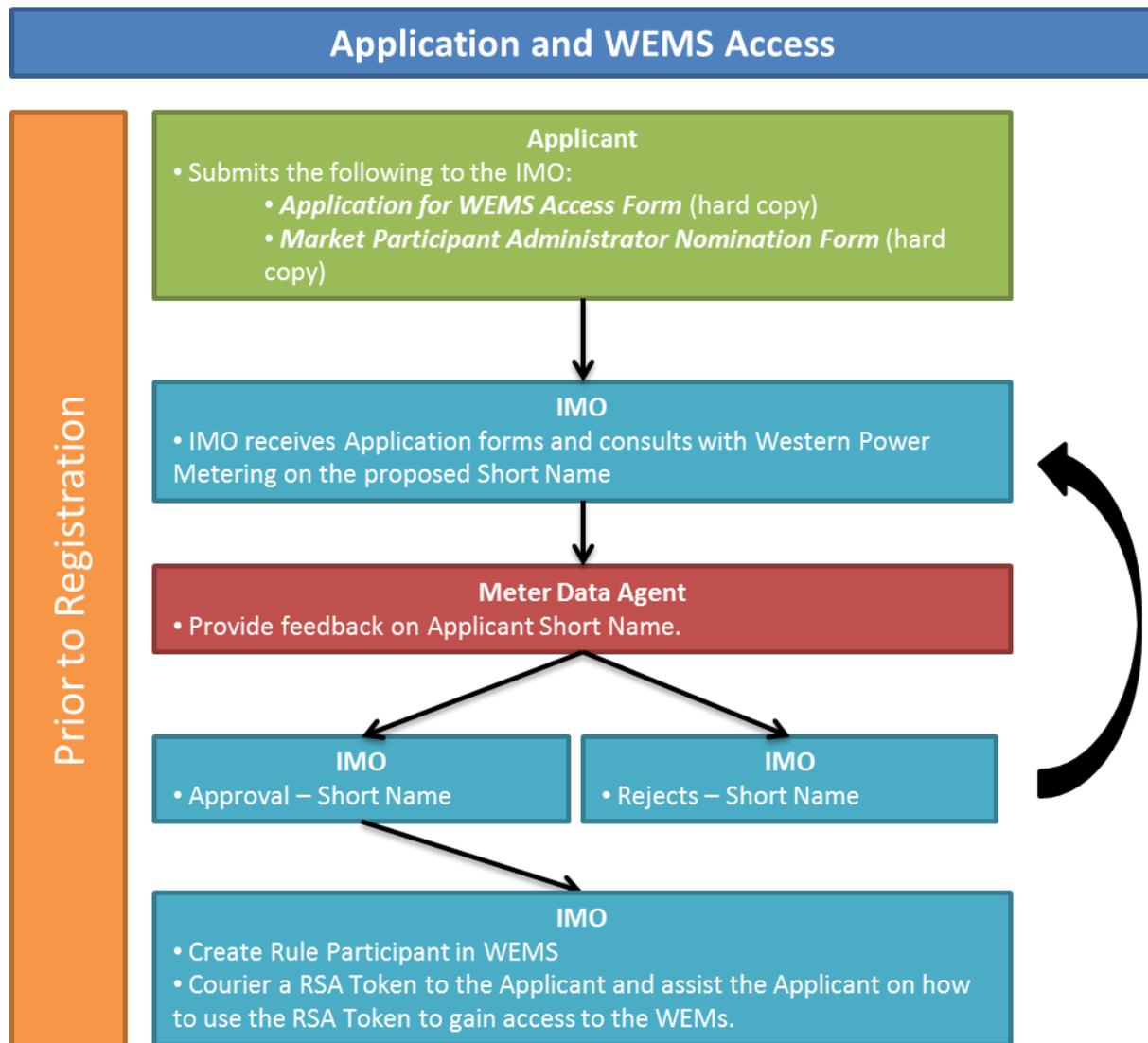
2.2 Process Flowchart Legend

Process Flow Diagram	Entity / System
	The IMO
	The Applicant
	Meter Data Agent
	WEMS

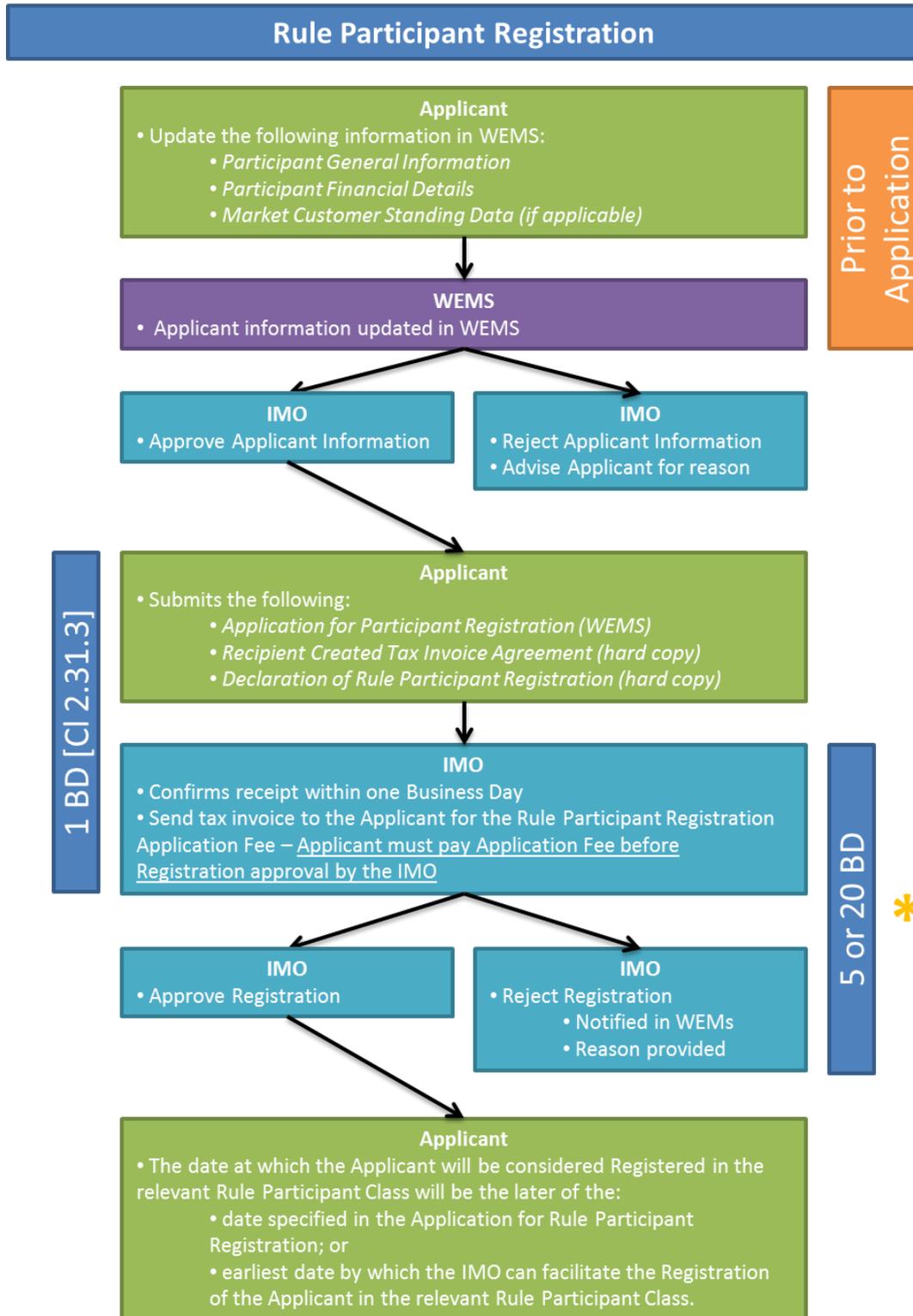
Table 3 – Process Flowchart Legend

3 PROCESS OVERVIEW FLOWCHARTS

3.1 Application and WEMS Access

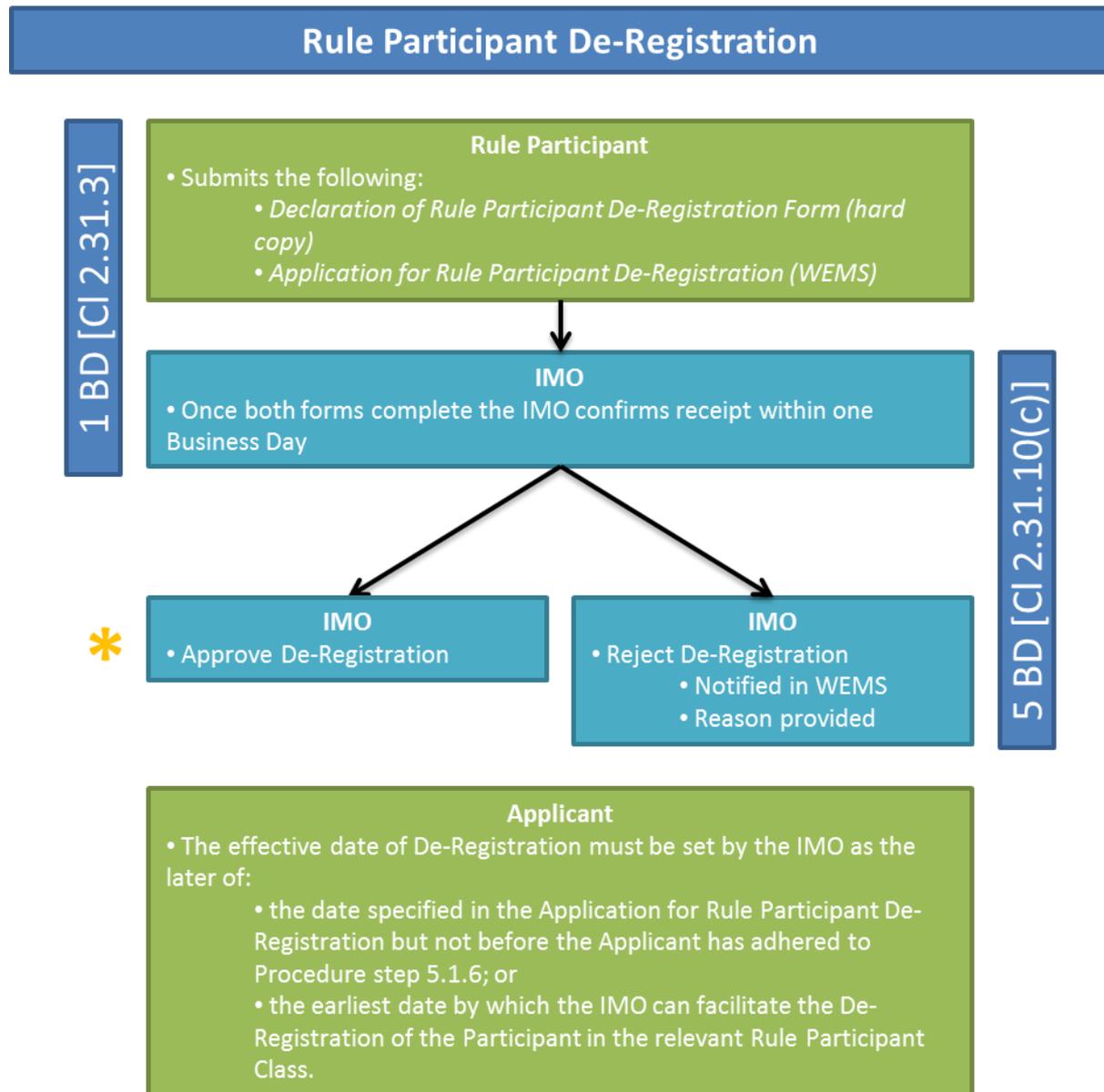


3.2 Rule Participant Registration



* Refer to Procedure Step 4.2.8

3.3 Rule Participant De-Registration



* De-Registration will not be effective until the requirements of Procedure step 5.1.6(b) are completed.

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* (hard copy); and
 - (b) *Market Participant Administrator Nomination Form* (hard copy).
- 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) indicate 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 must consult with the Meter Data Agent regarding a change to an Applicants Short Name.
- 4.1.8 The IMO must create a Rule Participant in WEMS, within five Business Days, upon:
 - (a) the Meter Data Agent endorsing an Applicants Short Name; and
 - (b) the IMO receiving and approving the forms detailed in Procedure step 4.1.1.
- 4.1.9 Once the IMO creates the Rule Participant in WEMS the IMO must deliver a RSA Token to the Applicant and instruct the Applicant how to use the token to gain access to WEMS.
- 4.1.10 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 into 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 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, where applicable, in WEMS 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 through WEMS) and a *Declaration of Rule Participant Registration* (submitted in hard copy), the IMO must confirm receipt with the Applicant within one Business Day **[Clause 2.31.3]**.
- 4.2.8 From the date of receipt 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.
- 4.2.9 The IMO may request additional information where that information is inadequately specified within the *Application for Rule Participant*

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

^{3 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.

Registration and/or Declaration of Rule Participant Registration. If the IMO requests additional information from an Applicant the review period detailed in Procedure step 4.2.8 must begin from the time at which this information is provided to the IMO **[Clause 2.31.4]**.

- 4.2.10 Upon the IMO approving an Application for Rule Participant Registration, the date at which the Applicant must be considered Registered in the relevant Rule Participant Class must be the later of the **[Clause 2.31.11(a)]**:
- (a) date specified 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.
- 4.2.11 Upon the IMO rejecting an Application for Rule Participant Registration, the IMO must **[Clause 2.31.12]**:
- (a) notify the Applicant through the WEMS; and
 - (b) inform the Applicant of the reasons for the rejection through 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) a *Declaration of Rule Participant De-Registration Form* (hard copy); and
 - (b) an *Application for Rule Participant De-Registration* (WEMS).
- 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 hardcopy) and an *Application for Rule Participant De-Registration* (submitted in WEMS) the IMO must confirm receipt with the Applicant within one Business Day **[Clause 2.31.3]**.
- 5.1.4 From the date of receipt 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 **[Clause 2.31.11(b)(ii)]**:

- (a) de-register all of its Facilities applicable⁴ 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.
- 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 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* but not before the Applicant has adhered to Procedure step 5.1.7; 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 the IMO rejecting an *Application for Rule Participant De-Registration* the IMO must **[Clause 2.31.12]**:
- (a) notify the Applicant through the WEMS; and
 - (b) inform the Applicant of the reasons for the rejection through email.

5.2 IMO De-registers a Rule Participant

- 5.2.1 The IMO may, at any time, review 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]**.
- 5.2.3 The Registration Correction Notice must be in the format of a letter and contain the information pursuant to clause 2.32.7C.
- 5.2.4 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. If the IMO determines the Market Customer or Market Generator no longer meets the requirements of clause 2.28.19 the IMO may issue a De-Registration Notice.
- 5.2.5 If the IMO issues a De-registration Notice in accordance with Procedure step 5.2.4 it must 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

- 5.2.6 The IMO may also apply to the Electricity Review Board for De-registration of a Rule Participant if they have been suspended for 90 days **[Clause 2.32.6]**.
- 5.2.7 If the Electricity Review Board, in its notice to the IMO, decides the Rule Participant should be de-registered, the IMO must advise the Rule Participant of the decision as soon as practical 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.
- 5.2.8 The effective date of the Rule Participant and Facility/s 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 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 is exempt from registering as a Rule Participant under the Market Rules.
- 6.1.3 If the Applicant requests to have an Intermediary registered instead, it must provide to the IMO a letter containing consent of the Intermediary to act as Intermediary.
- 6.1.4 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 the Procedure and they must satisfy all the requirements in clause 2.28.16A(b).
- 6.1.5 The IMO may issue an exemption to an Applicant subject to certain conditions stipulated by the IMO **[Clause 2.28.16]**. The IMO may stipulate these conditions on a case by case basis.
- 6.1.6 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.
- 6.1.7 The Applicant may revoke the appointment of an Intermediary by notifying the IMO in writing.
- 6.1.8 At 4.30 AM, 2 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)]**.
- 6.1.9 The IMO may exempt an Applicant from registering as a Rule Participant pursuant to the conditions stipulated under clause 2.28.16B.
- 6.1.10 An Applicant may apply for exemption from registering as a Rule Participant pursuant to clause 2.28.16B by submitting a letter to the IMO stating the following:

- (a) an explanation why the Applicant currently meets the requirements and why the Applicant will meet in the requirements in the future of clause 2.28.16B;
- (b) all relevant Facilities under the Applicant's operation;
- (c) how all these Facilities meet the requirements listed in clause 2.28.16B(a) & (b);
- (d) written confirmation from System Management that the Applicant meets the requirements of clause 2.28.16B(c); and
- (e) written confirmation from the Meter Data Agent that the Applicant meets the requirements of clause 2.28.16B(d), including any NMI ID and 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.
- 6.1.12 An Applicant must advise the IMO within two Business Days if the Applicant no longer satisfies the conditions stipulated in clause 2.28.16B.
- 6.1.13 The IMO may issue an exemption, under clause 2.28.16B, to an Applicant subject to certain conditions stipulated by the IMO. The IMO may stipulate these conditions on a case by case basis.
- 6.1.14 The IMO must advise an Applicant of the decision to grant or reject an exemption under clause 2.28.16B within five Business Days of the Application.
- 6.1.15 Upon the IMO rejecting an Application for exemption under clause 2.28.16B, 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. The IMO may revoke an exemption under clause 2.28.16B on a case by case basis.