

Code Review Programme 2016

Consultation paper

Submissions close: 5pm 29 November

18 October 2016



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1 What this consultation paper is about

The Authority is proposing a range of small Code changes

- 1.1 The purpose of this paper is to consult with interested parties on the Authority's proposal to make a range of small changes to the Code. The Authority believes the proposed changes will clarify and simplify language and processes, and make it easier for participants to understand their Code obligations.
- 1.2 Section 39(1) of the Electricity Industry Act 2010 requires the Authority to consult on any proposed amendment to the Code and corresponding regulatory statement. The regulatory statement must include a statement of the objectives of the proposed amendment, an evaluation of the costs and benefits of the proposed amendment, and an evaluation of alternative means of achieving the objectives of the proposed amendment.
- 1.3 If the Authority is satisfied that an amendment is technical and non-controversial, it need not provide a regulatory statement or consult on the proposed Code change. The Authority considers that five of the 15 proposals in this year's Code Review Programme are technical and non-controversial and has not provided a regulatory statement for them. Although the Authority is not required to consult on the technical and non-controversial changes, it invites comment on all proposals in the 2016 Code Review Programme.
- 1.4 For each discrete proposal the regulatory statement (where required) is included in the relevant table for the proposed amendment in Appendix B.

How to make a submission

- 1.5 Please send your submission (using Microsoft Word in the format shown in Appendix A) by email to submissions@ea.govt.nz with 'Consultation Paper— ' in the subject line.
- 1.6 If you cannot email your submission, post one hard copy to either of the addresses below, or fax it to 04 460 8879.

Postal address

Submissions
Electricity Authority
PO Box 10041
Wellington 6143

Physical address

Submissions
Electricity Authority
Level 7, ASB Bank Tower
2 Hunter Street
Wellington

- 1.7 Please deliver your submissions by **5pm on 29 November 2016**.
- 1.8 We will acknowledge receipt of all submissions electronically. If you do not receive electronic acknowledgement of your submission within two business days, please contact the Submissions' Administrator.

All submissions will be published

- 1.9 Please note the Authority publishes all submissions. If there is part of your submission you do not want us to publish, please:
- (a) indicate which part you do not want us to publish

- (b) explain why you do not want us to publish it
 - (c) provide a version of your submission that we can publish (if we agree not to publish the full submission).
- 1.10 If you tell us there is part of your submission you do not want us to publish, we will talk to you before deciding whether we will publish that part.
- 1.11 However, please note that under the Official Information Act 1982, any person can request copies of submissions we receive, including any parts that we do not publish. This means we would be required to release material that we did not publish unless good reason existed under the Official Information Act to withhold it. We would normally consult you before releasing any material that you did not want us to publish.

2 Code Review Programme 2016

This is the second Code review programme

- 2.1 This paper presents the second set of 'omnibus' changes to the Electricity Industry Participation Code 2010 (Code) as the Code Review Programme 2016.
- 2.2 Ordinarily, Code change proposals have a single theme. These omnibus proposals allow the Authority to make a number of relatively small amendments, each with a different theme, all at once.
- 2.3 The purpose of the changes is to simplify language and processes, and make it easier for participants to understand how Code obligations affect them.
- 2.4 Each of the Code change proposals has merit but, because of competing priorities for resources, the Authority has not been able to include them in its annual work programme. The Authority considers that the 'omnibus' approach allows it to use its resources efficiently, and that the Code will benefit from improvements that might not otherwise have been possible.

The proposals are set out in Appendix B

- 2.5 The 15 Code change proposals are set out in Appendix B. Because each proposal is discrete from the others, the Authority has described and analysed each one separately. This means the format of this consultation paper is different from the consultation papers the Authority usually publishes.
- 2.6 For each proposed amendment, we have set out the problem definition and the proposed solution (including proposed Code drafting for some). For each proposal there is a separate assessment against the Authority's statutory objective, section 32(1) of the Act, and the Authority's Code amendment principles.
- 2.7 For ten of the fifteen Code change proposals the paper includes a regulatory statement. The regulatory statement explains the objectives of the proposed amendment, and contains an evaluation of the costs and benefits of the proposed amendment and an evaluation of alternative means for achieving the proposed amendment.
- 2.8 For the remaining five amendments the Authority does not consider that a regulatory statement is required because the nature of the proposed change comes within the scope of section 39(3) of the Electricity Industry Act. For those five amendment proposals, the paper includes a short explanation of why the Authority has not prepared a regulatory statement.
- 2.9 The Code change proposals are described in Appendix B. Each table has a unique reference number in its top row.
- 2.10 Where a proposal results in few Code changes, the draft changes are shown in Appendix B. If the proposal would result in substantial drafting changes, the changes are shown in separate sections within Appendix C.
- 2.11 Most proposed amendments address a discrete issue, although because drafting changes affect most Parts of the Code, in some places changes intersect or overlap. Because each proposal stands on its own, some may proceed while others do not. Showing the draft changes separately allows submitters to assess how each proposed amendment would affect Code obligations.

2.12 The table below shows the list of topics addressed by each proposed amendment.

Reference number	Topic	Page
2016-01	Clarifying the use of the term 'rules'	11
2016-02	Removing Part 6 and Part 9 exceptions	14
2016-03	Simplifying the requirements for certification and declaration	20
2016-04	Removing the definition of 'assumed value of coefficient'	29
2016-05	Removing reference to the Authority acting reasonably	32
2016-06	Correcting the requirement to enter removal date in the registry	39
2016-07	Reassigning market administrator functions	42
2016-08	Relocating transition provisions	45
2016-09	Changing how Transpower makes grid information available	47
2016-10	Simplifying references to time	55
2016-11	Rationalising references to 'registry' and 'registry manager'	62
2016-12	Simplifying terms about electricity supply	64
2016-13	Amending the definition of 'information system'	69
2016-14	Amending the definition of 'publish'	74
2016-15	Simplifying the meaning of 'notify'	81

3 Regulatory Statements for the proposed amendments

- 3.1 As noted above, this consultation paper differs in format from the consultation papers the Authority usually publishes. For each proposed amendment that requires a regulatory statement, the statement is included in the relevant table for the proposed amendment in Appendix B.
- 3.2 The primary economic benefit described in the regulatory statements is a reduction in transaction costs across the industry, which is a productive efficiency benefit. Having said this, by improving the clarity and predictability of the Code, the proposed amendments could also deliver dynamic efficiency benefits. A clear, predictable and up-to-date set of industry rules is good regulatory practice. It is expected to facilitate increased participation in the electricity markets. This in turn might be expected to facilitate all three limbs of the Authority's statutory objective, and provide both static and dynamic efficiency benefits to the economy.¹
- 3.3 When assessing the benefits and costs of Code amendment proposals, the Authority typically uses a real discount rate of 6% with sensitivities of plus or minus 2%. For the Code Review Programme 2015, the Authority has used a point estimate of the discount rate, for ease of analysis. To minimise the risk of overstating the net benefit of a proposal, the Authority has used a real discount rate of 8%.

¹ Static economic efficiency benefits can be broken down into allocative and productive efficiency benefits.

Allocative efficiency is achieved when the marginal value consumers place on a product or service equals the cost of producing that product/service, so that the total of individuals' welfare in the economy is maximised.

Productive efficiency is achieved when products and services that consumers desire are produced at minimum cost to the economy. That is, the costs of production equal the minimum amount necessary to produce the output. A productive efficiency loss results if the costs of production are higher than this, because the additional resources used could instead be deployed productively elsewhere in the economy.

Dynamic efficiency is achieved by firms having appropriate (efficient) incentives to innovate and invest in new products and services over time. This increases their productivity, including through developing new processes and business models, and lowers the relative cost of products and services over time.

Appendix A Format for submissions

Please complete the table below for each proposed amendment on which you wish to submit. Please include the reference number from the first row of the table in Appendix B).

Reference	2016 -
Question 1: Do you agree with the Authority's problem definition? If not, why not?	
Question 2: Do you agree with the Authority's proposed solution? If not, why not?	
Question 3: Do you have any comments on the Authority's proposed Code drafting?	
Question 4: Do you agree with the objectives of the proposed amendment? If not, why not?	

**Question 5: Do you agree the benefits of the proposed amendment outweigh its costs?
If not, why not?**

**Question 6: Do you agree the proposed amendment is preferable to the other options?
If not, please explain your preferred option in terms consistent with the
Authority's statutory objective in section 15 of the Electricity Industry Act
2010.**

Appendix B Proposed Amendments

2016-01 Clarifying use of the term 'rules'

Reference No.	2016 – 01 Clarifying use of the term 'rules'
Problem definition	The Code defines 'Rules' to mean the Electricity Governance Rules 2003. But in a few places the word 'rules' is used to mean something other than the EGRs. It could be confusing to use the same term to mean a number of different things. It is also preferable and best drafting practice to ensure that, where possible, defined terms are used only in accordance with their defined meaning.
Proposal	The Authority proposes to replace the term 'rules' with another term in each place where it does not refer to the EGRs.
Proposed Code amendment	<p>6.3 Distributors must make information publicly available</p> <p>(1) The purpose of this clause is to require each distributor to make certain information publicly available to enable the approval of distributed generation under Schedule 6.1.</p> <p>(2) Each distributor must make publicly available, free of charge, from its office and Internet site,—</p> <p>...</p> <p>(d) a statement of the policies, rules, or conditions under <u>circumstances in</u> which distributed generation will be, or may be, curtailed or interrupted from time to time in order to ensure that the distributor's other connection and operation standards are met; and</p> <p>...</p> <p>10.2 Authority's and market administrator's discretion and powers</p> <p>(1) A clause in this Part that gives the Authority or market administrator a discretion or power—</p> <p>(a) confers an absolute discretion, subject to the Authority or the market administrator, as the case may be,—</p> <p>(i) taking into account any specific requirements set out in the clause; and</p> <p>(ii) observing the rules <u>requirements</u> of natural justice; and</p> <p>...</p> <p style="text-align: center;">Schedule 12.4</p> <p>5 Identification of Nodes and Links as Connection or Interconnection</p> <p>Nodes and links are identified as connection nodes or connection links or interconnection nodes or interconnection links according to the following rules:</p> <p>...</p> <p>35 Transmission Alternatives</p> <p>(4) If a transmission alternative service substitutes for both connection assets and interconnection assets, the allocation of the costs of the transmission alternative service as between connection assets and interconnection assets <u>must be calculated in accordance with</u> is made according to the rules set out in clause 25(2) for shared connection assets at an interconnection node.</p>

	<p>...</p> <p>Cross heading above clause 13.135</p> <p>Rules governing the Preparation of provisional, interim, and final prices</p> <p>...</p> <p style="text-align: center;">Schedule 13.5</p> <p style="text-align: center;">Requirements for FTR allocation plan</p> <p style="text-align: center;"><u>3 Requirements for FTR auction design</u></p> <p>...</p> <p>(3) The FTR allocation plan must include FTR auction procedures rules.</p>
Grounds for not consulting	<p>The Authority is satisfied that the nature of the proposed amendment is technical and non-controversial in accordance with section 39(3)(a) of the Act.</p> <p>This is because the proposed amendment will have no impact on current practice. Rather, the proposed amendment would improve the clarity of the language used in the Code.</p>
Assessment of proposed Code amendment against section 32(1) of the Act	<p>The proposed amendment is consistent with the Authority's objective because it would contribute to the efficient operation of the electricity industry. Clarifying the correct use of the term 'rules' will reduce confusion, and lead to improved operational efficiency.</p> <p>Accordingly, the proposed amendment is also desirable to promote the efficient operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The proposed amendment would not affect competition or reliability.</p>
Assessment against Code amendment principles	<p>The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent that they are relevant.</p>
Principle 1: Lawfulness.	<p>The proposed amendment is consistent with the Act, as discussed above in relation to the Authority's statutory objective and the requirements set out in section 32(1) of the Act.</p>
Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory Failure	<p>The proposed amendment is consistent with principle 2 in that it addresses a problem created by the existing Code, which requires an amendment to resolve.</p>

Principle 3: Quantitative Assessment	It is not practicable to quantify the benefits of this amendment. Accordingly, a quantitative analysis has not been undertaken.
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2016-02 Removing Part 6 and Part 9 exceptions

Reference No.	2016 – 02 Removing Part 6 and Part 9 exceptions
Problem definition	<p>Section 34 of the Act required the initial Code to include, among other things, a consolidation of enactments that included:</p> <ul style="list-style-type: none"> • Part 2 of the Electricity Governance Regulations 2003 (included as Part 3 of the Code); • the Electricity Governance (Connection of Distributed Generation) Regulations 2007 (included as Part 6 of the Code); and • the Electricity Governance (Security of Supply) Regulations 2008 (included as Part 9 of the Code). <p>Section 34 of the Act also required the initial Code to include only those changes to the text of the enactments that were necessary or reasonably required to ensure that the Code—</p> <ul style="list-style-type: none"> • was consistent with the Act, the regulations, and any amendments made to other enactments by the Act; and • was accurate and coherent; and • addressed any transitional issues. <p>These restrictions on amending the enactments that comprised the initial Code were a transitional provision. The restrictions were meant to minimise any changes to the enactments made during the drafting of the Code and prior to the Authority coming into existence.</p> <p>The requirements meant various clauses in Part 3 of the initial Code could not require market operation service providers to meet certain obligations in Parts 6 and 9 of the Code. That restriction appears in exceptions to clauses 3.2, 3.4, 3.11, 3.13, 3.14, 3.15 and 3.17.</p> <p>The exceptions affect market operation service providers' obligations to self-review under clauses 3.13 and 3.14 and to arrange an audit of their software under clause 3.17. The exceptions also affect market operation service providers' entitlement to disclose information to the Authority under clause 3.11, and the ability of the Authority to review market operation service providers' performance under clause 3.15.</p> <p>The Authority considers that removing the exceptions in Part 3 will better promote the efficient operation of the electricity industry.</p>
Proposal	<p>The Authority proposes that clauses 3.2, 3.4, 3.11, 3.13, 3.14, 3.15 and 3.17 place the same obligations on market operation service providers in relation to Parts 6 and 9 of the Code as for all other Parts of the Code.</p>

Proposed Code amendment	<p>Amend the Code as follows:</p> <p>3.2 Functions, rights, powers, and obligations of market operation service providers</p> <p>A market operation service provider has the functions, rights, powers, and obligations set out in relation to that market operation service provider under this Code (except Parts 6 and 9) and Part 2 and Subpart 1 of Part 4 of the Act.</p> <p>3.4 Terms of market operation service provider agreements</p> <p>(1) The remuneration of a market operation service provider is as agreed between the Authority and the market operation service provider.</p> <p>(2) The Authority and the market operation service provider may agree on any other terms and conditions, not inconsistent with the functions, rights, powers, and obligations of that market operation service provider under this Code (except Parts 6 and 9) and Part 2 and Subpart 1 of Part 4 of the Act.</p> <p>3.11 Disclosure to Authority</p> <p>Each market operation service provider is entitled to disclose to the Authority all information received by it from any person as part of its provision of services under this Code (except Parts 6 and 9) and Part 2 and Subpart 1 of Part 4 of the Act.</p> <p>3.13 Self-review must be carried out by market operation service providers</p> <p>(1) Each market operation service provider must conduct, on a monthly basis, a self-review of its performance.</p> <p>(2) The review must concentrate on the market operation service provider's compliance with—</p> <ol style="list-style-type: none"> its obligations under this Code (except Parts 6 and 9) and Part 2 and Subpart 1 of Part 4 of the Act; and the operation of this Code (except Parts 6 and 9) and Part 2 and Subpart 1 of Part 4 of the Act; and any performance standards agreed between the market operation service provider and the Authority; and the provisions of the market operation service provider agreement. <p>3.14 Market operation service providers must report to Authority</p> <p>(1) Each market operation service provider must, within 10 working days after the end of each calendar month, provide a written report to the Authority on the results of the review carried out under clause 3.13.</p>
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- (2) The report must contain details of—
- (a) any circumstances identified by the **market operation service provider** in which it has failed, or may have failed, to comply with its obligations under this Code (~~except Parts 6 and 9~~) and Part 2 and Subpart 1 of Part 4 of the **Act**; and
 - (b) any event or series of events that, in the **market operation service provider's** view, highlight an area where a change to this Code may need to be considered; and
 - (c) any other matters that the **Authority**, in its reasonable discretion, considers appropriate and asks the **market operation service provider**, in writing within a reasonable time before the report is provided, to report on.

3.15 Review of market operation service providers

- (1) At the end of each **financial year**, the **Authority** may review the manner in which each **market operation service provider** has performed its duties and obligations under this Code (~~except Parts 6 and 9~~) and Part 2 and Subpart 1 of Part 4 of the **Act**.
- (2) The review must concentrate on the **market operation service provider's** compliance with—
 - (a) its obligations under this Code (~~except Parts 6 and 9~~) and Part 2 and Subpart 1 of Part 4 of the **Act**; and
 - (b) the operation of this Code (~~except Parts 6 and 9~~) and Part 2 and Subpart 1 of Part 4 of the **Act**; and
 - (c) any performance standards agreed between the **market operation service provider** and the **Authority**; and
 - (d) the provisions of the **market operation service provider agreement**.

3.17 Market operation service provider must arrange audit of software

- (1) Unless otherwise agreed by the **Authority** in writing, each **market operation service provider** must arrange and pay for a suitably qualified independent person approved by the **Authority** to carry out—
 - (a) before any **software** is first used by the **market operation service provider** in connection with this Code (~~except Parts 6 and 9~~) and Part 2 and Subpart 1 of Part 4 of the **Act**, an **audit** of all **software** and **software specifications** to be used by the **market operation service provider**; and
 - (b) an annual **audit** of all **software** used by the **market operation service provider**, within 1 month after 1 March in each year; and
 - (c) an **audit** of any changes to the **software** or the **software specification**, before it is used by the **market operation service provider**.

	<p>(2) A market operation service provider must ensure that the person carrying out an audit under subclause (1) provides a report to the Authority as to—</p> <p>(a) the performance (including likely future performance) of all of the software in accordance with the relevant software specification; and</p> <p>(b) any other matters that the Authority requires.</p>
<p>Assessment of proposed Code amendment against the Authority's objective and section 32(1) of the Act</p>	<p>The proposed amendment is consistent with the Authority's objective because it would contribute to the efficient operation of the electricity industry. In particular, it would:</p> <ul style="list-style-type: none"> • facilitate the disclosure of information by market operation service providers to the Authority under clause 13.11; • facilitate the accountability of market operation service providers, via the self-review requirements under clauses 3.13 and 3.14, and review by the Authority under clause 13.15; • facilitate the auditing of software used by market operation service providers to fulfil their obligations in relation to Parts 6 and 9 under clause 13.17. <p>Accordingly, the proposed amendment is desirable to promote the efficient operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The proposed amendment is expected to have little or no effect on competition and reliability.</p>
<p>Assessment against Code amendment principles</p>	<p>The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent they are relevant.</p>
<p>Principle 1: Lawfulness.</p>	<p>The proposed amendment is consistent with the Act, as discussed above in relation to the Authority's statutory objective, and the requirements set out in section 32 of the Act.</p>
<p>Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory Failure</p>	<p>The proposed amendment is consistent with principle 2 because it is expected to facilitate disclosure of information by market operation service providers to the Authority and to facilitate the accountability of market operation service providers for their service provision, including that their software performs as specified.</p>
<p>Principle 3: Quantitative</p>	<p>It is not practicable to quantify the benefits of this amendment. Accordingly, a quantitative analysis has not been undertaken.</p>

Assessment	Please refer to the qualitative cost-benefit analysis below.
Regulatory Statement	
Objectives of the proposed amendment	The objective of the proposal is to facilitate the accountability of market operation service providers for their service provision and to facilitate the disclosure of information by market operation service providers to the Authority.
Evaluation of the costs and benefits of the proposed amendment	<p>The Authority considers that the expected net benefit of the proposal is positive, for the reasons set out below.</p> <p><i>Costs</i></p> <p>Removing the exceptions does not place additional obligations on the current market operation service providers in relation to Part 6 of the Code. The references to market operation service providers in Part 6 are:</p> <ol style="list-style-type: none"> 1) Two references to the system operator: <ol style="list-style-type: none"> a. in clause 11(3)(p) of Schedule 6.1 ('any other information that is required by the system operator') b. in clause 21(2)(b)(iia) of Schedule 6.2 ('the failure arises from an interruption in the conveyance of electricity in the distribution network, if the interruption was at the request of the system operator or under a nationally or regionally co-ordinated response to an electricity shortage') 2) Two references to the registry, only one of which is a reference to the market operation service provider: <ol style="list-style-type: none"> a. in clause 15(1)(c) of schedule 6.2 ('without notice, if the trader that is recorded in the registry as being responsible for the ICP to which the distributed generation is connected to the distribution network has de-energised the ICP and advised the registry that the ICP has a status of 'inactive' with the reason of 'de-energised – ready for decommissioning'). <p>Removing the exceptions would place additional obligations on one of the current market operation service providers in relation to Part 9 of the Code. The system operator would have monthly self-review and reporting obligations under clauses 3.13 and 3.14 respectively, and software audit obligations under clause 3.17.</p> <p>However, the system operator already reports to the Authority on its security of supply activities on a monthly basis, as it would if required to comply with clauses 3.13 and 3.14. The system operator's annual</p>

	<p>self-review also includes material about the system operator's security of supply activities. The software specification referred to in clause 3.17 names only the scheduling, pricing and dispatch software and the reserve management tool as auditable software. So the proposed Code amendment would not increase the system operator's obligations under clause 3.17.</p> <p>The main cost of the proposal is therefore the additional effort for the system operator to include any compliance-related and performance-related information in its monthly reports to the Authority on the system operator's security of supply activities.</p> <p>However, the Authority considers this additional effort will be negligible if the system operator continues to comply with its security of supply obligations under the Code, the Act and its service provider agreement.</p> <p><i>Benefits</i></p> <p>The main benefit of the proposal is facilitating market operation service providers' accountability for their performance under Parts 6 and 9. The proposed Code amendment is expected to provide greater certainty that market operation service providers perform any Code obligations under Parts 6 and 9 to the same level as they do under other parts of the Code.</p> <p><i>Net benefit</i></p> <p>Based on the above analysis, the Authority is satisfied that the benefits of the proposed amendment outweigh the costs.</p>
Evaluation of alternative means of achieving the objectives of the proposed amendment	<p>The Authority could continue with the status quo arrangements. As noted above, the system operator reports to the Authority each month on its security of supply activities. However, the status quo does not facilitate market operation service providers' accountability for meeting their Code requirements to the same extent as the proposed Code amendment would. Further, to the extent that the objectives of the proposed amendment can be achieved under the status quo, it is less certain they will be achieved.</p>

2016-3 Simplifying the requirements for certification and declaration

Reference No.	2016 – 03 Simplifying the requirements for certification and declaration
Problem definition	<p>The Code includes a number of provisions that require participants to either certify, or declare, to the Authority that certain matters are true.</p> <p>Specifically:</p> <ul style="list-style-type: none"> • clause 9.29 requires that each retailer must provide the Authority with a <u>statutory declaration</u> that the retailer's customer compensation scheme complies with Subpart 4 of Part 9, and that the retailer has provided compensation to its qualifying customers to the extent required by the subpart • clause 12.35 provides that if consultation on a proposed transmission agreement is required, the parties to the transmission agreement must <u>certify</u> in writing to the Authority that they have consulted with affected end use customers; • clause 12.99 requires Transpower to ensure that an auditor provides a report to the Authority that <u>certifies</u> matters in relation to Transpower's application of the transmission pricing methodology • clause 12.128 provides that if consultation on the application of Part 12 in respect of specified interconnection circuit branches, the HVDC link, shunt assets, or interconnection assets is required, Transpower and the relevant designated transmission customer must <u>certify</u> to the Authority that they have consulted with all potentially affected end use customers, and that there are no material unresolved issues affecting the interests of those customers • clause 13.230 provides that each participant who has submitted information to the information system under clause 13.225 (which relates to information about options contracts, contracts for difference, fixed-price physical supply contracts, and risk management contracts) must <u>provide a certificate in the form of a declaration</u> to the Authority to verify that the information submitted was correct • clause 13.236F provides that a participant that has provided a spot price risk disclosure statement to the Authority must <u>provide a certificate</u> to the Authority verifying certain matters in respect of the statement. <p>The intent of each of the above requirements is to require the relevant participant to affirm that certain matters are true. However, the requirements under the clauses are different.</p> <p>In particular:</p>

- clause 9.29 requires a statutory declaration
- clauses 12.35, 12.99 and 12.128 each require the relevant participant to certify matters
- clause 13.230 requires a certificate in the form of a declaration
- clause 13.236F requires a certificate
- clauses 9.29, 13.230, and 13.236F specify how the declaration/certification must be made (ie, the form of the declaration/certification and who must sign it), whereas clauses 12.35, 12.99 and 12.128 do not specify any such requirements
- clauses 9.29 and 13.230 provide that a declaration/certification must be given by two directors or the chief financial officer (or equivalent) or the chief executive officer (or equivalent), whereas clause 13.236F provides that a declaration/certificate must be given by one director and either another director, the chief financial officer (or equivalent), or the chief financial officer (or equivalent).

The Authority wishes to align these requirements. Where a participant must affirm that information is correct, the same standard should apply in each case, and the requirement should be for a participant to provide a certification.

There is little real difference between requiring two senior officers of a participant to certify matters, and requiring that those officers make a statutory declaration. Both require the officers to turn their minds to their accountability for making sure that the information is accurate.

The Authority also proposes removing the requirement for a statutory declaration, which may necessitate having to visit a solicitor, Justice of the Peace or other person authorised to witness a declaration under the Oaths and Declaration Act 1957. The Authority considers that this should give more flexibility to arrange signing, which should be more administratively efficient for participants.

The Authority also proposes to amend the clauses where certification is required to provide that the certification must be given in the form specified by the Authority, and by two people – either two directors, a director and the chief executive (or equivalent), or a director and the chief financial officer (or equivalent).

If the nature of the information in question is such that less formality is required, the Authority proposes to amend the clauses to provide that the relevant participants are required to confirm in writing that the information is correct, rather than certify the correctness of the information.

The Code includes other clauses that refer to certificates and certifications that the Authority does not propose amending.

- Clause 12.50 requires Transpower or a participant to provide a certified true copy of any written agreement for connection to and/or use of the grid entered into before 28 June 2007. The

	<p>requirement to certify that a document is a true copy is different from the declaration/certification requirements described in the clauses referred to above, which require participants to declare or certify as to the accuracy of a matter or that they have done certain things (eg clause 12.128 requires certification that consultation has been carried out). Accordingly, the Authority considers that it is not necessary to amend clause 12.50.</p> <ul style="list-style-type: none"> • The Authority considers that no change is required to clause 12.99, because an auditor's report needs to include the certification required by that clause and it not necessary to specify the manner of the certification. • Clause 2(c) of the guarantee in Schedule 14A.2 refers to the clearing manager providing a certificate to a bank that certifies that the principal has failed to comply with certain obligations. Schedule 14A.4 sets out the form in which a particular certificate relating to a letter of credit must be given. The security bond in Schedule 14A.5 refers to written demands be delivered to the surety that certifies that the principal has failed to comply with certain obligations. However, as the requirement to give those certifications arises in a different context from the clauses set out above, the Authority does not propose amending those clauses. <p>The Code also uses the terms 'certify', 'certified' and 'certification' in relation to metering installations and reconciliation participants. However this should not be confusing because the use of those words in the each of clauses above has nothing to do with metering installations, metering components, or reconciliation participants complying with Schedule 15.1.</p> <p>Clause 1.1(1) of the Code states that terms only have their defined meaning "unless the context otherwise required". In the case of each of the clauses described in this proposal, the context requires that "certification" has its normal/ordinary meaning rather than the defined meaning.</p>
Proposal	<p>The Authority proposes to amend clauses 9.29, 13.230, and 13.236F to:</p> <ul style="list-style-type: none"> • in each case require the relevant participant to provide a certification • include identical provisions as to the requirements with which the certification must comply, including that a certification must be given in the form specified by the Authority, and by two people – one director and either another director, the chief executive (or equivalent), or the chief financial officer (or equivalent) • make any consequential drafting changes. <p>The Authority also proposes deleting clause 9.29(4), which prohibits the Authority from requesting a declaration before 1 October 2011, as</p>

	<p>that clause is now spent.</p> <p>The Authority proposes to amend clauses 12.35 and 12.128 to require the relevant participant to confirm in writing to the Authority the matters specified in the clause are true.</p>
Proposed Code amendment	<p><u>Clause 9.29</u></p> <p style="text-align: center;">Statutory declaration <u>Certification of compliance</u></p> <p>9.29 Each retailer must provide <u>certification</u> statutory declaration</p> <p>(1) Each retailer must provide the Authority with a declaration <u>certify to the Authority</u> confirming that—</p> <p>(a) its the retailer's customer compensation scheme complies with this subpart; and</p> <p>(b) it the retailer has provided compensation to its qualifying customers, to the extent required by this subpart.</p> <p>(2) The <u>certification declaration</u> provided under subclause (1) must be—</p> <p>(a) a statutory declaration; and</p> <p>(b) in the form specified by the Authority; and</p> <p>(c) signed and dated by a <u>director of the retailer</u> and either —</p> <p>(i) 2 directors <u>another director</u> of the retailer; or</p> <p>(ii) the retailer's chief financial officer, or a person holding an equivalent position; or</p> <p>(iii) the retailer's chief executive officer, or a person holding an equivalent position.</p> <p>(3) A retailer must provide <u>certifications</u> declarations as follows:</p> <p>(a) within 7 months of the end of a public conservation period;</p> <p>(b) subject to subclause (4), within 1 month of receiving a request to do so by the Authority.</p> <p>(4) The Authority must not request a declaration under subclause (3)(b) before 1 October 2011.</p> <p><u>Clause 12.35</u></p> <p>12.35 Increased service levels and reliability</p> <p>(1) This clause applies if—</p> <p>(a) a proposed transmission agreement is not consistent in all material respects with the benchmark agreement because it increases the service levels above those that would apply if the benchmark agreement applied in accordance with clauses 12.10 or 12.13; or</p> <p>(b) subject to clause 12.39, a proposed transmission agreement or other agreement between Transpower and a designated transmission customer increases the level of reliability above the grid reliability standards for a particular grid injection point or grid exit point.</p> <p>(2) If this clause applies, the parties <u>to the proposed transmission agreement</u> must certify <u>confirm</u> in writing to the Authority that they have consulted with affected end use customers in relation to the proposed service levels or the proposed increase in reliability, and any resulting price implications, and that there are no material unresolved issues affecting the interests of those end use customers.</p>

Clause 12.128

...

- (2) An agreement between **Transpower** and a **designated transmission customer** under this clause may not exclude the application of clause 12.118(1)(h) and must be conditional in all respects on—
- (a) obtaining agreement from all other potentially affected **designated transmission customers** that this Part does not apply to the specified **interconnection circuit branches**, the **HVDC link**, **shunt assets** or **interconnection assets**, or the **designated transmission customer**; and
 - (b) **Transpower** and the **designated transmission customer** ~~eertifying~~ confirming in writing to the **Authority** that they have consulted with all potentially affected end use customers on this Part not applying to the specified **interconnection branches**, **circuit branches**, the **HVDC link**, **shunt assets** or **interconnection assets** or the **designated transmission customer**, and that there are no material unresolved issues affecting the interests of those end use customers.
- (3) **Transpower** must notify the **Authority** as soon as practicable in the event that **Transpower** enters into an agreement with a **designated transmission customer** under this clause.

Clause 13.230**13.230 Certification of information**

- (1) Each **participant** who has submitted information to the **information system** in accordance with clause 13.225 in a particular **year** must ~~provide~~, within 3 months of the end of the **year**, ~~a certificate~~ certify to the **Authority** ~~verifying~~ that the information submitted was correct.
- (2) The ~~certificate~~ certification provided under subclause (1) must be—
- (a) ~~in the form of a declaration~~; and
 - (b) in the form specified by the **Authority**; and
 - (c) signed and dated by a director of the participant and either—
 - (i) ~~2 directors~~ another director of the **participant**; or
 - (ii) the **participant's** chief financial officer, or person holding an equivalent position, ~~of the participant~~; or
 - (iii) the **participant's** chief executive officer, or person holding an equivalent position, ~~of the participant~~.

Clause 13.236F**13.236F Certification of spot price risk disclosure statement**

- (1) A **disclosing participant** who has submitted a **spot price risk disclosure statement** in accordance with this subpart must ~~provide a certificate~~ certify to the **Authority**—
- (a) ~~verifying~~ that the board of the **disclosing participant** has considered
 - (i) every **spot price risk disclosure statement** submitted under this subpart by the **disclosing participant** in the period to which the ~~certificate~~ certification relates; and
 - (ii) the projected change in net cash flows from operating activities of the **disclosing participant** as a result of applying the **stress test** or **stress tests** that relate to each period to which each **spot price risk disclosure statement** relates; and

	<p>(b) certifying that the disclosing participant has provided to each of the disclosing participant's customers who, in the period to which the certificate certification relates, has entered into or renewed a contract with the disclosing participant that results in any electricity supplied to the customer being determined directly by reference to the final price at a GXP, information to enable the customer to consider the outcomes of applying the stress test or stress tests to the customer.</p> <p>(2) Each certificate certification must be submitted as follows:</p> <p>(a) in the case of the first certificate certification submitted by a disclosing participant, no later than the end of the fourth quarter following the quarter in which the first spot price risk disclosure statement is submitted by that disclosing participant (in which case the certificate certification must relate to every spot price risk disclosure statement made by the disclosing participant in the preceding quarters):</p> <p>(b) in the case of every subsequent certificate certification, no later than the end of the fifth quarter following the quarter in which the last certificate certification was submitted (in which case the certificate certification must relate to every spot price risk disclosure statement made by the disclosing participant since the last certificate certification was submitted).</p> <p>(3) The certificate <u>Each certification provided</u> submitted under subclause (2) must be—</p> <p>(a) in the form specified by the Authority; and</p> <p>(b) signed and dated by a director of the disclosing participant and <u>either— 1 of the following:</u></p> <p>(i) another director of the disclosing participant; <u>or:</u></p> <p>(ii) the disclosing participant's chief executive officer, or person holding an equivalent position, <u>of the disclosing participant;</u> <u>or:</u></p> <p>(iii) the disclosing participant's chief financial officer, or person holding an equivalent position, <u>of the disclosing participant.</u></p> <p>13.236H Authority may require independent audit of spot price risk disclosure statement or <u>certificate certification</u></p> <p>(1) The Authority may, in its discretion, on the recommendation of the person appointed to receive and analyse spot price risk disclosure statements or on its own motion, require an audit of 1 or more of the following:</p> <p>(a) a spot price risk disclosure statement;</p> <p>(b) part of a spot price risk disclosure statement;</p> <p>(c) the information set out in the <u>certification given certificate submitted</u> under clause 13.236F.</p> <p>...</p> <p>(7) A disclosing participant subject to an audit under this clause must, on request from the auditor, provide the auditor with such information as the auditor reasonably requires in order to audit the spot price risk disclosure statement or the information set out in the <u>certification given certificate submitted</u> under clause 13.236F (as the case may be).</p> <p>...</p> <p>(9) The disclosing participant must ensure that the auditor produces an</p>
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	<p>audit report on the spot price risk disclosure statement or the information set out in the certification given certificate submitted under clause 13.236F (as the case may be) and submits the audit report to the Authority.</p> <p>(10) Before the audit report is submitted to the Authority, any failure of the spot price risk disclosure statement or the information set out in the certification given certificate submitted under clause 13.236F (as the case may be) to comply with this subpart must be referred back to the disclosing participant for comment.</p> <p>13.236I Payment of auditor's costs</p> <p>(1) If an audit establishes, to the Authority's reasonable satisfaction, that a disclosing participant's spot price risk disclosure statement or the information set out in the certification given certificate submitted under clause 13.236F (as the case may be) has not complied with this subpart (whether or not the Authority appoints an investigator to investigate the alleged breach), the disclosing participant must pay the auditor's costs.</p> <p>...</p> <p>(3) If an audit establishes to the Authority's reasonable satisfaction that a disclosing participant's spot price risk disclosure statement or the information set out in the certification given certificate submitted under clause 13.236F (as the case may be) has complied with this subpart, the Authority must pay the auditor's costs.</p>
<p>Assessment of proposed Code amendment against the Authority's objective and section 32(1) of the Act</p>	<p>The proposed amendment is consistent with the Authority's objective because it would contribute to the efficient operation of the electricity industry.</p> <p>The proposed amendment to the Code would make the processes by which participants must affirm that certain matters are true more consistent, and appropriate to the circumstances. It would also make it easier for participants to understand, and to comply with, their obligations. This promotes the efficient operation of the electricity industry.</p> <p>Accordingly, the proposed amendment is also desirable to promote the efficient operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The proposed amendment is not expected to affect competition in, or the reliable supply by, the electricity industry.</p>
<p>Assessment against Code amendment principles</p>	<p>The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent they are relevant.</p>
<p>Principle 1: Lawfulness.</p>	<p>The proposed amendment is consistent with the Act, as discussed above in relation to the Authority's statutory objective, and the requirements set out in section 32 of the Act.</p>

Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory Failure	The proposed amendment is consistent with principle 2 as it is expected to result in participants operating more efficiently and incurring lower costs complying with the Code.
Principle 3: Quantitative Assessment	<p>It is not practicable to quantify the benefits of the proposed amendment. Accordingly, a quantitative analysis has not been undertaken.</p> <p>Please refer to the qualitative cost-benefit analysis under the Regulatory Statement below.</p>
Regulatory Statement	
Objectives of the proposed amendment	<p>The objective of the proposal is to simplify the processes in the Code that require participants to affirm that information is true. This objective is achieved by:</p> <ul style="list-style-type: none"> • amending clauses 9.29, 13.320 and 13.236F to require participants to provide a certification (rather than either a declaration or a certification, as the Code currently provides) • making the requirements for certification consistent throughout the Code, so that in each case a certification is required, the Code provides that the certification must be given in the form specified by the Authority, and by two people – one director and either another director, the chief executive officer (or equivalent), or the chief financial officer (or equivalent)) • amending clauses 12.35 and 12.128 to require participants to confirm in writing that certain matters are true • making any consequential drafting changes.
Evaluation of the costs and benefits of the proposed amendment	<p>The Authority considers the proposed Code amendment would have a positive net benefit, for the reasons set out below.</p> <p><i>Costs</i></p> <p>The Authority does not expect the proposed amendment to place additional costs on industry participants. The Authority also does not expect the proposed amendment to unreasonably reduce the incentive on participants to ensure certifications are reliable (verifiable). Both a certification by two senior officers of a participant and a statutory declaration require them to ensure the information they certify is correct.</p>

	<p><i>Benefits</i></p> <p>The primary benefit of the proposal is to make it easier and more cost effective for participants to comply with their Code obligations. For each clause of the Code proposed to be amended, the Authority anticipates the compliance cost faced by a participant would be either less than or equal to the cost they face now.</p> <p><i>Net benefit</i></p> <p>Based on the above analysis, the Authority is satisfied the benefits of the proposed amendment outweigh the costs.</p>
Evaluation of alternative means of achieving the objectives of the proposed amendment	<p>The Authority has not identified an alternative means of achieving the objectives of the proposed amendment.</p>

2016-04 Removing the definition of 'assumed value of co-efficient'

Reference No.	2016 – 04 Removing the definition of 'assumed value of co-efficient'
Problem definition	<p>The defined term 'assumed co-efficient of variation' means 'the value of co-efficient of variation that is set by the market administrator for the purpose of calculating the preliminary sample size'.</p> <p>This definition is incorrect. The assumed co-efficient of variation is set in clause 2 of Appendix 2 of Schedule 15.5 of the Code, rather than being set by the market administrator. Therefore, a Code amendment would be required if a new assumed co-efficient of variation were desired.</p> <p>The Authority also notes that this defined term is used only twice in the Code. Both references are in clause 2 of Appendix 2 of Schedule 15.5. This clause describes how the size of a preliminary sample is to be determined for the purpose of developing a profile under the Code.</p> <p>The Authority considers that removing this definition and inserting its meaning in the above clause would improve the readability of the Code.</p>
Proposal	<p>The proposal is to:</p> <ul style="list-style-type: none"> • remove the defined term 'assumed co-efficient of variation' from Part 1 • in clause 2 of Appendix 2 of Schedule 15.5, replace the references to 'assumed co-efficient of variation' with 'value of co-efficient of variation'.
Proposed Code amendment	<p>Part 1</p> <p>1.1 Interpretation</p> <p>(1) In this Code, unless the context otherwise requires,—</p> <p>...</p> <p>assumed co-efficient of variation means the value of co-efficient of variation that is set by the market administrator for the purpose of calculating the preliminary sample size</p> <p style="text-align: center;">Schedule 15.5 Profile administration</p> <p style="text-align: center;">Appendix 2 Determining statistically sampled profiles</p> <p>...</p> <p>2 Preliminary sample</p> <p>...</p> <p>(4) In the above formula—</p>

	<p>N is the size of the profile population</p> <p>α is the confidence level</p> <p>z_{α} is the value of the standard normal distribution which gives α probability outside the tails</p> <p>C_A is the assumed value of co-efficient of variation of the unit cost</p> <p>r is the relative standard error of the unit cost.</p> <p>(5) The following parameter values are to be used:</p> <p>Assumed Value of co-efficient of variation (C_A): 0.1 Relative standard error (r): 0.05 Confidence level (α): 0.99</p> <p>...</p>
Grounds for not consulting	The Authority is satisfied that the nature of the proposed amendment is technical and non-controversial in accordance with section 39(3)(a) of the Act.
Assessment of proposed Code amendment against section 32(1) of the Act	<p>The proposed amendment would simplify the Code, which would make it easier for participants to understand and give effect to their obligations. This is consistent with the Authority's objective because it would contribute to the efficient operation of the electricity industry.</p> <p>Accordingly, the proposed amendment is also desirable to promote the efficient operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The proposed amendment would not affect competition or reliability.</p>
Assessment against Code amendment principles	The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent that they are relevant.
Principle 1: Lawfulness.	The proposed amendment is consistent with the Act, as discussed above in relation to the Authority's statutory objective and the requirements set out in section 32(1) of the Act.
Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory	The proposed amendment is consistent with principle 2 in that it addresses problems created by the existing Code, which require amendment to resolve, and that it is expected to result in participants operating more efficiently and incurring lower costs in complying with the Code.

Failure	
Principle 3: Quantitative Assessment	It is not practicable to quantify the benefits of the proposed amendment. Accordingly, a quantitative analysis has not been undertaken.

2016-05 Removing references to the Authority acting reasonably

Reference No.	2016 – 05 Removing references to the Authority acting reasonably
Problem definition	<p><i>Provisions that require the Authority to act reasonably</i></p> <p>Various clauses in the Code require the Authority to act reasonably. As a Crown entity, the Authority is required to act in accordance with administrative law principles when exercising its powers and functions under the Code. These principles include a requirement to act reasonably.</p> <p>Therefore, provisions in the Code that require the Authority to act reasonably are redundant, and the Authority considers that they can be deleted.</p> <p><i>Provisions that require the Authority to publish information within a ‘reasonable period of time’</i></p> <p>Various clauses in the Code require the Authority to publish information within a ‘reasonable period of time’.</p> <p>The Authority considers that the administrative law requirement to act reasonably covers the requirement to publish information or documents within a reasonable period of time. In addition, the Authority is under an administrative law obligation to carry out its functions without unreasonable delay.</p> <p>Therefore, references to the Authority carrying out its functions ‘within a reasonable period of time’ can be deleted.</p> <p><i>Provisions that require the Authority to make ‘reasonable endeavours’</i></p> <p>Various clauses in the Code require the Authority to make ‘reasonable endeavours’.</p> <p>The term ‘reasonable endeavours’ is generally used in a commercial context, and imposes an obligation to act unless doing so would not be in the relevant person's commercial interest. It is not appropriate for statutory obligations on a Crown entity like the Authority, and the Authority proposes to delete it.</p>
Proposal	<p>The Authority proposes to amend the Code to:</p> <ul style="list-style-type: none"> • remove requirements for the Authority to act reasonably • remove requirements for the Authority to publish information within a reasonable period of time • remove references to the Authority being required to make ‘reasonable endeavours’.
Proposed	1(1) Interpretation

Code amendment	<p>undesirable trading situation means any situation—</p> <p>(a) that threatens, or may threaten, confidence in, or the integrity of, the wholesale market; and</p> <p>(b) that, in the reasonable opinion of the Authority, cannot satisfactorily be resolved...</p> <p>3.14 Market operation service providers must report to Authority</p> <p>...</p> <p>(2) The report must contain details of—</p> <p>...</p> <p>(c) any other matters that the Authority, in its reasonable discretion, considers appropriate...</p> <p>7.3 Functions of the system operator in relation to security of supply and emergency management</p> <p>...</p> <p>(6) If the system operator makes a departure under subclause (5), the system operator must provide a report to the Authority setting out the circumstances of the EMP departure situation and the actions taken to deal with it. The Authority must publish the report within a reasonable time of its receipt.</p> <p>7.11 Review of performance of the system operator</p> <p>...</p> <p>(2) The self-review must contain such information as the Authority may reasonably require from time to time...</p> <p>8.14 Departure from policy statement</p> <p>...</p> <p>(3) The Authority must publicise the report within a reasonable time after receiving it.</p> <p>8.47 Departure from procurement plan</p> <p>...</p> <p>(3) The Authority must publicise the report within a reasonable time after receiving it.</p> <p>8.63 Decision of the Rulings Panel</p> <p>...</p> <p>(4) The Authority must publish the Rulings Panel's decision as soon as reasonably practicable.</p> <p>9.33 Payment of auditor's costs</p>
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(1) If an **audit** establishes, to the **Authority's** ~~reasonable~~ satisfaction...

(3) If an **audit** establishes to the **Authority's** ~~reasonable~~ satisfaction...

10.8 Requirements for information to be recorded, given, produced, or received

...

~~(3) The **Authority** must act reasonably when determining the requirements referred to in subclause 1.~~

10.16 Metering data exchange timing and formats

(1) A **participant** (other than a **market operation service provider**) must, if it is under an obligation to provide **metering data** under this Part, provide the **metering data** to the relevant person—

(a) in the absence of any timeframe specified in this Code, within a ~~reasonable~~ timeframe **notified** by the **Authority**; and...

...

(2) The **Authority** must provide ~~reasonable~~ notice of any changes to the format **notified** under subclause (1)(b).

...

Schedule 10.2, clause 4 Scope of audits

An **audit** must address such matters as the **Authority** ~~reasonably~~ requires, having regard to the reasons for which the **Authority** considers that the **audit** is required, and any matters that arise during the **audit**.

Schedule 10.2, clause 10 Payment of auditor's costs,

(1) If an **audit** establishes, to the **Authority's** ~~reasonable~~ satisfaction,...

(2) If an **audit** establishes, to the **Authority's** ~~reasonable~~ satisfaction,...

Schedule 10.3, clause 1(2)(b) Applications for approval and renewal of approval

(2) An applicant must—

...

(b) provide promptly any other information or documentation the **Authority** may ~~reasonably~~ request.

Schedule 10.7, clause 41 Certification stickers

(2) An **ATH** attaching a **metering installation certification sticker** must ensure that it shows—

....

- (f) any other information that the **Authority** may, ~~from time to time,~~
notify giving reasonable notice.

Schedule 10.7, clause 45 Category 1 metering installation inspection requirements

- (3) A **metering equipment provider** must, before it carries out inspections under subclause (1)(b),—

...

- (b) provide promptly any other information or documentation the **Authority** may ~~reasonably~~ request.

12.54 Obligations to provide information

- (1) Each **participant** must provide information ~~reasonably~~ required by the **Authority** for the purposes of this subpart and respond to requests from the **Authority** under this subpart promptly and accurately.

...

- (4) Subject to the Official Information Act 1982, the **Authority** may, at its discretion, or on the application of an affected party, withhold publication of confidential aspects of the information provided by a **participant** to the **Authority** if the **Authority** ~~reasonably~~ considers that there is good reason for withholding it.

13.7B Authority may request system operator to report on accuracy of forecasts of non-dispatch-capable load at conforming GXPs

- (1) The **Authority** may, from time to time, request the **system operator** to report to the **Authority** on the accuracy of the forecast that it prepares under clause 13.7A(1).

- (2) A request—

...

- (b) must specify a ~~reasonable~~ date by which the **system operator** must provide the report...

13.27B Authority to determine conforming and non-conforming GXPs if requested

- (1) Subclause (4) applies if—
- (a) a **purchaser** or the **system operator** makes a request under clause 13.27H; and
- (b) the **Authority** decides there are valid grounds to consider the request.

- (4) The **Authority** must decide whether to proceed with the request ~~within a reasonable time after receiving the request.~~

13.27D System operator to provide advice ~~within reasonable time~~

The **system operator** must provide the advice requested under clause 13.27C(1)(b) within a ~~reasonable~~ time specified by the **Authority**.

13.232 Payment of costs relating to audits

- (1) If an **audit** establishes, to the ~~reasonable~~ satisfaction of the **Authority**,...
- (3) If an **audit** establishes to the ~~reasonable~~ satisfaction of the **Authority**...

13.236I Payment of auditor's costs

- (1) If an **audit** establishes, to the **Authority's** ~~reasonable~~ satisfaction,...
- (3) If an **audit** establishes to the **Authority's** ~~reasonable~~ satisfaction that a **disclosing participant's spot price risk disclosure statement**...

13.255 Authority may direct FTR manager to suspend allocation of FTRs

The **Authority** may direct the **FTR manager** to suspend the allocation of **FTRs** if there is any situation that—

...

- (b) in the ~~reasonable~~ opinion of the **Authority**, cannot satisfactorily be resolved by any other mechanism available under this Code.

Schedule 13.4

5 Authority may require extra information

The **Authority** may require the provision of additional information at any stage during the application process and, ~~if the Authority's requirements are reasonable~~, the applicant must provide that information to the **Authority**.

9 Decision must be recorded

- (1) The **Authority** must keep a register of all current approvals granted under this Schedule available for public inspection free of charge during normal office hours at the offices of the **Authority** and on the **Authority's** website ~~at all reasonable times~~.

Schedule 13.7

4 Data for most recent 12 months unavailable

- (1) If the data required under clauses 1 to 3 is not available for the most recent 12 consecutive months, the **Authority** must ~~use reasonable endeavours to~~ make a determination in accordance with the methodology set out in this Schedule using the data it has available.
- (2) If the available data is insufficient to enable the **Authority** to make a determination in accordance with subclause (1), the **Authority** must make a determination by—
 - (a) using all available data; and

	<p>(b) using its own reasonable expectations of the future activities at the GXP; and</p> <p>....</p> <p style="text-align: center;">Schedule 13.8</p> <p>12 Authority to keep register of all current approvals</p> <p>...</p> <p>(2) The Authority must keep the register available for public inspection free of charge—</p> <p>...</p> <p>(b) on its website, at all reasonable times.</p> <p style="text-align: center;">Schedule 15.1</p> <p>4 Obtaining certification</p> <p>...</p> <p>(2) The reconciliation participant must promptly provide other such information as the Authority may reasonably request.</p> <p>12 Authority and participant requested audits</p> <p>(1) If at any time the Authority reasonably considers that a participant may not have complied with a clause in this Part or Part 11, the Authority may audit the participant or appoint an auditor to carry out an audit.</p> <p>13 Scope of audits</p> <p>An audit must address such matters as the Authority reasonably requires, having regard to the reasons for which the Authority considers that the audit is required under clause 12, and any matters that arise during the audit.</p>
Grounds for not consulting	The Authority is satisfied that the nature of the proposed amendment is technical and non-controversial in accordance with section 39(3)(a) of the Act.
Assessment of proposed Code amendment against section 32(1) of the Act	<p>The proposed amendment is consistent with the Authority's objective because it would contribute to the efficient operation of the electricity industry.</p> <p>Accordingly, the proposed amendment is also desirable to promote the efficient operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The proposed amendment would not affect competition or reliability.</p>
Assessment against Code amendment principles	The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent that they are relevant.
Principle 1:	The proposed amendment is consistent with the Act, as discussed above

Lawfulness.	in relation to the Authority's statutory objective and the requirements set out in section 32(1) of the Act.
Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory Failure	The proposed amendment is consistent with principle 2 in that it addresses a problem created by the existing Code, which requires an amendment to resolve.
Principle 3: Quantitative Assessment	It is not possible to quantify the benefits of this proposed amendment. Accordingly, a quantitative analysis has not been undertaken.

2016-06 Correcting requirement to enter removal date in the registry

Reference No.	2016-06 Correcting requirement to enter removal date in the registry														
Problem definition	<p>Clause 7 of Schedule 11.4 requires metering equipment providers (MEPs) to provide the registry with information in accordance with Table 1 of Schedule 11.4. An MEP must provide information for each metering installation for which it is responsible.</p> <p>If an MEP removes a meter or a data storage device from a fully certified metering installation, the MEP is required by clause 7 of Schedule 11.4 to provide the registry with the removal date as shown in row 21 of Table 1 of Schedule 11.4.</p> <p>This is an unnecessary obligation. Each time an MEP provides information to the registry, the MEP must provide the date from which the updated information applies. This is the 'event date'. The date on which a meter or data storage device was removed from a metering installation can be determined by looking at the event date. Requiring MEPs to provide the removal date in addition to the event date is therefore unnecessary.</p> <p>Recognising this, many MEPs do not provide the removal date.</p>														
Proposal	The Authority proposes to amend row 21 of Table 1 of Schedule 11.4 so providing a removal date is optional for a fully certified metering installation.														
Proposed Code amendment	<p>Table 1 of Schedule 11.4:</p> <table border="1"> <thead> <tr> <th>No</th> <th>Registry term</th> <th>Description</th> <th>Fully certified metering installation</th> <th>Interim certified metering installation</th> </tr> </thead> <tbody> <tr> <td>21</td> <td>removal date of a meter or data storage device</td> <td>a date that a meter or data storage device is removed</td> <td>Required <u>Optional</u> for meter or data storage device</td> <td>Optional for meter or data storage device</td> </tr> </tbody> </table>					No	Registry term	Description	Fully certified metering installation	Interim certified metering installation	21	removal date of a meter or data storage device	a date that a meter or data storage device is removed	Required <u>Optional</u> for meter or data storage device	Optional for meter or data storage device
No	Registry term	Description	Fully certified metering installation	Interim certified metering installation											
21	removal date of a meter or data storage device	a date that a meter or data storage device is removed	Required <u>Optional</u> for meter or data storage device	Optional for meter or data storage device											
Assessment of proposed Code amendment against the Authority's	<p>The proposed amendment is consistent with the Authority's objective because it would contribute to the efficient operation of the electricity industry. Removing the unnecessary obligation on MEPs will lead to improved operational efficiency.</p> <p>Accordingly, the amendment is also desirable to promote the efficient</p>														

objective and section 32(1) of the Act	<p>operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The proposed amendment would have no effect on competition or reliability.</p>
Assessment against Code amendment principles	<p>The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent they are relevant.</p>
Principle 1: Lawfulness.	<p>The proposed amendment is consistent with the Act, as discussed above in relation to the Authority's statutory objective, and the requirements set out in section 32 of the Act.</p>
Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory Failure	<p>The proposed amendment is consistent with principle 2 in that it addresses a problem created by the existing Code, which requires an amendment to resolve.</p>
Principle 3: Quantitative Assessment	<p>The costs of the proposed Code amendment can be readily quantified. However, it has not been practicable to quantify the benefits. Hence, a partial quantitative assessment of the proposed amendment's costs and benefits has been undertaken (see below).</p>
Regulatory Statement	
Objectives of the proposed amendment	<p>The objective of the proposal is to contribute to the efficient operation of the electricity industry by removing an unnecessary obligation on MEPS.</p>
Evaluation of the costs and benefits of the proposed amendment	<p>The Authority considers the proposed amendment would have a positive net benefit.</p> <p><i>Costs</i></p> <p>The Authority expects the proposed amendment would have a minor cost, associated with amending the registry. This is expected to be no more than \$2,000.</p> <p>There will be no costs imposed on participants. This is because the proposed Code amendment would align the Code with industry practice.</p> <p><i>Benefits</i></p> <p>The primary benefit of the proposed amendment is that it would</p>

	<p>remove an unnecessary cost on MEPs if the Authority were to enforce compliance with the requirement to provide certain information in accordance with row 21 of Table 1 of Schedule 11.4. The Authority expects that the cost for MEPs to comply with this requirement would far exceed the cost of amending the registry.</p> <p><i>Net benefit</i></p> <p>Based on the above analysis, the Authority is satisfied that the benefits of the proposed amendment outweigh the costs.</p>
<p>Evaluation of alternative means of achieving the objectives of the proposed amendment</p>	<p>The only alternative would be the status quo, which would not achieve the objectives of the proposed amendment. The costs on MEPs from complying with the requirement in row 21 of Table 1 of Schedule 11.4 would result in no benefit, since the additional information is not required. The Authority is therefore satisfied that the proposed Code amendment is the best alternative.</p>

2016-07 Reassigning the market administration obligations

Reference No.	2016 – 07 Reassigning the market administration obligations
Problem definition	<p>The Authority is responsible for various market administration obligations under the Code. This responsibility arises either in its role of industry regulator or in its role of market administrator.</p> <p>Over time, the number of obligations that the Code places on the market administrator function has fallen. The two primary reasons for this fall have been as follows:</p> <ul style="list-style-type: none"> • The former Electricity Commission, and then the Authority, have taken on these obligations under the role of industry regulator (eg, as occurred when the ‘New Part 10’ Code amendment was made in 2011). • In 2007, the former Electricity Commission established the wholesale information and trading system (WITS) service provider, thereby removing this part of the market administrator function. <p>The Authority considers the current arrangements for market administration could be more closely aligned with the Authority’s statutory objective. Specifically, the Authority believes moving accountability for some market administration Code obligations from the Authority to market operation services providers will promote the efficient operation of the electricity industry.</p>
Proposal	<p>The proposed Code amendment revises the current arrangements for market administration, as follows:</p> <ul style="list-style-type: none"> • The Authority keeps those market administration Code obligations that are most appropriate for the regulator. • Market operation service providers will take over the remaining market administration Code obligations that they currently undertake on behalf of the market administrator. <p>The proposed Code amendment will result in no Code obligations remaining with the market administrator. Accordingly, the Authority proposes to remove the definition of ‘market administrator’ from the Code.</p>
Proposed Code amendment	Refer to the drafting schedule in Appendix C.
Assessment of proposed Code amendment	The proposed amendment is consistent with the Authority’s objective because it would contribute to the efficient operation of the electricity industry. It would reduce the Authority’s operational costs without increasing costs to market operation service provider.

against the Authority's objective and section 32(1) of the Act	<p>Accordingly, the proposed amendment is desirable to promote the efficient operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The Authority does not expect that the proposed amendment will affect competition or reliability.</p>
Assessment against Code amendment principles	<p>The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent they are relevant.</p>
Principle 1: Lawfulness.	<p>The proposed amendment is consistent with the Act, as discussed above in relation to the Authority's statutory objective, and the requirements set out in section 32 of the Act.</p>
Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory Failure	<p>The proposed amendment is consistent with principle 2 since it is expected to result in the more efficient provision of market administration services.</p>
Principle 3: Quantitative Assessment	<p>The Authority has carried out a quantitative assessment of the proposal's costs and benefits (see below).</p>
Regulatory Statement	
Objectives of the proposed amendment	<p>The objective of the proposal is to make contestable the market administration Code obligations that need not be undertaken by the Authority.</p>
Evaluation of the costs and benefits of the proposed amendment	<p>The Authority considers that the proposed Code amendment would have a positive net benefit.</p> <p><i>Costs</i></p> <p>The Authority expects the proposed amendment will not place additional costs on the market operation service providers who are receiving market administration obligations. These service providers already undertake the obligations that will be transferred to them.</p> <p><i>Benefits</i></p> <p>The primary benefit of the proposed amendment is that it would</p>

	<p>reduce the Authority's administrative costs. The Authority estimates this to be approximately \$2,150 per annum,² which equates to a present value of approximately \$18,400 (assuming a 15-year discount period and a real discount rate of 8%).</p> <p><i>Net benefit</i></p> <p>Based on the above analysis, the Authority is satisfied that the benefits of the proposed amendment would outweigh the costs.</p>
<p>Evaluation of alternative means of achieving the objectives of the proposed amendment</p>	<p>The Authority could competitively tender the market administrator role currently described in the Code.</p> <p>There appear to be three main drawbacks with this alternative option compared with the proposed amendment.</p> <p>Firstly, other market operation service providers can undertake certain market administrator obligations more efficiently than can the market administrator.</p> <p>Secondly, this alternative would result in higher tendering costs than under the proposal, from the Authority undertaking an additional request for tender.</p> <p>Thirdly, this alternative would result in the Authority incurring costs overseeing the market administrator service provider's performance (eg, contract management).</p> <hr/> <p>A refinement to the first alternative would be for the Authority to remove from the market administrator role those Code obligations that other market operation service providers undertake more efficiently.</p> <p>This would leave a market administrator role with a wide scope of responsibilities but requiring only a very small amount of resources (estimated at less than 0.5 full time equivalents). It may therefore not be worthwhile tendering the role, given the additional cost of doing so.</p>

² Relating primarily to staff time and costs.

2016-08 Relocating transition provisions

Reference No.	Relocating transition provisions
Problem definition	<p>Part 17 of the Code contains transitional provisions. Most relate to the transition from the arrangements that were in place immediately before the Code came into effect, to the arrangements in place under the Code.</p> <p>The usual drafting approach for amendments made after the Code came into effect, if a period of transition is required, is to locate the transition provisions in the Part of the Code affected by the amendment.</p> <p>For example, clause 6.13 provides for transition in relation to the changes made by Electricity Industry Participation Code Amendment (Distributed Generation) 2014; and clause 10.51 provides for transition in relation to the changes made by the Electricity Industry Participation (Metering Arrangements) Code Amendment 2011, Amendment 2013 (No 2).</p> <p>There are two exceptions to this approach: transitional provisions in relation to the Electricity Industry Participation Code Amendment (Extended Reserve) 2014, and transitional provisions in relation to the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013. The transitional provisions for those two amendments are in Part 17.</p> <p>The Authority considers that it is likely to be confusing for users of the Code if the approach to transition provisions is inconsistent. Further, it is more difficult for users if some provisions are in one Part of the Code while others are in another Part.</p> <p>As for the transition provisions in relation to settlement and security, these have now expired.</p>
Proposal	<p>The Authority proposes to move clauses 17.48A and 17.48B, which relate to the extended reserve arrangements, from Part 17 to Part 8.</p> <p>The Authority proposes delete expired clauses 17.210A to 17.210O, which related to settlement and prudential security.</p>
Proposed Code amendment	Refer to the drafting schedule in Appendix C.
Grounds for not consulting	The Authority is satisfied that the nature of the proposed amendment is technical and non-controversial in accordance with section 39(3)(a) of the Act.
Assessment of proposed Code	The proposed amendment is consistent with the Authority's objective because it would contribute to the efficient operation of the electricity

amendment against section 32(1) of the Act	<p>industry.</p> <p>Accordingly, the proposed amendment is also desirable to promote the efficient operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The proposed amendment would not affect competition or reliability.</p>
Assessment against Code amendment principles	<p>The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent that they are relevant.</p>
Principle 1: Lawfulness.	<p>The proposed amendment is consistent with the Act, as discussed above in relation to the Authority's statutory objective and the requirements set out in section 32(1) of the Act.</p>
Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory Failure	<p>The proposed amendment is consistent with principle 2 in that it addresses a problem created by the existing Code, which requires an amendment to resolve.</p>
Principle 3: Quantitative Assessment	<p>It is not possible to quantify the benefits of this proposed amendment. Accordingly, a quantitative analysis has not been undertaken.</p>

2016-09 Changing how Transpower makes grid information available

Reference No.	2016 - 08 Changing how Transpower makes grid information available
Problem definition	<p><i>Background</i></p> <p>The Interconnection Asset Capacity and Grid Configuration document allows participants to see what interconnection assets Transpower must make available, how they are configured, and at what capacity. The document includes:</p> <ul style="list-style-type: none"> (a) a diagram showing the configuration of the national grid and the capacity of Transpower's grid assets, other than its connection assets; (b) a document titled 'Interconnection Branch Report', which includes text boxes that set out service measures and service levels that relate to different circuit branches, which is date stamped 1 July 2009; (c) a document titled 'Configuration and capacity of the HVDC link' (effective from 30 June 2009); (d) a document titled 'Service measures and levels for shunt assets', dated 30 June 2009; (e) a document titled 'Service measures and levels for HVDC shunt assets', dated 30 June 2009; and (f) a page headed 'Date for summer and winter periods', which refers to rule 2.4.1 and 2.4.2 and which is dated 30 June 2009. <p>The grid configuration document was originally a schedule to the Electricity Governance Rules. It continues in force by virtue of clause 12.106(1) of the Code.</p> <p>The grid configuration is incorporated by reference into the Code under clause 12.110.</p> <p><i>Processes for amending the grid configuration are not flexible enough</i></p> <p>The process for amending the grid configuration is not practical and is not flexible enough.</p> <p>Currently, by 30 November each year, Transpower must provide the Authority with updated information on the grid configuration document. The Authority consults on the document and decides whether to incorporate it by reference into the Code in accordance with section 32 and schedule 1 of the Electricity Industry Act 2010.</p> <p>Because this happens only once a year, and because it requires the Authority to complete some administrative steps before incorporating it into the Code, the grid configuration document can be out of date</p>

by the time the Authority publishes it. There is no process for amending the grid configuration document more than once a year.

The Authority considers the annual process for amending the grid configuration does not promote the efficient operation of the electricity industry as much as would a process not involving the grid configuration being incorporated by reference into the Code.

Publishing grid configuration information is not timely enough

Publishing information in the grid configuration once a year is not timely enough.

Transpower is required to report to the Authority by 30 November each year on the grid configuration. This report must reflect changes to interconnection asset capacities and the configuration of the grid during the 12 months to 30 June of that year.

The Authority considers that the annual publication of information on these matters does not promote efficient supply, consumption and investment decisions by transmission grid users and their customers as much as would more frequent publication.

The Authority does not need to specify the form in which information is provided

The Authority considers that it does not need to specify the form in which the grid configuration is provided, or the form in which information about the capacities of individual interconnection assets must be provided.

Clause 12.107(2) requires Transpower to provide the grid configuration in the form specified by the Authority. Clause 12.116(2)(c) also requires Transpower to provide information about the capacities of individual interconnection assets in the form determined by the Authority. The Authority considers this requirement to be unnecessary as it is sufficient to require only that Transpower publish the relevant information, taking into account the preferences of stakeholders.

Reporting on compliance with the grid configuration is more costly than necessary

The costs that Transpower incurs to report on its compliance with the grid configuration incorporated by reference into the Code are higher than necessary.

As noted above, currently Transpower must report to the Authority by 30 November each year on the grid configuration. This report must include the extent to which Transpower complied with the service levels in the grid configuration and kept the grid in the configuration set out in the grid configuration during the 12 month period ending at 30 June of that same year.

Transpower considers that its compliance costs would be reduced if it

instead followed a mandatory breach reporting process for any instances where it failed to comply with clause 12.111(1) or 12.111(2) and clause 12.112(1) did not apply.

The Authority proposes to amend the Code so that Transpower is responsible for publishing and updating the grid configuration. The Code would continue to require the grid configuration to contain the matters listed in clauses 12.107(4) and (5) of the Code.

However, the Authority would not review or consult on the grid configuration and would not incorporate it by reference into the Code.

The Authority considers that this approach would:

- reduce the administrative burden on the Authority;
- reduce the administrative burden on Transpower, by enabling Transpower to undertake more frequent, but less time-consuming, updates;
- make it easier for grid users and interested parties to access and review grid information, reducing the need for those parties to contact Transpower for information;
- reflect the Authority's view that Transpower is the appropriate party to make decisions about updating and amending the grid configuration.

Changes to grid configuration

Currently, clause 12.111(2) requires that Transpower keep the grid in the configuration set out in the published grid configuration document. The Authority proposes that this should not change.

Service levels and measures for interconnection assets

Currently, Transpower must make each interconnection circuit branch, interconnection transformer branch, shunt asset and the HVDC link in the grid configuration document available for use by the system operator at least at the service levels specified in the published grid configuration document.

This provision is not practicable. As soon as Transpower changes any service level (including for example changes for winter/summer line ratings) it breaches the requirements of the clause. A better approach is to remove the link to the published grid configuration document and instead refer only to the document prepared by Transpower.

Reporting on grid configuration, service levels and measures

Transpower is currently required to report to the Authority annually on the extent to which it complied with its obligations during the previous year. The purpose of the information that Transpower provides to the Authority about the extent to which it complied with its obligations is so that:

- grid users can monitor the capacity of interconnection assets

	<p>(refer to clause 12.105(b) of the Code)</p> <ul style="list-style-type: none"> the Authority can assess Transpower's compliance with the overarching requirement under clause 12.111 of the Code that the grid is not changed. <p>Transpower has indicated that it intends to provide monthly updates to interested parties regarding the grid configuration, by publication on Transpower's website.</p> <p>Accordingly, the Authority considers this should be reflected in the Code. The grid configuration document should include the information set out in clause 12.107(4) (which includes service levels and measures) for the previous month, as well as a diagram showing the current configuration of the grid.</p> <p>The Authority considers that these updates would provide adequate monitoring of the grid configuration. The Authority proposes to amend the Code to remove Transpower's reporting requirements in relation to the grid configuration (apart from the reporting of breaches, which is discussed below). The Authority would not review or consult on the grid configuration as it currently does.</p> <p><i>Breaches</i></p> <p>The Authority considers it appropriate to require Transpower to report on breaches of its requirement to publish the monthly plan described above, and the requirement to keep the grid in the configuration and at the service levels set out in the grid configuration document.</p> <p><i>Information on capacities of individual interconnection assets</i></p> <p>Clause 12.116(2)(c) states that information about the capacities of individual interconnection assets that must be published under clause 12.116(1) must be published in the form determined by the Authority as soon as reasonably practicable after the Authority has determined the form. The Authority considers that this requirement is unnecessary as it is sufficient to require only that Transpower publish that information. The requirement can consequently be removed from the Code.</p>
Proposal	<p>The Authority proposes to amend Part 12 of the Code so that:</p> <ul style="list-style-type: none"> the grid configuration would no longer be incorporated by reference into the Code Transpower would become responsible for publishing the grid configuration in a form that Transpower considers suitable and taking into account the requirements of its customers and other relevant stakeholders Transpower would publish monthly updates on the grid configuration Transpower would report breaches related to the grid configuration as and when the breaches occur, rather than

	<p>annually.</p> <p>Specifically, the Authority proposes to amend the Code to:</p> <ul style="list-style-type: none"> • revoke clause 12.106, which refers to the grid configuration that was set out in the Electricity Governance Rules continuing in force; • revoke clause 12.110, which refers to the grid configuration being incorporated by reference into the Code; • remove the requirements for the Authority to set the form of, review, consult on, and decide on the grid configuration (see clauses 12.107(2), (3), and (6), 12.108, 12.109 and 12.118(3)) • insert a new clause 12.107(1A) to require Transpower to publish monthly updates on the grid configuration and to indicate any changes as at the end of the previous month • amend clauses 12.107, 12.111 and 12.112 by adding a requirement that Transpower report breaches or possible breaches • revoke clause 12.116(2)(c) • remove the requirements for Transpower to report annually on its compliance with the grid configuration, on agreements it has entered into under clauses 12.128 and 12.151, and on an updated grid configuration (see clauses 12.118(1)(b) to (f) and 12.118(1)(h) to (i)) • make consequential drafting changes and improvements. <p>The Authority considers this approach would:</p> <ul style="list-style-type: none"> • reduce the administrative burden on the Authority; • reduce the administrative burden on Transpower, by enabling Transpower to undertake more frequent, but less time-consuming, updates; • make it easier for grid users and interested parties to access and review grid information, reducing the need for those parties to contact Transpower for information; • reflect the Authority's view that Transpower is the appropriate party to make decisions about amending the grid configuration.
Proposed Code amendment	Refer to the drafting schedule in Appendix C.
Assessment of proposed Code amendment against the Authority's objective	<p>The proposed amendment is consistent with the Authority's objective because it would contribute primarily to the efficient operation of the electricity industry.</p> <p>The proposed amendment would promote the efficient operation of the electricity industry, by:</p> <ul style="list-style-type: none"> • reducing administrative costs for the Authority and Transpower;

and section 32(1) of the Act	<p>and</p> <ul style="list-style-type: none"> making it easier for grid users and interested parties to access and review grid information, thereby reducing their search costs. <p>Accordingly, the proposed amendment is also desirable to promote the efficient operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The proposed amendment is not expected to have a major effect on competition in, or the reliable supply by, the electricity industry. There may be some benefits for competition and/or reliable supply, from participants being able to more easily assess the current grid configuration. This might be expected to promote efficient supply, consumption and investment decisions by transmission grid users and their customers. However, any such improvements in competition and/or reliable supply are expected to have a second order effect.</p>
Assessment against Code amendment principles	The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent they are relevant.
Principle 1: Lawfulness.	The proposed amendment is consistent with the Act, as discussed above in relation to the Authority's statutory objective, and the requirements set out in section 32 of the Act.
Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory Failure	The proposed amendment is consistent with principle 2 as it is expected to result in Transpower and the Authority incurring lower administration costs, and participants facing lower costs when accessing and reviewing grid configuration information.
Principle 3: Quantitative Assessment	The Authority has carried out a quantitative assessment of the proposal's costs and benefits (see below).
Regulatory Statement	
Objectives of the proposed amendment	The objective of the proposal is to improve the timeliness of published information on the configuration of the national transmission grid, and the efficiency with which that information is provided.
Evaluation of the costs and benefits of	The Authority considers the proposed Code amendment would have a positive net benefit, for the reasons set out below.

the proposed amendment	<p><i>Costs</i></p> <p>The Authority does not expect the proposed amendment to place additional costs on industry participants.</p> <p><i>Benefits</i></p> <p>The primary benefits of the proposal are:</p> <ul style="list-style-type: none"> • to reduce Transpower’s and the Authority’s administrative costs relating to maintaining the grid configuration document; and • to make it easier for grid users and interested parties to access and review grid configuration information. <p>The key change under the proposed amendment is that Transpower would no longer be required to provide the grid configuration to the Authority annually. Instead, Transpower would publish on Transpower’s website a monthly update on grid capacity and configuration information, indicating any changes.</p> <p>Transpower estimates its costs of complying with the current Code obligations are approximately \$21,000 per annum.³ This equates to a present value of approximately \$179,000. In contrast, Transpower estimates its annual costs of complying with the proposed Code amendment would be approximately \$7,700, with a one-off transition cost of approximately \$11,000. This equates to a present value of approximately \$77,000.</p> <p>The Authority estimates that its costs come to approximately \$7,500 per annum under the current arrangements,⁴ which equates to a present value of approximately \$64,000 (assuming a 15-year discount period and a real discount rate of 8%). The Authority expects to save all of this cost under the proposal.</p> <p>The second key benefit of the proposed amendment would be to make it easier for grid users and interested parties to access and review grid information. Currently, these parties contact Transpower for up-to-date grid information, rather than relying on the grid configuration document incorporated by reference into the Code. Under the proposal, these parties will be able to view grid configuration information on Transpower’s website, knowing that Transpower updates it monthly.</p> <p>These savings in Transpower’s and the Authority’s market regulation costs and participants’ transaction (search) costs represent a productive economic efficiency benefit.</p> <p><i>Net benefit</i></p> <p>Based on the above analysis, the Authority is satisfied the benefits of the proposed amendment outweigh the costs.</p>
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³ Relating primarily to staff time and costs.

⁴ Relating primarily to staff time and costs.

Evaluation of alternative means of achieving the objectives of the proposed amendment	The Authority has not identified an alternative means of achieving the objectives of the proposed amendment.
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2016-10 Simplifying references to time

Reference No.	2016 – 10 Simplifying references to time
Problem definition	<p>The Code contains several similar terms relating to time. The Authority has identified the following terms that can be simplified or removed:</p> <ul style="list-style-type: none"> • day • business day • working day • calendar day • month • calendar month • year • calendar year • financial year • preceding year • preceding year day • qualifying date. <p>Some of these terms appear only in limited locations in the Code. Others have very similar meanings.</p> <p>The Authority considers that simplifying the Code, by reducing the number of these terms, would promote the Authority's statutory objective. Specifically, the Authority believes it would promote the efficient operation of the electricity industry.</p> <p>Business day, working day</p> <p>The defined term 'working day', which appears in 12 clauses in the Code, is very similar to 'business day'. The difference is that 'working day' excludes any days in the period commencing 25 December in any year and ending on 15 January in the following year. The Authority considers that having two defined terms with similar but different meanings can be confusing, particularly for new participants. The Authority considers that, except in two locations, the term 'working day' can be replaced with 'business day' with negligible costs being imposed on industry participants.</p> <p>Calendar day</p> <p>'Calendar day' is an undefined term that appears six times in the Code. There is no meaningful difference between 'calendar day' as it is used in the Code currently and the ordinary meaning of the word</p>

'day'. Replacing 'calendar day' with 'day' in each location would improve the readability of the Code.

Month, Calendar month

The undefined term 'calendar month' appears in 30 clauses (and three definitions) in the Code. The Authority considers that the term 'calendar month' is used in a way that is substantially similar to the meaning of the word 'month', and in some cases adding the word 'calendar' makes it less clear what period of time is referred to.

The readability of the Code would improve if 'month' replaced 'calendar month' where making that change would not change the meaning of the particular clause.

Year

'Year' appears in the Code in both a defined manner and an undefined manner. This is confusing and makes the Code more difficult to interpret and comply with. It also means there is a risk that future Code amendment may inadvertently use 'year' in the defined sense when that was not intended.

Calendar year

'Calendar year' is an undefined term that appears in 5 clauses of the Code. In four of the five places where it is used, the word 'calendar' is unnecessary, for example in clause 13.236A which requires disclosing participants to prepare a spot price risk disclosure statement for:

'each quarter beginning 1 January, 1 April, 1 July, and 1 October in each calendar year'

The Code uses 'calendar year' to distinguish it from the other defined terms like 'year' and 'financial year'. Because the other defined terms will also be replaced, changing 'calendar year' to 'year' (except in the one clause where a 'calendar year' from January to December is meant) will further simplify the Code and make it easier to understand.

Financial year

The defined term 'financial year' appears in only three clauses in the Code. Removing the definition and inserting its meaning in each of these three clauses would improve the readability of the Code.

Preceding year, Preceding year day, Qualifying date

Similarly, the defined terms 'preceding year', 'preceding year day' and 'qualifying date' are each used in only two clauses of the Code. Removing the definitions and inserting the meaning of these terms in the relevant clauses would improve the readability of the Code. The Authority also considers that the current definition of the term 'qualifying date' is confusing for participants and requires amending.

Proposal	<p>Key elements of the proposed Code amendment are:</p> <ul style="list-style-type: none"> • to remove the definition of ‘working day’ and instead use ‘business day’ wherever ‘working day’ is currently used in the Code, and to make the following consequential amendments: <ul style="list-style-type: none"> (a) in clause 3.14, to insert ‘(except within 20 business days of the end of the month of December)’ after ‘month’; and (b) in clause 7.2E, to insert ‘(except by the 20th business day in January)’ after ‘month’. • to replace all references in the Code to ‘calendar day’ with ‘day’ • to replace all references in the Code to ‘calendar month’ with ‘month’ where doing so would not change the meaning of the particular clause • to remove the definition of ‘year’ and insert the meaning of the definition in the relevant clauses of the Code, with the exception of clause 9.21 • to replace references in the Code to ‘calendar year’ with ‘year’, with the exception of the two references in clause 10(6) of Schedule 14A.1 • to remove the definition of ‘financial year’ and insert the meaning of the definition in the relevant clauses of the Code • to remove the definition of ‘preceding year’ and insert the meaning of the definition in the relevant clauses of the Code • to remove the definition of ‘preceding year day’ and insert the meaning of the definition in the relevant clauses of the Code • to remove the definition of ‘qualifying date’ and insert the meaning of an amended definition in the relevant clauses of the Code, so that it refers to the last day of a public conservation period, rather than the day after the last day • to replace ‘previous year’ in clause 9.21 with ‘12 months immediately preceding the public conservation period’. <p>The Authority proposes to amend the definition of ‘qualifying date’ so that it refers to the last day of a public conservation period, rather than the day after the last day. The Authority considers this to be less confusing for participants when reading and complying with the Code.</p> <p>The Authority proposes that the defined meaning of ‘year’ not be used in clause 9.21. This will rectify an unintended consequence of the current drafting. Using the defined meaning of ‘year’ means a qualifying customer's annual consumption could be for a period almost 1–2 years before the public conservation period (if the public conservation period were to commence in late March). The Authority</p>
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	<p>considers it preferable for a qualifying customer's annual consumption to be based on the 12 months immediately before a public conservation period, so that it is a more accurate representation of the customer's consumption behaviour.</p>
Proposed Code amendment	Refer to the drafting schedule in Appendix C.
Assessment of proposed Code amendment against the Authority's objective and section 32(1) of the Act	<p>The proposed amendment is consistent with the Authority's objective because it would contribute to the efficient operation of the electricity industry.</p> <p>Simplifying the Code makes it easier for participants to understand and give effect to their obligations. This promotes the efficient operation of the electricity industry.</p> <p>Accordingly, the proposed amendment is also desirable to promote the efficient operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The proposed amendment is not expected to affect competition in, or the reliable supply by, the electricity industry.</p>
Assessment against Code amendment principles	The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent they are relevant.
Principle 1: Lawfulness.	The proposed amendment is consistent with the Act, as discussed above in relation to the Authority's statutory objective, and the requirements set out in section 32 of the Act.
Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory Failure	The proposed amendment is consistent with principle 2 since it is expected to result in participants operating more efficiently and incurring lower costs complying with the Code.
Principle 3: Quantitative Assessment	<p>It is not practicable to quantify the benefits of the proposed amendment. Accordingly, a quantitative analysis has not been undertaken.</p> <p>Please refer to the qualitative cost-benefit analysis under the Regulatory Statement below.</p>
Regulatory	

Statement	
Objectives of the proposed amendment	The objective of the proposal is to simplify the Code. This will make it easier for participants to understand the Code and comply with it.
Evaluation of the costs and benefits of the proposed amendment	<p>The Authority considers that the expected net benefit of the proposal is positive, for the reasons set out below.</p> <p><i>Costs</i></p> <p>The Authority considers the only aspect of the proposal that might place some additional costs on industry participants is the proposed use of “business day” instead of “working day”. However, the Authority expects this aspect of the proposed amendment would place negligible additional costs on industry participants because:</p> <ul style="list-style-type: none"> • using ‘business day’ instead of ‘working day’ would not place a material new obligation on participants in respect of the following clauses <ul style="list-style-type: none"> - clause 2.8 – the Authority is not aware of a participant ever being obliged to take action under this clause. The Authority therefore considers the odds of this happening over the Christmas / New Year period to be very low - clause 7.12 – the Authority is not required to publicise the system operator’s self-review report over the Christmas / New Year period - clause 9.5 – moving from working days to business days would not impose a material additional obligation on the system operator, given the permitted timeframe (six months) for the system operator to consult with interested parties on a system operator rolling outage plan, consider submissions and make a decision - clause 9.10 – the system operator may allow additional time for a participant to submit a revised participant rolling outage plan if this was required over the Christmas / New Year period. However, if time were of the essence, then 15 business days would be more appropriate than 15 working days - clause 9.13 – it is unlikely that a participant would amend a participant rolling outage plan just before the Christmas / New Year period. Again, if time were of the essence, then 20 business days would be more appropriate than 20 working days - clause 13.236A – a participant would have an extra five business days to submit a spot price risk disclosure statement at the end of December (under the proposal a participant would be able to submit the statement immediately prior to Christmas, instead of needing to do so a week prior to Christmas) - clause 13.236D – the time available for a participant to

prepare a spot price risk disclosure statement for the quarter beginning 1 January would remain unchanged under the proposal

- clause 13.236E – the timeframe for a participant to sign a spot price risk disclosure statement for the quarter beginning 1 January would remain unchanged (under the proposal a participant would be able to submit the signed statement immediately prior to Christmas, instead of needing to do so a week prior to Christmas)
- clause 13.236G – the Authority expects that it would not be notifying a disclosing participant just before Christmas of the need to submit a new spot price risk disclosure statement
- clause 13.236H – the Authority expects that it would not be notifying a disclosing participant just before Christmas of the need for an audit
- adding the words ‘within 20 business days after the end of December’ in clause 3.14 and ‘by the 20th business day of January’ in clause 7.2E would not place any material new obligation on market operation service providers.

Benefits

The proposal's main benefit is making it easier for participants to understand and comply with their Code obligations. This will reduce participants' costs of transacting in the electricity market and deliver a productive economic efficiency benefit. The Authority believes this benefit could be reasonably material. The following examples illustrate where some of the expected transaction cost savings from the proposal would be delivered.

Although ‘business day’ and ‘working day’ appear similar, the obligations they place on participants in December and January each year vary significantly. The proposal would remove the risk that participants face of inadvertently applying the wrong definition and consequently breaching the Code.

The definition of ‘qualifying date’ is not as intuitive or clear as it could be. The Authority believes participants would require significantly less time to correctly interpret the proposed definition than they would to interpret the current definition.

The definition of "financial year" says the Authority is to determine the date on which the financial year begins. The Authority therefore faces the cost of making a determination, including the cost of Board and management time, and publishing the determination annually for participants' information.

Lastly, and perhaps most significantly, improving the readability of the Code would save time for persons who refer to it. The saving each time a person reads the relevant Code provision subject to this proposal may be small, but the overall saving could be reasonably material across all users each year.

	<p><i>Net benefit</i></p> <p>The Authority is satisfied that the expected benefits of the proposed amendment outweigh the costs. This is on the basis that the proposal is expected to impose negligible additional costs on participants.</p>
<p>Evaluation of alternative means of achieving the objectives of the proposed amendment</p>	<p>The Authority has not identified an alternative means of achieving the objectives of the proposed amendment.</p>

2016-11 Rationalising references to 'registry' and 'registry manager'

Reference No.	2016 – 11 Rationalising references to 'registry' and 'registry manager'
Problem definition	<p>The Code defines both the 'registry' and the 'registry manager' as 'the person or persons for the time being appointed as the registry manager under this Code'. However, the 'registry' and the 'registry manager' are different concepts. The 'registry' is the national database maintained by the Authority that contains information about each ICP. The 'registry manager' is a market operation service provider appointed under the Code by the Authority.</p> <p>Currently, where the Code uses 'registry' to refer to the place where information is stored, this is correct. However, in other provisions where the term 'registry' is used, it is clear that the correct reference should be to the 'registry manager' rather than the 'registry'. For example, in clauses 11.18A and 11.20, the 'registry' is required to take some action. In these provisions, the registry manager should be responsible for carrying out the obligation.</p>
Proposal	<p>The Authority proposes to:</p> <ul style="list-style-type: none"> (a) define 'registry' to mean the national database maintained by the Authority that contains information about each ICP; (b) define 'registry manager' by referring to the definition of registry manager in the Act. This is how other market operation service providers are defined in the Code; (c) amend the Code to replace 'registry' with 'registry manager' in each place as appropriate, and to make other minor amendments, as necessary, to preserve the sense of the relevant Code provisions; (d) amend the Code to make other minor drafting improvements.
Proposed Code amendment	Refer to the drafting schedule in Appendix C.
Grounds for not consulting	<p>The Authority is satisfied that the nature of the proposed amendment is technical and non-controversial in accordance with section 39(3)(a) of the Act.</p> <p>This is because the proposed amendment will have no impact on current practice, and will change any participant's obligations. Rather, the proposed amendment would improve the clarity of the Code.</p>
Assessment of proposed Code	The proposed amendment is consistent with the Authority's objective because it would contribute to the efficient operation of the electricity industry. Clarifying the definitions in the manner proposed would reduce

amendment against section 32(1) of the Act	<p>confusion in this area, leading to improved operational efficiency and reduced compliance costs.</p> <p>Accordingly, the proposed amendment is also desirable to promote the efficient operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The proposed amendment would not affect competition or reliability.</p>
Assessment against Code amendment principles	The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent that they are relevant.
Principle 1: Lawfulness.	The proposed amendment is consistent with the Act, as discussed above in relation to the Authority's statutory objective and the requirements set out in section 32(1) of the Act.
Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory Failure	The proposed amendment is consistent with principle 2 in that it addresses a problem created by the existing Code, which requires an amendment to resolve.
Principle 3: Quantitative Assessment	It is not practicable to quantify the benefits of this amendment. Accordingly, a quantitative analysis has not been undertaken.

2016-12 Simplifying terms about electricity supply

Reference No.	2016-12 Simplifying terms about electricity supply																														
Problem definition	<p>The Code contains a large number of similar and related terms about:</p> <ul style="list-style-type: none"> the physical connection of an asset or electrical installation to a network (including modelling of that physical connection); or enabling electricity to flow, or preventing the flow of electricity, across the physical connection between an asset or electrical installation and a network. <p>The Authority has identified the following terms that can be grouped into these two categories. The terms that are defined in the Code are included in bold:</p> <table border="1" data-bbox="475 808 1302 1760"> <thead> <tr> <th data-bbox="475 808 887 853"><i>Physical connection</i></th> <th data-bbox="895 808 1302 853"><i>Enabling electricity to flow</i></th> </tr> </thead> <tbody> <tr> <td data-bbox="475 857 887 931">commissioning</td> <td data-bbox="895 857 1302 931">de-energise / de-energised / de-energisation</td> </tr> <tr> <td data-bbox="475 936 887 1010">connect / connected / connection / connecting</td> <td data-bbox="895 936 1302 1010">electrically unsafe</td> </tr> <tr> <td data-bbox="475 1014 887 1122">decommission / decommissioned / decommissioning</td> <td data-bbox="895 1014 1302 1122">energise / energised / energisation</td> </tr> <tr> <td data-bbox="475 1126 887 1160">disconnected</td> <td data-bbox="895 1126 1302 1160">temporary energisation</td> </tr> <tr> <td data-bbox="475 1164 887 1198">directly connected</td> <td data-bbox="895 1164 1302 1198">livened / livening</td> </tr> <tr> <td data-bbox="475 1202 887 1236">disestablished</td> <td data-bbox="895 1202 1302 1236"></td> </tr> <tr> <td data-bbox="475 1240 887 1274">electrical connections</td> <td data-bbox="895 1240 1302 1274"></td> </tr> <tr> <td data-bbox="475 1279 887 1397">electrically connecting / electrically connect / electrically connected</td> <td data-bbox="895 1279 1302 1397"></td> </tr> <tr> <td data-bbox="475 1402 887 1435">electrically isolated</td> <td data-bbox="895 1402 1302 1435"></td> </tr> <tr> <td data-bbox="475 1440 887 1473">interconnect</td> <td data-bbox="895 1440 1302 1473"></td> </tr> <tr> <td data-bbox="475 1478 887 1552">permanently disconnect / permanently disconnected</td> <td data-bbox="895 1478 1302 1552"></td> </tr> <tr> <td data-bbox="475 1556 887 1630">re-connect / reconnecting / reconnection</td> <td data-bbox="895 1556 1302 1630"></td> </tr> <tr> <td data-bbox="475 1635 887 1709">temporarily disconnect / temporarily disconnected</td> <td data-bbox="895 1635 1302 1709"></td> </tr> <tr> <td data-bbox="475 1713 887 1747">temporary disconnection</td> <td data-bbox="895 1713 1302 1747"></td> </tr> </tbody> </table> <p>Some terms are defined in the Code, or in relation to particular matters that the Code regulates, when it is not clear that a specific definition is required.</p> <p>For example, the term 'connect' is defined only in relation to distributed generation, but 'connect' is used throughout the Code in a context that conveys the ordinary meaning of connect.</p>	<i>Physical connection</i>	<i>Enabling electricity to flow</i>	commissioning	de-energise / de-energised / de-energisation	connect / connected / connection / connecting	electrically unsafe	decommission / decommissioned / decommissioning	energise / energised / energisation	disconnected	temporary energisation	directly connected	livened / livening	disestablished		electrical connections		electrically connecting / electrically connect / electrically connected		electrically isolated		interconnect		permanently disconnect / permanently disconnected		re-connect / reconnecting / reconnection		temporarily disconnect / temporarily disconnected		temporary disconnection	
<i>Physical connection</i>	<i>Enabling electricity to flow</i>																														
commissioning	de-energise / de-energised / de-energisation																														
connect / connected / connection / connecting	electrically unsafe																														
decommission / decommissioned / decommissioning	energise / energised / energisation																														
disconnected	temporary energisation																														
directly connected	livened / livening																														
disestablished																															
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interconnect																															
permanently disconnect / permanently disconnected																															
re-connect / reconnecting / reconnection																															
temporarily disconnect / temporarily disconnected																															
temporary disconnection																															

Another example is the definition of 'electrically connected', which is defined only in relation to activities regulated under Parts 11 and 15 of the Code, but again it appears that the ordinary meaning of 'connect' would convey what is meant. Further examples include the meaning of 'interconnect' in Part 6 (equivalent to the meaning of 'connect' used in other parts of the Code) and the meaning of 'disestablished' in Part 6 (equivalent to the meaning of 'decommissioned' in Part 10).

Some terms appear frequently in the Code even though the defined meaning does not apply. For example, 'disconnected' is defined to mean 'in relation to a grid injection point, grid exit point or point of connection, that there is no load or generation at, or connected to, the grid injection point, grid exit point or point of connection in the modelling system'. Disconnected is mainly used in a context in which it means to take an action to stop the flow of electricity across the physical connection between an asset or electrical installation and a network. That usage is close to how the term 'de-energisation' is defined.

'Commissioning' is defined in the Code to mean verifying the correct operation of metering equipment installed in a metering installation. However, 'commissioning' is also used in Parts 8, 12, 13, 14 and 15 in relation to verifying the correct operation of assets being connected to the national transmission grid.

In Parts 8, 12 and 14 'decommissioning' is undefined, and is used to mean the permanent removal of an asset or point of connection from service. This is very similar to the defined meaning of 'decommissioning' in Part 10.

The defined term 'temporary energisation' is an underutilised definition. The term is used in only four clauses, and it is not clear that a definition of 'temporary energisation' is required.

Lastly, some of the terms listed above have an ordinary meaning that differs from the meaning defined in the Code. For example, 'energisation' would ordinarily be understood as meaning to make an asset or electrical installation 'live'.⁵ However, under the defined meaning of 'energisation' an asset or electrical installation *may or may not* be 'live'. This could be a source of confusion for participants.

The Authority considers that simplifying the Code, by reducing the number of these terms, would promote the Authority's statutory objective. Specifically, the Authority believes it would promote reliable supply by, and the efficient operation of, the electricity industry.

It would also reduce the risk of participants misunderstanding similar and related terms in the Code, the Act, the Electricity Act 1992 and the Electricity (Safety) Regulations 2010. A misunderstanding might

⁵ "Live" is defined in the Electricity (Safety) Regulations to mean charged with electricity so that a difference in voltage exists to earth or between conductors.

	have safety implications.
Proposal	<p>Key elements of the proposed Code amendment are:</p> <ul style="list-style-type: none"> • to revoke the definitions of ‘connection’ and ‘disconnection’ so these words, when used in the Code, have their ordinary meanings, consistent with the approach in the Act, the Electricity Act 1992, and the Electricity (Safety) Regulations 2010 • to revoke the definitions of ‘electrically connecting’, ‘de-energisation’, ‘energisation’, and ‘temporary energisation’ • to amend the definitions of ‘commissioning’ and ‘decommissioning’, to include the commissioning and decommissioning of an ‘asset’ and a ‘point of connection’, as these terms are defined in the Code • to insert new definitions as follows: <ul style="list-style-type: none"> - a new definition of ‘electrically connect’ which will effectively replace the current definition of ‘energisation’ - a new definition of ‘electrically disconnect’, which will effectively replace the current definition of ‘de-energisation’ • to replace, as appropriate, references to ‘connected’ and ‘energised’ in the Code with ‘electrically connected’ • to replace, as appropriate, references to ‘disconnected’ and ‘de-energised’ in the Code with ‘electrically disconnected’ • to replace references to ‘disestablished’, ‘electrically isolated’, and ‘interconnect’ in the Code with, respectively, ‘decommissioned’, ‘electrical conductors’, ‘electrical separation’ and ‘connect’ • to clarify that ‘electrically unsafe’ has the meaning given to it in the Electricity (Safety) Regulations. <p>The proposed Code amendment also makes a number of minor clarifications to the Code, which are linked to the key amendments listed above.</p>
Proposed Code amendment	Refer to the drafting schedule in Appendix C.
Assessment of proposed Code amendment against the Authority’s objective	<p>The proposed amendment is consistent with the Authority’s objective because it would contribute to the efficient operation of the electricity industry.</p> <p>Simplifying the Code, and aligning its terminology more closely with the terminology in other electricity industry regulation, makes it easier for participants to understand their obligations. This promotes the</p>

and section 32(1) of the Act	<p>efficient operation of the electricity industry.</p> <p>Accordingly, the proposed amendment is also desirable to promote the efficient operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The proposed Code amendment is not expected to affect competition in the electricity industry, and to have no material effect on the reliable supply of electricity. It is possible that the proposed amendment could promote the reliable supply of electricity. It would do so by simplifying terminology in the Code relating to connecting and disconnecting assets and ICPs, which in turn may reduce the possibility of electricity inadvertently not being supplied from/to assets and ICPs.</p>
Assessment against Code amendment principles	<p>The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent they are relevant.</p>
Principle 1: Lawfulness.	<p>The proposed amendment is consistent with the Act, as discussed above in relation to the Authority's statutory objective, and the requirements set out in section 32 of the Act.</p>
Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory Failure	<p>The proposed amendment is consistent with principle 2 since it is expected to result in participants operating more efficiently and incurring lower costs complying with the Code.</p>
Principle 3: Quantitative Assessment	<p>It is not practicable to quantify the benefits of the proposed amendment. Accordingly, a quantitative analysis has not been undertaken.</p> <p>Please refer to the qualitative cost-benefit analysis under the Regulatory Statement below.</p>
Regulatory Statement	
Objectives of the proposed amendment	<p>The objective of the proposal is to simplify the Code. This will make it easier for participants to understand the Code and comply with it.</p>
Evaluation of the costs and benefits of	<p>The Authority considers the proposal would have a positive net benefit, for the reasons set out below.</p>

the proposed amendment	<p><i>Costs</i></p> <p>The Authority believes the proposed amendment might place some one-off costs on industry participants. These costs would relate to updating internal procedures. The Authority expects these costs would be minor.</p> <p><i>Benefits</i></p> <p>The main benefit of the proposed amendment is making it easier for participants to understand and comply with their Code obligations. This will reduce participants' ongoing costs of transacting in the electricity market and deliver a productive economic efficiency benefit. The Authority expects this benefit to be material.</p> <p>In particular, the Authority believes there would be a significant benefit from making the definitions relating to the physical and electrical connection of assets and electrical installations more intuitive and understandable. The proposed amendment would also reduce the instances where the Code uses a defined term, but the defined meaning does not apply.</p> <p>The Authority expects this would reduce the time spent by staff in industry participant organisations (in particular, the staff of distributors, retailers and metering equipment providers) having to clarify what the Code means. The Authority would also benefit from spending less time liaising with participants about the correct interpretation of these definitions.</p> <p>Another expected benefit is the reduced possibility of electricity inadvertently not being supplied from/to assets and ICPs. This benefit also would stem from simplifying the Code terminology relating to connecting and disconnecting assets and ICPs.</p> <p>As noted earlier, the proposed amendment would also reduce the risk to persons' safety from participants misunderstanding similar and related terms in the Code, the Act, the Electricity Act 1992 and the Electricity (Safety) Regulations 2010. The Authority considers this is an important benefit of the proposed amendment.</p> <p><i>Net benefit</i></p> <p>Based on the above analysis, the Authority is satisfied that the expected benefits of the proposed amendment outweigh the expected costs.</p>
Evaluation of alternative means of achieving the objectives of the proposed amendment	<p>The Authority has not identified an alternative means of achieving the objectives of the proposed amendment.</p>

2016-13 Amending the definition of 'Information system'

Reference No.	2016 – 13 Amending the definition of 'Information system'
Problem definition	<p><i>Background</i></p> <p>Various clauses in the Code require participants to convey information using the 'information system'. The information system is defined in the Code as the 'system or systems required for the conveyance of information between persons in accordance with this Code as may be approved from time to time by the Authority'.</p> <p>The Authority has approved a number of systems for conveying information for the purposes of the definition. The systems are listed in a document entitled 'Information System Definition', which is available on the Authority's website.</p> <p>The Information System Definition document:</p> <ul style="list-style-type: none"> • lists the systems that comprise the 'information system' defined in the Code • lists some of the backup procedures that participants must follow if the information system is unavailable • describes how information is to be published (as defined in the Code), where the Code provides that the Authority must prescribe the manner of publication for the purpose of the definition of 'information system' or for the purpose of the definition of 'publish'. <p><i>Issues</i></p> <p>The Authority considers It is difficult for participants to determine how to transmit and publish information under the Code because:</p> <ul style="list-style-type: none"> • the document that sets out the systems approved to transmit or publish information is difficult to understand • the definition of 'publish' is more complex than it needs to be. <p>The process of approving systems that comprise the information system is also more administratively burdensome than necessary. The number of clauses in the Code that refer to 'information system' or 'publish' means that the Information System Definition document is lengthy and administratively burdensome to keep up to date.</p> <p>Changes to the Information System Definition document (for example, as a result of a Code amendment, a system change, or the creation of a new system) require consultation with participants and approval by the Authority Board. This means the process of keeping the Information System Definition document up to date is not as flexible as it could be.</p> <p>Further, after the Authority has approved a system, that is the only</p>

	<p>system that can be used unless the document is amended. This makes it harder to introduce new technologies to convey information.</p> <p>The document is more than 50 pages long, and is not easy to understand.</p> <p>Participants tell the Authority they rely on instructions from service providers to find out what systems to use for particular purposes, rather than relying on the Information System Definition document. If that is correct, participants risk inadvertently breaching the Code.</p> <p>The systems approved by the Authority are in many cases specified as SMTP (email), 'as agreed by the parties', or by publishing information on a website. The Authority considers that those types of systems should not require specific approval from the Authority.</p> <p>In Part 13 of the Code, which deals with trading arrangements, the system that the Authority has approved for use is most often, but not exclusively, the Wholesale Information Trading System (WITS).</p> <p>The Authority considers that each clause with the term 'information system' should be amended in one of the following ways:</p> <ul style="list-style-type: none"> • to refer to the way that information must be conveyed (in many cases, this will be WITS) • to state that information must be conveyed using a 'system approved by the Authority'. <p>The systems to be approved by the Authority will most likely relate to Part 13. The Authority expects that it would publish a separate list of these approved systems in an 'Approved Systems Document'. The Approved Systems Document would be much shorter and more user-friendly than the current Information System Definition document, and would not require updating as often.</p> <p>In practice, very few changes have been required to the systems approved to convey information in Part 13. This means that the proposal should reduce the need for changes in the future.</p> <p>Instead, the Authority intends to simplify the way that it prescribes and records the systems that participants must use to convey information.</p>
Proposal	<p>The Authority proposes to amend the Code to:</p> <ul style="list-style-type: none"> • revoke the definition of 'information system' • amend each clause that currently contains the term 'information system' to either: <ul style="list-style-type: none"> ○ refer to the way that information must be conveyed (in many cases, this will be WITS) ○ state that information must be conveyed using a 'system approved by the Authority' • define WITS to mean the system operated by the WITS manager.

	<ul style="list-style-type: none"> remove references to outdated technologies, such as 'facsimile'. <p>This would not change the systems that participants must use to convey information, but it would simplify the way in which the Authority prescribes and records those systems.</p> <p>Related changes to the definition of 'publish' will further reduce the size and complexity of the Approved System Document. The details of those changes are in the proposal numbered 2016–02.</p>
Proposed Code amendment	Refer to the drafting schedule in Appendix C. Because this proposal and the proposal to change the definition of 'publish' are closely related, the schedule shows the drafting changes that would result if both proposals were to go ahead.
Assessment of proposed Code amendment against the Authority's objective and section 32(1) of the Act	<p>The proposed amendment is consistent with the Authority's objective because it would contribute to the efficient operation of the electricity industry.</p> <p>Reducing the effort associated with approving information systems under the Code would:</p> <ul style="list-style-type: none"> lower the Authority's costs in regulating the electricity market make it easier for participants to understand and give effect to their obligations. <p>This promotes the efficient operation of the electricity industry.</p> <p>Accordingly, the proposed amendment is also desirable to promote the efficient operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The proposed amendment is not expected to affect competition in, or the reliable supply by, the electricity industry.</p>
Assessment against Code amendment principles	The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent that they are relevant.
Principle 1: Lawfulness.	The proposed amendment is consistent with the Act, as discussed above in relation to the Authority's statutory objective, and the requirements set out in section 32 of the Act.

Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory Failure	The proposed amendment is consistent with principle 2. This is because the proposed amendment is expected to result in the Authority and participants operating more efficiently and in participants incurring lower costs complying with the Code.
Principle 3: Quantitative Assessment	Some of the benefits of the proposed Code amendment can be readily quantified, but it has not been practicable to quantify others. Hence, a partial quantitative assessment of the proposed amendment's costs and benefits has been undertaken (see below).
Regulatory Statement	
Objectives of the proposed amendment	The objective of the proposal is to simplify the Authority's approval of systems used under the Code. In addition to lowering the Authority's regulatory costs, the proposal is expected to make it easier for participants to understand the Code and comply with it.
Evaluation of the costs and benefits of the proposed amendment	<p>The Authority considers the proposed Code amendment would have a positive net benefit, for the reasons set out below.</p> <p><i>Costs</i></p> <p>The Authority does not expect the proposed amendment to place additional costs on industry participants. However, if it did, those costs would be negligible.</p> <p><i>Benefits</i></p> <p>The primary benefits of the proposal are:</p> <ul style="list-style-type: none"> • to reduce the Authority's market regulation costs • to make it easier for participants to understand and comply with their Code obligations. <p>Under the proposed amendment the Authority would no longer need to update the Information System Definition document to require participants to publish certain information on their website. Changes to the document require a significant amount of Authority and industry resources. Whenever the Authority changes the document, the Authority consults with participants and gains approval from the Authority Board.</p> <p>The Authority estimates that its costs alone come to approximately \$5,000 per annum,⁶ which equates to a present value of approximately \$43,000 (assuming a 15-year discount period and a real discount rate of 8%).</p>

⁶ Relating primarily to staff time and costs.

	<p>The second key benefit of the proposed amendment would be to make it easier for participants to understand and comply with their Code obligations. When reading the Code, participants would have less need to refer to another document in order to understand an obligation. They would no longer need to refer to the Information System Definition document, which may not be up to date.</p> <p>These savings in the Authority's market regulation costs and participants' transaction costs represent a productive economic efficiency benefit. The Authority believes this benefit would be material.</p> <p><i>Net benefit</i></p> <p>Based on the above analysis, the Authority is satisfied the benefits of the proposed amendment outweigh the costs.</p>
Evaluation of alternative means of achieving the objectives of the proposed amendment	<p>The Authority could prepare an interface control document (ICD). This document would specify the means by which market systems and participants' systems interfaced with each other.</p> <p>The ICD could consolidate information currently specified in the Information System Definition document, the WITS and Order Submission User Backup Procedures, and the functional specifications for market operation service providers' systems.</p> <p>The Authority believes that the proposal would achieve the objective of the proposed Code amendment at a lower cost than creating and maintaining an ICD.</p>

2016-14 Amending the definition of 'publish'

Reference No.	2016 – 14 Amending the definition of 'publish'
Problem definition	<p>The Authority considers that the definition of 'publish' is unnecessarily complex.</p> <p>The Code contains several similar and related terms about publishing information, including:</p> <ul style="list-style-type: none"> • publicise / publicised / publicises / publicising • publicly available / publicly accessible • publish / publication / published / publisher / publishes / publishing • republish / republication / republished / republishes / republishing. <p>The Authority considers that simplifying the Code, by reducing the number of these terms, would promote the Authority's statutory objective. Specifically, the Authority believes it would promote the efficient operation of the electricity industry.</p> <p><i>Definition of 'publish'</i></p> <p>As currently defined, 'publish' means—</p> <ol style="list-style-type: none"> (a) in respect of information to be published by the Authority or a market operation service provider, to make such information available to the intended recipient through the information system; and (b) in respect of a document to be published under Part 9,— <ol style="list-style-type: none"> (i) to make the document available to the public, at no cost, on an internet site maintained by or on behalf of the system operator, at all reasonable times, and (ii) to give notice in the Gazette of the document, of the fact that it is available on the Internet at no cost, and of the Internet site address; and (c) in respect of all other information, to make available to the intended recipient in such manner as may be prescribed from time to time by the Authority,— <p>and published, publishes, publication, publisher and publishing have corresponding meanings.</p> <p>Subclause (a) requires the Authority and market operation service providers to use the information system to publish information. The information system is the system(s) approved by the Authority for the conveyance of information between persons in accordance with the Code. However, the Authority is proposing to revoke that the</p>

definition of 'information system' (see proposal 2016-01). This will require a consequential change to the definition of 'publish'.

Requirement to gazette changes

Subclause (b)(i) of the definition of 'publish' currently applies to the following documents published by the system operator under Part 9:

- system operator rolling outage plan (SOROP)
- a supply shortage declaration
- a decision under clause 9.5(4)
- a direction under clause 9.15
- a revocation of a supply shortage declaration.

The subclause requires the system operator to publish the information on its website.

Subclause (b)(ii) requires the system operator to give notice in the *Gazette* when it publishes the information referred to in subclause (b)(i).

The requirement to publish information in the *Gazette* originated with the former Electricity Governance (Security of Supply) Regulations 2008 when the Code came into effect. It could not be removed when the system operator took over the Electricity Commission's security of supply operational responsibilities in 2010. This was because doing so would have been inconsistent with the Act's provisions for creating the initial version of the Code. Under section 34 of the Act, the initial Part 9 of the Code could only include changes to the Security of Supply Regulations necessary or reasonably required to ensure the Code was:

- consistent with the Act, the regulations, and any amendments made to other enactments by the Act; and
- accurate and coherent; and
- addressed any transitional issues.

The Authority considers that publication in the *Gazette* is of little or no value to participants, and imposes unnecessary costs on the system operator. The relevant *Gazette* notices simply advise participants that the system operator has published the information on its website. Unless participants subscribe to a print copy of the *Gazette*, they would need to go to the www.gazette.govt.nz website. It would be more efficient for participants to instead go directly to the www.systemoperator.co.nz website.

Authority to prescribe how information is published

Subclause (c) of the definition of 'publish' requires the Authority to prescribe how participants must make information available that is not covered by the two preceding subclauses.

What the Authority has 'prescribed' is listed in the Information System Definition document. The prescribed means by which information provided under subclause (c) is to be made available relates only to Parts 12 and 13 of the Code. For Part 12, the Authority has prescribed that the participant must publish the relevant information on its website. For Part 13, the Authority has prescribed that the participant must publish the information using either email or facsimile. The Authority considers that it is an unnecessary cost for the Authority to approve that information should be published on a website, or published using either email or facsimile. A lower cost approach would be for the relevant clauses in the Code to specify the form of publication.

Definition of 'publicise'

'Publicise' means to make available to the public, at no cost, on the Authority's website at all reasonable times and in any other manner the Authority may decide. This is similar to, but not exactly the same as, the definition of the word 'publicise' in the Act.

Section 34 of the Interpretation Act 1999 provides that a term or expression used in an instrument made under an enactment has the same meaning as it has in the enactment under which it is made. It is unhelpful and potentially confusing to use a word in the Code that is also used in the Act but with a different meaning.

'Publicise' is generally used in the Code when referring to information that the Authority must make available, to avoid the complicated definition of 'publish'. Simplifying the definition of 'publish' would avoid the need for a separate defined term.

Definition of 'publicly available'

'Publicly available' is not defined in the Code but is defined in the Act, where it means to make information available at no cost on a publicly available internet site and at the head office of the person required to make the information available, and to make copies available for purchase at a reasonable cost.

As noted above, section 34 of the Interpretation Act provides that a term or expression used in an instrument made under an enactment has the same meaning as it has in the enactment under which it is made. 'Publicly available' in the Code, therefore, has the same meaning as in the Act.

For the purposes of the Code, it is generally not necessary that information be made available at a head office, or for copies to be available for purchase. The intent of using the term 'publicly available' has been that information be published on a website.

There is one exception to this general approach. Clause 6.3(2) of the Code requires a distributor to make certain information 'publicly available, free of charge, from its offices and Internet site'. This obligation was carried over to the Code in 2010 from the Electricity

	<p>Governance (Connection of Distributed Generation) Regulations 2007. The Authority proposes that the obligation under clause 6.3(2) of the Code for a distributor to make the information available at its offices should remain. This maintains the policy inherent in the regulations.</p> <p><i>Definition of 'publicly accessible'</i></p> <p>'Publicly accessible' is not defined in the Code. However, there are a number of clauses in Part 13 that require some participants to place information on a publicly accessible website.</p> <p>As the new definition of 'publish' will require information to be placed on a participant's website or another website specified in the Code, the Authority considers that references to 'publicly accessible' can be replaced with 'publish'.</p> <p><i>Definition of 'republish'</i></p> <p>'Republish' means 'to publish again following a recalculation using revised data' and 'republished' and 'republishing' have corresponding meanings. The Code contains five references to the defined term 'republish'. All five references relate to the republication of interim and final prices.</p> <p>Elsewhere in the Code the words 'recalculate and publish' are used instead of 'republish' (see clauses 12.100 and 13.166A). This alternative wording more accurately describes what the pricing manager does. The pricing manager does not 'republish' a price if the new price was created after the original price was published. The pricing manager instead publishes a recalculated or revised price.</p>
Proposal	<p>The Authority proposes to:</p> <ul style="list-style-type: none"> • amend the definition of 'publish' to mean making information publicly available at no cost on a website • remove the requirement on the system operator to give notice in the <i>Gazette</i> under Part 9 of the Code • replace references to 'publicly available' in the Code with 'publish', except for clause 6.3(2) • replace references to 'publicly accessible' in the Code with 'publish' • revoke the definition of 'publicise' • replace references to 'publicise' in the Code with 'publish' • if the Authority has approved publishing information by email or facsimile, replace those references to 'publish' with 'give written notice' • if the Code requires a participant to publish information on its website, delete the words 'on its website', as those words are

	<p>unnecessary</p> <ul style="list-style-type: none"> • revoke the definition of 'republish' and instead use 'revise and publish' or 'recalculate and publish' as appropriate in the relevant clauses in the Code • make a number of consequential changes to the Code, as a result of the amendments listed above.
Proposed Code amendment	Refer to the drafting schedule in Appendix C. Because this proposal and the proposal to change the definition of information system are closely related, the schedule shows the drafting changes that would result if both proposals were to go ahead.
Assessment of proposed Code amendment against the Authority's objective and section 32(1) of the Act	<p>The proposed amendment is consistent with the Authority's objective because it would contribute to the efficient operation of the electricity industry.</p> <p>Simplifying the Code makes it easier for participants to understand and give effect to their obligations. This promotes the efficient operation of the electricity industry.</p> <p>Accordingly, the proposed amendment is also desirable to promote the efficient operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The proposed amendment is not expected to affect competition in, or the reliable supply by, the electricity industry.</p>
Assessment against Code amendment principles	The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent they are relevant.
Principle 1: Lawfulness.	The proposed amendment is consistent with the Act, as discussed above in relation to the Authority's statutory objective, and the requirements set out in section 32 of the Act.
Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory Failure	The proposed amendment is consistent with principle 2. This is because the proposed amendment is expected to result in participants operating more efficiently and incurring lower costs complying with the Code.
Principle 3: Quantitative Assessment	Some of the benefits of the proposed Code amendment can be readily quantified, but it has not been practicable to quantify others. Hence, a partial quantitative assessment of the proposed amendment's costs and benefits has been undertaken (see below).

Regulatory Statement	
Objectives of the proposed amendment	The objective of the proposal is to simplify the Code. This will make it easier for participants to understand their obligations in the Code and comply with those obligations.
Evaluation of the costs and benefits of the proposed amendment	<p>The Authority considers the proposed Code amendment would have a positive net benefit, for the reasons set out below.</p> <p><i>Costs</i></p> <p>The Authority does not expect the proposed amendment to place additional costs on industry participants. However, if it did, those costs would be negligible.</p> <p><i>Benefits</i></p> <p>The primary benefits of the proposal are:</p> <ul style="list-style-type: none"> • to reduce the Authority’s market regulation costs • to make it easier for participants to understand and comply with their Code obligations. <p>Under the proposed amendment the Authority would no longer need to update the Information System Definition document to require participants to publish certain information on their website. Changes to the document require a significant amount of Authority and industry resources. Whenever the Authority changes the document, the Authority consults with participants and gains approval from the Authority Board.</p> <p>The Authority estimates that its costs alone come to approximately \$5,000 per annum,⁷ which equates to a present value of approximately \$43,000 (assuming a 15-year discount period and a real discount rate of 8%).</p> <p>The second key benefit of the proposed amendment would be to make it easier for participants to understand and comply with their Code obligations. Participants would know from reading the Code that they needed to publish certain information on their website, or by giving written notice. They would no longer need to refer to the Information System Definition document, which may not be up to date. (This is because the Authority periodically updates the document, rather than updating it after each Code amendment.)</p> <p>These savings in the Authority’s market regulation costs and participants’ transaction costs represent a productive economic efficiency benefit. The Authority believes this benefit would be material.</p> <p><u><i>Net benefit</i></u></p>

⁷ Related primarily to staff time and costs.

	Based on the above analysis, the Authority is satisfied the benefits of the proposed amendment outweigh the costs.
Evaluation of alternative means of achieving the objectives of the proposed amendment	The Authority has not identified an alternative means of achieving the objectives of the proposed amendment.

2016-15 Simplifying the meaning of 'notify'

Reference No.	2016 – 15 Simplifying the meaning of 'notify'
Problem definition	<p>In the Code, to 'notify' means to inform a person that information has been published:</p> <p><i>Notify means to notify the persons referred in the relevant clause by way of letter, email or facsimile, to a contact person and address provided by that person, that the information referred to in that clause has been published.</i></p> <p>'Notify' is currently used in three different ways in the Code:</p> <ul style="list-style-type: none"> • where the relevant clause also requires the notifying participant to publish information • where the requirement to 'notify' <i>implies</i> the requirement to publish (that is, there is no separate requirement to publish) • where there is no intention to impose an obligation to publish. <p>The Authority considers that it should be clear from the Code when parties are required to notify in writing and when they are required to publish information. These obligations should be express and not just implied.</p> <p>The Authority also considers that it is unhelpful to give ordinary words like 'notify' a defined meaning. This can lead to a word acquiring a sense that was not intended.</p> <p>This would promote the efficient operation of the electricity industry by making it easier for participants to understand their Code obligations.</p> <p><i>Removing restrictions on the form of written notification</i></p> <p>The defined term 'notify' requires written notification by letter, email or facsimile. The definition unnecessarily restricts the means by which parties provide written notice to each other. Letters and facsimiles are now the exception rather than the norm.</p> <p>Making the means by which participants give written notice to each other less prescriptive would allow them to use other electronic methods and to adopt new technologies.</p> <p>This would not require all participants to adopt all technologies in order to be sure they could receive all notices sent. Just as participants are not required to change the way they notify information, participants would not also not compelled to adopt a new technology in order to receive notifications.</p> <p>The Authority believes that simplifying the Code would promote the efficient operation of the electricity industry because participants</p>

	could more easily understand their obligations.
Proposal	<p>The Authority proposes to amend the Code in the following way, unless the context means that the change would not be appropriate:</p> <ul style="list-style-type: none"> • remove the definition of ‘notify’ • replace ‘notify’ with ‘give written notice’, and specify the form of notice where necessary • amend the Code to expressly provide for information to be published where publishing is currently required by the use of the term ‘notify’ <p>unless the context means that the change would not be appropriate</p>
Proposed Code amendment	Refer to the drafting schedule in Appendix C.
Grounds for not consulting	<p>The Authority is satisfied that the nature of the proposed amendment is technical and non-controversial in accordance with section 39(3)(a) of the Act.</p> <p>This is because the proposed amendment will have no impact on current practice, and will not change any participant's obligations. Rather, the proposed amendment would improve the clarity of the Code.</p>
Assessment of proposed Code amendment against the Authority’s objective and section 32(1) of the Act	<p>The proposed amendment is consistent with the Authority's objective because it would contribute to the efficient operation of the electricity industry.</p> <p>Simplifying the Code, and making the Code more neutral to the use of technologies, makes it easier for participants to understand and give effect to their obligations. This promotes the efficient operation of the electricity industry.</p> <p>Accordingly, the proposed amendment is also desirable to promote the efficient operation of the electricity industry in accordance with section 32(1)(c) of the Act.</p> <p>The proposed amendment is not expected to affect competition in, or the reliable supply by, the electricity industry.</p>
Assessment against Code amendment principles	The Authority is satisfied that the proposed amendment is consistent with the Code amendment principles, to the extent they are relevant.
Principle 1: Lawfulness.	The proposed amendment is consistent with the Act, as discussed above in relation to the Authority’s statutory objective, and the requirements set out in section 32 of the Act.

Principle 2: Clearly Identified Efficiency Gain or Market or Regulatory Failure	The proposed amendment is consistent with principle 2 since it is expected to result in participants operating more efficiently and incurring lower costs complying with the Code.
Principle 3: Quantitative Assessment	It is not practicable to quantify the benefits of the proposed amendment. Accordingly, a quantitative analysis has not been undertaken.

Appendix C Drafting schedules

CRP 2016-07 Removing market administrator functions

Part 1

annual consumption list means the list **published** by the ~~market administrator~~ in accordance with clause 13.188

assumed co-efficient of variation means the value of **co-efficient of variation** that is set by the ~~market administrator~~**Authority** for the purpose of calculating the **preliminary sample size**

business day means,—

- (a) for the purposes of Part 6, any day of the week other than Saturday, Sunday, or a public holiday within the meaning of the Holidays Act 2003; and
- (b) for the rest of the Code, any day of the week except Saturdays, Sundays, **national holidays** and any other day from time to time declared by the ~~market administrator~~**Authority** not to be a **business day** by notice to each **registered participant**

declaration date means the date, nominated by the **profile applicant**, on which the ~~market administrator~~**Authority** must, for a particular **profile**, notify every **registered participant** of the information set out in clause 13 of Schedule 15.5 for that **profile**

~~market administrator~~ means the ~~market operation service provider~~ who is for the time being appointed as market administrator under this Code

profile applicant means the **participant** who submitted an application to the ~~market administrator~~**Authority** to approve a new **profile** or a change to an existing **profile**, and may be a joint entity with more than 1 **participant** or an independent commercial entity acting on behalf of 1 or more **participants**

WITS manager means the person or persons appointed by the Authority to perform the market operation service provider role of wholesale information trading system manager

Part 3

3.1 Appointment of market operation service providers

- (1) The **Authority** must appoint a person or persons to perform each of the following **market operation service provider** roles:
 - (a) ~~the registry manager~~:
 - (b) ~~a reconciliation manager~~:

- (c) a **pricing manager**;
 - (d) a **clearing manager**;
 - ~~(e) a **market administrator**~~
 - (ea) **FTR manager**;
 - ~~(eb) a **WITS manager**;~~
 - ~~(ec) a **extended reserve manager**;~~
 - ~~(f) any other role identified in regulations as a **market operation service provider** role and for which market operation services are provided under this Code.~~
- ~~(2) The **Authority** may appoint a person or persons to perform the **market operation service provider** role of wholesale information trading system provider.~~

Part 10

10.2 Authority's ~~and market administrator's~~ discretion and powers

- (1) A clause in this Part that gives the **Authority** ~~or market administrator~~ a discretion or power—
 - (a) confers an absolute discretion, ~~subject to the **Authority** or the **market administrator**, as the case may be,~~—
 - (i) taking into account any specific requirements set out in the clause; and
 - (ii) observing the rules of natural justice; and
 - (b) to approve an application by a person to carry out an activity under this Part, may be exercised by—
 - (i) granting the application; or
 - (ii) declining the application; or
 - (iii) granting the application with any conditions that the **Authority** ~~or the **market administrator**, as the case may be,~~ considers appropriate in the circumstances.
- (2) The **Authority** ~~or the **market administrator**~~, when exercising a discretion or power under this Part, must act in a timely manner.
- (3) The **Authority** ~~or the **market administrator**~~ must give an applicant reasons for its decision if the **Authority** ~~or the **market administrator**~~—
 - (a) declines an application for approval to carry out an activity under this Part; or
 - (b) grants an application for approval to carry out an activity under this Part with any conditions that the **Authority** ~~or the **market administrator**, as the case may be,~~ considers appropriate in the circumstances.

10.19 Metering equipment provider

- (1) The **metering equipment provider** for each existing **category 1 metering installation**, or higher category of **metering installation**, being used on 29 August 2013 for an activity regulated under this Code, for a **point of connection**—
 - (a) that is an **ICP** and not also an **NSP**, is the **participant**, or a **consumer**, who is identified in the **registry** as being the primary metering contact at 2400 hours on 28 August 2013;
 - (b) that is an **NSP** and not also a **point of connection** to the **grid**—
 - (i) is the **participant** who owns the **meter** for the **point of connection**;
 - (ii) if there is more than 1 **meter** for the **point of connection**, is the **participant** who is appointed by the **meter** owners for the **point of connection**, or failing

agreement, appointed by the ~~market administrator~~ Authority:

10.26 Responsibility for ensuring there is metering installation for point of connection to grid

...

- (4) If the **participants** cannot agree, within 60 **business days** of the **grid owner** first being advised of the proposed new **point of connection** to the **grid**, on the **participant** to be responsible for providing the **metering installation**,—
- (a) any affected **participant** may advise the ~~market administrator~~ Authority —
 - (i) that agreement has not been reached; and
 - (ii) of the identity of all affected **participants**; and
 - (iii) of the reasons (if and to the extent known) that agreement was not reached; and
 - (b) the ~~market administrator~~ Authority must determine which **participant** must provide the **metering installation**; and
 - (c) the ~~market administrator~~ Authority must advise—
 - (i) the relevant **participant** of its responsibility to provide the **metering installation**; and
 - (ii) the **participant** intending to **connect** to the **grid** of its determination; and
 - (iii) the **grid owner** of its determination.
- (5) When determining which **participant** is responsible for providing the **metering installation**, the ~~market administrator~~ Authority must, unless it is satisfied that there is good reason not to do so, do so on the basis that—
- (a) the **grid owner** is responsible if the ~~market administrator~~ Authority anticipates that the **point of connection** is a **GXP**; and
 - (b) the **participant connecting assets** to the **grid** at the **point of connection** is responsible if the ~~market administrator~~ Authority anticipates that the **point of connection** is a **GIP**.
- ...
- (9) If the **grid owner** considers, acting reasonably, that a proposed new **metering installation**, or a proposed change to an existing **metering installation**, or its configuration, requires subtraction or a **loss compensation** or **error compensation** process to determine **submission information** for the purposes of Part 15, the **grid owner** must, unless an **error compensation** process is to be applied to the **metering installation** that is already within the applicable accuracy tolerances set out in Table 1 of Schedule 10.1—
- (a) provide all relevant details to the ~~market administrator~~ Authority, in the **prescribed form**, at least 20 **business days** before—
 - (i) the proposed date for installing the **metering installation**; or
 - (ii) the proposed date for changing the **metering installation** or **metering installation's** configuration; and
 - (b) respond, within 3 **business days** of receipt, to any request from the ~~market administrator~~ Authority for additional details; and
 - (c) ensure that any reasonable changes to the **metering installation** or its configuration requested by the ~~market administrator~~ Authority are carried out.

10.29 Electrically connecting point of connection to grid

- (1) Despite clause 10.28(1), a **grid owner** must not **electrically connect a point of connection** to the **grid** unless it has—
 - (a) ensured that the processes described in clause 10.26 have been carried out; and
 - (b) requested, in the **prescribed form**, not less than 20 **business days** before the proposed **connection** date, authorisation from the ~~market administrator~~ **Authority**, to **connect the point of connection**; and
 - (c) obtained the authorisation referred to in paragraph (b) from the ~~market administrator~~ **Authority**.

10.44 Metering installations that are inaccurate, defective, or not fit for purpose to be tested

...

- (4) If the **metering equipment provider** and the **participant** requesting the test under subclause (2) cannot, within 5 **business days** of the **metering equipment provider** being advised under subclause (2)(a), agree on an **ATH**, either **participant** may advise the ~~market administrator~~ **Authority**, including the reasons, if and to the extent known, why agreement was not reached.
- (5) The ~~market administrator~~ **Authority** must, within 5 **business days** of being advised under subclause (4), advise the **metering equipment provider** of the **ATH** that it must instruct to carry out the testing and to provide a statement of situation under subclause (1)(b).
- (6) The **metering equipment provider** must instruct the **ATH** referred to in subclause (5) within 5 **business days** of being advised by the ~~market administrator~~ **Authority**.

10.46 Statement of situation

- (2) A **metering equipment provider** must, within 3 **business days** of receiving the statement of situation, provide copies of it—
 - (a) to the relevant affected **participants** for all **metering installations**; and
 - (b) to the ~~market administrator~~ **Authority**—
 - (i) for all category 3 and above **metering installations**; and
 - (ii) if requested by the ~~market administrator~~ **Authority**, for each **category 1 metering installation** and each **category 2 metering installation**.

10.49 NSP table

- (1) The ~~market administrator~~ **Authority** must **publish** and maintain an **NSP** table, or ensure that an **NSP** table is **published** and maintained, on the **Authority's** website.
- (2) The **reconciliation manager** must advise the ~~market administrator~~ **Authority** of any change to the information contained in the **NSP** table within 1 **business day** of becoming aware of such change.
- (3) The ~~market administrator~~ **Authority** must update the **NSP** table, or ensure that the **NSP** table is updated, within 2 **business days** of being advised by the **reconciliation manager** under subclause (2).

10.51 Transitional provisions

...

- (6) The following continue in effect despite anything else in, or the coming into force of, this Part, to the extent that they relate to or concern the same, or similar, obligations under this Part, and will apply to a **participant's** obligations under or compliance with, the relevant obligation under this Part:

...

- (f) a variation approved by the ~~market administrator~~ market administrator under COP 10.5:

Schedule 10.7

32 Alternative certification requirements for metering installation incorporating measuring transformer

...

- (2) The **metering equipment provider** must, if a **metering installation** for which it is responsible has been **certified** under subclause (1),—
- (a) by no later than 10 **business days** after the date of **certification** of the **metering installation**, advise the ~~market administrator~~ Authority in the **prescribed form** of—
- (i) all relevant details of the **metering installation**; and
 - (ii) the reason or reasons why the **ATH** could not obtain physical access to the **measuring transformer**; and
 - (iii) the reason or reasons why the accuracy of the **metering installation** cannot be outside of the applicable accuracy requirements set out in Table 1 of Schedule 10.1; and
 - (iv) the **metering installation certification** expiry date; and
- (b) respond, within 5 **business days**, to any requests from the ~~market administrator~~ Authority for additional information; and
- ...
- (4) If the ~~market administrator~~ Authority subsequently determines that the **ATH** could have obtained physical access to test an installed **measuring transformer** in the **metering installation**, the **metering installation** is deemed to be defective and the **metering equipment provider** responsible for the **metering installation** must comply with clauses 10.43 to 10.48.

Part 11

11.27 Reports to the ~~market administrator~~ Authority

By 1600 hours on the 1st **business day** of each calendar month, the **registry** must deliver to the ~~market administrator~~ Authority a report summarising the number of events that have not been notified to the **registry**, of which it is aware, within the timeframes specified in this Part.

Schedule 11.1

1 ICP identifiers

- (1) A **distributor** must create an **ICP identifier** for each **ICP** on each **network** for which the **distributor** is responsible in accordance with the following format:

yyyyyyyyyyxxccc

where

yyyyyyyyyy is a numerical sequence provided by the **distributor**

xx is a code assigned by the **Authority** to the issuing **distributor** that ensures the **ICP** is unique

ccc is a checksum generated according to the algorithm provided by the ~~market administrator~~**Authority**

9 Traders to provide ICP information to registry

- (1) Each **trader** must provide the following information to the **registry** for each **ICP** for which it is recorded in the **registry** as having responsibility:
 - (a) the **participant identifier** of the **trader**;
 - (b) the **profile** code of each **profile** at that **ICP** approved by the ~~market administrator~~**Authority** in accordance with clause 13 of Schedule 15.5:

25 Creation and decommissioning of NSPs and transfer of ICPs from 1 distributor's network to another distributor's network

- (1) If an **NSP** is to be created or decommissioned,—
 - (a) the **participant** specified in subclause (3) in relation to the **NSP** must notify the **reconciliation manager** of the creation or decommissioning; and
 - (b) the **reconciliation manager** must notify the ~~market administrator~~**Authority** and affected **reconciliation participants** of the creation or decommissioning no later than 1 **business day** after receiving the notification in paragraph (a).
- (2) If a **distributor** wishes to change the record in the **registry** of an **ICP** that is not recorded as being usually **connected** to an **NSP** in the **distributor's network**, so that the **ICP** is recorded as being usually **connected** to an **NSP** in the **distributor's network** (a "transfer"), the **distributor** must notify the **reconciliation manager**, the ~~market administrator~~**Authority**, and each affected **reconciliation participant** of the transfer.

29 Obligations concerning change in network owner

- (1) If a **network** owner acquires all or part of an existing **network**, the **network** owner must notify the following of the acquisition:
 - ...
 - (c) the ~~market administrator~~**Authority**;

Schedule 11.2

- 2 The applicant **distributor** must notify the ~~market administrator~~**Authority** of the transfer.
- 5 The applicant **distributor** must give the ~~market administrator~~**Authority** confirmation that the applicant **distributor** has received written consent to the proposed transfer from—

- (a) the **distributor** whose **network** is associated with the **NSP** to which the **ICP** is recorded as being **connected** immediately before the notification, except if the notification relates to the creation of an **embedded network**; and
 - (b) every **trader** who trades **electricity** at any **ICP** nominated at the time of notification as being supplied from the same **NSP** to which the notification relates.
- 7 The ~~market administrator~~Authority must not authorise the change of any information on the **registry** if clauses 2 to 5 are not complied with.
- 7A Despite clause 7, the ~~market administrator~~Authority may authorise the change if the applicant **distributor** has not notified the ~~market administrator~~Authority within the time frame required under clause 4, if—
- (a) the applicant **distributor** has complied with clauses 2, 3 and 5; and
 - (b) the ~~market administrator~~Authority considers that it has not been materially disadvantaged by the applicant **distributor's** failure to comply with clause 4.
- 9 The **registry** must remove any information that has been notified to the **registry** under clause 7 of Schedule 11.1 relating to an **ICP** for which a transfer has been notified under this Schedule, if the information was to have come into effect after the date on which the ~~market administrator~~Authority authorises the change of information on the **registry** under this Schedule.
- 10 A transfer may take effect on a date that is before the date on which it is notified only with the consent of the ~~market administrator~~Authority.

Part 13

13.23 Backup procedures if information system is unavailable

- (1) If the **information system** is unavailable to receive **bids** or **offers** or to confirm the receipt of **bids** or **offers**, each **purchaser** and **generator** or the **system operator**, as the case may be, must follow the backup procedures specified by the ~~market administrator~~WITS manager.
- (2) The backup procedures referred to in subclause (1) must be specified by the ~~market administrator~~WITS manager following consultation with each **purchaser**, **generator** and the **system operator**. The ~~market administrator~~WITS manager must ensure that there is always a backup procedure notified to the Authority, each **purchaser**, **generator** and the **system operator**.

13.36 Backup procedures if information system is unavailable

- (1) If the **information system** is unavailable to receive information or confirm the receipt of information, the **grid owner** or the **system operator**, as the case may be, must follow the backup procedures specified by the ~~market administrator~~system operator.
- (2) The backup procedures referred to in subclause (1) must be specified by the ~~market administrator~~system operator following consultation with **grid owners** and the ~~system operator~~. The ~~market administrator~~system operator must ensure that there is always a backup procedure notified to the Authority and grid owners and the ~~system operator~~.

13.52 Backup procedures if information system is unavailable

- (1) If the **information system** is unavailable to receive **reserve offers** or cancellations of **reserve offers** or to confirm the receipt of such **reserve offers** or cancellations, an **ancillary service agent** or the **system operator**, as the case may be, must follow the backup procedures specified by the ~~market administrator~~ WITS manager.
- (2) The backup procedures referred to in subclause (1) must be specified by the ~~market administrator~~ WITS manager following consultation with **ancillary service agents** and the **system operator**. The ~~market administrator~~ WITS manager must ensure that there is always a backup procedure notified to the Authority, **ancillary service agents** and the **system operator**.

13.55 Availability of bids, offers, and reserve offers

- (1) The ~~market administrator~~ WITS manager must, within 24 hours of the end of each day, make available all final **bids**, final **offers** and final **reserve offers** received for the **trading periods** of the previous **trading day**.
- (2) All information to be made available by the ~~market administrator~~ WITS manager under this clause must be—
 - (a) transmitted to **participants** through the electronic facilities contained in the **information system**; and
 - (b) placed on a publicly accessible website—
 and must remain available for inspection through the electronic facilities contained in the **information system** and on the publicly accessible website, for a period of at least 4 weeks.
- (3) If the **information system** is unavailable to send information under subclause (2)(a), the ~~market administrator~~ WITS manager must follow the backup procedures specified by the ~~market administrator~~ WITS manager from time to time.
- (4) The backup procedures referred to in subclause (3) must be put in place by the ~~market administrator~~ WITS manager in consultation with **purchasers**, **generators** and **ancillary service agents**. The ~~market administrator~~ WITS manager must ensure that there is always a backup procedure notified to the Authority, **purchasers**, **generators** and **ancillary service agents**.
- (5) If the publicly accessible website on which information is placed under subclause (2)(b) is not available the ~~market administrator~~ WITS manager is not obliged to follow any backup procedures, but the ~~market administrator~~ WITS manager must make the information available as soon as practicable once the publicly accessible website becomes available.

13.67 Transmission of information through information system

...

- (2) If the **information system** is unavailable to send information under clauses 13.58 to 13.66 the **system operator** must follow the backup procedures specified by the ~~market administrator~~ WITS manager.
- (3) The backup procedures referred to in subclause (2) must be specified by the ~~market administrator~~ WITS manager following consultation with the **system operator**, the **clearing manager**, and the **pricing manager**. The ~~market administrator~~ WITS

manager must ensure that there is always a backup procedure notified to the Authority, the **system operator**, the **clearing manager**, and the **pricing manager**.

13.91 Transmission of information through information system

...

- (2) If the **information system** is unavailable to send information under clauses 13.89 to 13.96, the **system operator** must follow the backup procedures specified by the ~~market administrator~~ WITS manager.
- (3) The backup procedures referred to in subclause (2) must be specified by the ~~market administrator~~ WITS manager following consultation with **purchasers**, **generators** and the **system operator**. The ~~market administrator~~ WITS manager must ensure that there is always a backup procedure notified to the Authority, **purchasers**, **generators** and the **system operator**.

13.92 Transmission of information through website

- (1) The information (if any) received from the **system operator** under clause 13.90 must be made available by the ~~market administrator~~ WITS manager by placing that information on a publicly accessible website.
- (2) If the publicly accessible website upon which information is placed under subclause (1) is no longer available, the ~~market administrator~~ WITS manager is not required to follow any backup procedures, and the ~~market administrator~~ WITS manager is not required to make the information available on the publicly accessible website at a later time.

13.93 ~~Market administrator~~ Authority to appoint person to monitor and assess demand side participation and real time prices

- (1) The ~~market administrator~~ Authority may, or may appoint a person at any time to, monitor and assess the **real time prices** made available by the **system operator** under clauses 13.89 to 13.96 in the context of demand side participation.
- (2) The **system operator** must use reasonable endeavours to make available to the ~~market administrator~~ Authority or the person appointed by the ~~market administrator~~ Authority under subclause (1), in a manner agreed between the **system operator** and that person,—
 - (a) if that person is not the ~~market administrator~~ Authority, the information the **system operator** makes available to the **participants** and the ~~market administrator~~ Authority under clause 13.90; and
 - (b) for each **grid injection point** and each **grid exit point**, a volume weighted average of the **real time prices** for each **trading period**.

13.106 Transmission of information through information system

...

- (2) If the **information system** is unavailable to send information the **system operator** must follow the backup procedures specified by the ~~market administrator~~ WITS manager.
- (3) The backup procedures referred to in subclause (2) must be specified by the ~~market administrator~~ WITS manager following consultation with the **system operator**, **pricing manager**, **clearing manager**, **purchasers**, **generators** and **ancillary service agents**. The ~~market administrator~~ WITS manager must ensure that there is always a backup procedure notified to the Authority, the **system operator**, **pricing manager**, **clearing manager**, **purchasers**, **generators** and **ancillary service agents**.

13.114 Information to be transmitted through information system

...

- (2) If the **information system** is not available to send information under this clause the **clearing manager** must follow the backup procedures specified by the ~~market administrator~~ **WITS manager**.
- (3) The backup procedures referred to in subclause (2) must be specified by the ~~market administrator~~ **WITS manager** following consultation with **generators** and the **clearing manager**.

13.188 ~~Market administrator~~ Reconciliation manager to publish annual consumption list

- (1) At least once every 6 months, the **reconciliation manager** must give the ~~market administrator~~ **Authority** an annual consumption list.

...

- (3) The ~~market administrator~~ **reconciliation manager** must **publish** the list within 1 **business day** of receiving ~~providing~~ it to the **Authority**.

13.191 Backup procedures if information system is unavailable

- (1) If the **information system** is unavailable to send information under clauses 13.135 to 13.191, each **grid owner** and the **pricing manager** must follow the backup procedures specified by the ~~market administrator~~ **WITS manager**.
- (2) The backup procedures referred to in subclause (1) must be specified by the ~~market administrator~~ **WITS manager** following consultation with **generators, purchasers, ancillary service agents, the grid owners** and the **pricing manager**.
- (3) The ~~market administrator~~ **WITS manager** must ensure that there is always a backup procedure notified to the Authority, all **generators, purchasers, ancillary service agents, grid owners** and the **pricing manager**.

13.211 Backup procedures if information system is unavailable

- (1) If the **information system** is unavailable to send information under clauses 13.199 and 13.208 the **clearing manager** must follow the backup procedures specified by the ~~market administrator~~ **WITS manager** from time to time.
- (2) The backup procedures referred to in subclause (1) must be specified by the ~~market administrator~~ **WITS manager** following consultation with **generators, ancillary service agents, purchasers** and the **clearing manager**. The ~~market administrator~~ **WITS manager** must ensure that there is always a backup procedure notified to the Authority, **generators, ancillary service agents, purchasers** and the **clearing manager**.

13.213 Daily reports

- (1) On each **trading day** the **pricing manager** must provide the ~~market administrator~~ **Authority** with a written report for the **trading periods** beginning at 0700 hours on the previous **trading day** and ending with the **trading period** beginning at 0630 hours on the **trading day** the report is due to be given, specifying—

...

13.214 ~~Market administrator~~Authority to publish pricing manager reports

- (1) By the 15th **business day** of each calendar month, the ~~market administrator~~**Authority** must **publish** the sections of the reports of the **pricing manager** given in the previous calendar month under clause 13.213 that relate to any alleged breaches of this Code by the **pricing manager**.
- ~~(2) By the 15th **business day** of each calendar month the ~~market administrator~~ must refer the reports received in the previous calendar month to the **Authority**.~~

13.216 Daily situation report

On the day following **publication** of **final prices** and **final reserve prices** in respect of the **trading day** to which the **published** prices relate, the **pricing manager** must give the ~~market administrator~~**Authority** a report containing—

...

13.229 Submitting party to check if no confirmation received

- (1) If a **party** that submitted information to the **information system** has not received confirmation that its information has been received by the **information system** within 6 hours of submitting the information to the **information system**, that **party** must, within 1 **business day** of the expiry of that 6 hour period, contact the ~~market administrator~~**WITS manager** to check whether the information has been received by the **information system**.

Part 14**14.68 Monthly divergence reports to be prepared by clearing manager**

- (1) The **clearing manager** must report to the ~~market administrator~~**Authority** in writing under this clause.
- (2) The **clearing manager** must give the report to the ~~market administrator~~**Authority**—
- on the 10th **business day** of each calendar month; or
 - if exceptional circumstances prevent the **clearing manager** from providing the report by that day, as soon as reasonably practicable after that day.

14.69 ~~Market administrator~~Authority to publish clearing manager reports

- (1) By the 15th **business day** of each calendar month, the ~~market administrator~~**Authority** must **publish** the sections of the report, received in the previous calendar month from the **clearing manager** in accordance with clause 14.68, that relate to any breaches of this Code by the **clearing manager**.
- ~~(2) By the 15th **business day** of each calendar month the ~~market administrator~~ must also refer the report received in the previous calendar month to the **Authority**.~~

Part 15**Schedule 15.2****8 Non half hour meter reading on 12 monthly basis**

- (1) Each **reconciliation participant** must ensure that, at least once every 12 months, a **validated meter reading** is obtained for every **meter** register for non **half hour** metered

ICPs that the **reconciliation participant** trades continuously for each 12 month period. In carrying out this obligation—

- (a) each **reconciliation participant** must report to the ~~market administrator~~**Authority**, in relation to each **NSP**, the percentage of the **ICPs** from which **consumption information** was collected and reported into the reconciliation process in the previous 12 month period. This report must be submitted no later than 20 **business days** after the end of each month; and
- (b) if the percentage reported in accordance with paragraph (a) is less than 100%, the ~~market administrator~~**Authority** may, from time to time, require the **reconciliation participant** to explain why that level was not achieved and to describe the steps that are being taken to achieve a level of performance that, in the ~~market administrator~~**Authority**'s assessment, is reasonable.

9 Non half hour meter reading every 4 months

- (1) Each **reconciliation participant** must ensure, in relation to each **NSP**, that a **validated meter reading** is obtained, at least once every 4 months, for 90% of the non **half hour** metered **ICPs** at which the **reconciliation participant** trades continuously for each 4 months for which **consumption information** is required to be reported into the reconciliation process. In carrying out this obligation—
 - (a) each **reconciliation participant** must report to the ~~market administrator~~**Authority** the percentage, in relation to each **NSP**, of the **ICPs** from which **consumption information** was collected and reported into the reconciliation process in the previous 4 month period. This report must be submitted no later than 20 **business days** after the end of each month; and
 - (b) if the percentage reported in accordance with paragraph (a) is less than 90% in relation to any **NSP**, the ~~market administrator~~**Authority** may, from time to time, require the **reconciliation participant** to explain why that level was not achieved and to describe the steps that are being taken to achieve acceptable performance.
- (3) The **reconciliation participant** must report to the ~~market administrator~~**Authority** monthly on a rolling 4 month basis the percentage of non **half hour meter interrogations** within that period.

10 Allocation by profile

If **submission information** is submitted as non **half hour** quantities to be allocated to **trading periods** by **profile** shape, the **reconciliation manager** must use the appropriate shape for the **profile** code contained in the **submission information**, if—

- (a) the **profile** code has been approved by the ~~market administrator~~**Authority** in accordance with Schedule 15.5; and

12 Application of profile shapes

The **reconciliation manager** must calculate the **trading period** information by applying the **profile** shape for the **profile** code specified in the submission file provided by the **reconciliation participant** if—

- (a) the **profile** code has been approved by the ~~market administrator~~Authority in accordance with Schedule 15.5; and

13 **Balancing area derived profiles approved in accordance with Appendix 1 of Schedule 15.5**

The **reconciliation manager** must calculate the **trading period** information by applying the **balancing area** derived **profile** code specified in the submission file provided by the **reconciliation participant**, if—

- (a) the **profile** code has been approved by the ~~market administrator~~Authority for use as a **balancing area** derived **profile** in accordance with Schedule 15.5; and

...

- (c) if the **profile** code had not been approved by the ~~market administrator~~Authority, or notified to the **reconciliation manager**, the **reconciliation manager** must use the final residual **profile**.

Schedule 15.5

2 **Departure from requirements**

The ~~market administrator~~Authority may approve situations that depart from the requirements of this Schedule if it is satisfied that such departure would have minimal adverse effects on each **participant**.

11 **Change of profile**

- (1) A **profile owner** may apply to the ~~market administrator~~Authority to change a **profile**.
- (2) An application must contain—
 - (a) the **profile** code for the **profile** to which the proposed change relates; and
 - (b) details of the proposed change.
- (3) The ~~market administrator~~Authority must not approve an application unless the ~~market administrator~~Authority is satisfied that the requirements in clause 20 (for **NSP** derived **profiles**), and clauses 25 and 27 (for statistically sampled engineered **profiles**), with all necessary modifications, have been met.
- (4) The ~~market administrator~~Authority must advise the **profile applicant** if the application has been approved or rejected, or of additional steps that must be completed before the application can be considered, no later than 15 **business days** after receipt of the application.

13 **Allocation and storage of profile codes**

- (1) The ~~market administrator~~Authority must determine the **profile** code for an approved **profile** in accordance with this clause.

...

- (5) The ~~market administrator~~Authority must **publish** the following information for all approved **profiles** in the following format:

...

19 **Applications**

- (1) An application to introduce a new **NSP** derived **profile** must be submitted to the ~~market administrator~~Authority, who must either advise the **profile applicant** of further actions, or must approve or reject the application no later than 15 **business days** after its receipt.

20 **Assessment**

Before approving a **profile**, the ~~market administrator~~**Authority** must be satisfied that—

...

22 **Withdrawal of applications**

If an application is withdrawn by a **profile applicant** at any time following the **declaration date**, but before approval, the ~~market administrator~~**Authority** must advise all **participants**.

23 **Rejected applications**

If an application is rejected, the ~~market administrator~~**Authority** must provide to the **profile applicant** a detailed explanation of why the application was rejected, together with actions required for a reconsideration of the application.

24 **Use of approved profiles**

- (1) A **profile** must not be used for reconciliation until it is approved by the ~~market administrator~~**Authority** in accordance with clauses 19 and 20. The use of a **profile** must be effective from a date decided by the ~~market administrator~~**Authority**, but not earlier than the 1st day of the month following the **declaration date**.

26 **Applications**

- (1) An application to introduce a new **profile** must be submitted to the ~~market administrator~~**Authority**, who must either advise the **profile applicant** of further actions, or approve or reject the application in writing no later than 15 **business days** after its receipt.
- (2) The **profile applicant** must supply any analytical information relating to the application in the format required by the ~~market administrator~~**Authority**.

27 **Assessment**

The ~~market administrator~~**Authority** must be satisfied that—

...

28 **Sampling requirements**

...

- (2) For **profiles** that require statistical sampling, the ~~market administrator~~**Authority** must specify the **preliminary sample size** and draw a **preliminary sample** of **ICP identifiers** from the **profile population list**, or must accept appropriate sampling performed by the **profile applicant**. **Half hour research meters** must be, or must have been, installed and operated by the **profile applicant** for this **preliminary sample**. The ~~market administrator~~**Authority** must require a minimum sampling period of 60 calendar days, and not more than 12 months. The ~~market administrator~~**Authority** may withdraw **ICP identifiers** from the **profile population list** if it can be shown by the **profile applicant** that those **ICP identifiers** are in sites that are difficult to meter.
- (3) The average **unit cost** and standard deviation of the **unit cost** must be calculated using the 60 days or more of data obtained as described above. If the sample **co-efficient of variation** is less than or equal to the **profile acceptance limit** specified in Appendix 2, the size of the **profile sample** must be the **profile sample size**. The ~~market administrator~~**Authority** must provide a standard set of synthetic price scenarios to determine the variability of **unit costs**.

- (4) If the sample **co-efficient of variation** is more than the **profile acceptance limit**, the **market administrator Authority** can reject the application, or can require the **profile applicant** to supply additional information until the **market administrator Authority** is satisfied that there is no clear evidence to suggest the population **co-efficient of variation** exceeds the **profile acceptance limit**.
- (5) If the **preliminary sample size** is less than the **profile sample size**, the **market administrator Authority** must draw an additional random sample. The size of the additional random sample must equal the shortfall.

30 Withdrawal of applications

If an application is withdrawn by a **profile applicant** at any time following the **declaration date**, but before approval, the **market administrator Authority** must advise all **participants**.

31 Rejected applications

- (1) If an application is rejected, the **market administrator Authority** must provide the **profile applicant** with a detailed explanation of why the application was rejected, together with actions required for a reconsideration of the application.

...

- (5) The **market administrator Authority** must determine if additional **ICP identifiers** are required to make up the refined **preliminary sample**.

32 Use of approved profiles

- (1) A **profile** must not be used for reconciliation until the **market administrator Authority** approves it. The use of a **profile** must be effective from a date decided by the **market administrator Authority**, but not earlier than the 1st day of the month following the **declaration date**. If an approved **profile** is used for reconciliation, every **ICP identifier** on the **profile population** list must be reconciled under that **profile**.

33 Profile maintenance and changes

...

- (2) The **profile owner** must maintain a current **profile population** list. The **profile owner** must inform the **market administrator Authority** when an update is necessary (refer subclause (3)). The **profile population** list is subject to random **audit** by the **market administrator Authority** or its appointed **audit** agent.
- (3) The **profile sample** must be updated when membership of the **profile population** has changed by more than 20% since the **sample date**. The **profile owner** must, no later than 10 **business days** after the **profile owner** becomes aware of such change in membership, notify the **market administrator Authority** of the changes in the **profile population** list. The **market administrator Authority** must determine, and notify the **profile owner** of, any required modifications to the **profile sample**. The **profile owner** has 1 month from the date of notification by the **market administrator Authority** to ensure that **certified half hour meters** are installed in the **metering installations** of these **ICP identifiers**, and that the **metering installations** are fully **certified**.
- (4) If more than 5% of the **profile sample** has been lost or removed, the **profile owner** must submit to the **market administrator Authority** a list of **ICP identifiers** in the current

profile sample who have been lost or removed from the **profile population** list. The ~~market administrator~~**Authority** must draw **ICP identifiers** from the **profile population** list to replace those who are lost or removed from the **profile sample**. The **profile owner** must ensure that **certified half hour meters** are installed in the **metering installations** of these **ICP identifiers**, and that the **metering installations** are fully **certified**, no later than 1 month after the ~~market administrator~~**Authority** issues its determination of the appropriate replacement **ICP identifiers**.

34 Exceptions to sampling methodology

The ~~market administrator~~**Authority** may allow different sampling methodologies that are not described in this Schedule, only if—

- (a) the methodology can, in the ~~market administrator~~**Authority**'s assessment, produce sample data that meets the precision standards specified under Appendix 2; and
- (b) the ~~market administrator~~**Authority** or its **audit** agent is satisfied that the methodology can be **audited** to the same degree of rigour as the sampling methodology outlined in Appendix 2; and...

35 Audits

- (1) A **participant** may request the selective **audit** of any **participant's** compliance with this Schedule or the **participant's** application and use of any **profile**.
- (2) The application of all **profiles** must be **audited** by the ~~market administrator~~**Authority** or its agent in a random order at least once every 2 years by application of a selection process maintained by the ~~market administrator~~ and monitored by the **Authority**.

36 Reviews

- (1) The ~~market administrator~~**Authority** must review the structure of every approved **profile** at least every 3 years.
- (2) Each review must determine whether—
 - (a) the criteria for **profile** definition are still appropriate; and
 - (b) if applicable, the existing sample needs to be redrawn.

37 Removal of profiles

- (1) The ~~market administrator~~**Authority** must immediately remove a **profile** that fails an **audit** from the list of approved **profiles** held by the ~~market administrator~~**Authority**.
- ...
- (3) A **profile** may be removed at the request of the **profile owner** who introduced it, or for such other reasons as may be decided by the ~~market administrator~~**Authority**.
- (4) A request for the removal of a **profile** must be notified to the ~~market administrator~~**Authority**, and must be effective from the following settlement period.
- (5) If a **profile** is removed, the ~~market administrator~~**Authority** must decide on the actions to be taken with respect to the **ICP identifiers** to which the removed **profile** applied.

Appendix 1, clause 12 Profile class 2.5, non half hour embedded generation

- (1) There are 2 types of non **half hour embedded generator profile** as set out in subclause (2). Details of the operation and application of those **profiles** must be

determined by the ~~market administrator~~Authority. The **profiles** must be submitted by the ~~market administrator~~Authority to the **reconciliation manager**.

Appendix 2, clause 2 Preliminary sample

- (1) Unless the **profile applicant** has better information available that is acceptable to the ~~market administrator~~Authority, the size of the **preliminary sample** must be determined by the following **preliminary sample size** formula:

...

- (8) The **profile applicant** must collect **half hour** data from the **preliminary sample** over a period of at least 60 calendar days. The data, in its processed form, must be submitted to the ~~market administrator~~Authority for consideration. The data processing must include calculations of **unit costs**, and of mean and standard deviation of **unit costs**, over the sample period.

Schedule 15.5

5 Reviews

- (1) The statistical parameters must be monitored by the ~~market administrator~~Authority and reviewed when the ~~market administrator~~Authority considers it appropriate. Modifications of those parameters are expected as the industry gains experience in the use of statistical **profiles**. Industry **participants** will be consulted as part of the review process.
- (2) Each year the ~~market administrator~~Authority must review data gathered during the year for each **profile sample**, and must re-examine the **co-efficient of variation** and the sample size. A **relative standard error** of 5% and a confidence level of 99% must be applied initially. A figure of 2% for the **relative standard error** is expected to be adopted by the ~~market administrator~~Authority following the first 12-monthly review and may thereafter be reviewed from time to time.
- (3) Reviews of existing standards must take place in the 6th month and the 12th month during the 1st year of **profile** introduction.

CRP 2016-08 Transitional Provisions

Part 8

Subpart 5—Extended Reserve

8.54T Transitional provisions for extended reserve

- (1) If the **system operator** takes any action before clause 8.54D comes into force that, if that clause had been in force at the time of the action, would have contributed to complying with that clause, the action is deemed to have been taken when that clause was in force.
- (2) The **system operator** must comply with clause 8.54D, for the first time after that clause comes into force, so that it gives a draft of the **extended reserve technical requirements schedule** to the **Authority** under clause 2(2) of Schedule 8.5 no later than 40 **business days** after clause 8.54D comes into force.
- (3) The **system operator** must conduct the first review of the **extended reserve technical requirements schedule** under clause 8.54E so that the **system operator** advises the **Authority** of its decision under clause 8.54E(1) no later than 60 months after the first **extended reserve technical requirements schedule** was **published** under clause 8.54D.
- (4) No later than 40 **business days** after the **system operator publishes** the initial **extended reserve technical requirements schedule** under clause 8.54D, the **extended reserve manager** must, under clause 5(2) of Schedule 8.5, give the **Authority** and the **system operator**—
 - (a) a draft of the **extended reserve selection methodology**; and
 - (b) one or more worked examples of an **extended reserve procurement schedule**, created using—
 - (i) the draft **extended reserve selection methodology**; and
 - (ii) data specified by the **system operator**.
- (5) In the case of the first selection process after clause 8.54J comes into force, the **Authority** must make a direction under clause 8.54J(1) no later than 5 **business days** after the initial **extended reserve selection methodology** is **published**.
- (6) The first implementation plan that an **asset owner** gives the **system operator** under clause 8.54M(2) must specify how the **asset owner** will implement the transition from complying with its obligations (if any) under Schedule 8.3, Technical Code B, clause 7 as before that clause came into force, to complying with its **extended reserve procurement notice**.
- (7) The first **statement of extended reserve obligations** that the **system operator** issues to each **asset owner** under clause 8.54P must specify the date on which it comes into force.
- (8) Despite the revocation of Schedule 8.3, **Technical Code A**, Appendix B, clause 6, and the replacement of Schedule 8.3, **Technical Code B**, clause 7 by the Electricity Industry Participation Code Amendment (Extended Reserve) 2014, each North Island **distributor** that was required to comply with those clauses before the commencement of this clause must continue to comply with those clauses as if the Electricity Industry Participation Code Amendment (Extended Reserve) 2014 had not been made until the earlier of—
 - (a) 7 August 2024; or
 - (b) the date on which the first **statement of extended reserve obligations** issued under clause 8.54P comes into force in respect of the **distributor**.
- (9) Despite the revocation of Schedule 8.3, **Technical Code A**, Appendix B, clause 7, and the replacement of Schedule 8.3, **Technical Code B**, clause 7 by the Electricity Industry

Participation Code Amendment (Extended Reserve) 2014, each South Island **grid owner** that was required to comply with those clauses before the commencement of this clause must continue to comply with those clauses as if the Electricity Industry Participation Code Amendment (Extended Reserve) 2014 had not been made until the earlier of—

- (a) 7 August 2024; or
 - (b) the date on which the first **statement of extended reserve obligations** issued under clause 8.54P comes into force in respect of the **grid owner**.
- (10) However, subclause (9) applies as if Schedule 8.3, **Technical Code B**, clause 7(6)(d)(ii) was amended from 7 May 2015 by replacing "45.5 Hertz" with "46.5 Hertz".
- (11) Clause 8.29(2) does not apply in respect of an application for a dispensation from a South Island **grid owner** until 7 August 2024.

8.54U Transitional provisions for change to frequency limit in South Island

- (1) No later than 7 February 2015, each South Island **grid owner** must prepare and give the **system operator** a plan for complying with Schedule 8.3, **Technical Code A**, clause 7(6)(d)(ii), as modified by clause 8.54T(10).
- (2) The **system operator** must approve a plan received under subclause (1) subject to any changes that the **system operator** considers necessary.
- (3) A South Island **grid owner** does not breach Schedule 8.3, **Technical Code B**, clause 7(6)(d)(ii) if the **grid owner** complies with a plan approved by the **system operator** under subclause (2).

Part 17

~~17.48A Transitional provisions for extended reserve~~

- ~~(1) If the **system operator** takes any action before clause 8.54D comes into force that, if that clause had been in force at the time of the action, would have contributed to complying with that clause, the action is deemed to have been taken when that clause was in force.~~
- ~~(2) The **system operator** must comply with clause 8.54D, for the first time after that clause comes into force, so that it gives a draft of the **extended reserve technical requirements schedule** to the **Authority** under clause 2(2) of Schedule 8.5 no later than 40 **business days** after clause 8.54D comes into force.~~
- ~~(3) The **system operator** must conduct the first review of the **extended reserve technical requirements schedule** under clause 8.54E so that the **system operator** advises the **Authority** of its decision under clause 8.54E(1) no later than 60 months after the first **extended reserve technical requirements schedule** was **published** under clause 8.54D.~~
- ~~(4) No later than 40 **business days** after the **system operator** publishes the initial **extended reserve technical requirements schedule** under clause 8.54D, the **extended reserve manager** must, under clause 5(2) of Schedule 8.5, give the **Authority** and the **system operator**—~~
 - ~~(a) a draft of the **extended reserve selection methodology**; and~~
 - ~~(b) one or more worked examples of an **extended reserve procurement schedule**, created using—~~
 - ~~(i) the draft **extended reserve selection methodology**; and~~
 - ~~(ii) data specified by the **system operator**.~~

- (5) ~~In the case of the first selection process after clause 8.54J comes into force, the **Authority** must make a direction under clause 8.54J(1) no later than 5 **business days** after the initial **extended reserve selection methodology** is **published**.~~
- (6) ~~The first implementation plan that an **asset owner** gives the **system operator** under clause 8.54M(2) must specify how the **asset owner** will implement the transition from complying with its obligations (if any) under Schedule 8.3, **Technical Code B**, clause 7 as before that clause came into force, to complying with its **extended reserve procurement notice**.~~
- (7) ~~The first **statement of extended reserve obligations** that the **system operator** issues to each **asset owner** under clause 8.54P must specify the date on which it comes into force.~~
- (8) ~~Despite the revocation of Schedule 8.3, **Technical Code A**, Appendix B, clause 6, and the replacement of Schedule 8.3, **Technical Code B**, clause 7 by the Electricity Industry Participation Code Amendment (Extended Reserve) 2014, each North Island **distributor** that was required to comply with those clauses before the commencement of this clause must continue to comply with those clauses as if the Electricity Industry Participation Code Amendment (Extended Reserve) 2014 had not been made until the earlier of—~~
- ~~(a) 7 August 2024; or~~
- ~~(b) the date on which the first **statement of extended reserve obligations** issued under clause 8.54P comes into force in respect of the **distributor**.~~
- (9) ~~Despite the revocation of Schedule 8.3, **Technical Code A**, Appendix B, clause 7, and the replacement of Schedule 8.3, **Technical Code B**, clause 7 by the Electricity Industry Participation Code Amendment (Extended Reserve) 2014, each South Island **grid owner** that was required to comply with those clauses before the commencement of this clause must continue to comply with those clauses as if the Electricity Industry Participation Code Amendment (Extended Reserve) 2014 had not been made until the earlier of—~~
- ~~(a) 7 August 2024; or~~
- ~~(b) the date on which the first **statement of extended reserve obligations** issued under clause 8.54P comes into force in respect of the **grid owner**.~~
- (10) ~~However, subclause (9) applies as if Schedule 8.3, **Technical Code B**, clause 7(6)(d)(ii) was amended from 7 May 2015 by replacing "45.5 Hertz" with "46.5 Hertz".~~
- (11) ~~Clause 8.29(2) does not apply in respect of an application for a dispensation from a South Island **grid owner** until 7 August 2024.~~

17.48B Transitional provisions for change to frequency limit in South Island

- (1) ~~No later than 7 February 2015, each South Island **grid owner** must prepare and give the **system operator** a plan for complying with Schedule 8.3, **Technical Code A**, clause 7(6)(d)(ii), as modified by clause 17.48A(10).~~
- (2) ~~The **system operator** must approve a plan received under subclause (1) subject to any changes that the **system operator** considers necessary.~~
- (3) ~~A South Island **grid owner** does not breach Schedule 8.3, **Technical Code B**, clause 7(6)(d)(ii) if the **grid owner** complies with a plan approved by the **system operator** under subclause (2).~~

...

17.210A Acceptable forms of security

- (1) ~~An unconditional guarantee, letter of credit, or unconditional third party guarantee provided under clause 14.5(b) or 14.5(c) and still in effect immediately before the~~

~~Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is deemed to be an unconditional guarantee or letter of credit provided under clause 3 of Schedule 14A.1.~~

- ~~(2) A security bond provided and maintained under clause 14.5(d) immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is deemed to be a security bond provided under clause 4 of Schedule 14A.1.~~
- ~~(3) If the **Authority** has approved a similar security under clause 14.5(f) and the approval was still in effect immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force, the security is deemed to be approved by the **Authority** under clause 5 of Schedule 14A.1.~~
- ~~(4) A **hedge settlement agreement** lodged under clause 14.5(e) and still in effect immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force ceases to be lodged.~~

17.210B Cash deposits

- ~~(1) A **cash deposit account** established under clause 14.7(1) immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is deemed to be a **cash deposit account** established under clause 14A.11(1).~~
- ~~(2) The **clearing manager** must, as soon as practicable after the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 comes into force, obtain the acknowledgement referred to in clause 14A.11(3).~~
- ~~(3) Bank fees that were owed in relation to a **cash deposit** under clause 14.11 immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force are deemed to be bank fees owed under clause 14A.15.~~
- ~~(4) Interest accrued under clause 14.10 immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is payable under that clause as if the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 had not been made.~~

17.210C Change in form of security

~~A notice given under clause 14.13 that was in force immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is deemed to be a notice given under clause 14A.7.~~

17.210D Reductions and releases

~~A notice given under clause 14.14 that was in force immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is deemed to be a notice given under clause 14A.8.~~

17.210E Release of security

~~A notice given under clause 14.16 that was in force immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is deemed to be a notice given under clause 14A.9.~~

17.210F Level of security

~~A call made under clause 14.18 and not satisfied immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force must be satisfied under that clause as if the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 had not been made.~~

17.210G Information, monitoring, and reporting

- ~~(1) Historical records or a business plan submitted under clause 14.23 immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force are deemed to be historical records or a business plan, as the case may be, submitted under clause 14A.16.~~
- ~~(2) Information provided under clause 14.24 or 14.26 before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is deemed to be information provided under clause 14A.17.~~
- ~~(3) Information provided under clause 14.25 before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is deemed to be information provided under clause 14A.18.~~
- ~~(4) If a person had consented to the disclosure of information under clause 14.27 before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force, the person is deemed to have consented to the disclosure of the information under clause 14A.19(a).~~

17.210H Disputes

~~A matter that was referred to the **Rulings Panel** under clause 14.29(1) that was not resolved immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 is to be dealt with as if the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 had not been made.~~

17.210I Invoices and payments

- ~~(1) An invoice issued under clause 14.36 or a pro forma invoice issued under clause 14.44 that remained unpaid immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force remains in effect as if the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 had not been made.~~
- ~~(2) Interest that was owed under clause 14.50 immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is deemed to be interest owed under clause 14.64 and continues to accrue accordingly.~~

17.210J Operating account

- ~~(1) An **operating account** established under clause 14.43(1) immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is deemed to be an **operating account** established under clause 14.66(1).~~

- (2) ~~The **clearing manager** must, as soon as practicable after the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 comes into force, obtain the acknowledgement referred to in clause 14.43(2).~~

17.210K FTR account

~~The **clearing manager** must, as soon as practicable after the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 comes into force, close the **FTR account** established under clause 14.43A and deposit the proceeds into the **operating account**.~~

17.210L Defaults

- (1) ~~An **event of default** under clause 14.55 that had occurred and was continuing immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is deemed to be an **event of default** under clause 14.41.~~
- (2) ~~Despite subclause (1), further funds constituting late payments received by the **clearing manager** in respect of any **billing period** that occurred before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force must be dealt with as if the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 had not been made.~~
- (3) ~~Despite clause 14A.22(5), if an **event of default** was continuing in relation to a **participant** immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force, the **participant's** post default exit period begins—~~
- ~~(a) for an **event of default** relating to a **retailer's use of system agreement** with a **distributor** under clause 14.55(h), on the date on which the **Authority** gave notice to the **participant** under clause 2(1) of Schedule 11.5; or~~
- ~~(b) for any other **event of default**, on the date on which the **clearing manager** notified the **participant** that it had committed an **event of default** under clause 14.57.~~

17.210M Disputed invoices

- (1) ~~A dispute notified under clause 14.64 that was not resolved immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is to be dealt with as if the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 had not been made.~~
- (2) ~~A dispute that was referred to the Rulings Panel under clause 14.64(1) that was not resolved immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is to be dealt with as if the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 had not been made.~~

17.210N Washups

- (1) ~~Corrected information received under clause 14.65 before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is deemed to be corrected information received under clause 14.36.~~
- (2) ~~An invoice issued under clause 14.72 that remained unpaid immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment~~

~~2013 came into force remains in effect as if the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 had not been made.~~

17.2100 Reporting obligations

- ~~(1) A report made under clause 14.74 before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is deemed to be a report made under clause 14.68 and may be **published** accordingly.~~
- ~~(2) A request made under clause 14.76 immediately before the Electricity Industry Participation (Settlement and Prudential Security) Code Amendment 2013 came into force is deemed to be a request made under clause 14.70.~~

CRP 2016-09 Changing the way Transpower makes grid information available

Part 12

~~12.106 Interconnection asset capacity and grid configuration~~

- (1) ~~The interconnection asset capacity and grid configuration set out in schedule F6 of section VI of part F of the rules immediately before this Code came into force, continues in force and is deemed to be the interconnection asset capacity and grid configuration that applies at the commencement of this Code.~~
- (2) ~~Clause 12.110 applies to the interconnection asset capacity and grid configuration.~~

12.107 Transpower to publish interconnection asset capacity and grid configuration ~~identify interconnection branches, and propose service measures and levels~~

- (1) **Transpower** must publish ~~provide the Authority with~~ the information set out in subclause (4) and a diagram showing the configuration of the **grid**, other than **connection assets**.
- (1A) **Transpower** must **publish** a monthly update of the information and diagram described in subclause (1), showing any changes since the end of the previous month.
- (2) The **interconnection asset capacity and grid configuration** referred to in subclause (1) must be provided in the a form required by the Authority that Transpower considers suitable, taking into account the requirements of its customers and other relevant stakeholders.
- (3) ~~The interconnection asset capacity and grid configuration referred to in subclause (1) must be provided within 3 months of the date on which the Authority, in accordance with subclause (2), sets the form in which the interconnection asset capacity and grid configuration must be provided.~~
- (4) The information required under subclause (1) is—
- (a) for each **interconnection circuit branch**, the following service measures and service levels:
 - (i) the overall continuous capacity rating of the interconnection circuit branch, for both summer and winter periods in MVA and amperes:
 - (ii) the level of impedance of the interconnection circuit branch both resistive and reactive and for assets arranged in both shunt and series in PU, using a base of 100 MVA, provided the impedance of the interconnection circuit branch is equal to or more than 0.0001 PU, using 100 MVA as the base:
 - (iii) the nominal high voltage rating of each interconnection circuit branch in kV:
 - (iv) the high voltage range that each interconnection circuit branch can be operated over in kV, specified as a maximum and a minimum; and
 - (b) for each **interconnection transformer branch**, the following information:
 - (i) the overall 24 hour post contingency capacity rating of the interconnection transformer branch, for both the summer and winter period, in amperes and MVA as follows:
 - (A) for 2 Winding **interconnection transformer branches**, the overall 24 hour post contingency capacity rating in the units described above:

- (B) for 3 Winding **interconnection transformer branches**, the overall 24 hour post contingency capacity rating ~~in the units described above~~, at HV, MV, and LV:
- (ii) the continuous capacity rating of the **interconnection transformer branch** in amperes and MVA as follows:
 - (A) for 2 Winding **interconnection transformer branches**, the continuous capacity rating ~~in the units described above~~:
 - (B) for 3 Winding **interconnection transformer branches**, continuous capacity rating ~~in the units described above~~, at HV, MV, and LV:
- (iii) the level of impedance of the **interconnection transformer branch**, both **resistive** and **reactive** and for **assets** arranged in both **shunt** and in **series** in PU, using a base of 100 MVA, as follows:
 - (A) for 2 Winding **interconnection transformer branches**, the level of impedance of the **interconnection transformer branch** ~~in the units described above~~:
 - (B) for 3 Winding **interconnection transformer branches**, the level of impedance of the **interconnection transformer branch** ~~in the units described above~~, at HV, MV, and LV:
- (iv) the nominal high voltage rating of the interconnection **transformer branch** in kV:
- (v) the high voltage range that the interconnection **transformer branch** can be operated over in kV, specified as a maximum, and a minimum:
- (vi) in respect of the tapping steps and ranges of the **interconnection transformer branch**:
 - (A) the tap voltage range in volts, specified as a maximum and a minimum:
 - (B) the **number** of tapping steps:
 - (C) the size of each tapping step as a percentage of the operational voltage range:
 - (D) whether the tapping step is on-load or off-load:
 - (E) whether on-load tapping capacity is automatic or manual;
 - (F) if on-load tapping capacity is automatic, whether it is auto-selected:
 - (G) if on-load tapping capacity is manual, the tap step it is normally set to, which for the purposes of this ~~rule clause~~ is the actual or expected position at winter peak demand; and
- (c) the **transfer** capacity in the North and South transfer for each **configuration** of the **HVDC link** expressed as follows:
 - (i) DC sent in **MW**:
 - (ii) AC received in **MW**; and
- (d) for each **shunt asset**, the following service measures and levels:
 - (i) the overall capacity rating, in MVar, in terms of both absorption or provision:
 - (ii) the nominal voltage rating of the **shunt asset** in kV:
 - (iii) the maximum and minimum voltage range in kV that the **shunt asset** can operate over; and
- (e) in addition to the information required under paragraph (d) in relation to **shunt assets**:
 - (i) whether each **shunt asset** is dynamic or static:

- (ii) if the **shunt asset** is dynamic, whether it is an SVC or synchronous compensator;
 - (iii) any **shunt assets** that may directly affect the capacity of the **HVDC link** as set out in paragraph (c) and the likely magnitude of such effect; and
 - (f) the dates for the summer and winter periods or other such defined periods as may apply for the purposes of paragraphs (a) and (b).
- (5) The information provided under subclause (4) must,—
- (a) in the case of information provided under subclause (4)(a), (c) and (d), ~~must~~ be consistent with the information disclosed by **Transpower** in the most recent **asset capability statement** provided by **Transpower** under clause 2(5) of **Technical Code A** of Schedule 8.3; and
 - (b) in the case of information provided under subclause (4)(b), ~~must~~ be consistent with the **manufacturer's specification** for the component **assets** and the information disclosed by **Transpower** in the most recent **asset capability statement** provided under clause 2(5) of **Technical Code A** of Schedule 8.3, if this differs from the **manufacturer's specifications**;
 - (c) in the case of information provided under subclause (4)(a), ~~must~~ be consistent with the thermal design rating of each **interconnection branch**; and
 - (d) cover every **interconnection asset**, either as part of an **interconnection circuit branch**, **interconnection transformer branch**, the **HVDC link** or as a **shunt asset**.
- ~~(6) After reviewing the interconnection asset capacity and grid configuration provided under subclause (1), the **Authority** may request **Transpower** to reconsider whether any of the interconnection asset capacity and grid configuration, is accurate, and require **Transpower** to resubmit the interconnection asset capacity and grid configuration to the **Authority** for reconsideration.~~
- (8) If **Transpower** believes that it has, or may have, breached subclause (1) or (1A), **Transpower** must report the breach or possible breach to the **Authority** as soon as possible after **Transpower** becomes aware of the breach or possible breach.

~~12.108 Consultation on proposed interconnection asset capacity and grid configuration~~

- ~~(1) If the **Authority** is provisionally satisfied that the **interconnection asset capacity and grid configuration** provided under clause 12.107(1) or resubmitted under clause 12.107(6) are correct, the **Authority** must **publish** the proposed **interconnection asset capacity and grid configuration** as soon as practicable for consultation with any person that the **Authority** thinks is likely to be materially affected by the incorporation of the proposed **interconnection asset capacity and grid configuration** by reference in this Code.~~
- ~~(2) As well as the consultation required under subclause (1), the **Authority** may undertake any other consultation it considers necessary.~~

~~12.109 Decision on interconnection asset capacity and grid configuration~~

- ~~(1) When the **Authority** has completed its consultation **interconnection asset capacity and grid configuration**, it must consider whether to incorporate the proposed interconnection asset capacity and grid configuration by reference in this Code.~~

- (2) ~~If the **Authority** decides to incorporate the **interconnection asset capacity and grid configuration** by reference in this Code, the **Authority** must determine a date on which the incorporation by reference takes effect and comply with Schedule 1 of the **Act** in relation to it.~~

~~12.110 Incorporation of interconnection asset capacity and grid configuration by reference~~

- (1) ~~The interconnection asset capacity and grid configuration for the time being in effect is incorporated by reference in this Code in accordance with section 32 of the **Act**.~~
- (2) ~~Subclause (1) is subject to Schedule 1 of the **Act**, which includes a requirement that the **Authority** must give notice in the *Gazette* before an amended or substituted interconnection asset capacity and grid configuration becomes incorporated by reference in this Code.~~

12.111 Transpower to make interconnection branches and other assets available and keep grid configuration

- (1) **Transpower** must make each **interconnection circuit branch**, **interconnection transformer branch**, the **HVDC link**, and each **shunt asset** identified in the interconnection asset capacity and grid configuration available for use by the **system operator** for the conveyance of **electricity**—
- (a) at least at the service levels specified in the interconnection asset capacity and grid configuration in accordance with clause 12.107(4); and
 - (b) in accordance with **good electricity industry practice** and relevant health and safety standards.
- (2) **Transpower** must keep the **grid** in the configuration set out in the interconnection asset capacity and grid configuration.
- (3) **Transpower** is not required to comply with subclauses (1)(a) or (2) if clause 12.112(1) applies.
- (4) If **Transpower** believes that it has, or may have, breached subclause (1)(a) or (2), and clause 12.112(1) does not apply, or has, or may have, breached clauses 12.107(1) or 12.107(1A), **Transpower** must report the breach or possible breach to the **Authority** as soon as possible after **Transpower** becomes aware of the breach or possible breach.

12.112 Exceptions to clause 12.111

- (1) **Transpower** is not required to comply with clause 12.111(1)(a) or (2) if—
- (a) permitted under the **Outage Protocol** made under subpart 7; or
 - (b) an **interconnection asset** that forms part of an interconnection **branch** or the **HVDC link**, or a **shunt asset**—
 - (i) is permanently removed from service, the **grid** is permanently reconfigured, or the transmission capacity of such an **asset** is reduced, and the decision to remove the **asset** from service or reconfigure the **grid** or reduce the transmission capacity of the **asset** takes into account the effect of the removal of the **asset**, reconfiguration of the **grid**, or the reduction in transmission capacity of the **asset**, on other materially affected parties, and is undertaken—
 - (A) in order to maintain the health and safety of any person; or
 - (B) in order to maintain the safety and integrity of equipment; or
 - (C) in accordance with demonstrably prudent economic criteria; or

- (iaa) has been temporarily removed from service, or the **grid** has been temporarily reconfigured, in accordance with clause 12.116AA; or
 - (ia) *[Expired]*
 - (ii) has been permanently removed from service, or the **grid** has been permanently reconfigured, in accordance with clause 12.117; or
 - (c) a modification to an **interconnection branch**, the **HVDC link**, a **shunt asset** or to the configuration of the **grid**, has been made as a result of an investment in the **grid**; or
 - (d) a modification to an **interconnection branch**, the **HVDC link**, a **shunt asset** or to the configuration of the **grid** has been made as a result of an investment made under an **investment contract** entered into in accordance with clauses 12.70 and 12.71; or
 - (e) the voltage range specified in the **AOPOs** for an **interconnection asset** that forms part of an **interconnection branch** is modified, or any **equivalence arrangement** is approved or **dispensation** is granted under clauses 8.29 to 8.31 in respect of the **asset**; or
 - (ea) in relation to the **HVDC link**—
 - (i) the **HVDC owner** is operating the **HVDC link** in accordance with—
 - (A) a commissioning plan agreed with the **system operator** under clause 2(6) to (9) of **Technical Code A** of Schedule 8.3; or
 - (B) a test plan provided to the **system operator** under clause 2(6) to (9) of **Technical Code A** of Schedule 8.3; and
 - (ii) the **configuration** of the **HVDC link** is—
 - (A) Pole 3 and Pole 2 bipole **round power**; or
 - (B) Pole 3 and Pole 2 bipole not **round power**; or
 - (f) **Transpower** and a **designated transmission customer** have agreed otherwise in accordance with clause 12.128.
- (2) If subclauses (1)(c) to (e) apply, or the **grid** is reconfigured under subclause (1)(b)(i) or (ii), **Transpower** must—
- (a) make the **interconnection branch**, the **HVDC link** or the **shunt asset** available to the **system operator** at least at its modified capacity rating, and at its modified service levels; and
 - (b) keep the **grid** in its modified configuration.

...

- (4) If **Transpower** believes that it has, or may have, breached subclause (2), **Transpower** must report the breach or possible breach to the **Authority** as soon as possible after **Transpower** becomes aware of the breach or possible breach.

12.116 Information on capacities of individual interconnection assets

- (1) **Transpower** must **publish** the following information in respect of each **interconnection asset**:
- (a) for each transformer that is an **interconnection asset**, the overall 24 hour post contingency capacity rating of the **asset** in amperes and MVA, for both the summer and winter periods;
 - (b) for all other **interconnection assets**, the overall capacity rating of the **asset** in amperes and MVA and, if the **interconnection assets** are circuits, for both the summer and winter periods.

- (2) The information required under subclause (1)—
- (a) must be consistent with the **manufacturer's specification** for the **asset** or with the most recent **asset capability statement** provided by **Transpower** under clause 2(5) of **Technical Code A** of Schedule 8.3, if this differs from the **manufacturer's specification**; and
 - (b) must be provided in a form that allows the **branch** to which each **asset** belongs to be easily identified; ~~and~~
 - ~~(c) must be published in the form determined by the Authority as soon as reasonably practicable after the Authority has determined the form.~~

12.116AA Temporary removal of interconnection assets from service or temporary grid reconfiguration

- (1) **Transpower** must temporarily remove 1 or more **interconnection assets** from service, or temporarily reconfigure the **grid** ~~for the purposes of~~ as permitted under clause 12.112(1)(b)(iaa), if—
 - (a) the removal or reconfiguration is requested by the **system operator** in accordance with clause 9.13B; and
 - (b) the removal or reconfiguration will result in a net benefit, as calculated under the test set out in clause 12.117.
- (2) If **Transpower** temporarily removes **interconnection assets** from service or temporarily reconfigures the **grid** in response to a notice given under clause 9.13B, **Transpower** must, as soon as is reasonably practicable after the circumstances specified in that notice cease to exist—
 - (a) restore the **interconnection assets** to service; or
 - (b) restore the **grid** to its original configuration.

12.117 Permanent removal of interconnection assets from service

- (1) **Transpower** may permanently remove **interconnection assets** from service or permanently reconfigure the **grid** ~~for the purposes of~~ as permitted under clause 12.112(1)(b) only if removal of the **asset** or the reconfiguration of the grid results in a net benefit, as calculated under the test set out in subclause (2).

12.118 Transpower to ~~provide and~~ publish annual report on interconnection asset capacity and grid configuration

- (1) **Transpower** must ~~provide the Authority with and~~ **publish** an annual report including—
 - (a) any matter required to be reported on for the purposes of this clause by the **Outage Protocol**; and
 - ~~(b) the extent to which, in the preceding year, it has complied with the requirements of clause 12.111(1)(a) and (2); and~~
 - ~~(c) any specific instances in which Transpower has not complied with clause 12.111(1)(a) and (2); and~~
 - ~~(d) to the extent practicable, the circumstances that have given rise to any failure to comply with clause 12.111(1)(a) and (2); and~~
 - ~~(e) to the extent practicable, any steps that it intends to take or other options to reduce the likelihood of failing to comply with clause 12.111(1)(a) and (2) in the future; and~~
 - (f) any modifications made to **interconnection circuit branches**, the **HVDC link**, and

- each **shunt asset** under clause 12.112(c) to (e) in the **preceding year** ~~and the extent to which it has complied with clause 12.112(2) in respect of those modifications, including any specific instances in which **Transpower** has not complied;~~ and
- (g) any **interconnection assets** that have been removed from service, or any reconfigurations to the **grid** made, in accordance with clause 12.116AA or clause 12.117; ~~and~~
- (h) ~~copies of any agreements made under clause 12.128 or, in respect of **interconnection assets** only, clause 12.151 in the **preceding year**;~~ and
- (i) ~~an update of the interconnection asset capacity and grid configuration required under clause 12.107(1), as at the end of the **preceding year**.~~
- (2) The report referred to in subclause (1) must be provided and published by **Transpower** by 30 November each year.
- ~~(3) The **Authority** may incorporate by reference in this Code the updated interconnection asset capacity and grid configuration referred to in subclause (1)(i) in accordance with clause 12.110. The **Authority** may consult with any person the **Authority** considers is likely to be materially affected by the proposed amendments to the interconnection asset capacity and grid configuration, as it sees fit. **Transpower** must comply with the interconnection asset capacity and grid configuration incorporated by reference in this Code in accordance with clause 12.110.~~

12.128 Transpower and designated transmission customers may agree on other requirements

- (1) **Transpower** and each **designated transmission customer** must comply with this Part, unless agreed otherwise by **Transpower** and the **designated transmission customer** in respect of specified **interconnection circuit branches**, the **HVDC link**, **shunt assets** or **interconnection assets**, or the **designated transmission customer** in accordance with subclause (2).
- (2) An agreement between **Transpower** and a **designated transmission customer** under this clause ~~may~~must not exclude the application of clause (3)(b) or clause 12.151(3) 12.118(1)(h) and must be conditional in all respects on—
- (a) obtaining agreement from all other potentially affected **designated transmission customers** that this Part does not apply to the specified **interconnection circuit branches**, the **HVDC link**, **shunt assets** or **interconnection assets**, or the **designated transmission customer**; and
- (b) **Transpower** and the **designated transmission customer** certifying to the **Authority** that they have consulted with all potentially affected end use customers on this Part not applying to the specified **interconnection branches**, **circuit branches**, the **HVDC link**, **shunt assets** or **interconnection assets** or the **designated transmission customer**, and that there are no material unresolved issues affecting the interests of those end use customers.
- (3) **Transpower** must—
- (a) notify the **Authority** as soon as practicable in the event that if **Transpower** enters into an agreement with a **designated transmission customer** under this clause; and
- (b) publish the agreement on its website no later than 20 business days after entering into the agreement.

...

12.151 Compliance with Outage Protocol

- (1) **Transpower** and each **designated transmission customer** must comply with the **Outage Protocol**, unless agreed otherwise by **Transpower** and a **designated transmission customer** in respect of specified **assets** or the **designated transmission customer** in accordance with subclause (2).
- (2) An agreement between **Transpower** and a **designated transmission customer** to which the **Outage Protocol** does not apply in respect of specified **assets** ~~may~~must not exclude the application of subclause 3(b) 12.118(1)(h) and must be conditional in all respects on—
 - (a) obtaining agreement from all other potentially affected **designated transmission customers** that the **Outage Protocol** does not apply in respect of the specified **assets** or the **designated transmission customer**; and
 - (b) **Transpower** and the **designated transmission customer** satisfying the **Authority** that they have consulted with all potentially affected end use customers on the **Outage Protocol** not applying in respect of the specified **assets** or the **designated transmission customer** and that there are no material unresolved issues affecting the interests of those end use customers.
- (3) **Transpower** must—
 - (a) notify the **Authority** as soon as practicable if **Transpower** enters into an agreement with a **designated transmission customer** in respect of specified **assets** in accordance with subclause (1); and
 - (b) **publish** the agreement on its website no later than 20 **business days** after entering into the agreement.

CRP 2016-10 Simplifying Code terms about time

Part 1

1.1 Interpretation

- (1) In this Code, unless the context otherwise requires,—

...

financial year means the 12 month period beginning on the date determined by the **Authority**

...

preceding year, for the purposes of Part 12, means the period from 1 July in a year to 30 June in the following year, preceding the date by which **Transpower** is required to **publish** information under either clauses 12.118 or 12.127, as the case may be

...

preceding year day means the day preceding the relevant **trading day** by 364 days, but—

- (a) if the relevant **trading day** is a **national holiday**, the **preceding year day** will be deemed to be the Sunday before the 364th day;
- (b) if the relevant **trading day** is a **business day**, but the 364th day before it is a **national holiday**, the **preceding year day** is deemed to be the next **business day** after the **national holiday**

...

qualifying date means the day after the last day of a public conservation period

...

working day means any day of the week other than—

- (a) Saturdays, Sundays, and **national holidays**; and
- (b) a day in the period commencing on 25 December in any year and ending on 15 January in the following year

...

year means a year commencing on the 1st day of April of each calendar year and expiring on the 31st day of March of the following calendar year

Part 2

2.8 Transfer of requests

...

- (2) The **participant** to which the notice was sent must promptly, and in any case not later than 10 **working business days** after the day on which the notice is received, transfer the notice to the other **participant**, and inform the **Authority** accordingly.

Part 3

3.12 Performance standards to be agreed

The **Authority** and the relevant **market operation service provider** must, at the beginning of each **financial year** year ending 30 June, seek to agree on a set of performance standards

against which the **market operation service provider's** actual performance must be reported and measured at the end of the ~~financial year~~ year ending 30 June.

3.14 Market operation service providers must report to Authority

- (1) Each **market operation service provider** must, within 10 ~~working-business days~~ after the end of each ~~calendar-month~~ (except within 20 business days of the end of the month of December), provide a written report to the **Authority** on the results of the review carried out under clause 3.13.

3.15 Review of market operation service providers

- (1) At the end of each ~~financial year~~ year ending 30 June, the **Authority** may review the manner in which each **market operation service provider** has performed its duties and obligations under this Code (except Parts 6 and 9) and Part 2 and Subpart 1 of Part 4 of the Act.

Part 7

7.2E System operator to report on frequency fluctuations

- (1) By the 10th ~~working-business day~~ of each month (except by the 20th business day in the month of January), the **system operator** must report to the **Authority** the number of **frequency fluctuations** in each of the following frequency bands, in each **island** in the previous month:

Frequency band (Hertz) (where "x" is the maximum or minimum frequency during a frequency fluctuation)			
52.00	>	x	≥ 51.25
51.25	>	x	≥ 50.50
49.50	>	x	≥ 48.75
48.75	>	x	≥ 48.00
48.00	>	x	≥ 47.00

- (2) By the 10th ~~working-business day~~ of each month (except by the 20th business day in the month of January), the **system operator** must report to the **Authority** the number of **frequency fluctuations** in each of the following frequency bands, in the South Island in the previous month:

Frequency band (Hertz) (where "x" is the maximum or minimum frequency during a frequency fluctuation)			
55.00	>	x	≥ 53.75

53.75	>	x	≥	52.00
47.00	>	x	≥	45.00

7.8 Review of system operator

- (1) The **Authority** must review the performance of the **system operator** at least once in each **financial year** ~~year~~ ending 30 June, after the **system operator** submits its self-review under clause 7.11.

7.12 Authority must publicise system operator reports

...

- (2) The **Authority** must **publicise** each report within 5 ~~working~~ business **days** after receiving the report.

Part 9

9.5 Amendments and substitutions of system operator rolling outage plans

...

- (3) The **system operator** must not submit an amended or new **system operator rolling outage plan** to the **Authority** under clause 9.2(2) unless the **system operator** has—
- consulted with persons that the **system operator** thinks are representative of the interests of persons likely to be substantially affected by the amended or new plan; and
 - considered submissions made on the amended or new plan.
- (4) Subclause (3) does not apply if the **system operator** considers that it is necessary or desirable in the public interest that the proposed **system operator rolling outage plan** be **published** urgently, and, in this case, the **system operator rolling outage plan**, and the notice in the *Gazette* that is part of the **publishing** of the plan, must state that the plan is **published** in reliance on this subclause and then, within 6 months of the plan being **published**, the **system operator** must—
- comply with subclause (3); and
 - decide whether or not the plan should be amended or revoked and a new plan substituted; and
 - no later than 10 ~~working~~ business **days** after making that decision, **publish** the decision; and
 - if the **system operator** decides that the plan should be amended or revoked and a new plan substituted, comply with this clause in relation to the proposed amendment or revocation and substitution.

9.10 Revision of participant rolling outage plans

If the **system operator** declines to approve a **participant rolling outage plan**,—

- the **system operator** must—
 - indicate the grounds on which it declines to approve the plan; and
 - direct the **specified participant** to submit a revised plan; and

- (b) the **specified participant** must submit a revised plan to the **system operator** no later than—
 - (i) 15 **working-business days** after the date on which the **specified participant** received the direction from the **system operator** to submit a revised plan; or
 - (ii) any later date that the **system operator** may allow in any particular case.

9.13 Specified participants must keep participant rolling outage plans up to date

- (1) Each **specified participant** who has had a **participant rolling outage plan** approved under clauses 9.6 to 9.12 must—
 - (a) keep the plan under review, and (if necessary) amend the plan to take account of any change of circumstances and to ensure that the plan continues to comply with clause 9.8; and
 - (b) as soon as practicable after amending the plan, but in any case no later than 20 **working-business days** after amending it, submit the plan to the **system operator**.

...

- (3) A plan submitted to the **system operator** under subclause (1)(b) is deemed to be approved by the **system operator** unless, no later than 20 **working-business days** after the **system operator** receives the plan, the **system operator** advises the **specified participant** who submitted the plan, by notice in writing, that it declines to approve the plan.

9.21 Qualifying customers

- (1) A **retailer's qualifying customer** is a person who, as at the end of the last day of a public conservation period~~qualifying date~~, —
 - (a) is a **customer** of the **retailer**; and
 - (b) has a contract with the **retailer** for the supply of **electricity** in respect of an **ICP** at which—
 - (i) there is a **category 1 metering installation** or a **category 2 metering installation**; and
 - (ii) there was consumption, in the ~~previous year~~ 12 months immediately preceding the public conservation period, of 3000 kWh or more.

...

- (3) For the purposes of subclause (1)(b)(ii), if a **qualifying customer's** ~~previous year's~~ consumption at the **ICP** in the 12 months immediately preceding the public conservation period is not available to the **retailer**, the **retailer** must make a reasonable estimate of the consumption.
 - (4) To avoid doubt,—
 - (a) there is no **qualifying customer** at an **ICP** if, at the end of the last day of a public conservation period~~qualifying date~~,—
 - (i) the premises to which the **ICP** is connected are vacant; or
 - (ii) the **ICP** is disconnected;
 - (b) a **retailer's qualifying customers** includes a **customer** who switched—
 - (i) to the **retailer** from another **retailer** on or before the last day of a public conservation period~~qualifying date~~, including during ~~at that~~ **public conservation period**; or

- (ii) from the **retailer** to another **retailer** between the last day of a public conservation period~~qualifying date~~ and the date on which the **retailer** pays compensation under the **customer compensation scheme**.

9.24 Requirements of default customer compensation schemes

- (1) A **retailer's default customer compensation scheme** must provide for the **retailer**—
 - ...
 - (c) to pay at least the minimum weekly amount—
 - (i) to each of its **qualifying customers** in the South Island or New Zealand (as the case may be), for each of the **qualifying customer's ICPs** described in clause 9.21(1)(b):
 - (ii) no later than the end of 2 **billing periods** after the last day of a public conservation period~~qualifying date~~.

9.25 Authority must determine minimum weekly amount

- (1) In determining the minimum weekly amount that each **retailer** must pay to its **qualifying customers**, the **Authority** must take into account—
 - (a) the estimated value, in dollars/MWh, of the savings that the **Authority** expects all **qualifying customers** in the South Island or New Zealand, as the case may be, of all **retailers**, will achieve during an **official conservation campaign**; and
 - (b) any other factors that the **Authority** considers relevant.
- (2) The **Authority** must—
 - (a) **publicise** the minimum weekly amount; and
 - (b) review the minimum weekly amount—
 - (i) after each **public conservation period** ends; and
 - (ii) at least once every 3 ~~calendar~~ years; and
 - (c) following a review under paragraph (b), ensure that it gives **participants** at least 3 months' notice if it determines a new minimum weekly amount.

Part 10

Schedule 10.2

1 Auditors

- ...
- (5) The **Authority** has not more than 2 ~~calendar~~ months from the date on which it receives a completed application, to assess and, if in the **Authority's** view it is appropriate, to approve the application.

Schedule 10.3

1 Applications for approval and renewal of approval

- ...
- (4) If an application is approved, the **Authority** must issue a certificate of approval specifying the—
 - (a) period of the term of approval, which must not exceed 12 ~~calendar~~ months from the date of approval; and

Schedule 10.5

1 Metering equipment provider must ensure audits are carried out

- (1) A **metering equipment provider** must—
 - (a) ensure that an initial **audit** by an **auditor** under subclause (2) is completed—
 - (i) in the case of a **participant** who becomes a **metering equipment provider** on or after 29 August 2013, within 3 ~~calendar~~-months after the date on which the **metering equipment provider** first becomes a **metering equipment provider**; or...

Schedule 10.7

14 Insufficient load for metering installation certification tests

...

- (3) A **metering equipment provider** must, for each **metering installation** for which it is responsible, and that is **certified** under this clause, obtain and monitor **raw meter data** from the **metering installation** at least once each ~~calendar~~-month during the period of **certification** to determine if load during the month is sufficient for a prevailing load test to be completed.

11.10 Distributors' processes to be audited

- (1) Each **distributor** must arrange for the conduct of **audits** by an **auditor**, and provide final **audit** reports to the **Authority** as follows:
 - (a) an initial **audit** completed within 3 ~~calendar~~-months after the date on which the **distributor** has the first **NSP identifier** or **ICP identifier** recorded on the **registry** as being part of the **distributor's network**:

11.25 Reports to the clearing manager, system operator or reconciliation manager

...

- (4) If the request is received by the time specified in this clause, the **registry** must provide the report by 1000 hours on the 1st **business day** of the ~~calendar~~-month following the ~~calendar~~ month in which the request was made, or if the request for the report specifies a later date, by the later date.

...

- (6) The **registry** must comply with a request made in accordance with subclause (5) by 1000 hours on the 1st **business day** of the ~~calendar~~-month following the ~~calendar~~-month in which the request was made.

11.26 Reports to the reconciliation manager

By 1600 hours on the 4th **business day** of each ~~calendar~~-month, in respect of the immediately preceding **consumption period**, and by 1600 hours on the 13th **business day** of each ~~calendar~~-month in respect of the immediately preceding 14 **consumption periods**, the **registry** must deliver the following reports to the **reconciliation manager**:

11.27 Reports to the market administrator

By 1600 hours on the 1st **business day** of each ~~calendar~~-month, the **registry** must deliver to the **market administrator** a report summarising the number of events that have not been notified to the **registry**, of which it is aware, within the timeframes specified in this Part.

11.32C Retailers must notify consumers of availability of information

Each **retailer** must notify each **consumer** with whom it has a contract to supply **electricity** of the **consumer's** ability to make a request to the **retailer** under clause 11.32B, so that the **consumer** is notified at least once in each ~~calendar~~ year.

Schedule 11.1

...

15 "New" or "Ready" status for 24 ~~calendar~~-months or more

- (1) Subclause (2) applies if—
- (a) an **ICP** has had the status of "New" for 24 ~~calendar~~-months or more; or
 - (b) an **ICP** has had the status of "Ready" for 24 ~~calendar~~-months or more.

...

26 Information to be provided if NSPs are created or ICPs are transferred from 1 distributor's network to another distributor's network

...

- (2) The participant must make the request—
- (b) in every other case, at least 1 ~~calendar~~ month before the **NSP** is electrically **connected** or the **ICP** is transferred.

...

- (2) The **distributor** must give the notification at least 1 ~~calendar~~-month before the creation or transfer.

...

27 Information to be provided if ICPs become NSPs

...

- (2) The **distributor** must give the notification at least 1 ~~calendar~~-month before the transfer.

...

29 Obligations concerning change in network owner

...

- (2) The **network** owner must give the notification at least 1 ~~calendar~~-month before the acquisition.

Schedule 11.3

...

4 Event dates

...

- (2) When establishing an **event date** under this clause, the losing **trader** must disregard every **event date** established by the losing **trader** for a **customer** who, at the time that the **event date** is established, has been a **customer** of the losing **trader** for less than 2 ~~calendar~~ months.

12.20 Required content of Connection Code

The **Connection Code** must provide for the following matters:

- (a) **connection** requirements for **designated transmission customers**:
- (b) technical requirements for **assets**, including **assets** owned by **Transpower**, and for other equipment and plant that is **connected** to a **local network** or an **embedded network** or that forms part of an **embedded network** or **embedded generating station** if the operation of that equipment and plant could affect the **grid assets**:
- (c) operating standards for equipment that is owned by a **designated transmission customer**, used in connection with the conveyance of **electricity**, and that is situated on land owned by **Transpower**:
- (d) information requirements to be met by **designated transmission customers** before equipment is **connected** to the **grid** and before changes are made to the equipment:
- (e) an obligation on **Transpower** to provide a 10 ~~year~~ year-forecast of the expected maximum fault level of each point of service to **designated transmission customers** set out in the **transmission agreement** between **Transpower** and each **designated transmission customer**.

12.76 Transpower to publish grid reliability report

- (1) **Transpower** must **publish a grid reliability report** setting out—
 - (a) a forecast of **demand** at each **grid exit point** over the next 10 ~~years ending 31 December~~ years; and
 - (b) a forecast of **supply** at each **grid injection point** over the next 10 ~~years ending 31 December~~ years; and
 - (c) whether the power system is reasonably expected to meet the **N-1 criterion**, including in particular whether the power system would be in a **secure state** at each **grid exit point**, at all times over the next 10 ~~years ending 31 December~~ years; and
 - (d) proposals for addressing any matters identified in accordance with paragraph (c).
- (2) **Transpower** must **publish a grid reliability report** no later than 2 years after the date on which it **published** the previous **grid reliability report**, or such other date as determined by the **Authority** (having consulted with **Transpower**).

12.118 Transpower to provide and publish annual report on interconnection asset capacity and grid configuration

- (1) **Transpower** must provide the **Authority** with and **publish** an annual report including—
 - (a) any matter required to be reported on for the purposes of this clause by the **Outage Protocol**; and
 - (b) the extent to which, in the ~~preceding year~~ preceding year ending 30 June, it has complied with the requirements of clause 12.111(1)(a) and (2); and
 - (c) any specific instances in which **Transpower** has not complied with clause 12.111(1)(a) and (2); and
 - (d) to the extent practicable, the circumstances that have given rise to any failure to comply with clause 12.111(1)(a) and (2); and
 - (e) to the extent practicable, any steps that it intends to take or other options to reduce the likelihood of failing to comply with clause 12.111(1)(a) and (2) in the future; and
 - (f) any modifications made to **interconnection circuit branches**, the **HVDC link**, and

each **shunt asset** under clause 12.112(c) to (e) in the ~~preceding year~~ preceding year ending 30 June and the extent to which it has complied with clause 12.112(2) in respect of those modifications, including any specific instances in which **Transpower** has not complied; and

- (g) any **interconnection assets** that have been removed from service, or any reconfigurations to the **grid** made, in accordance with clause 12.116AA or clause 12.117; and
- (h) copies of any agreements made under clause 12.128 or, in respect of **interconnection assets** only, clause 12.151 in the ~~preceding year~~ preceding year ending 30 June; and
- (i) an update of the interconnection asset capacity and grid configuration required under clause 12.107(1), as at the end of the ~~preceding year~~ preceding year ending 30 June.

12.121 Transpower to submit draft index measures for availability and reliability

...

- (3) The index measures to be provided under subclause (1) are—
 - (a) annual unavailability of each **interconnection branch, shunt asset** and the **HVDC link** due to **planned outages** of 1 minute or longer in hours per year ending 30 June year, expressed as a percentage; and
 - (b) annual unavailability of each **interconnection branch, shunt asset** and the **HVDC link** due to **unplanned outages** of 1 minute or longer in hours per year ending 30 June year, expressed as a percentage; and
 - (c) annual number of **planned interruptions** of 1 minute or longer caused by **planned outages** of 1 minute or longer of each **interconnection branch, shunt asset** and the **HVDC link**; and
 - (d) annual number of **unplanned interruptions** of 1 minute or longer caused by **unplanned outages** of 1 minute or longer of each **interconnection branch, shunt asset** and the **HVDC link**;
 - (e) total **unserved energy** per year ending 30 June year in MWh resulting from **planned interruptions** of 1 minute or longer caused by **planned outages** of 1 minute or longer of each **interconnection branch, shunt asset** and the **HVDC link**; and
 - (f) total **unserved energy** per year ending 30 June year in MWh resulting from **unplanned interruptions** of 1 minute or longer caused by **unplanned outages** of 1 minute or longer of each **interconnection branch, shunt asset** and the **HVDC link**.

12.122 Requirements for index measures

- (1) The proposed availability and reliability index measures under clause 12.121(3) must be based on the average annual availability and reliability of each category of **interconnection branch, or shunt asset** and of the **HVDC link** over the 5 year year period (being 1 July to 30 June years years) immediately before this clause came into force.

12.127 Transpower to report on availability and reliability

- (1) By 30 November in each year-year, **Transpower** must **publish** and provide to the **Authority** information on availability and reliability of **interconnection assets** including—
- (a) annual unavailability of each **interconnection branch, shunt asset** and the **HVDC link** due to **planned outages** of 1 minute or longer in the ~~preceding year~~preceding year ending 30 June in hours per year-year, expressed as a percentage; and
 - (b) annual unavailability of each **interconnection branch, shunt asset** and the **HVDC link** due to **unplanned outages** of 1 minute or longer in the ~~preceding year~~preceding year ending 30 June in hours per year-year, expressed as a percentage; and
 - (c) annual number of **planned interruptions** of 1 minute or longer caused by **planned outages** of one minute or longer of each **interconnection branch, shunt asset** and the **HVDC link** in the ~~preceding year~~preceding year ending 30 June; and
 - (d) annual number of **unplanned interruptions** of 1 minute or longer caused by **unplanned outages** of 1 minute or longer of each **interconnection branch, shunt asset** and the **HVDC link** in the ~~preceding year~~preceding year ending 30 June; and
 - (e) total **unserved energy** in the ~~preceding year~~preceding year ending 30 June resulting from **planned interruptions** of 1 minute or longer caused by **planned outages** of 1 minute or longer of **interconnection branches, shunt assets** and the **HVDC link**; and
 - (f) total **unserved energy** in the ~~preceding year~~preceding year ending 30 June resulting from **unplanned interruptions** of 1 minute or longer caused by **unplanned outages** of 1 minute or longer of **interconnection branches, shunt assets** and the **HVDC link**; and
 - (g) annual number of **outages** of each **interconnection branch, shunt asset** and the **HVDC link** that are shorter than 1 minute in the ~~preceding year~~preceding year ending 30 June; and
 - (h) the annual number of **interruptions** shorter than 1 minute caused by **outages** that are shorter than 1 minute of each **interconnection branch, shunt asset** and the **HVDC link**, in the ~~preceding year~~preceding year ending 30 June; and
 - (i) a comparison of the information required by paragraphs (a) to (f) against the availability and reliability index measures for **interconnection branches, shunt assets** and the **HVDC link** included in a schedule to this Part under clause 12.126;
 - (j) to the extent practicable, an explanation of the reasons for not meeting the reliability and availability index measures for **interconnection branches, shunt assets** and the **HVDC link** included in a schedule to this Part under clause 12.126 and any steps or other options it intends to take in future to meet the index measures; and
 - (k) information on its performance against the reliability and availability index measures for aggregated **interconnection branches** included in a schedule to this Part under clause 12.126.

12.135 Required content of Outage Protocol

...

- (4) The **Outage Protocol** must set out—

- (a) processes for **Transpower** to consult with **designated transmission customers** and to determine an **outage plan** setting out **planned outages** for each year ending 30 June-year, and processes for the **outage plan** to be updated; and
- (b) requirements on **Transpower** to keep **designated transmission customers** informed about **planned outages**, including minimum notice periods for **Transpower** to advise affected **designated transmission customers** of **planned outages** not set out in the **outage plan**; and
- (c) procedures for **outage** co-ordination by **Transpower** and between **Transpower** and **designated transmission customers**; and
- (d) requirements on **Transpower** to provide information to **designated transmission customers** about **unplanned outages**.

Part 13

13.27J New GXP

At least 1 ~~calendar~~ month before a **grid owner** connects a **GXP** to the **grid** for the first time, the **grid owner** must advise the **Authority** in writing of its intention to **connect** the **GXP**.

13.102 Reporting obligations of system operator

By the 10th ~~calendar~~ **business day** of each ~~calendar~~ month, the **system operator** must inform the **Authority** in writing of any discretionary action the **system operator** has taken under clause 13.70, in the previous calendar month, that required departure from the **dispatch schedule**.

13.119 Historic load data

- (1) Subject to subclauses (2) and (3), by ~~By~~ 1100 hours 2 days before each **auction**, each **grid owner** must advise the **clearing manager** the total load of the ~~preceding year day day~~ preceding by 364 days ~~for the day following the auction~~.
- (2) If the day following the **auction** is a **national holiday**, the day for which load must be advised is deemed to be the Sunday before the 364th day.
- (3) If the day following the **auction** is a **business day**, but the 364th day before it is a **national holiday**, the day for which load must be advised is deemed to be the next **business day** after that **national holiday**.

13.120 Quantity available for auction

The **clearing manager** must calculate the quantity of **auction rights** available in each **time block** at each **auction** as follows:

$$\text{quantity of auction rights available in each time block} = 0.8 \cdot \text{ldf}_{\text{tb}}$$

where

ldf_{tb} is the lowest demand forecast for a **time block**, which is the lowest demand in any **trading period** on the ~~preceding year day day~~ for which load must be advised under clause 13.119 (in an interval that equates to the **time block**)

13.214 Market administrator to publish pricing manager reports

- (1) By the 15th **business day** of each ~~calendar~~-month, the **market administrator** must **publish** the sections of the reports of the **pricing manager** given in the previous calendar month under clause 13.213 that relate to any alleged breaches of this Code by the **pricing manager**.
- (2) By the 15th **business day** of each ~~calendar~~-month the **market administrator** must refer the reports received in the previous calendar month to the **Authority**.

13.230 Certification of information

- (1) Each **participant** who has submitted information to the **information system** in accordance with clause 13.225 in a particular year ending 31 March~~-year~~ must provide, within 3 months of the year ending 31 March~~-end of the year~~, a certificate to the **Authority** verifying that the information submitted was correct.

13.236A Disclosing participants must prepare and submit spot price risk disclosure statements

- (1) Each disclosing participant must prepare a **spot price disclosure statement** for each quarter beginning 1 January, 1 April, 1 July, and 1 October in each ~~calendar~~ year.
- ...
- (3) The **disclosing participant** must submit the **spot price risk disclosure statement** to the person appointed by the **Authority** to receive **spot price risk disclosure statements** no later than 5 ~~working~~business days before the beginning of the quarter to which the statement relates.

13.236D Authority must publicise base case, stress test, and method for calculating target cover ratio

- (2) If the **Authority** has not **publicised** a notice under subclause (1) at least 30 ~~working~~business days before the start of a quarter in respect of which a **spot price risk disclosure statement** is required to be prepared, a **disclosing participant** is not required to prepare or submit a **spot price risk disclosure statement** for the next quarter.
- (3) If the **Authority** **publicises** an amendment to a notice, or revokes and replaces a notice, within 30 ~~working~~business days before the start of a quarter in respect of which a **spot price risk disclosure statement** is required to be prepared, **disclosing participants** must prepare **spot price risk disclosure statements** for the immediately following quarter in accordance with the notice as in force immediately before the amendment or replacement was made and not in accordance with the notice as amended or replaced.

13.236E Content of spot price risk disclosure statements

- (3) The **disclosing participant** must ensure that a **spot price risk disclosure statement** is signed and dated by a director, or the chief executive officer, or the chief financial officer, or a person holding a position equivalent to one of those positions, of the **disclosing participant** no earlier than 20 ~~working~~business days and no later than 5 ~~working~~business days before the beginning of the quarter to which the statement relates.

...

13.236G Authority may require disclosing participant to submit new spot price risk disclosure statement

...

- (2) If a **disclosing participant** receives a request from the **Authority** under subclause (1), the **disclosing participant** must submit a new **spot price risk disclosure statement** to the person appointed by the **Authority** to receive **spot price risk disclosure statements** within 10 **working-business days** after the date on which the **disclosing participant** received the request.

13.236H Authority may require independent audit of spot price risk disclosure statement or certificate

...

- (5) If the **disclosing participant** fails to nominate an appropriate **auditor** within 5 **working-business days**, the **Authority** may direct the **disclosing participant** to appoint an **auditor** of the **Authority's** choice.

...

- (8) The **disclosing participant** must provide the information no later than 10 **working-business days** after receiving a request from the **auditor** for the information.

Part 14

14.18 Clearing manager to advise participant of amounts owing and payable

...

- (2) The **clearing manager** must advise each **participant** of each amount owing and each amount payable as follows:
- (a) no later than the 9th **business day** of the month following the **billing period**; but
 - (b) if the **clearing manager** has not received any information required to determine an amount payable in respect of the prior **billing period** in time to advise each **participant** by that date,—
 - (i) if the **clearing manager** receives the information in time to advise each **participant** of each amount owing and each amount payable 2 **business days** or more before the 20th ~~calendar~~-day of the month, the **clearing manager** must advise each **participant** no later than 2 **business days** before the 20th ~~calendar~~-day of the month; or
 - (ii) if the **clearing manager** does not receive, or considers that it is not likely to receive, the information in time to advise each **participant** of each amount owing and each amount payable 2 **business days** before the 20th ~~calendar~~-day of the month,—
 - (A) the **clearing manager** must refer the matter to the **Authority**; and
 - (B) the **Authority** must direct the **clearing manager** as to the time by which the **clearing manager** must advise each **participant** of each amount owing and each amount payable; and
 - (C) the **clearing manager** must advise each **participant** by the time directed by the **Authority**.

14.31 Deadlines for payments

- (1) Subject to subclauses (3) and (4), each **participant** must pay the **clearing manager** the amount advised to the **participant** under subpart 4 as payable by the **participant** to the **clearing manager** by—
 - (a) 1300 hours on the 20th ~~calendar~~-day of the month following the **billing period** in respect of which the amount was advised; or
 - (b) if that day is not a **business day**, 1300 hours on the next **business day**.

14.68 Monthly divergence reports to be prepared by clearing manager

...

- (2) The **clearing manager** must give the report to the **market administrator**—
 - (a) on the 10th **business day** of each ~~calendar~~-month; or

...

14.69 Market administrator to publish clearing manager reports

- (1) By the 15th **business day** of each ~~calendar~~-month, the **market administrator** must **publish** the sections of the report, received in the previous calendar month from the **clearing manager** in accordance with clause 14.68, that relate to any breaches of this Code by the **clearing manager**.
- (2) By the 15th **business day** of each ~~calendar~~-month the **market administrator** must also refer the report received in the previous calendar month to the **Authority**.

Part 15**15.14 Notification of changes to the grid**

...

- (2) The **grid owner** must give the notice at least 1 ~~calendar~~-month before the effective date of the intended change.

Schedule 15.1

...

7 Renewal of certification

- (1) **Certification** must not be granted for a term of more than 12 ~~calendar~~-months.
- (2) The **Authority** must renew a **reconciliation participant's certification** for a further term of not more than 12 ~~calendar~~-months if the **Authority** is satisfied on the basis of an **audit** report provided to the **Authority** under clause 11 that the **reconciliation participant** continues to meet the requirements specified in clause 5.

...

9 Auditors

...

- (5) The **Authority** has not more than 2 ~~calendar~~-months from the date on which the completed application is received by the **Authority**, to assess, and if in the **Authority's** view it is appropriate, to approve, the application.

Schedule 15.5

28 Sampling requirements

...

- (2) For **profiles** that require statistical sampling, the **market administrator** must specify the **preliminary sample size** and draw a **preliminary sample** of **ICP identifiers** from the **profile population** list, or must accept appropriate sampling performed by the **profile applicant**. **Half hour** research **meters** must be, or must have been, installed and operated by the **profile applicant** for this **preliminary sample**. The **market administrator** must require a minimum sampling period of 60 ~~calendar~~ days, and not more than 12 months. The **market administrator** may withdraw **ICP identifiers** from the **profile population** list if it can be shown by the **profile applicant** that those **ICP identifiers** are in sites that are difficult to meter.

Schedule 15.5, Appendix 2

2 Preliminary sample

...

- (8) The **profile applicant** must collect **half hour** data from the **preliminary sample** over a period of at least 60 ~~calendar~~ days. The data, in its processed form, must be submitted to the **market administrator** for consideration. The data processing must include calculations of **unit costs**, and of mean and standard deviation of **unit costs**, over the sample period.

CRP 2016-11 Rationalising references to registry and registry manager

Part 1

gaining metering equipment provider means, for the purposes of Parts 10 and 11,—

- (a) the person who a **trader** advises the **registry manager** may become the **metering equipment provider** for each **metering installation** for a **point of connection**; or

...

loss category means the relevant code in the schedule published by the **registry manager** that identifies the relevant **loss factors** that apply to **submission information** or **dispatchable load information**

loss factor means the factor, identified by reference to a **loss category** within the **registry**, to be applied to **submission information** or **dispatchable load information** to obtain adjusted for **losses** information at the relevant **NSP**, which factor is—

- (a) as set out in the report to be provided by the **registry manager** in accordance with clause 11.26(b); or
- (b) if a report has not been provided by the **registry manager**, as directed by the **Authority** under clause 15.20B(3) or 15(1) of Schedule 15.4

~~**registry and registry manager** means the database maintained by the Authority to record information about ICPs person or persons for the time being appointed as the registry manager under this Code~~

registry manager means the market operation service provider who is for the time being appointed as registry manager under this Code

retailer means as follows:

- (a) except as provided in paragraphs (b) and (c), a **participant** who supplies **electricity** to another person for any purpose other than for resupply by the other person:
- (b) in Parts 1 (except for the definition of specified participant), 8, 10, and 12 to 15, a **participant** who supplies **electricity** to a **consumer** or to another **retailer**:
- (c) in subpart 4 of Part 9, the **retailer** defined in paragraph (a) who is recorded ~~by~~ in the **registry manager** as being responsible for the **ICP** described in clause 9.21(1)(b)

Part 6

Schedule 6.2

15 Permanent disconnection

- (1) Despite clause 10, the **distributor** may permanently disconnect **distributed generation** in the following circumstances:

...

- (c) without notice, if the **trader** that is recorded in the **registry** as being responsible for the **ICP** to which the **distributed generation** is **connected** to the **distribution network** has **de-energised** the **ICP** and advised the **registry manager** that the **ICP** has a status of "inactive" with the reason of "de-energised – ready for decommissioning":

Part 10

10.19 Metering equipment provider

- ...
- (2) The **metering equipment provider** for each **category 1 metering installation**, or higher category of **metering installation** for a **point of connection**, other than a **metering installation** referred to in subclause (1),—
- (a) that is an **ICP** and not also an **NSP**, is the person who advises the **registry manager** that it accepts responsibility as the **metering equipment provider** under clause 1(1)(a)(ii) of Schedule 11.4:

10.22 Change of metering equipment provider

- (1) The **metering equipment provider** for a **metering installation** may change only if the **participant** responsible for ensuring there is a **metering installation** under clause 10.24, 10.25, or 10.26 enters into an arrangement with another person to become the **metering equipment provider** for the **metering installation** and—
- (a) in the case of a **metering installation** for an **ICP** that is not also an **NSP**—
- (i) the **trader** for the **metering installation** advises the **registry manager** of the **gaining metering equipment provider** in accordance with Part 11; and
- (ii) the **gaining metering equipment provider** advises the **registry manager** that it accepts becoming the **metering equipment provider** (including the effective date from which the **gaining metering equipment provider** assumes its responsibility as **metering equipment provider** for the **metering installation**) in accordance with Part 11; or

Schedule 10.5

1 Metering equipment provider must ensure audits are carried out

- ...
- (2) A **metering equipment provider** must ensure an **auditor** carrying out an **audit** under subclause (1) **audits** the following processes and procedures:
- ...
- (b) the **metering equipment provider's** provision of **metering records** to—
- (i) the **registry manager**

Schedule 10.7

24 Compensation factors

- ...
- (3) A **metering equipment provider** must, for a **metering installation** in relation to which a **compensation factor** must be applied,—
- ...
- (b) in all other cases, advise the **registry manager** of the **compensation factor** in accordance with Part 11.

32 Alternative certification requirements for metering installation incorporating measuring transformer

- (1) An **ATH** may, if it cannot comply with the requirements of clause 2 of Schedule 10.8 due solely to its inability to obtain physical access to test an installed **measuring transformer**

in a **metering installation**, **certify** the **metering installation** for a period not exceeding 24 months, if—

...

- (d) the **metering equipment provider** has advised the **registry manager** of the **certification** under this clause.

44 General inspection requirements

...

- (5) A **metering equipment provider** must, within 20 **business days** of receiving the inspection report,—

...

- (c) advise the **registry manager** of the relevant changes.

Part 11

11.1 Contents of this Part

This Part—

- (a) provides for the management of information ~~held by~~in the **registry**; and

11.7 Provision of ICP information

- (1) A **distributor** whose **network** includes 1 or more **ICPs** must provide information about each of those **ICPs** to the **registry manager** in accordance with Schedule 11.1.
- (2) A **trader** must provide information about each **ICP** at which the **trader** trades **electricity** to the **registry manager** in accordance with Schedule 11.1.

11.8A Metering equipment providers to provide registry metering records to registry manager

- (1) A **metering equipment provider** must, for each **metering installation** described in subclause (2) for which it is responsible,—
 - (a) provide to the **registry manager** the **registry metering records** for the **metering installation** in the **prescribed form**; and

11.10 Distributors' processes to be audited

...

- (4) The **distributor's** processes and procedures that must be **audited** include—

...

- (b) the provision of **ICP** information to the **registry manager** and the maintenance of that information; and

11.14 Process for maintaining shared unmetered load

...

- (2) The **distributor** must notify the **registry manager**, and each **trader** responsible under clause 11.18(1) for the **ICPs** across which the **unmetered load** is shared, of the **ICP identifiers** of those **ICPs**.

...

- (4) A **distributor** who receives notification under subclause (3) must notify the **registry manager** and each **trader** responsible for any of the **ICPs** across which the **unmetered load** is shared of the addition or omission of the **ICP**.

11.15A Application of Schedule 11.4

The following parties must comply with Schedule 11.4:

- (a) a **trader** who **notifies** the **registry manager** of the **gaining metering equipment provider** responsible for each **metering installation** for an **ICP**;
- (b) the **registry manager**;

...

11.16 Trader to ensure arrangements for line function services and metering

Before providing the **registry manager** with information in accordance with clause 11.7(2) or clause 11.18(4), a **trader** must—

...

11.18A Registry manager to advise metering equipment providers

The **registry manager** must, within 1 **business day** of being advised by a **trader** of a **metering equipment provider's participant identifier** for an **ICP identifier**, —

- (a) if there is not already a **metering equipment provider** assigned to the **ICP identifier**, advise the **gaining metering equipment provider** that the **registry manager** has been advised that it is the **gaining metering equipment provider** for each **metering installation** for the **ICP**; or

...

11.20 Registry must be available ~~open~~ between 0730 and 1930 each day

- (1) The **registry manager** must ensure that the registry is be available to receive and provide information under this Part between 0730 hours and 1930 hours each day.
- (2) Information provided to the **registry manager** after 1930 hours is deemed to be provided at 0730 the next day.

11.21 Confirmation of receipt of data

- (1) Information provided to the **registry manager** is deemed, for the purposes of this Part, not to have been received until the **registry manager** has confirmed receipt in accordance with this clause.
- (2) The **registry manager** must confirm receipt of information received by it in accordance with this Part within 4 hours of the information being provided to it.
- (3) In determining whether the registry manager has confirmed receipt within the time specified in subclause (2), no account is to be taken of any period during which the registry is not required to be available under clause 11.20.
- ~~(3) Time when the registry is not obliged to be available in accordance with clause 11.20 will not be taken into account in determining whether or not receipt has been confirmed within 4 hours.~~
- (4) If the **participant** providing the information does not receive confirmation that the **registry manager** has received the **participant's** information, the **participant** must contact the **registry manager** to check whether the **registry manager** ~~information~~ has ~~been~~ received the information.

- (5) If the **registry manager** has not received the information, the **participant** must re-send the information. This process must be repeated until the **registry manager** has confirmed receipt of the information in accordance with this clause.

11.22 Registry manager must maintain a register database of information

- (1) The **registry manager** must maintain a register of information received by it and updated in accordance with this Code.
- (2) The **registry manager** must ensure that a complete **audit** trail exists for all information received by it in accordance with this Code.

11.23 Reports from the registry manager

By 1600 hours on the 6th **business day** of each **reconciliation period**, the **registry manager** must **publish** a report containing the following information:

- (a) the number of **ICPs** notified to the **registry manager** and contained on its register at the end of the immediately preceding **consumption period**:
- (b) the number of notifications received by the **registry manager** in accordance with clause 2 of Schedule 11.3 during the previous **reconciliation period**:
- (c) such other information as may be agreed from time to time between the **registry manager** and the **Authority**.

11.24 Registry manager reports to specific participants

The **registry manager** must deliver the reports specified in clauses 11.25 to 11.27 in the manner specified in those clauses.

11.25 Reports to the clearing manager, system operator or reconciliation manager

...

- (4) If the request is received by the time specified in this clause, the **registry manager** must provide the report by 1000 hours on the 1st **business day** of the calendar month following the calendar month in which the request was made, or if the request for the report specifies a later date, by the later date.
- (5) The person who requested the report may vary any of the details set out in the request, by giving notification to the **registry manager** of the relevant details in writing by no later than 5 **business days** before the last day of the month before the 1st month for which the person requests the variation.
- (6) The **registry manager** must comply with a request made in accordance with subclause (5) by 1000 hours on the 1st **business day** of the calendar month following the calendar month in which the request was made.

11.26 Reports to the reconciliation manager

By 1600 hours on the 4th **business day** of each calendar month, in respect of the immediately preceding **consumption period**, and by 1600 hours on the 13th **business day** of each calendar month in respect of the immediately preceding 14 **consumption periods**, the **registry manager** must deliver the following reports to the **reconciliation manager**:

- (a) a report identifying the number of **ICP days per NSP**, differentiated by **half-hour metering** type or non **half-hour metering** type (for the purpose of this clause, **half-hour metering** type on the **registry** must be reported as **half hour**, and all other

metering types must be reported as non **half hour**) attributable to each **trader** for those **NSPs** that are recorded on the **registry** as consuming **electricity** at any time during, as the case may be, that **consumption period** or any of those **consumption periods**:

- (b) a report detailing the **loss factor** values for each **loss category** code recorded ~~by~~in the **registry** in respect of all **trading periods**:
- (c) a report detailing the **balancing area** to which each **NSP** belongs recorded ~~by~~in the **registry** in respect of all **trading periods** (including any changes during that month):
- (d) a report detailing the **half hour ICP identifiers** and the **NSPs** to which they are assigned for each individual **trader** (including any changes during that month):
- (e) a report that sets out every switch made under clauses 2, 9 or 14 of Schedule 11.3, the effect of which is that a **trader** has commenced trading at an **NSP** or a **trader** has ceased trading at an **NSP**.

11.27 Reports to the market administrator

By 1600 hours on the 1st **business day** of each calendar month, the **registry manager** must deliver to the **market administrator** a report summarising the number of events that have not been notified to the **registry manager**, of which it is aware, within the timeframes specified in this Part.

11.28 Access to registry

- (1) A **participant** may apply to the **Authority** to have access to information held ~~by~~in the **registry**.
- (2) If the **Authority** grants a **participant's** application, the **Authority** must specify terms and conditions under which the Authority grants access to the information ~~is to be provided~~.
- (2A) The **participant** must comply with the terms and conditions specified by the **Authority** under subclause (2).
- (3) The **registry manager** must provide to the **participant** access to information held ~~by~~in the **registry** in accordance with those terms and conditions.
- (4) If the Authority grants a participant ~~has been provided~~ access to information in the **registry**, and the participant requests a report, the **registry manager** must provide ~~a copy~~ of the report to the **participant** within 4 hours of receiving the request.
- (5) In determining whether the registry manager has provided a copy of a ~~the~~ report ~~has been provided~~ within the time specified in subclause (4), no account is to be taken of any period during which the **registry** is not required to be available under clause 11.20.

11.29 Registry information change

If a change to **registry** information is provided in accordance with clause 11.7, the **registry manager** must, within 1 **business day** of receiving the information, advise affected **participants** of the change.

Schedule 11.1

1 ICP identifiers

...

- (2) The **ICP identifier** must be used by a **participant** in all communications with the **registry manager** to identify—

Provision of ICP information to the registry manager

7 Distributors to provide ICP information to registry manager

- (1) A **distributor** must, for each **ICP** on the **distributor's network**, provide the following information to the **registry manager**:
- ...
- (2) The **distributor** must provide the information specified in subclauses (1)(a) to (1)(o) to the **registry manager** as soon as practicable after the **ICP identifier** for the **ICP** to which the information relates is created, and before **electricity** is traded at the **ICP**.
- (2A) The **distributor** must provide the information specified in subclause (1)(p) to the **registry manager** no later than 10 **business days** after the date on which the **ICP** is initially **energised**.
- ...
- (3) The **distributor** must provide the following information to the **registry manager** no later than 10 **business days** after the trading of **electricity** at the **ICP** commences:
- ...
- (8) A **distributor** may provide the **registry manager** with global positioning system coordinates for each **ICP** on the **distributor's network**.
- (9) If a **distributor** provides the global positioning system coordinates of an **ICP** to the **registry manager** under subclause (8), it must provide the coordinates—
- ...

8 Distributors to change ICP information provided to registry manager

- (1) If information about an **ICP** provided to the **registry manager** in accordance with clause 7 changes, the **distributor** in whose **network** the **ICP** is located must notify the **registry manager** of the change.

9 Traders to provide ICP information to registry manager

- (1) Each **trader** must provide the following information to the **registry manager** for each **ICP** for which it is recorded in the **registry** as having responsibility:
- ...
- (2) The **trader** must provide the information specified in subclause (1)(a) to subclause (1)(j) to the **registry manager** no later than 5 **business days** after the **trader** commences trading at the **ICP** to which the information relates.
- (3) The **trader** must provide the information specified in subclause (1)(k) to the **registry manager** no later than 20 **business days** after the **trader** commences trading at the **ICP** to which the information relates.

10 Traders to change ICP information provided to registry manager

- (1) If information about an **ICP** provided to the **registry manager** in accordance with clause 9 changes, the **trader** who trades at the **ICP** must notify the **registry manager** of the change.
- ...

11 Correction of errors in the registry

- (1) By 0900 hours on the 1st **business day** of each **reconciliation period**, the **registry manager** must provide to each **participant** who is required to submit **submission information**, the following:

...

22 Updating loss factors for loss category codes

...

- (8) The **registry manager** must publish an updated schedule of all **loss category** codes and the **loss factors** for each **loss category** code no later than 1 **business day** after being notified of a change.

24 Balancing area information

...

- (4) The **reconciliation manager** must **notify** the **registry manager** of changes to **balancing areas** within 1 **business day** after receiving the notification.
- (5) The **registry manager** must **publish** an updated schedule of the mapping between **NSPs** and **balancing areas** within 1 **business day** after receiving the notification.

...

30 Reconciliation manager to advise registry manager

- (1) The **reconciliation manager** must—
- advise the **registry manager** of any new or deleted **NSP identifier** no later than 1 **business day** after being notified of its creation or decommissioning; and
 - advise the **registry manager** of any changes to supporting **NSP** information provided by a **distributor** in accordance with clause 26(4) no later than 1 **business day** after receiving the notification.
- (2) The **registry manager** must **publish** an updated schedule of all **NSP identifiers** and supporting information within 1 **business day** of any change being notified to it in accordance with subclause (1).

Schedule 11.2

- 9 The **registry manager** must remove any information that has been notified to the **registry manager** under clause 7 of Schedule 11.1 relating to an **ICP** for which a transfer has been notified under this Schedule, if the information was to have come into effect after the date on which the **market administrator** authorises the change of information on the **registry** under this Schedule.

Schedule 11.3

2 Gaining trader advises registry manager of standard switch request

- (1) For each **ICP** to which a switch relates, the gaining **trader** must advise the **registry manager** of the switch no later than 2 **business days** after the arrangement with the **customer** or **embedded generator** comes into effect.
- (2) The gaining **trader** must include in its advice to the **registry manager**—

...

3 Losing trader response to standard switch request

No later than 3 **business days** after receiving notification of a switch request from the **registry manager** under clause 22(a), the losing **trader** must,—

- (a) either—
 - (i) acknowledge the switch request by providing the following information to the **registry manager**:

4 Event dates

- (1) The losing **trader** must establish **event dates** so that—
 - (a) no **event date** is more than 10 **business days** after the date of notification from the **registry manager** in accordance with clause 22(a); and

5 Losing trader must provide final information

If the losing **trader** has provided information under clause 3(a)(i) rather than under clause 3(a)(ii), no later than 5 **business days** after the **event date**, the losing **trader** must complete the switch by providing final information to the **registry manager**, including—

...

6 Traders must use same reading

...

- (3) No later than 5 **business days** after receiving final information from the **registry manager** under clause 22(d),—

...

9 Gaining trader informs **registry manager** of switch request

- (1) For each **ICP** to which a switch relates, the gaining **trader** must advise the **registry manager** of the switch request no later than 2 **business days** after the arrangement with the **customer** or **embedded generator** comes into effect.
- (2) The gaining **trader** must include in its advice to the **registry manager**—

10 Losing trader response to switch move request

- (1) After receiving notification of a switch request from the **registry manager** under clause 22(a), the **trader** that is recorded on the **registry** as being responsible for the **ICP** (the “losing **trader**”) must, no later than 5 **business days** after receiving the notification,—
 - (a) if the losing **trader** accepts the **event date** proposed by the gaining **trader**, complete the switch by providing to the **registry manager**—
 - (i) *[Revoked]*
 - (ia) confirmation of the **event date**; and
 - (ib) a valid switch response code approved by the **Authority**; and
 - (ii) final information in accordance with clause 11; or
 - (b) if the losing **trader** does not accept the **event date** proposed by the gaining **trader**, acknowledge the switch request to the **registry manager** and determine a different **event date** that—
- (2) If the losing **trader** determines a different **event date** under subclause (1)(b), the losing **trader** must also complete the switch by providing to the **registry manager** the

...

information described in subclause (1)(a), but in that case the **event date** is the **event date** determined by the losing **trader**.

11 Losing trader must provide final information

The losing **trader** must provide final information to the **registry manager** for the purposes of clause 10(1)(a)(ii), including—

...

12 Gaining trader may change switch event meter reading

(2B) No later than 5 **business days** after receiving final information from the **registry manager** under clause 22(d),—

...

14 Gaining trader informs registry manager of switch request

- (1) For each **ICP** to which a switch relates, the gaining **trader** must advise the **registry manager** of the switch request no later than 3 **business days** after the arrangement with the **customer** or **embedded generator** comes into effect.
- (2) The gaining **trader** must include in its advice to the **registry manager** —
 - (a) a proposed **event date**; and
 - (b) that the switch type is HH.
- (3) Unless subclause (4) applies, the proposed **event date** must be a date that is after the date on which the gaining **trader** advises the **registry manager**.
- (4) The proposed **event date** may be a date that is before the date on which the gaining **trader** advises the **registry manager**, if—
 - (a) the proposed **event date** is in the same month as the date on which the gaining **trader** advises the **registry manager**; or
 - (b) the proposed **event date** is no more than 90 days before the date on which the gaining **trader** advises the **registry manager**, and the losing **trader** and gaining **trader** agree on the proposed **event date**.

15 Losing trader provides information

No later than 3 **business days** after the losing **trader** receives information from the **registry manager** in accordance with clause 22(a), the losing **trader** must—

- (a) provide the **registry manager** with a valid switch response code approved by the **Authority**; or
- (b) request that the switch be withdrawn in accordance with clause 17.

16 Gaining trader obligations

- (1) The gaining **trader** must complete the switch by advising the **registry manager** of the **event date** no later than 3 **business days** after receiving a valid switch response code from the **registry manager** under clause 22(c).

...

18 Withdrawing a switch request

If a **trader** requests the withdrawal of a switch under clause 17, the following provisions apply:

- (a) the **Authority** must determine the valid codes for withdrawing a switch request (“withdrawal advisory codes”):
- (b) the **Authority** must **publish** the withdrawal advisory codes:
- (c) for each **ICP**, the **trader** withdrawing the switch request must provide the **registry manager** with the following information:
 - (i) the **participant identifier** of the **trader**; and
 - (ii) the withdrawal advisory code **published** by the **Authority** in accordance with paragraph (b):
- (d) no later than 5 **business days** after receiving a notification from the **registry manager** in accordance with clause 22(b), the **trader** receiving the withdrawal must notify the **registry manager** that the switch withdrawal request is accepted or rejected. A switch withdrawal request must not become effective until accepted by the **trader** who received the withdrawal:
- (e) on receipt of a rejection notification from the **registry manager** in accordance with paragraph (d), a **trader** may re-submit a switch withdrawal request for an **ICP** in accordance with paragraph (c). All switch withdrawal requests must be resolved no later than 10 **business days** after the date of the initial switch withdrawal request:
- (f) if a **trader** requests that a switch request be withdrawn and the resolution of that switch withdrawal request results in the switch proceeding, no later than 2 **business days** after receipt of notification from the **registry manager** in accordance with clause 22(b), the losing **trader** must comply with clauses 3, 5, 10 and 11 (whichever is appropriate) and the gaining **trader** must comply with clause 16.

22 **Registry manager notifications**

The **registry manager** must provide notifications to **participants** required by this Schedule as follows:

- (a) on receipt of information about a switch request in accordance with clauses 2, 9 and 14, the **registry manager** must notify the losing **trader** of the information received:
- (b) on receipt of information about a withdrawal request in accordance with clauses 18(c) and (d), the **registry manager** must notify the other relevant **trader** of the information received:
- (c) on receipt of information about a switch acknowledgement in accordance with clauses 3(a) and 15, the **registry manager** must notify the gaining **trader** of the information received:
- (d) on receipt of information about a switch completion in accordance with clauses 3(a)(ii), 5, 10 and 16, the **registry manager** must notify the gaining **trader**, the losing **trader**, the **metering equipment provider**, and the relevant **distributor** of the information received.

Schedule 11.4

1 **Metering equipment provider receives notification for ICP identifier**

- (1) Within 10 **business days** of being advised by the **registry manager** under clause 11.18A, a **gaining metering equipment provider**,—
 - (a) must, if it intends to accept responsibility for each **metering installation** for the **ICP**—
 - (i) enter into an arrangement with the **trader**; and

- (ii) advise the **registry manager** in the **prescribed form** that it accepts responsibility for each **metering installation** for the **ICP** and of the proposed date on which the **metering equipment provider** will assume responsibility for each **metering installation** for the **ICP**; or
- (b) may, if it intends to decline responsibility for each **metering installation** for the **ICP**, advise the **registry manager** in the **prescribed form** that it declines to accept responsibility for each **metering installation** for the **ICP**.
- (2) The **registry manager** must, within 1 **business day** of a **metering equipment provider** advising under subclause (1)(b) that it declines to accept responsibility for each **metering installation** for the **ICP**, advise the **trader** of the declination.
- (3) The **registry manager** must, within 1 **business day** of a **gaining metering equipment provider** advising of acceptance under subclause (1)(a), advise the following **participants** for the **ICP** of the acceptance and proposed date on which the **gaining metering equipment provider** will assume responsibility for each **metering installation** for the **ICP**:
...

2 **Gaining metering equipment provider to advise registry manager of registry metering records**

If the **metering equipment provider** who is responsible for a **metering installation** for an **ICP** changes, the **metering equipment provider** must, within 15 **business days** of becoming the **metering equipment provider** for the **metering installation**, advise the **registry manager** of the **registry metering records** for the **metering installation**.

3 **Metering equipment provider to advise registry manager of changes to registry metering records**

A **metering equipment provider** must advise the **registry manager** of the **registry metering records**, or any change to the **registry metering records**, for a **metering installation** for which it is responsible, no later than 10 **business days** following:
...

4 **Registry manager requirement to advise**

The **registry manager** must, within 1 **business day** of being advised—
...

5 **Changes to ~~metering~~ registry metering records for ICP identifier**

The **registry manager** must, within 1 **business day** of being advised of 1 or more of the following changes relating to an **ICP identifier** record, advise the **metering equipment provider** of the change:
...

6 **Correction of errors in registry**

- (1) A **metering equipment provider** must, by 0900 hours on the 13th **business day** of each **reconciliation period**, obtain the following information from the **registry**:
 - (a) a list of the **ICP identifiers** for the **ICPs** for the **metering installations** for which the **metering equipment provider** is recorded in the **registry** as being responsible; and
 - (b) the **registry metering records** for each **ICP identifier** obtained under paragraph (a).

- (2) A **metering equipment provider** must, as soon as reasonably practicable but not later than 5 **business days** after it obtains the information under subclause (1), compare the information obtained with its own records.
- (3) If the **metering equipment provider** finds a discrepancy between the information obtained under subclause (1) and its own records, the **metering equipment provider** must, within 5 **business days** of becoming aware of the discrepancy,—
 - (a) correct its records that are in error; and
 - (b) advise the **registry manager** of any necessary changes to the **registry metering records**.

7 Metering equipment provider to provide registry metering records to registry manager

- (1) A **metering equipment provider** must, if required under this Part, provide to the **registry manager** the information indicated in Table 1 as being "Required", in the **prescribed form**, for each **metering installation** for which it is responsible.
- (2) Despite anything to the contrary in this Code (except clause 11.2) the **metering equipment provider** must—
 - (a) provide the information set out in Table 1 indicated as being required for **interim certified metering installations** to the **registry manager** for all **category 1 metering installations** for which it is responsible; and

...

Schedule 11.5

3 Authority may require distributor and registry manager to provide information

- (1) The **Authority** may, by notice in writing to a **distributor** on whose **network** a defaulting **trader** trades **electricity**, require the **distributor** to provide to the **Authority** the information about the defaulting **trader's customers** specified in the notice (if the **distributor** holds the information), within the period specified in the notice.
- (2) If the **distributor** holds the information, the **distributor** must provide the information requested by the **Authority** under subclause (1) within the time specified by the **Authority**.
- (3) The **Authority** may, by notice in writing to the **registry manager**, require the **registry manager** to provide to the **Authority** information about **ICPs** for which the defaulting **trader** is recorded in the **registry** as being responsible, within the period specified in the notice.
- (4) The **registry manager** must provide the information requested by the **Authority** under subclause (3) within the time specified by the **Authority**.

4B Authority may direct registry manager to take certain actions

- (1) If the **Authority** gives notice to a **trader** under clause 4, the **Authority** may, by notice to the **registry manager**, direct the **registry manager** not to—
 - (a) complete the switch of any **ICP** to the defaulting **trader**; or
 - (b) accept a request from the defaulting **trader** to withdraw a switch under clauses 17 and 18 of Schedule 11.3.
- (2) If the **Authority** gives notice under subclause (1), the **registry manager** must not—
 - (a) complete the switch of any **ICP** to the defaulting **trader**; or

- (b) accept a request from the defaulting **trader** to withdraw a switch under clauses 17 and 18 of Schedule 11.3.

5 Authority may assign contracts and ICPs

...

- (2) The **Authority** may—
 - (a) exercise its right under a contract under which a **customer** purchases **electricity** from the defaulting **trader** to assign the rights and obligations of the defaulting **trader** under the contract to a recipient **trader** in accordance with the contract; and
 - (b) assign an **ICP** to a recipient **trader** and direct the **registry manager** to amend the record in the **registry** so that the recipient **trader** is recorded as being responsible for the **ICP**; and

...

- (6) The **registry manager** must comply with a direction given to it under subclause (2).

7 Registry manager may complete switch without required information

If the **Authority** gives notice under clause 2, the **registry manager** may complete the switch of any **ICP** for which the defaulting **trader** is recorded in the **registry** as being responsible even if the defaulting **trader** has not complied with its obligations under Schedule 11.3.

Part 15

15.1 Contents of this Part

This Part provides for the following:

...

- (g) obligations of the **reconciliation manager** to pass the information to **reconciliation participants**, the **registry manager** and the **Authority**:

...

15.5 Preparing and submitting submission information

- (1) In preparing and submitting **submission information**, a **reconciliation participant** must ensure that **volume information** for each **ICP** is allocated to the **NSP** indicated by the data ~~inheld by~~ the **registry** for the relevant **consumption period** at the time the **reconciliation participant** assembles the **submission information**.

15.20B Reconciliation manager loss adjusts and summarises dispatchable load information

...

- (3) The **Authority** may direct the **reconciliation manager** to apply specified values for **loss factors** for each **loss category** for a **reconciliation period** for which the **registry manager** does not provide the **reconciliation manager** with the **loss factors** for each **loss category** in accordance with clause 11.26(b).

Schedule 15.2

21 Audit trails

...

- (2) The audit trail must—
- (a) include details of information—
- (i) provided to and received from the **registry manager**;

Schedule 15.4

2 Overview of key reconciliation events

Each **reconciliation participant** must comply with the timing requirements summarised below:

<i>Timing</i>	<i>Reconciliation process</i>	<i>Revisions cycles</i>
Commencement of the 1 st day of the reconciliation period	Beginning of reconciliation period .	Beginning of reconciliation period .
By 1600 hours on the 4th business day of the reconciliation period	The registry manager must make available, and the reconciliation manager must procure, ICP days, loss factor and balancing area and half hour ICP identifiers information, in accordance with clauses 11.24 to 11.27. Each reconciliation participant must submit to the reconciliation manager submission information, retailer information and NSP information , in accordance with clauses 15.4 to 15.12.	
By 1600 hours on the 7th business day of the reconciliation period	The reconciliation manager must complete a reconciliation of the submission information provided by participants and the grid owner in accordance with this Schedule, and must make reconciliation information available to each reconciliation participant who submitted the submission information to which it relates, and the clearing manager for settlement.	
From the 8th business day	Each reconciliation	

<i>Timing</i>	<i>Reconciliation process</i>	<i>Revisions cycles</i>
of the reconciliation period	participant must seek to resolve all inaccuracies and disputes concerning the reconciliation information .	
By 1600 hours on the 13 th business day of the reconciliation period		Each reconciliation participant must submit to the reconciliation manager revised submission information, retailer information and NSP information in accordance with clauses 15.4 to 15.12, 15.27, and 15.28, and clause 10 of Schedule 15.3. The registry manager must make available and the reconciliation manager must procure revised ICP days, loss factor, balancing area and half hour ICP identifiers information, in accordance with clauses 11.24 to 11.27, and clause 10 of Schedule 15.3.
By 1200 hours on the last business day of the reconciliation period		The reconciliation manager must distribute revised reconciliation information to the entitled reconciliation participants and the clearing manager , in accordance with clause 28 of this Schedule.

6 ICP days information

...

- (2) The **registry manager** must deliver to the **reconciliation manager**, in accordance with clauses 11.24 to 11.27, the number of **half hour** and non **half hour ICP days** per **NSP** each **retailer** and **direct purchaser** (excluding **direct consumers**) is responsible for during each **consumption period**.

7 ICP scaling factor calculation

- (1) The **reconciliation manager** must, using the **retailer** and **direct purchaser** reported **ICP days** and **registry** reported **ICP days**, calculate **ICP day** scaling factors separately in respect of non **half hour** and **half hour** metered **ICPs** according to the following formula:

$$ICP_{SF} = ICPD_{REG} / ICPD_{RTL}$$

where

ICP_{SF} is the **ICP scaling factor**

ICPD _{REG}	is the number of ICP days for that retailer per balancing area as reported by the registry manager
ICPD _{RTL}	is the number of ICP days for that retailer for that balancing area as reported by each retailer

provided that if—

- (a) the **ICP** scaling factor is calculated to be less than 1, it must, for the purposes of this clause, be deemed to be 1; and
- (b) the **ICP** scaling factor is calculated to be greater than 1, it must not exceed a figure nominated and published from time to time by the **Authority**.

...

- (3) If the **ICP days** value reported by a **retailer** or a **direct purchaser** in respect of a **balancing area** is 0, or if data is not supplied, but in each case the corresponding **ICP days** value from the **registry manager** is not 0, the **reconciliation manager** must add to that **retailer's submission information** for that **consumption period** an amount (designated $SI_{ICPD-ADD}$) that is equal to—
 - (a) 25 kWh per **ICP day**, in respect of non **half hour ICPs**; and
 - (b) 40 kWh per **trading period** per **ICP day**, in respect of **half hour ICPs**.
- (4) The relevant number of **ICP days** is the value reported by the **registry manager**.

15 Loss factors

- (1) The **Authority** may, from time to time, direct the **reconciliation manager** to apply certain values for **loss factors** for each **loss category** for a **reconciliation period** for which the **registry manager** does not, for whatever reason, provide the **reconciliation manager** with the **loss factors** for each **loss category** in accordance with clause 11.26(b).

CRP 2016-12 Simplifying Code terms about supply of electricity

Part 1

asset means equipment or plant that is ~~connected~~connected to or forms part of the **grid** and, in the case of Part 8, includes equipment or plant that is intended to become ~~connected~~connected to the **grid** and equipment or plant of an **embedded generator**

associated equipment, for the purposes of the definition of **distribution network** and Part 6, means any equipment that is used, or designed or intended for use, in ~~connection~~with relation to any works or **consumer installation**, if such use is for **construction**, maintenance, or safety purposes and not for purposes that relate directly to the generation, conversion, transformation, conveyance, or use of **electricity**

back up protection system means a protection system—

- (a) that disconnects faulted **assets** from the **grid** because a **main protection system** or a **circuit breaker** has failed to electrically disconnect a faulted **asset** from the **grid** in the allocated time; and
- (b) that may electrically disconnect non-faulted **assets** as well as a faulted **asset**

balancing area means, in relation to any particular **ICP**,—

- (a) the **embedded network**; or
- (b) that part of the relevant **local network** owned by 1 **network** owner—
having 1 or more **NSPs**, to which that **ICP** is electrically connected from time to time under normal circumstances

benchmark agreement means the agreement for the ~~connection~~connection to and/or use of the **grid**, that is incorporated by reference in this Code under clause 12.34

black start means an **ancillary service** required to enable a **generating unit** isolated from the **grid** to be livened as defined in the Electricity (Safety) Regulations 2010, and electrically connected to the **grid**

circuit breaker failure protection system means a protection system that—

- (a) operates because a **circuit breaker** has failed to electrically disconnect a faulted **asset** from the **grid** in the allocated time; and
- (b) may electrically disconnect non-faulted **assets** from the **grid** as well as a faulted **asset**

commissioning means, ~~for the purposes of Part 10~~, to verify the correct operation of an asset, or a point of connection, or of metering equipment installed in a **metering installation**

~~connect~~, in relation to ~~distributed generation~~, means to be ~~electrically connected~~ to a ~~distribution network~~ or to a ~~consumer installation~~ that is ~~electrically connected~~ to a ~~distribution network~~, and ~~connected~~, ~~connection~~, and ~~connecting~~ have corresponding meanings

connection and operation standards, in relation to a **distributor** or **distributed generation**,—

- (a) means requirements, as amended from time to time by the **distributor**, that—
 - (i) are set out in written policies and standards of the **distributor**; and
 - (ii) relate to ~~the connection of~~ connecting distributed generation to a **distribution network** or to a **consumer installation** that is connected to a **distribution network** and the operation of the **distribution network**, including requirements relating to the planning, design, construction, testing, inspection, and operation of ~~assets~~ **distributed generation** that ~~are~~, or ~~are~~ proposed to be, ~~connected~~ **connected**; and
 - (iii) are made publicly available in accordance with clause 6.3; and
 - (iv) reflect, or are consistent with, **reasonable and prudent operating practice**; and
- (b) includes the following, as amended from time to time by the **distributor**:
 - (i) the **distributor's congestion management policy**, as referred to in clause 6.3(2)(d); and
 - (ii) the **distributor's** emergency response policies; and
 - (iii) the **distributor's** safety standards

connection location means a substation or other location at which **lines**, equipment and plant owned or managed by a **designated transmission customer** that are directly related to a **point of connection**, and that are used for the consumption, conveyance, or generation of **electricity**, are directly ~~connected~~ connected to the **grid**

consumer installation, for the purposes of the definitions of **associated equipment**, ~~connect~~, and Part 6, means—

- (a) all fittings that are part of a system for conveying **electricity** from a **consumer's point of supply** to any point from which **electricity** conveyed through that system may be consumed; and
- (b) includes any fittings that are used, or designed or intended for use, by any person in or in ~~connection with~~ relation to the generation of **electricity**—
 - (i) for that person's use and not for supply to any other person; or
 - (ii) so that **electricity** can be injected into a **distribution network**; but
- (c) does not include any appliance that uses, or is designed or intended to use, **electricity**, whether or not it also uses, or is designed or intended to use, any other form of energy

decommissioning means—

- (a) ~~for the purposes of Part 10, the permanent physical-removal from service of an asset or a point of connection or the permanent removal of a metering installation for associated with a **point of connection**~~; or
- (b) for the purposes of Parts 11 and 15, the permanent removal of a **point of connection** by—
 - (i) permanently removing an **electrical installation** associated with the **point of connection**; or
 - (ii) changing the allocation of electrical loads between **points of connection** with the effect of making the **point of connection** obsolete; or
 - (iii) in the case of a **distributor-only ICP** for an **embedded network**, the **embedded network** ceasing to exist

and **decommission** and **decommissioned** have corresponding meanings

~~**de-energisation** means the operation of any isolator, **circuit breaker**, or switch, or the removal of any fuse or link, so that no **electricity** can flow through a **point of connection** on a **network**, and **de-energise** and **de-energised** have corresponding meanings~~

~~**disconnected** means, in relation to a **grid injection point**, **grid exit point** or **point of connection**, that there is no load or generation at, or **connected** to, the **grid injection point**, **grid exit point** or **point of connection** in the modelling system~~

distributed generation means **generating plant** that is, or is proposed to be, connected to a **distribution network** or to a **consumer installation** that is connected to a **distribution network**, or proposed to be **connected**, but does not include—

- (a) **generating plant** that is connected to a **distribution network** and operated by a **distributor** for the purpose of maintaining or restoring the provision of **electricity** to part or all of the **distributor's distribution network**—
 - (i) as a result of a planned **distribution network** outage; or
 - (ii) as a result of an unplanned **distribution network** outage; or
 - (iii) during a period when the **distribution network capacity** would otherwise be exceeded on part or all of the **distribution network**; or
- (b) **generating plant** that is only momentarily **synchronised** with the **distribution network** for the purpose of switching operations to start or stop the **generating plant**

electrical installation means,—

- (a) *[revoked]*
- (b) all fittings that form part of a system for conveying **electricity** at any point from an **ICP** to any point from which **electricity** conveyed through that system may be consumed (including any fittings that are used or designed or intended for use by any person in, or in relation to connection with, the generation of **electricity** for that person's use and not for supply to any other person), but does not include any electrical appliance

~~**electrically connecting** means **connecting**, or permitting the **connection** of, a new **point of connection** to a **network**, for the purposes of an activity regulated under Parts 11 or 15, and **electrically connect** and **electrically connected** have corresponding meanings~~

electrically connect means to operate a device so that **electricity** is able to flow, including through a **point of connection**, and **electrically connected**, **electrically connecting**, **electrical connection**, and similar phrases have corresponding meanings

electrically disconnect means to operate a device so that **electricity** is unable to flow, including through a **point of connection**, and **electrically disconnected**, **electrically disconnecting**, **electrical disconnection**, and similar phrases have corresponding meanings

embedded generating station means 1 or more **generating units** that are directly connected~~**connected**~~ to a **local network** or an **embedded network** and that injects into a **local network** or an **embedded network** at a single point of **injection**

embedded network means a system of **lines**, substations, and other **works**, used primarily for the conveyance of **electricity**, that—

- (a) is ~~connected~~indirectly connected to the **grid** ~~only~~ through 1 or more other **networks**;
and

- (b) has 1 or more **ICP identifiers** recorded in the **registry** as being **electrically connected** to it

~~**energisation** means the operation of an isolator, circuit breaker, or switch, or the placing of a fuse or link, so that **electricity** can flow through a **point of connection** on a **network**, and—~~

- ~~(a) **energise** and **energised** have corresponding meanings; and
(b) *[Revoked]*~~

existing assets means transmission **assets** and **non-transmission projects** that have been **commissioned** ~~commissioned~~ before, and are in operation at the time of, application of a net benefits tests set out in Part 12. To avoid doubt, an investment in the expansion of generating capacity of an existing **generating unit** is not an **existing asset** or part of an **existing asset**, unless the additional generating capacity associated with the investment has been **commissioned** ~~commissioned~~ before, and is in operation at the time of, the application of the relevant net benefits test

export congestion means a situation in which a **distribution network** is unable to accept **electricity** exported from a ~~**distributed generation connection**~~ because the injection of an additional unit of **electricity** into the **distribution network** would—

- (a) directly cause a component in the **network** to operate beyond the component's rated maximum capacity; or
(b) give rise to an unacceptably high level of voltage at the **point of connection** between the **distribution network** and the **distributed generation**

generating station means 1 or more **generating units** that are directly ~~**connected**~~ connected to the **grid** or to a **local network** and that inject into the **grid** or a **local network** (as the case may be) at a single point of **injection**

generating unit load means the active and **reactive power** supplied or injected via ~~**connections**~~ connections between the **generating unit's** output terminals and its **generating unit circuit breaker**

generator means a person who owns **generating units** ~~**connected**~~ connected to a **network**, or any person who acts, in respect of Parts 13, 14 and 15, on behalf of any person who owns such **generating units**, and includes **embedded generators**, **intermittent generators**, **type A co-generators**, and **type B co-generators**

grid means the system of transmission **lines**, substations and other works, including the **HVDC link** used to ~~**connect**~~ connect **grid injection points** and **grid exit points** to convey **electricity** throughout the North Island and the South Island of New Zealand

grid interface means the **assets** used to make a ~~**connection**~~ connection to the **grid** (as the case may be), including associated protection, control and communication systems. The term includes the interface between **assets** forming part of the **grid**

high spring washer price situation means a situation in a **trading period** in which—

- (a) 1 or more **transmission security constraints** bind; and
(b) the **software** used by the **pricing manager** to calculate provisional prices, interim prices, and final prices (or used by the **system operator** to determine, under clause 13.134(4), whether a **high spring washer price situation** still exists) calculates a price for electricity at any **grid injection point** or **grid exit point**, excluding **grid**

injection points and **grid exit points** that are **electrically disconnected**, that is equal to or greater than the product of the **high spring washer price trigger ratio** and the highest unconstrained cleared offer price in that **trading period**

high voltage terminal means the ~~connection~~ point ~~whereat~~ which the higher voltage side of a **grid owner's** transformer connects to the **grid**

ICP means an installation control point being 1 of the following:

- (a) a **point of connection** at which a **customer** installation is ~~connected~~ connected to a **network** other than the **grid**:
- (b) a **point of connection** between a **network** and an **embedded network**:
- (c) a **point of connection** between a **network** and **shared unmetered load**

incremental costs, for the purpose of Part 6, means the reasonable costs that an efficient **distributor** would incur in providing **electricity** distribution services with ~~connection~~ connection services to **distributed generation**, less the costs that the efficient **distributor** would incur if it did not provide those ~~connection~~ connection services

input connection contract means the fixed term input ~~connection~~ connection and input ~~connection~~ connection assets contracts between **Transpower** and each of the following: Tuaropaki Power Company Limited, Carter Holt Harvey Limited, Contact Energy Limited, Empower Limited, and Mighty River Power Limited

interruptible load means a form of **instantaneous reserve** comprised of energy being consumed that is able to be **electrically disconnected** to balance the **injection supply** and the **offtake** of **electricity** following a drop in system frequency to a specified level below 50 Hz

interruption, for the purposes of Part 12, means an interruption in the conveyance of **electricity** between **assets** owned or operated by a **designated transmission customer** and the **grid assets** owned by **Transpower** at a **point of connection**, other than an interruption by reason of **Transpower** being directed to ~~electrically disconnect~~ de-energise a **point of connection** by the **Authority** or the **Rulings Panel** under the **Act** or this Code or by ~~the clearing manager~~ or any other person authorised to do so by this Code

main protection system means a protection system that detects 1 or more types of faults and **electrically disconnects** a faulted **asset** from the **grid** with the minimum of disruption to the **grid** and non-faulted **assets**

notified planned outages means planned outages of **assets** forming part of or ~~connected~~ connected to the **grid** or **local network** that have been planned by the **asset owners** concerned and have been notified to the **system operator** in accordance with **Technical Code D** of Schedule 8.3

notional embedding contracts means contracts entered into before 1 April 2008 between **Transpower** and its customers, under which a customer's generation assets are treated as if they were physically ~~connected~~ connected to load in lieu of their existing ~~connection~~ connection to the **grid**

outage constraint means any **grid injection point** or **grid exit point** that has no load or generation connected to it in the modelling system is **disconnected**, as notified by the **system operator** in accordance with clauses 15.15 to 15.17

ratio compensation means a multiplier, used to convert **raw meter data** into **volume information**, that is developed from—

- (a) the ~~connected~~connected ratio of **measuring transformers**; and
- (b) the number of **metering** elements; and
- (c) the resolution of the **meter**

reasonable and prudent operating practice, in relation to **distributed generation**, includes—

- (a) the industry operating standards; and
- (b) measures to avoid the injection of **electricity** from **distributed generation** that—
 - (i) exceeds the **distribution network capacity** at the point of injection; or
 - (ii) results in a significant adverse effect on voltage levels; or
 - (iii) results in a significant adverse effect on the quality and reliability of **electricity** conveyed to other users of the **distribution network**; and
- (c) the use or proposed use of reasonable and prudent measures to enable the ~~connection~~connection of **distributed generation**

reference point means,—

- (a) for the North Island,—
 - (i) the Haywards 220 kV bus to which the HVDC Pole 2 or Pole 3 **injection** or **offtake** is ~~connected~~connected; or
 - (ii) if there is no Pole 2 or Pole 3 **injection** or **offtake** electrically connected to a Haywards 220kV bus, the first indexed Haywards 220 kV **node**;
- (b) for the South Island,—
 - (i) the Benmore 220 kV bus to which the HVDC Pole 2 or Pole 3 **injection** or **offtake** is ~~connected~~connected; or
 - (ii) if there is no Pole 2 or Pole 3 **injection** or **offtake** electrically connected to a Benmore 220kV bus, the first indexed Benmore 220 kV **node**

shunt asset, for the purposes of Part 12, means a shunt ~~connected~~connected **asset** that is an **interconnection asset**

single credible contingency event means an individual credible contingency event comprising any of the following:

- (a) a single transmission circuit interruption:
- (b) the failure or removal from operational service of a single **generating unit**:
- (c) an **HVDC link** single pole interruption:
- (d) the failure or removal from service of a single bus section:
- (e) a single inter-connecting transformer interruption:
- (f) the failure or removal from service of a single shunt ~~connected~~connected reactive component

synchronised means the condition whereby a synchronous machine is electrically connected to a **network** and the electrical angular velocity of the machine corresponds with the **network** frequency and **synchronise**, **de-synchronise**, **synchronising**, **synchronism** and **synchronisation** have corresponding meanings. Asynchronous **intermittent generating stations** must be treated as being **synchronised** for the purposes of subpart 2 of Part 8

system test means a test conducted on an **asset**, with the **asset** electrically connected to the **grid**, to assess the interaction of the **asset** with the **grid**

temporary energisation means the temporary **energisation** of a **point of connection** for the purposes of carrying out, at that **point of connection**,—

(a) ~~the activities or processes necessary for, or as part of, the **certification** of a **metering installation**; or~~

(b) ~~the maintenance, repair, testing, or **commissioning** of a **metering installation**~~

transmission agreement means an agreement for ~~**connection**~~connection and/or use of the **grid** under subpart 2 of Part 12 (including, if relevant, an agreement for investment in the **grid**)

wind generating station means 1 or more **generating units** that are ~~**connected**~~connected to the **grid** or to a **local network** and that inject into the **grid** or a **local network** (as the case may be) at a single point of **injection**, and for which wind is the primary power source

1.5A Application of Code to distributors

Except in Parts 6, 9, and 12A, nothing in this Code applies to a **distributor** in respect of its **distribution** activities that are not conducted on a **network** that is—

(a) directly ~~**connected**~~connected to the **grid**; or

(b) indirectly ~~**connected**~~connected to the **grid** through 1 or more other **networks**.

Part 2

2.8 Transfer of requests

(1) This clause applies if—

(a) a notice is sent to a **participant** under clause 2.4(b); and

(b) the information to which the request relates—

(i) is not held by the **participant** but is believed by the person dealing with the notice to be held by another **participant**; or

(ii) is believed by the person dealing with the notice to be more closely ~~**connected**~~withrelated to the activities of another **participant**.

(2) The **participant** to which the notice was sent must promptly, and in any case not later than 10 **working days** after the day on which the notice is received, transfer the notice to the other **participant**, and inform the **Authority** accordingly.

Part 3

3.17 Market operation service provider must arrange audit of software

(1) Unless otherwise agreed by the **Authority** in writing, each **market operation service provider** must arrange and pay for a suitably qualified independent person approved by the **Authority** to carry out—

- (a) before any **software** is first used by the **market operation service provider** in ~~connection with~~relation to this Code (except Parts 6 and 9) and Part 2 and Subpart 1 of Part 4 of the **Act**, an **audit** of all **software** and **software specifications** to be used by the **market operation service provider**; and
 - (b) an annual **audit** of all **software** used by the **market operation service provider**, within 1 month after 1 March in each year; and
 - (c) an **audit** of any changes to the **software** or the **software specification**, before it is used by the **market operation service provider**.
- (2) A **market operation service provider** must ensure that the person carrying out an **audit** under subclause (1) provides a report to the **Authority** as to—
- (a) the performance (including likely future performance) of all of the **software** in accordance with the relevant **software specification**; and
 - (b) any other matters that the **Authority** requires.

Part 6

6.1 Contents of this Part

This Part specifies—

- (a) a framework to enable the ~~connection~~connection and continued ~~connection~~connection of **distributed generation** if consistent with **connection and operation standards**; and
- (b) in Schedule 6.1, processes (including time frames) under which **distributed generators** may—
 - (i) ~~connect~~connect **distributed generation**; or
 - (ii) continue an existing ~~connection~~connection of **distributed generation** if the ~~connection~~connection contract for the **distributed generation**—
 - (A) is in force and the **distributed generator** wishes to extend the term of the ~~connection~~connection contract; or
 - (B) has expired; or
 - (iii) continue an existing ~~connection~~connection of **distributed generation** that is ~~connected~~connected without a ~~connection~~connection contract if the **regulated terms** do not apply; or
 - (iv) change the **nameplate capacity** or fuel type of ~~connected~~connected **distributed generation**; and
- (c) in Schedule 6.2, the **regulated terms** that apply to the ~~connection~~connection of **distributed generation** in the absence of contractually agreed terms; and
- (d) in Schedule 6.3, a default dispute resolution process for disputes related to this Part; and
- (e) in Schedule 6.4, the pricing principles to be applied for the purposes of this Part; and
- (f) in Schedule 6.5, prescribed maximum fees.

6.2 Purpose

- (1) The purpose of this Part is to enable the ~~connection~~ and continued ~~connection~~ of **distributed generation** to be connected to a **distribution network** or to a **consumer installation** that is connected to a distribution network, if being connected~~connection~~ is consistent with **connection and operation standards**.

6.2A Application of Part to distributors in respect of embedded networks

Nothing in this Part applies to—

- (a) a **distributor** in respect of the **distributor's** ownership or operation of an **embedded network** that conveys less than 5 GWh of **electricity** per annum; or
- (b) a **distributed generator** when the **distributed generator** wishes to ~~connect~~connect or has **distributed generation** ~~connected~~connected to such an **embedded network**.

6.2B Application of Part to distributors in respect of systems of lines not directly or indirectly connected to the grid

Nothing in this Part applies to—

- (a) a **distributor** in respect of the **distributor's** ownership or operation of a system of **lines** that is used for providing **line function services** only to the **distributor**; or
- (b) a **distributor** in respect of the **distributor's** ownership or operation of a system of **lines**—
 - (i) that conveys less than 5 GWh of **electricity** per annum; and
 - (ii) that is not—
 - (A) directly ~~connected~~connected to the **grid**; or
 - (B) indirectly connected to the **grid** through 1 or more other **networks**; or
- (c) a **distributed generator** when the **distributed generator** wishes to ~~connect~~connect or has **distributed generation** ~~connected~~connected to a system of **lines** described in paragraph (b).

6.3 Distributors must make information publicly available

- (1) The purpose of this clause is to require each **distributor** to make certain information publicly available to enable the approval of **distributed generation** under Schedule 6.1.
- (2) Each **distributor** must make publicly available, free of charge, from its office and Internet site,—
 - (a) forms for applications under Schedule 6.1; and
 - (b) the **distributor's connection and operation standards**; and
 - (c) a copy of the **regulated terms**, together with an explanation of how the **regulated terms** will apply if—
 - (i) approval is granted under Schedule 6.1; and
 - (ii) the **distributor** and the **distributed generator** do not enter into a ~~connection~~connection contract; and
 - (d) a statement of the policies, rules, or conditions under which **distributed generation** will be, or may be, curtailed or interrupted from time to time in order to ensure that the **distributor's other connection and operation standards** are met; and
 - (da) a list of all locations on its **distribution network** that the **distributor**—
 - (i) knows to be subject to **export congestion**; or
 - (ii) expects to become subject to **export congestion** within the next 12 months; and
 - (e) a list of any fees that the **distributor** charges under Schedule 6.1, which must not exceed the relevant maximum fees prescribed in Schedule 6.5; and
 - (f) a list of the makes and models of inverters that the **distributor** has approved for ~~connection~~connection to its **distribution network**; and

- (g) the **distributor's** contact information for any enquiries relating to the ~~connection~~ connection of **distributed generation** to its **distribution network**.
- (3) The application forms referred to in subclause (2)(a) must specify the information, including any supporting documents, that must be provided with an application under Schedule 6.1.

6.4 Process for obtaining approval

- (1) Schedule 6.1 applies if a **distributed generator** wishes to—
- (a) ~~connect~~ connect **distributed generation**, whether on the **regulated terms** or on other terms; or
 - (b) continue an existing ~~connection~~ connection of **distributed generation** if the ~~connection~~ connection contract for the **distributed generation**—
 - (i) is in force and the **distributed generator** wishes to extend the term of the ~~connection~~ connection contract; or
 - (ii) has expired; or
 - (c) continue an existing ~~connection~~ connection of **distributed generation** that is ~~connected~~ connected without a ~~connection~~ connection contract if the **regulated terms** do not apply; or
 - (d) change the **nameplate capacity** or fuel type of ~~connected~~ connected **distributed generation**.
- (2) A **distributor** must approve an application submitted under Schedule 6.1 if the application complies with the requirements of that Schedule.
- (3) Except as provided in clause 6.4A, a **distributor** cannot contract out of the provisions of Schedule 6.1 with a **distributed generator**.

6.4A Distributor and distributed generator may agree to simpler process for existing connection

A **distributor** and a **distributed generator** may agree a simpler process for the continued ~~connection~~ connection of **distributed generation** to the **distributor's distribution network** than the relevant process set out in Schedule 6.1 if—

- (a) a ~~connection~~ connection contract for the **distributed generation**—
 - (i) is in force and the **distributed generator** wishes to extend the term of the ~~connection~~ connection contract; or
 - (ii) has expired; or
- (b) the **distributed generation** is ~~connected~~ connected without a ~~connection~~ connection contract; or
- (c) there is a change in the **nameplate capacity** or fuel type of the **distributed generation**.

6.5 Connection contract

If a **distributor** and a **distributed generator** enter into a ~~connection~~ connection contract for the ~~connection~~ connection of **distributed generation**,—

- (a) their rights and obligations in respect of the ~~connection~~ connection of the **distributed generation** are governed by that contract, and accordingly the **regulated terms** do not apply; and
- (b) a breach of the terms of that contract is not a breach of this Code.

6.6 Connection on regulated terms

- (1) Schedule 6.2 sets out the **regulated terms** for the ~~connection~~-connection of **distributed generation**.
- (2) The **regulated terms** apply in the following circumstances:
 - (a) if a **distributor** and a **distributed generator** do not enter into a ~~connection~~-connection contract by the expiry of the period for negotiating a ~~connection~~-connection contract under clauses 9 or 24 of Schedule 6.1;
 - (b) in accordance with clause 9G of Schedule 6.1.
- (3) If the **regulated terms** apply,—
 - (a) the parties' rights and obligations in respect of the ~~connection~~-connection of the **distributed generation** are governed by the **regulated terms**; and
 - (b) a breach of the **regulated terms** is not a breach of contract.
- (4) Despite this clause, a **distributor** and a **distributed generator** may at any time, by agreement, enter into a ~~connection~~-connection contract that will apply instead of the **regulated terms**.

6.7 Extra terms

- (1) The parties' rights and obligations in respect of a ~~connection~~-connection on the **regulated terms** are also governed by any other terms and conditions that—
 - (a) were made publicly available under clause 6.3(2)(d) in a statement of the terms and conditions that would apply to **distributed generation** if there is congestion on the **distribution network**; or
 - (b) cover any other incidental matters (for example, invoicing procedures) if—
 - (i) the matters are not covered by the **regulated terms**; and
 - (ii) the other matters are reasonable terms and conditions that either were proposed by the **distributor** during the 30 **business day** negotiation period as part of a ~~connection~~-connection contract or are terms that would be implied by law if the ~~connection~~-connection was under a ~~connection~~-connection contract; and
 - (iii) the other terms and conditions do not contradict any of the **regulated terms**.
- (2) In this Part, if the parties have agreed to change all or any part of 1 or more of the **regulated terms** as part of a binding contract, the resulting contract is, in total, a ~~connection~~-connection contract on terms that apply instead of the **regulated terms** for the purposes of this Part.

6.8 Dispute resolution

- (1) Subject to subclause (2), Schedule 6.3 applies to a dispute between a **distributed generator** that is a **participant** and a **distributor** arising from any one of the following—
 - (a) an allegation that a party has breached any of the **regulated terms** that apply under clause 6.6(2); and
 - (aa) an allegation that conditions specified by the **distributor** under clause 18 of Schedule 6.1 are not reasonably required; and
 - (ab) an allegation that a party has not attempted to negotiate in good faith under clause 6 or clause 21 of Schedule 6.1; and
 - (b) an allegation that a party has breached any of the other provisions of this Part.
- (2) However, Schedule 6.3 does not apply to disputes between a **distributed generator** and a **distributor**—

- (a) arising from an allegation that a party has breached any of the terms of a ~~connection~~ connection contract; or
- (b) arising from an allegation that a party has breached any of the extra terms referred to in clause 6.7(1); or
- (c) that the **distributed generator** and the **distributor** have agreed should be determined by any other agreed method (for example, under any dispute resolution scheme under section 95 of the **Act**).

6.13 This Part does not apply to earlier connections

This Part does not apply in relation to, or affect, any **distributed generation** that was ~~connected~~ connected under a contract entered into before 30 August 2007, except for the purpose of renewing or extending the term of the contract.

Schedule 6.1

1A Contents of this Schedule

This Schedule specifies the procedures for processing applications from **distributed generators** for the ~~connection~~ connection or continued ~~connection~~ connection of **distributed generation**.

1B Distributed generator must apply

Subject to clause 6.4A and clause 1D, a **distributed generator** that owns or operates **distributed generation** must apply to a **distributor** if it wishes to—

- (a) ~~connect~~ connect the **distributed generation** to the **distributor's distribution network**; or
- (b) continue an existing ~~connection~~ connection of the **distributed generation** to the **distributor's distribution network** if a ~~connection~~ connection contract for the **distributed generation**—
 - (i) is in force and the **distributed generator** wishes to extend the term of the ~~connection~~ connection contract; or
 - (ii) has expired; or
- (c) continue an existing ~~connection~~ connection of the **distributed generation** to the **distributor's distribution network** that is ~~connected~~ connected without a ~~connection~~ connection contract if the **regulated terms** do not apply; or
- (d) change the **nameplate capacity** or fuel type of the **distributed generation** ~~connected~~ connected to the **distributor's distribution network**.

2 Applications under this Part of this Schedule

...

(3) The information may include the following:

- (a) the full name and address of the **distributed generator** and the contact details of a person that the **distributor** may contact regarding the **distributed generation**:
- (aa) whether the application is to—
 - (i) ~~connect~~ connect **distributed generation**; or
 - (ii) continue an existing ~~connection~~ connection of **distributed generation** that is ~~connected~~ connected in accordance with a ~~connection~~ connection contract if the ~~connection~~ connection contract—

- (A) is in force and the **distributed generator** wishes to extend the term of the ~~connection~~-connection contract; or
- (B) has expired; or
- (iii) continue an existing ~~connection~~-connection of **distributed generation** that is ~~connected~~-connected without a ~~connection~~-connection contract; or
- (iv) change the **nameplate capacity** or fuel type of ~~connected~~**distributed generation**:
- (b) evidence of the **nameplate capacity** that the **distributed generation** will have, or other suitable evidence that the **distributed generation** is or will only be capable of generating **electricity** at a rate of 10 kW or less:
- (ba) if the application is to change the **nameplate capacity** or fuel type of ~~connected~~**distributed generation**—
 - (i) the **nameplate capacity** that the **distributed generation** will have after the change; and
 - (ii) the aggregate **nameplate capacity** that all **distributed generation** that is ~~connected~~-connected at the **point of connection** at which the **distributed generation** is ~~connected~~-connected will have after the change; and
 - (iii) the fuel type that the **distributed generation** will have after the change:
- (c) details of the fuel type of the **distributed generation** (for example, solar, wind, or liquid fuel):
- (d) a brief description of the physical location at the address at which the **distributed generation** is or will be ~~connected~~-connected:
- (da) if the application is to ~~connect~~-connect **distributed generation**, when the **distributed generation** is expected to be ~~connected~~-connected:
- (e) technical specifications of the **distributed generation** and **associated equipment**, including the following:
 - (i) technical specifications of equipment that allows the **distributed generation** to be **electrically disconnected** from the **distribution network** on loss of mains voltage:
 - (ii) manufacturer's rating of equipment:
 - (iii) number of phases:
 - (iv) proposed or current **point of connection** to the **distribution network** (for example, the **ICP identifier** and street address):
 - (v) details of either or both of any inverter and battery storage:
 - (vi) details of any load at the proposed or current **point of connection**:
 - (vii) details of the voltage (for example, 230/400~~415~~ V or 11 kV) when **electrically connected**:
- (f) information showing how the **distributed generation** complies with the **distributor's connection and operation standards**:
- (g) any additional information or documents that are reasonably required by the **distributor**.

...

5 Distributed generator must give notice of intention to proceed

- (1) If a **distributor** advises a **distributed generator** that its application is approved, the **distributed generator** must give written notice to the **distributor** confirming whether or not the **distributed generator** intends to proceed to negotiate a ~~connection~~-connection

contract under clause 6 and, if so, confirming the details of the **distributed generation** to which the application relates.

- (2) The **distributed generator** must give the notice within 10 **business days** after the **distributor** gives notice of approval, or such later date as is agreed by the **distributor** and the **distributed generator**.
- (3) The **distributor's** duties under Part 6 of this Code arising from the application no longer apply if the **distributed generator** fails to give notice to the **distributor** within the time limit specified in subclause (2).
- (4) Subclause (3) does not prevent the **distributed generator** from making a new application under Part 6 of this Code.

6 30 business days to negotiate connection contract if distributed generator notifies intention to proceed

- (1) If a **distributed generator** whose application under clause 2 is approved gives notice to a **distributor** under clause 5, the **distributor** and the **distributed generator** have 30 **business days**, starting on the date on which the **distributor** receives the notice, during which they must, in good faith, attempt to negotiate a ~~connection~~-connection contract.
- (2) The **distributor** and the **distributed generator** may, by agreement, extend the time specified in subclause (1) for negotiating a ~~connection~~-connection contract.

8 Connection of distributed generation if connection contract negotiated

- (1) This clause applies if a **distributor** and a **distributed generator** whose application under this Part of this Schedule is approved enter into a ~~connection~~-connection contract before the period for negotiating a ~~connection~~-connection contract under this Part of this Schedule expires.
- (2) If the application is to ~~connect~~-connect **distributed generation** under clause 1B(a), the **distributor** must allow the **distributed generator** to ~~connect~~-connect the **distributed generation** in accordance with the contract as soon as practicable.
- (3) If the application is to continue an existing ~~connection~~-connection of **distributed generation** under clause 1B(b), the **distributor** must use its best endeavours to ensure that the new terms under which the **distributed generator's** existing ~~connection~~-connection continues apply—
 - (a) as soon as practicable, if the previous ~~connection~~-connection contract has expired; or
 - (b) no later than the expiry of the previous ~~connection~~-connection contract, if the contract is in force.
- (4) If the application is to continue an existing ~~connection~~-connection for which there is no ~~connection~~-connection contract under clause 1B(c), the **distributor** must use its best endeavours to ensure that the new terms under which the **distributed generator's** existing ~~connection~~-connection continues apply as soon as practicable.
- (5) If the application is to change the **nameplate capacity** or fuel type of ~~connected~~-connected **distributed generation** under clause 1B(d), the **distributor** must use its best endeavours to ensure that the new terms under which the **distributed generator's** existing ~~connection~~-connection continues apply as soon as practicable.

9 Connection of distributed generation on regulated terms if connection contract not negotiated

- (1) This clause applies if a **distributor** and a **distributed generator** whose application under this Part of this Schedule is approved do not enter into a ~~connection~~-connection contract before the period for negotiating a ~~connection~~-connection contract under this Part of this Schedule expires.
- (2) If the application is to ~~connect~~-connect **distributed generation** under clause 1B(a), the **distributor** must allow the **distributed generator** to ~~connect~~-connect the **distributed generation** on the **regulated terms** as soon as practicable after the expiry of the period.
- (3) If the application is to continue an existing ~~connection~~-connection of **distributed generation** under clause 1B(b), the **regulated terms** apply to the **distributed generator's** existing ~~connection~~-connection as follows:
 - (a) if the previous ~~connection~~-connection contract has expired, the **regulated terms** apply from the day after the date on which the period for negotiating a ~~connection~~-connection contract under this Part of this Schedule expires:
 - (b) if the previous ~~connection~~-connection contract is still in force, the **regulated terms** apply from the day after the date on which the contract expired.
- (4) If the application is to continue an existing ~~connection~~-connection for which there is no ~~connection~~-connection contract under clause 1B(c), the **regulated terms** apply from the day after the date that the period for negotiating a ~~connection~~-connection contract under this Part of this Schedule expires.
- (5) If the application is to change the **nameplate capacity** or fuel type of ~~connected~~-connected **distributed generation** under clause 1B(d), the **regulated terms** apply from the day after the date that the period for negotiating a ~~connection~~-connection contract under this Part of this Schedule expires.

9B Application for distributed generation of 10 kW or less in total in specified circumstances

- (1) A **distributed generator's** application to a **distributor** must specify which of the following circumstances applies:
 - (a) the **distributed generator** wishes to ~~connect~~-connect **distributed generation**:
 - (b) the **distributed generator** wishes to continue an existing ~~connection~~-connection of **distributed generation** that is ~~connected~~-connected in accordance with a ~~connection~~-connection contract that—
 - (i) is in force and the **distributed generator** wishes to extend the term of the ~~connection~~-connection contract; or
 - (ii) has expired:
 - (c) the **distributed generator** wishes to continue an existing ~~connection~~-connection of **distributed generation** that is ~~connected~~-connected without a ~~connection~~-connection contract:
 - (d) the **distributed generator** wishes to change the **nameplate capacity** or fuel type of ~~connected~~-connected **distributed generation**.
- (2) An application must include the following:
 - (a) the name, contact, and address details of the **distributed generator** and, if applicable, the **distributed generator's** agent:

- (b) a brief description of the physical location at the address at which the **distributed generation** is or will be ~~connected~~connected:
- (c) any application fee specified by the **distributor** in accordance with clause 6.3(2)(e):
 - (d) details of the make and model of the inverter:
 - (e) confirmation as to whether the inverter—
 - (i) is included on the **distributor's** list of approved inverters made publicly available under clause 6.3(2)(f); or
 - (ii) conforms with the protection settings specified in the **distributor's connection and operation standards**:
 - (f) if the inverter is not included on the **distributor's** list of approved inverters, a copy of the AS 4777.2 Declaration of Conformity certificate for the inverter:
 - (g) details of—
 - (i) the **nameplate capacity** of the **distributed generation**; and
 - (ii) the fuel type of the **distributed generation** (for example, solar, wind, or liquid fuel).
- (3) The **distributed generator** must also give the **distributor** the following information as soon as it is available, but no later than 10 **business days** after the approval of the application:
 - (a) a copy of the Certificate of Compliance issued under the Electricity (Safety) Regulations 2010 that relates to the **distributed generation**:
 - (b) the **ICP identifier** of the **ICP** at which the **distributed generation** is ~~connected~~connected or is proposed to be ~~connected~~connected, if one exists.
- (4) A **distributor** must, no later than 2 **business days** after receiving an application from a **distributed generator**, acknowledge receipt of the application.

9C Distributor may inspect distributed generation

- (1) A **distributor** may inspect **distributed generation** that is ~~connected~~connected or is proposed to be ~~connected~~connected to its **distribution network** for the purpose of—
 - (a) verifying that the **distributed generation** meets, or continues to meet, the requirements specified in clause 1D; or
 - (b) verifying the information contained in an application made under this Part of this Schedule.
- (2) If a **distributor** wishes to inspect **distributed generation**, the **distributor** must give the **distributed generator** at least 2 **business days'** notice of the time and date on which the inspection will take place.
 - (3) Following receipt of a notice, the **distributed generator** must—
 - (a) pay the fee specified by the **distributor** in accordance with clause 6.3(2)(e) for the inspection (if any); and
 - (b) provide or arrange for the **distributor** to have reasonable access to the **distributed generation**.

9D Export congestion

- (1) This clause applies if a **distributed generator** applies to a **distributor** under this Part of this Schedule to ~~connect~~connect **distributed generation** or continue an existing ~~connection~~connection of **distributed generation** to a location on the **distributor's distribution network** that is included in the list published in accordance with clause 6.3(2)(da).
- (2) The **distributor** may advise the **distributed generator** that the **distributed generation** may be subject to **export congestion** as set out in the **distributor's congestion management policy**.

- (3) If a **distributor** has advised a **distributed generator** under subclause (2), the **distributor** must take reasonable steps to work with the **distributed generator** to assess whether solutions exist to mitigate the **export congestion**.

9E Non-compliance or incomplete information

- (1) This clause applies if a **distributor** considers that an application made to it by a **distributed generator** under this Part of this Schedule has 1 or more of the following deficiencies:
- (a) the **distributed generation** to which the application relates does not meet the requirements specified in clause 1D;
 - (b) the **distributed generation** to which the application relates is not as described in the information given under clause 9B(2);
 - (c) the **distributed generator** has not complied with clause 9B(2).
- (2) If this clause applies, the **distributor** must advise the **distributed generator** of the deficiency or deficiencies.
- (3) If the **distributed generator** is advised of a deficiency or deficiencies, it must remedy each deficiency to the satisfaction of the **distributor** no later than 10 **business days** after being advised of the deficiency.
- (4) If the **distributed generator** is required to remedy a deficiency it must pay the relevant fee specified by the **distributor** in accordance with clause 6.3(2)(e).
- (5) If the **distributed generator** does not remedy each deficiency of which it is advised within the time frame specified in subclause (3)—
- (a) if the **distributed generation** to which the application relates is **electrically connected** to the **distributor's distribution network** at the time of being advised under subclause (2), the **distributor** may, by notice to the **distributed generator**, require the **distributed generator** to—
 - (i) electrically disconnect~~disconnect~~ the **distributed generation** within a reasonable time frame specified by the **distributor** (if applicable); ~~or~~ and
 - (ii) keep the distributed generation electrically disconnected until each deficiency is remedied to the distributor's satisfaction; or
 - (b) if the **distributed generation** is not ~~connected~~connected to the **distributor's distribution network** at the time of being advised under subclause (2), the **distributor** may, by notice to the **distributed generator**, prohibit the **distributed generator** from ~~connecting~~connecting the **distributed generation** to the **distributor's distribution network** until each deficiency is remedied to the **distributor's** satisfaction.
- (6) The **distributor** must approve the ~~connection~~connection ~~or reconnection~~ of the **distributed generation** (as the case may be) as soon as is reasonable in the circumstances if—
- (a) the **distributed generator** ~~disconnects its distributed generation~~complies with a notice given under subclause (5)(a) (if applicable); and
 - (b) the **distributed generator** remedies each deficiency advised under subclause (2)—
 - (i) to the satisfaction of the **distributor**; and
 - (ii) no later than 12 months after the date of the notice given under subclause (5) or such later date as is agreed by the **distributor** and the **distributed generator**.
- (7) If the **distributor** approves the ~~connection~~connection ~~or reconnection~~ of **distributed generation**, it must give a notice of final approval to the **distributed generator** under clause 9F.

9G Regulated terms apply

- (1) If a **distributor** gives a notice of final approval to a **distributed generator** under clause 9F, the **regulated terms** apply.
- (2) Despite subclause (1), and in accordance with clause 6.6(4), the **distributor** and **distributed generator** may at any time enter into a ~~connection~~-connection contract on terms that apply instead of the **regulated terms**.

9H When distributed generator may connect to distribution network

- (1) A **distributed generator** that has submitted an application to a **distributor** under clause 1D may ~~connect~~connect the **distributed generation** to which the application relates to the **distributor's distribution network** if the **distributed generator** receives a notice of final approval under clause 9F(1), or is deemed to have received a notice of final approval under clause 9F(3).
- (2) Despite subclause (1) a **distributor** may prohibit a **distributed generator** from ~~connecting~~connecting if—
 - (a) the **distributor** has advised the **distributed generator** of a deficiency under clause 9E(2) and the deficiency has not been remedied in accordance with clause 9E(3); or
 - (b) the **distributor** gave notice that it wished to inspect the **distributed generation** under clause 9C(2), but the **distributed generator** has not provided or arranged for the **distributor** to have reasonable access to the **distributed generation** under clause 9C(3)(b).

11 Distributed generator must make initial application and give information

- (1) *[Revoked]*
- (2) A **distributed generator** must apply to a **distributor** ("**initial application**") by—
 - (a) using the application form provided by the **distributor** that is publicly available under clause 6.3(2)(a); and
 - (b) providing any information in respect of the **distributed generation** to which the application relates that is—
 - (i) referred to in subclause (3); and
 - (ii) specified by the **distributor** under clause 6.3(3) as being required to be provided with the application; and
 - (c) paying the application fee (if any) specified by the **distributor** in accordance with clause 6.3(2)(e).
- (3) The information may include the following:
 - (a) the full name and address of the **distributed generator** and the contact details of a person whom the **distributor** may contact regarding the **distributed generation**:
 - (aa) whether the application is to—
 - (i) ~~connect~~connect **distributed generation**; or
 - (ii) continue an existing ~~connection~~-connection of **distributed generation** that is ~~connected~~-connected in accordance with a ~~connection~~-connection contract if the ~~connection~~-connection contract—
 - (A) is in force and the **distributed generator** wishes to extend the term of the ~~connection~~-connection contract; or
 - (B) has expired; or
 - (iii) continue an existing ~~connection~~-connection of **distributed generation** that is ~~connected~~-connected without a ~~connection~~-connection contract; or
 - (iv) change the **nameplate capacity** or fuel type of ~~connected~~-connected **distributed generation**:

- (b) evidence of the **nameplate capacity** that the **distributed generation** will have:
- (ba) if the application is to change the **nameplate capacity** or fuel type of ~~connected~~ connected distributed generation,—
- (i) the **nameplate capacity** that the **distributed generation** will have after the change; and
 - (ii) the aggregate **nameplate capacity** that all **distributed generation** that is ~~connected~~ connected at the **point of connection** at which the **distributed generation** is ~~connected~~ connected will have after the change; and
 - (iii) the fuel type that the **distributed generation** will have after the change:
- (c) details of the fuel type of the **distributed generation** (for example, solar, wind, or liquid fuel):
- (d) a brief description of the physical location at the address at which the **distributed generation** is or will be ~~connected~~ connected:
- (da) if the application is to ~~connect~~ connect **distributed generation**, when the **distributed generation** is expected to be ~~connected~~ connected:
- (e) technical specifications of the **distributed generation** and **associated equipment**, including the following:
- (i) technical specifications of equipment that allows the **distributed generation** to be electrically disconnected from the **distribution network** on loss of mains voltage:
 - (ii) manufacturer's rating of equipment:
 - (iii) number of phases:
 - (iv) proposed or current **point of connection** to the **distribution network** (for example, the **ICP identifier** and street address):
 - (v) details of either or both of any inverter and battery storage:
 - (vi) details of any load at the proposed or current **point of connection**:
 - (vii) details of the voltage (for example, 230/400~~415~~ V or 11 kV) when electrically connected:
- (f) information showing how the **distributed generation** complies with the **distributor's connection and operation standards**:
- (g) the maximum **active power** injected (MW max):
- (h) the **reactive power** requirements (MVARs) (if any):
- (i) resistance and reactance details of the **distributed generation**:
- (j) fault level contribution (kA):
- (k) method of voltage control:
- (l) single line diagram of proposed ~~connection~~ connection:
- (m) means of synchronising with, ~~synchronisation~~ and electrically connecting ~~connection to~~, and electrically disconnecting ~~disconnection to from~~, the **distribution network**, including the type and ratings of the proposed **circuit breaker**:
- (n) details of compliance with frequency and voltage support requirements as specified in this Code (if applicable):
- (o) proposed periods and amounts of **electricity injections** into, and **offtakes** from, the **distribution network** (if known):
- (p) any other information that is required by the **system operator**:
- (q) any additional information or **documents** that are reasonably required by the **distributor**.

- (4) *[Revoked]*
- (5) The **distributor** must, within 5 **business days** of receiving an **initial application**, give written notice to the applicant advising whether or not the application is complete.

12 **Distributor must give information to distributed generator**

A **distributor** must give a **distributed generator** that makes an **initial application** the following within 30 **business days** of receiving the completed **initial application**:

- (a) information about the **capacity** of the **distribution network**, including both the design **capacity** (including fault levels) and actual operating levels:
- (b) information about the extent to which ~~connection~~ connection and operation of the **distributed generation** may result in a breach of the relevant standards for safety, voltage, power quality, and reliability of **electricity** conveyed to **points of connection** on the **distribution network**:
- (c) information about any measures or conditions (including modifications to the design and operation of the **distribution network** or to the operation of the **distributed generation**) that may be necessary to address the matters referred to in paragraphs (a) and (b):
- (d) the approximate costs of any **distribution network** related measures or conditions identified under paragraph (c) and an estimate of time constraints or restrictions that may delay the ~~connecting~~ connecting of the **distributed generation**:
- (e) information about any further detailed investigative studies that the **distributor** reasonably considers are necessary to identify any potential adverse effects the **distributed generation** may have on the system, together with an indication of—
 - (i) whether the **distributor** agrees to the **distributed generator**, or a suitably qualified agent of the **distributed generator**, undertaking those studies; or
 - (ii) if not, whether the **distributor** could undertake those studies and, if so, the reasonable estimated cost of the studies that the **distributed generator** would be charged:
- (f) information about any obligations to other parties that may be imposed on the **distributor** and that could affect the **distributed generation** (for example, obligations to **Transpower**, in respect of other **networks**, or under this Code):
- (g) any additional information or documents that the **distributor** considers would assist the **distributed generator's** application:
- (h) information about the extent to which planned and **unplanned outages** may adversely affect the operation of the **distributed generation**.

16 **Notice to third parties**

A **distributor** that receives a **final application** must give written notice to the following persons no later than 10 **business days** after receiving the **final application**:

- (a) all persons that have made an **initial application** relating to a particular part of the **distribution network** that the **distributor** considers would be affected by the approval of the **final application**; and
- (b) all **distributed generators** that have **distributed generation** with a **nameplate capacity** of 10 kW or more in total ~~connected~~ connected on the **regulated terms** to the particular part of the **distribution network** that the **distributor** considers would be affected by the approval of the **final application**.

20 Distributed generator must give notice of intention to proceed

- (1) If a **distributor** advises a **distributed generator** that the **distributed generator's final application** is approved, the **distributed generator** must give written notice to the **distributor** confirming whether or not the **distributed generator** intends to proceed to negotiate a ~~connection~~-connection contract under clause 21(1) and, if so, confirming—
 - (a) the details of the **distributed generation**; and
 - (b) that the **distributed generator** accepts all of the conditions (or other measures) that have been specified by the **distributor** under clause 18.
- (2) The **distributed generator** must give the notice no later than 30 **business days** after the day on which the **distributor** gives notice of approval under clause 18, or such later date as is agreed by the **distributor** and the **distributed generator**.
- (3) If the **distributed generator** is a **participant** and does not accept 1 or more of the conditions specified by the **distributor** under clause 18(2) (if any), but intends to proceed to negotiate a ~~connection~~-connection contract under clause 21(1), the **distributed generator** must—
 - (a) give notice of the dispute in accordance with clause 2 of Schedule 6.3 within 30 **business days** after the day on which the **distributor** gives notice of approval under clause 18; and
 - (b) give a notice under subclause (1) within 30 **business days** after the dispute is resolved.
- (4) The **distributor's** duties under Part 6 of this Code arising from the application no longer apply if the **distributed generator** fails to give notice to the **distributor** of an intention to proceed to negotiate a ~~connection~~-connection contract under clause 21(1) within the time limits specified in this clause.
- (5) Subclause (4) does not prevent the **distributed generator** from making a new application under Part 6 of this Code.

21 30 business days to negotiate connection contract if distributed generator notifies intention to proceed

- (1) If a **distributed generator** whose **final application** is approved gives notice to a **distributor** under clause 20(1), the **distributor** and the **distributed generator** have 30 **business days**, starting on the date on which the **distributor** receives the notice, during which they must, in good faith, attempt to negotiate a ~~connection~~-connection contract.
- (2) The **distributor** and the **distributed generator** may, by agreement, extend the time specified in subclause (1) for negotiating a ~~connection~~-connection contract.

23 Connection of distributed generation if connection contract negotiated

- (1) This clause applies if a **distributor** and a **distributed generator** whose **final application** is approved enter into a ~~connection~~-connection contract before the period for negotiating a ~~connection~~-connection contract under this Part of this Schedule expires.
- (2) If the application is to ~~connect~~-connect **distributed generation** under clause 1B(a), the **distributor** must allow the **distributed generator** to ~~connect~~-connect the **distributed generation** in accordance with the contract as soon as practicable.

- (3) If the application is to continue an existing ~~connection~~-connection of **distributed generation** under clause 1B(b), the **distributor** must use its best endeavours to ensure that the new terms under which the **distributed generator's** existing ~~connection~~-connection continues apply—
 - (a) as soon as practicable, if the previous ~~connection~~-connection contract has expired; or
 - (b) no later than the expiry of the previous ~~connection~~-connection contract, if the contract is in force.
- (4) If the application is to continue an existing ~~connection~~-connection for which there is no ~~connection~~-connection contract under clause 1B(c), the **distributor** must use its best endeavours to ensure that the new terms under which the **distributed generator's** existing ~~connection~~-connection continues apply as soon as practicable.
- (5) If the application is to change the **nameplate capacity** or fuel type of ~~connected~~-connected **distributed generation** under clause 1B(d), the **distributor** must use its best endeavours to ensure that the new terms under which the **distributed generator's** existing ~~connection~~-connection continues apply as soon as practicable.

24 Connection of distributed generation on regulated terms if connection contract not negotiated

- (1) This clause applies if a **distributor** and a **distributed generator** whose **final application** is approved do not enter into a ~~connection~~-connection contract before the period for negotiating a ~~connection~~-connection contract under this Part of this Schedule expires.
- (2) If the application is to ~~connect~~-connect **distributed generation** under clause 1B(a), the **distributor** must allow the **distributed generator** to ~~connect~~-connect the **distributed generation** on the **regulated terms** as soon as practicable after the later of the following:
 - (a) the expiry of the period for negotiating a ~~connection~~-connection contract under this Part of this Schedule;
 - (b) the date on which the **distributed generator** has fully complied with any conditions (or other measures) that were specified by the **distributor** under clause 18 as conditions of the ~~connection~~-connection.
- (3) If the application is to continue an existing ~~connection~~-connection of **distributed generation** under clause 1B(b), the **regulated terms** apply to the **distributed generator's** existing ~~connection~~-connection from the later of the following:
 - (a) the expiry of the period for negotiating a ~~connection~~-connection contract under this Part of this Schedule;
 - (b) the expiry of the existing ~~connection~~-connection contract;
 - (c) the date on which the **distributed generator** has fully complied with any conditions (or other measures) that were specified by the **distributor** under clause 18 as conditions of the ~~connection~~-connection.
- (4) If the application is to continue an existing ~~connection~~-connection for which there is no ~~connection~~-connection contract under clause 1B(c), the **regulated terms** apply from the later of the following:
 - (a) the expiry of the period for negotiating a ~~connection~~-connection contract under this Part of this Schedule;

- (b) the date on which the **distributed generator** has fully complied with any conditions (or other measures) that were specified by the **distributor** under clause 18 as conditions of the ~~connection~~connection.
- (5) If the application is to change the **nameplate capacity** or fuel type of ~~connected~~connected **distributed generation** under clause 1B(d), the **regulated terms** apply from the later of the following:
 - (a) the expiry of the period for negotiating a ~~connection~~connection contract under this Part of this Schedule;
 - (b) the date on which the **distributed generator** has fully complied with any conditions (or other measures) that were specified by the **distributor** under clause 18 as conditions of the ~~connection~~connection.

25 Confidentiality of information provided

- (1) All information given with, or relating to, an application made under this Schedule to a **distributor** must be kept confidential by the **distributor** except as agreed otherwise by the person that gave the information.
- (1A) A **distributor** may require a **distributed generator** to keep confidential information that—
 - (a) is given to the **distributed generator** by the **distributor** for the purpose of an application under this Schedule; and
 - (b) the **distributor** reasonably identifies as being confidential.
- (1B) A **distributor** is excused from processing an application made by a **distributed generator** under this Schedule if the **distributed generator** does not agree to comply with a requirement to keep information confidential imposed under subclause (1A).
- (2) Despite subclause (1), the **distributor**—
 - (a) may, in response to an application under this Schedule, disclose to the applicant that another **distributed generator** has made an application under this Schedule (without identifying who the other **distributed generator** is); and
 - (b) may, in the case of an application under Part 1 of this Schedule, generally indicate the location or proposed location of the **distributed generation** that is the subject of the other application; and
 - (c) may, in the case of an application under Part 2 of this Schedule, disclose the **nameplate capacity** and proposed location of the **distributed generation** that is the subject of the other application.
- (3) The obligation to keep information confidential set out in subclause (1) includes—
 - (a) an obligation not to use the information for any purpose other than considering the application under this Schedule and enabling the ~~connection~~connection or continued ~~connection~~connection of the **distributed generation**; and
 - (b) an obligation to destroy the information as soon as is reasonably practicable after the later of—
 - (i) the date on which the information is no longer required for the purposes in paragraph (a); and
 - (ii) 60 months after receiving the information.

Schedule 6.2

1 Contents of this Schedule

This Schedule sets out the **regulated terms** that apply to a **distributor** and a **distributed generator** in respect of **distributed generation** that is ~~connected~~connected in accordance with clause 6.6 of Part 6 of this Code and Schedule 6.1.

3 General obligations

- (1) The **distributor** and the **distributed generator** must perform all obligations under these **regulated terms** in accordance with **connection and operation standards** (where applicable).
- (2) The **distributor** and the **distributed generator** must each **construct**, ~~interconnect~~, operate, test, and **maintain** their respective equipment in accordance with—
 - (a) these **regulated terms**; and
 - (b) **connection and operation standards** (where applicable); and
 - (c) this Code.
- (3) The **distributed generator** must, subject to subclause (2), **construct**, ~~interconnect~~, operate, test, and **maintain** its **distributed generation** in accordance with—
 - (a) **reasonable and prudent operating practice**; and
 - (b) the applicable manufacturer's instructions and recommendations.
- (4) The **distributor** and **distributed generator** must each be fully responsible for the respective facilities they own or operate.
- (5) The **distributor** and **distributed generator** must each ensure that their respective facilities adequately protect each other's equipment, personnel, and other persons and their property, from damage and injury.
- (6) The **distributed generator** must comply with any conditions specified by the **distributor** under clause 18 of Schedule 6.1 (or, to the extent that those conditions were the subject of a dispute under clause 20(3) of that Schedule, or of negotiation during the period for negotiation of the ~~connection~~connection contract, the conditions or other measures as finally resolved or negotiated).

4 Installation of meters and access to metering information

- (1) *[Revoked]*
- (2) The **distributed generator** must give the **distributor**, at the **distributor's** request, the interval data and cumulative data recorded by the **metering installations** at the **point of connection** at which the **distributed generation** is ~~connected~~connected or is proposed to be ~~connected~~connected.
- (3) The **distributed generator** must provide **reactive** metering if—
 - (a) the **meter** for the **distributed generation** is part of a **category 2 metering installation**, or a higher category of **metering installation**; and
 - (b) the **distributed generator** is required to do so by the **distributor**.
- (4) The **distributor's** requirements in respect of metering measurement and accuracy must be the same as set out in Part 10 of this Code.

5 Right of distributor to access distributed generator's premises

- (1) The **distributed generator** must provide the **distributor**, or a person appointed by the **distributor**, with safe and unobstructed access onto the **distributed generator's** premises at all reasonable times—

...

- (e) for the purposes of **electrically reconnecting** or **electrically disconnecting** the **distributed generation**; and
- (f) for any other purpose relevant to either or both of—
- (i) the **distributor** ~~connecting~~ **connecting distributed generation** in accordance with **connection and operation standards**; and
 - (ii) maintaining the integrity of the **distribution network**.

...

10 General obligation relating to interruptions

The **distributor** must make reasonable endeavours to ensure that the ~~connection~~ **connection** of the **distributed generation** is not interrupted.

11 Circumstances allowing distributor to temporarily **electrically** disconnect distributed generation

Despite clause 10, the **distributor** may interrupt the ~~connection~~ **connection** service, or curtail either the operation or output of the generation, or both, and may temporarily **electrically disconnect** ~~disconnect~~ the **distributed generation** in any of the following cases:

- (a) in accordance with the **distributor's congestion management policy**;
- (b) if reasonably necessary for planned **maintenance, construction**, and repairs on the **distribution network**;
- (c) for the purpose of protecting, or preventing danger or damage to, persons or property;
- (d) if the **distributed generator** fails to allow the **distributor** access as required by clause 5;
- (e) *[Revoked]*
- (f) in accordance with clause 13 (adverse operating effects);
- (g) if the **distributed generator** fails to comply with the **distributor's**—
 - (i) **connection and operation standards**; or
 - (ii) safety requirements.

12 Obligations if distributed generation temporarily **electrically** disconnected by distributor

- (1) The **distributor** must make reasonable endeavours to—
- (a) advise the **distributed generator** before an interruption under clause 11; and
 - (b) co-ordinate with the **distributed generator** to minimise the impact of the interruption.
- (2) The **distributor** and the **distributed generator** must co-operate to restore the **distribution network** and the **distributed generation** to a normal operating state as soon as is reasonably practicable following ~~temporary disconnection~~ **the distributed generation being temporarily electrically disconnected**.

- (3) In the case of a forced outage, the **distributor** must, subject to the need to restore the **distribution network**, make reasonable endeavours to—
- (a) restore service to the **distributed generator**; and
 - (b) advise the **distributed generator** of the expected duration of the outage.

13 Adverse operating effects

- (1) The **distributor** must advise the **distributed generator** as soon as is reasonably practicable if it reasonably considers that operation of the **distributed generation** may—
- (a) adversely affect the service provided to other **distribution network** customers; or
 - (b) cause damage to the **distribution network** or other facilities; or
 - (c) present a hazard to a person.
- (2) If, after receiving that advice, the **distributed generator** fails to remedy the adverse operating effect within a reasonable time, the **distributor** may electrically disconnect the **distributed generation** by giving reasonable notice (or without notice when reasonably necessary in the event of an emergency or hazardous situation).

14 Interruptions by distributed generator

- (1) This clause applies to any ~~connected~~connected **distributed generation** above 10 kW in total.
- (2) The **distributed generator** must advise the **distributor** of any **planned outages** and must make reasonable endeavours to advise the **distributor** of an event that affects **distribution network** operations.
- (3) The **distributed generator** must make reasonable endeavours to advise the **distributor** of the interruption and to co-ordinate with the **distributor** to minimise the impact of the interruption.

15 Disconnecting distributed generationPermanent disconnections

- (1) Despite clause 10, the **distributor** may ~~permanently disconnect~~ **distributed generation** in the following circumstances:
- (a) on receipt of a request from a **distributed generator**;
 - (b) without notice, if a **distributed generator** has been temporarily electrically disconnected under clause 11(g) and—
 - (i) the **distributed generator** fails to remedy the non-compliance within a reasonable period of time; and
 - (ii) there is an ongoing risk to persons or property;
 - (c) without notice, if the **trader** that is recorded in the **registry** as being responsible for the **ICP** to which the **distributed generation** is ~~connected~~connected to the **distribution network** has ~~de-energised~~electrically disconnected the **ICP** and advised the **registry** that the **ICP** has a status of "inactive" with the reason of "~~de-energised~~electrically disconnected – ready for decommissioning";
 - (d) on at least 10 **business days'** notice of intention to disconnect, if—
 - (i) the **distributed generator** has not injected **electricity** into the **distribution network** at any time in the preceding 12 months; and
 - (ii) the **distributor** has not been notified by the **distributed generator** of reasons for the non-injection; and
 - (iii) the **distributor** has reasonable grounds for believing that the **distributed**

generator has ceased to operate the **distributed generation**.

- (2) *[Revoked]*
- (3) If a **distributor** disconnects **distributed generation** under subclause (1) and the **point of connection** is to be **decommissioned**, the **distributor** must—
 - (a) remove all electrical conductors between the **distributed generation** and the **distributor's lines**;
 - (b) advise the **distributed generator** within 2 **business days** of the work referred to in subclause (a) having been completed.
- ~~(3) If the **point of connection** is to be disestablished in its entirety, a permanent disconnection must be performed by means of isolation of generation by removal of all electrical connections to **distributor's lines**. The **distributor** must advise the **distributed generator** within 2 **business days** of the work having been completed.~~
- (4) *[Revoked]*
- (5) *[Revoked]*

15A Distributed generator must construct distributed generation within 18 months of approval

- (1) This clause applies if the **distributor** approves the **distributed generator's** application to ~~connect~~connect **distributed generation** under Part 1, Part 1A, or Part 2 of Schedule 6.1.
- (2) The **regulated terms** cease to apply if the **distributed generator** does not **construct** the **distributed generation** within—
 - (a) 18 months from the date on which approval was granted; or
 - (b) such later date as is agreed by the **distributor** and **distributed generator**.
- (3) The **distributed generator** must reapply under Schedule 6.1 if—
 - (a) the **regulated terms** no longer apply in accordance with subclause (1); and
 - (b) the **distributed generator** wishes to ~~connect~~connect **distributed generation** to the **distributor's distribution network**.

Schedule 6.3

4 Application of pricing principles to disputes

- (1) The **Authority** and the **Rulings Panel** must apply the pricing principles set out in Schedule 6.4 to determine any ~~connection~~connection charges payable.
- (2) Subclause (1) applies if—
 - (a) there is a dispute under Part 6 of this Code; and
 - (b) in the opinion of the **Authority** or the **Rulings Panel** it is necessary or desirable to apply subclause (1) in order to resolve the dispute.

Schedule 6.4

- 2 The pricing principles are as follows:

Charges to be based on recovery of reasonable costs incurred by distributor to connect the distributed generator and to comply with connection and operation standards within the distribution network, and must include consideration of any identifiable avoided or avoidable costs

- (a) subject to paragraph (i), ~~connection~~connection charges in respect of **distributed generation** must not exceed the **incremental costs** of providing ~~connection~~

- connection services to the **distributed generation**. To avoid doubt, incremental cost is net of transmission and distribution costs that an efficient **distributor** would be able to avoid as a result of the ~~connection-connection~~ of the **distributed generation**:
- (b) costs that cannot be calculated (eg, avoidable costs) must be estimated with reference to reasonable estimates of how the **distributor's** capital investment decisions and operating costs would differ, in the future, with and without the generation:
 - (c) estimated costs may be adjusted ex post. Ex-post adjustment involves calculating, at the end of a period, what the actual costs incurred by the **distributor** as a result of the **distributed generation** being ~~connected-connected~~ to the **distribution network** were, and deducting the costs that would have been incurred had the generation not been ~~connected-connected~~. In this case, if the costs differ from the costs charged to the **distributed generator**, the **distributor** must advise the **distributed generator** and recover or refund those costs after they are incurred (unless the **distributor** and the **distributed generator** agree otherwise):

Capital and operating expenses

- (d) if costs include distinct capital expenditure, such as costs for a significant **asset** replacement or upgrade, the ~~connection-connection~~ charge attributable to the **distributed generator's** actions or proposals is payable by the **distributed generator** before the **distributor** has committed to incurring those costs. When making reasonable endeavours to facilitate ~~connection-connection~~, the **distributor** is not obliged to incur those costs until that payment has been received:
- (e) if **incremental costs** are negative, the **distributed generator** is deemed to be providing network support services to the **distributor**, and may invoice the **distributor** for this service and, in that case, the **distributed generator** must comply with all relevant obligations (for example, obligations under Part 6 of this Code and in respect of tax):
- (f) if costs relate to ongoing or periodic operating expenses, such as costs for routine **maintenance**, the ~~connection-connection~~ charge attributable to the **distributed generator's** actions or proposals may take the form of a periodic charge:
- (g) *[Revoked]*
- (h) after the ~~connection-connection~~ of the **distributed generation**, the **distributor** may review the ~~connection-connection~~ charges payable by a **distributed generator** not more than once in any 12-month period. Following a review, the **distributor** must advise the **distributed generator** in writing of any change in the ~~connection-connection~~ charges payable, and the reasons for any change, not less than 3 months before the date the change is to take effect:

Share of generation-driven costs

- (i) if multiple **distributed generators** are sharing an investment, the portion of costs payable by any 1 **distributed generator**—
 - (i) must be calculated so that the charges paid or payable by each **distributed generator** take into account the relative expected peak of each **distributed generator's** injected generation; and

- (ii) may also have regard to the percentage of **assets** that will be used by each **distributed generator**, the percentage of **distribution network capacity** used by each **distributed generator**, the relative share of expected maximum combined peak output, and whether the combined peak generation is coincident with the peak load on the **distribution network**:
- (j) in order to facilitate the calculation of equitable ~~connection~~-connection charges under paragraph (i), the **distributor** must make and retain adequate records of investments for a period of 60 months, provide the rationale for the investment in terms of facilitating **distributed generation**, and indicate the extent to which the associated costs have been or are to be recovered through generation ~~connection~~-connection charges:

Repayment of previously funded investment

- (k) if a **distributed generator** has paid ~~connection~~-connection charges that include (in part) the cost of an investment that is subsequently shared by other **distributed generators**, the **distributor** must refund to the **distributed generator** all ~~connection~~-connection charges paid to the **distributor** under paragraph (i) by other **distributed generators** in respect of that investment:
- (l) if there are multiple prior **distributed generators**, a refund to each **distributed generator** referred to in paragraph (k) must be provided in accordance with the expected peak of that **distributed generator's** injected generation over a period of time agreed between the **distributed generator** and the **distributor**. The refund—
 - (i) must take into account the relative expected peak of each **distributed generator's** injected generation; and
 - (ii) may also have regard to the percentage of **assets** that will be used by each **distributed generator**, the percentage of **distribution network capacity** used by each **distributed generator**, the relative share of expected maximum combined peak output, and whether the combined peak generation is coincident with the peak load on the **distribution network**:
- (m) no refund of previous payments from the **distributed generator** referred to in paragraph (k) is required after a period of 36 months from the initial ~~connection~~-connection of that **distributed generator**:

Non-firm connection service

- (n) to avoid doubt, nothing in Part 6 of this Code creates any **distribution network capacity** or property rights in any part of the **distribution network** unless these are specifically contracted for. **Distributors** must **maintain** ~~connection~~-connection and **lines** services to **distributed generators** in accordance with their **connection and operation standards**.

Part 7

7.3 Functions of the system operator in relation to security of supply and emergency management

- (1) The **system operator** must—
 - (a) prepare and **publish** a **security of supply forecasting and information policy** that includes a requirement that the **system operator**—
 - (i) prepare and **publish** at least annually a security of supply assessment that contains detailed supply and demand forecasts for at least 5 years, which assists interested parties to assess whether the energy security of supply standard and the capacity security of supply standard set out in subclause (2) are likely to be met; and
 - (ii) consult with persons that the **system operator** thinks are representative of the interests of persons likely to be substantially affected by a security of supply assessment prepared under subparagraph (i) before **publishing** such an assessment; and
 - (iii) prepare and publish information that assists interested parties to monitor how hydro and thermal generating capacity, transmission assets, primary fuel, and ancillary services are being utilised to manage risks of shortage, including extended dry periods; and
 - (iv) publish, in ~~connection with~~ relation to the information published under subparagraphs (i) and (iii), sufficient details of the modelling data, assumptions, and methodologies that the system operator has used to prepare that information as to allow interested parties to recreate that information (but without publishing information that is confidential to any participant); and
- ...

Part 8

8.15 System operator to prepare and review system security forecast

- (1) Every 2 years, the **system operator** must prepare, **publish**, and provide to the **Authority** a **system security forecast**.
- (1A) The **system security forecast** must—
 - (a) identify risks to the **system operator's** ability to meet the **principal performance obligations** over the ensuing period of not less than 36 months, and indicate how those risks can be managed; and
 - (b) take into account the capabilities of the **grid** and ~~connected~~ connected **assets** based on information known to, and able to be disclosed by, the **system operator**.
- (2) The date by which the **system operator** must **publish** the **system security forecast** and provide it to the **Authority** in each year in which the **system operator** is required to do so, is the date established for that purpose under rule 15 of section II of part C of the **rules**.
- (3) The **system operator** must review the most recent **system security forecast** prepared in accordance with subclause (1) at 6 monthly intervals until a new forecast or update is prepared. If, in the reasonable opinion of the **system operator**, a change has been made to

the power system that would materially affect the most recent forecast or update, the **system operator** must amend the **system security forecast**, **publish** it and provide it to the **Authority**.

8.19 Contributions to frequency support in under-frequency events

- (1) Subject to subclause (3), each **generator** must at all times ensure that, while **electrically connected**, its **assets**, other than any **excluded generating stations**, contribute to supporting frequency by remaining **synchronised**, ensuring that each of its **generating units** can and does, at a minimum, sustain pre-event output—
 - (a) at all times when the frequency is above 47.5 Hertz; and
 - (b) for at least 120 seconds when the frequency is 47.5 Hertz; and
 - (c) for at least 20 seconds when the frequency is 47.3 Hertz; and
 - (d) for at least 5 seconds when the frequency is 47.1 Hertz; and
 - (e) for at least 0.1 seconds when the frequency is 47.0 Hertz; and
 - (f) at any frequencies between those specified in paragraphs (b) to (e) for times derived by linear interpolation.
- (2) If the **inherent characteristics** and design of a **generator's generating unit** are such that it is reasonably able to operate beyond the above requirements, the **generator** must declare such capabilities in accordance with clause 2(5) of **Technical Code A** of Schedule 8.3.
- (3) Each South Island **generator** must ensure that each of its **assets**, other than excluded **generating units**, remains **synchronised**, and can and do, at a minimum, sustain pre-event output—
 - (a) at all times when the frequency is above 47 Hertz; and
 - (b) for 30 seconds if the frequency falls below 47 Hertz but not below 45 Hertz.
- (4) The **HVDC owner** must at all times ensure that, while **electrically connected**, its **assets** contribute to supporting frequency during an **under-frequency event** in either **island** by—
 - (a) remaining **electrically connected** to those **assets** making up the **grid** in the North Island and South Island while the frequency in both **islands** remains above 48 Hertz; and
 - (b) remaining **electrically connected** to those **assets** making up the **grid** in the North Island and South Island while the frequency in both **islands** remains below 48 Hertz and above 47 Hertz for 90 seconds; and
 - (c) remaining **electrically connected** to those **assets** making up the **grid** in the North Island and South Island while the frequency in both **islands** remains above 45 Hertz for 35 seconds, unless the frequency in either **island** is less than 46.5 Hertz and the frequency is falling at a rate of 7 Hertz per second or greater; and
 - (d) subject to the level of transfer and the **HVDC link** configuration at the beginning of the **under-frequency event**, if the **HVDC link** itself is not the cause of the **under-frequency event**, modifying the instantaneous transfer on the **HVDC link** by up to 250 MW with the objective of limiting the difference between the North Island and South Island frequencies to no greater than 0.2 Hertz.
- (5) Each **extended reserve provider** must provide **extended reserve** in accordance with Schedule 8.3, Technical Code B.

8.21 Excluded generating stations

- (1) For the purposes of clauses 8.17, 8.19 and the provisions in **Technical Code A** of Schedule 8.3 relating to the obligations of **asset owners** in respect of frequency, an **excluded generating station** means a **generating station** that exports less than 30 MW to a **local network** or the **grid**, unless the **Authority** has issued a direction under clause 8.38 that the **generating station** must comply with clauses 8.17, 8.19, and the relevant provisions in **Technical Code A** of Schedule 8.3.
- (2) Whether likely to be an **excluded generation station** or not, a **generator** who is planning to ~~connect~~connect to the **grid** or a **local network** a **generating unit** with rated net maximum capacity equal to or greater than 1 MW must provide the **system operator** with written advice of its intention to ~~connect~~connect together with other information relating to that **generating unit** in accordance with clause 8.25(4).

8.25 Other asset owner performance obligations and technical standards

- (1) Each **grid owner** must ensure that the design and configuration of its **assets** (including its ~~connections~~connections to other persons) and associated protection arrangements are consistent with the **technical codes** and, in the reasonable opinion of the **system operator**, with maintaining the **system operator's** ability to comply with the **principal performance obligations**. In reaching this opinion, the **system operator** must have regard to the potential impact of the design or configuration of those **assets** or associated protection arrangements on its compliance with the **principal performance obligations** and achievement of the **dispatch objective**.
- (2) Each **grid owner** and each **connected asset owner** must use reasonable endeavours to ensure that a **generator** who meets the following criteria provides the **system operator** with written advice of the existence of its **generating unit** and the **generator's** name and address:
 - (a) the **generator** is directly ~~connected~~connected to the **grid owner's grid** or directly or indirectly ~~connected~~connected to the **local network** (as the case may be);
 - (b) the **generator** has a **generating unit** with a rated net maximum capacity equal to or greater than 1 MW.
- (3) Each **asset owner** and each **purchaser** must provide communication facilities that comply with the **technical codes** or otherwise, as the **system operator** reasonably requires, which must assist the **system operator** in planning to comply, and complying, with its **principal performance obligations** and achieving the **dispatch objective**.
- (4) Each **asset owner** and each **purchaser** must provide information that complies with the **technical codes** or otherwise as the **system operator** reasonably requests, to assist the **system operator** in planning to comply, and complying, with its **principal performance obligations** and achieving the **dispatch objective**.
- (5) If the **system operator** reasonably considers it necessary to assist the **system operator** in planning to comply, and complying, with the **principal performance obligations** and achieving the **dispatch objective**, the **system operator**—
 - (a) may require that an **embedded generator** provide information regarding the intended output of each **embedded generating station** greater than 10 MW in capacity, that must be either—
 - (i) submitted as an **offer** in accordance with subpart 1 of Part 13; or

- (ii) provided in a form and manner agreed between the **system operator** and the **embedded generator**; and
 - (b) the **system operator** must notify the **embedded generator** of its requirement at least **20 business days** in advance of the requirement coming into effect.
- (6) If the **system operator** reasonably considers it necessary to assist it in planning to comply, and complying, with the **principal performance obligations** and achieving the **dispatch objective**, the **system operator** may apply to the **Authority** to require an **embedded generator** to provide information regarding the intended output of a group of **embedded generating stations** that total greater than 10 MW in capacity and that are ~~connected~~ connected to the same **grid exit point**. If the **Authority** approves the **system operator's** request, the information must be provided to the **system operator** by the relevant **embedded generator** in a form and manner determined by the **Authority**.

8.28 Responsibility for compliance

- (1) Each **asset owner** must comply with the **asset owner performance obligations** and **technical codes** at all times and must satisfy the **system operator**, whenever requested by the **system operator** acting reasonably, that each of its **assets** or configuration of **assets** complies with the **asset owner performance obligations** and **technical codes** that apply to that **asset** or configuration of **assets**.
- (2) If an **asset owner** receives notification under clause 8.27(3), it must co-operate with the **system operator** and use reasonable endeavours to restore compliance as soon as practicable.
- (3) During a period of ~~commissioning~~ commissioning or testing of **assets**, the **asset owner performance obligations** and **technical codes** do not apply to the **asset owner** in respect of the **assets**, if—
 - (a) the obligations that do not apply to the **asset owner** are specified in the agreed ~~commissioning~~ commissioning plan or testing plan; and
 - (b) during the period of non-compliance the **asset owner** complies with a ~~commissioning~~ commissioning plan or testing plan (as appropriate) agreed with the **system operator**; and
 - (c) the period of non-compliance is no longer than the agreed ~~commissioning~~ commissioning plan or testing plan; and
 - (d) subject to subclause (4), if an **asset owner** during a period of non-compliance meets the requirements of paragraphs (a) to (c), neither the **asset owner** nor the **system operator** is liable under this Code in relation to the non-compliance, except that the **asset owner** is not relieved of liability in the case of a negligent act or omission by the **asset owner**.
- (4) During any period of non-compliance, the non-compliant **asset owner** must pay the readily identifiable and quantifiable costs associated with its non-compliance, including the costs of the **system operator** purchasing additional **ancillary services** required as a consequence of its non-compliance.

Schedule 8.3, Technical Code A

2 General requirements

- (1) Each **asset owner** must ensure that—

- (a) its **assets** at **grid exit points** and at **grid injection points**, and, in the case of **connected asset owners**, the **assets** of any **embedded generator ~~connected~~ connected** to it, are identified and referred to by a **system number**; and
 - (b) its **assets**, both in the manner in which they are designed and operated, are capable of being operated, and operate, within the limits stated in the **asset capability statement** provided by the **asset owner** for that **asset**; and
 - (c) it meets any other reasonable requirements of the **system operator**, identified during planning studies, which are required for the **system operator** to plan to comply, or to comply, with its **principal performance obligations**.
- (2) Each **asset owner** must provide the **system operator** with an **asset capability statement**, and any other information reasonably required by the **system operator**, to allow the **system operator** to assess compliance of its **asset** or any configuration of **assets** with the requirements of the **asset owner performance obligations** and **technical codes** at each of the following times:
- (a) before the completion of planning for the construction of that **asset** or configuration of **assets**:
 - (b) at, or before, the completion of construction but before the **commissioning** ~~commissioning~~ of that **asset** or configuration of **assets**, except that the **asset owner** must put in place a **commissioning** ~~commissioning~~ plan in accordance with subclauses (6) to (8) to minimise the impact of **commissioning** ~~commissioning~~ tests on the **system operator**'s ability to comply with its **principal performance obligations**, and adhere to this plan during **commissioning** ~~commissioning~~, unless otherwise agreed to by the **system operator**.
- (3) On, or before, completion of **commissioning** ~~commissioning~~ of an **asset** or configuration of **assets**, the **asset owner** must obtain a final assessment in writing from the **system operator** that the **asset** or configuration of **assets** meets the requirements of the **asset owner performance obligations** and **technical codes**. This final assessment must be based on the information supplied by the **asset owner** and, if necessary, the result of **system tests** at **commissioning** ~~commissioning~~.
- (4) The **system operator** must give the assessment referred to in subclause (2)(b) within a reasonable time frame of the request and supply the **asset owner** with all information that supports its assessment. Any permission granted by the **system operator** to an **asset owner** to conduct **commissioning** ~~commissioning~~ of any **asset** or configuration of **assets** must permit ~~connection~~ connection of the **asset** (or configuration of **assets**) solely for the purposes of **commissioning** ~~commissioning~~.
- (5) Each **asset owner** must provide the **system operator** with an **asset capability statement** in the form from time to time **published** by the **system operator** for each **asset** that is proposed to be ~~connected~~ connected, or is ~~connected~~ connected to, or forms part of the **grid**. The **asset capability statement** must—
- (a) include all information reasonably requested by the **system operator** so as to allow the **system operator** to determine the limitations in the operation of the **asset** that the **system operator** needs to know for the safe and efficient operation of the **grid**; and
 - (b) include any modelling data for the planning studies, as reasonably requested by the **system operator**; and

- (c) be updated and reissued to the **system operator** as information and design development progresses through the study, design, manufacture, testing and **commissioning** phases; and
 - (d) be complete and up to date before the **commissioning** of the **asset**; and
 - (e) be complete and up to date at all times while the **asset** is ~~connected~~ **connected** to, or forms part of, the **grid**.
- (6) Each **asset owner** must provide a **commissioning plan** or test plan in accordance with subclauses (7) or (8) (as the case may be) in the following situations:
- (a) when changes are made to **assets** that alter any of the following at the **grid interface**:
 - (i) the **single-line diagram**;
 - (ii) a protection system, other than a change to a protection system setting;
 - (iii) a **control system**, including a change to a **control system** setting;
 - (iv) any rating of **assets**;
 - (b) when **assets** are to be ~~connected~~ **connected** to, or are to form part of, the **grid**;
 - (c) if it is necessary for an **asset owner** to perform a **system test** or other test to ascertain or confirm **asset** capabilities, and if the **commissioning** or testing or ~~connection~~ **connection** of those **assets** may affect the **system operator's** ability to plan to comply, or to comply with, its **principal performance obligations**. If an **asset owner** is unsure whether the **commissioning** or ~~connection~~ **connection** of an **asset** may impact on the **system operator's** ability to plan to comply, and to comply, with the **principal performance obligations** it must contact the **system operator** for advice.
- (7) The **commissioning plan** prepared by an **asset owner** and agreed by the **system operator** must—
- (a) include a timetable containing the sequence of events necessary to ~~connect~~ **connect** the **assets** to the **grid** and conduct any proposed **system test**; and
 - (b) contain the protection and control settings to be applied before livening of the **assets** (where livening has the meaning given to it in the Electricity (Safety) Regulations 2010); and
 - (c) contain the procedures for **commissioning** the plant with minimum risk to personnel and plant and to the ability of the **system operator** to plan to comply and to comply with its **principal performance obligations**.
- (8) If a test plan is required under subclause (6), it must be prepared by the **asset owner** in consultation with the **system operator**. The test plan must contain sufficient information to enable the **system operator** to plan to comply, and to comply, with the **principal performance obligations**.
- (9) Once assessed by the **system operator** acting reasonably, the **asset owner** must follow the **commissioning plan** or test plan at all times, unless otherwise agreed with the **system operator** (such agreement must not be unreasonably withheld if compliance with the **commissioning plan** or testing plan is not practicable and non-compliance does not impact on the **system operator's** ability to comply with its **principal performance obligations** or on other **asset owners**).

3 Requirements for asset information

- (1) In accordance with clause 8.25(4), the following information is required by the **system operator** to assist it to plan to comply, and to comply, with its **principal performance obligations**:
 - (a) sufficient information must be exchanged between the **system operator** and the **asset owner** to ensure that both fully understand the implications of any changes to the **asset capability statement** or of any proposed ~~connection~~connection of the relevant **assets** to the **grid** or to the **local network**. This information must be exchanged in accordance with a timetable agreed to by the **system operator** and the **asset owner**;
 - (b) if reasonably requested by the **system operator**, the **asset owner** must provide sufficient information to the **system operator** to demonstrate the compliance of the **asset owner's assets** with the **asset owner performance obligations** and the **technical codes**.
- (2) **Information** about an **asset**, **supply** or **demand** of other **asset owners** must only be disclosed by the **system operator**—
 - (a) as expressly provided for in this Code; or
 - (b) as reasonably required in a **grid emergency** or to ensure the security of the **grid**; or
 - (c) as required by **law**; or
 - (d) otherwise as may be agreed with the relevant **asset owners**.
- (3) Each **asset owner** must provide the **system operator** with—
 - (a) all information reasonably requested by the **system operator** so as to ensure compliance with clause 8.25(4) and to enable the **system operator** to assess the **grid interface**; and
 - (b) details of protection systems, including settings, to ensure that the requirements of clause 8.25(4) are met.
- (4) Each **asset owner** must ensure that all supporting information for the operational control of **assets** is kept up to date.

4 Requirements for grid and grid interface

- (1) Each **asset owner** and **grid owner** must co-operate with the **system operator** to ensure that protection systems on both sides of a **grid interface**, which include **main protection systems** and **back up protection systems**, are co-ordinated so that a faulted **asset** is **electrically disconnected** ~~disconnected~~ by the **main protection system** first and the other **assets** are not prematurely **electrically disconnected** ~~disconnected~~.
- (2) A proposed **grid interface**, including the settings of any associated protection system, must be agreed between the relevant **asset owner** and the **system operator** before being implemented.
- (3) Each **asset owner** must ensure that sufficient **circuit breakers** are provided for its **assets** so that each of its **assets** is able to be **electrically disconnected** ~~disconnected~~ totally from the **grid** whenever a fault occurs within the **asset**.
- (4) Each **asset owner** must ensure that it provides protection systems for its **assets** that are ~~connected~~connected to, or form part of, the **grid**. Each **asset owner** must also ensure that as a minimum requirement—
 - (a) such protection systems support the **system operator** in planning to comply, and complying, with the **principal performance obligations** and are designed,

~~commissioned~~ **commissioned** and maintained, and settings are applied, to achieve the following performance in a reliable manner:

- (i) **electrically disconnect** ~~disconnect~~ any faulted **asset** in minimum practical time (taking into account selectivity margins and industry best design practice) and minimum disruption to the operation of the **grid** or other **assets**;
 - (ii) be selective when operating, so that the minimum amount of **assets** are **electrically disconnected** ~~disconnected~~;
 - (iii) as far as reasonably practicable, preserve power system stability; and
 - (b) it provides duplicated **main protection systems** for each of its **assets** at voltages of 220 kV a.c. or above, other than busbars; and
 - (c) it provides, for each of its 220 kV a.c. busbars—
 - (i) a single **main protection system** and a **back up protection system**; or
 - (ii) if the performance of its **back up protection system** does not meet the requirements of paragraph (a), a duplicated **main protection system**; and
 - (d) it provides duplicated **main protection systems** for each of its busbars at voltages above 220 kV a.c.; and
 - (e) it designs, tests and maintains its **main protection systems** at voltages of 220 kV a.c. or above in accordance with the requirements set out in Appendix A; and
 - (f) it provides a **circuit breaker failure protection system**, that need not be duplicated, for each **circuit breaker** at voltages of 220 kV a.c. or above. **Circuit breaker** duplication is not required; and
 - (g) protection system design for a ~~connection~~ **connection** of **assets** to the **grid** at lower voltages must be similar to existing design practice in adjacent ~~connections~~ **connections** of **assets** to ensure coordination of protection systems.
- (5) At a **point of connection**—
- (a) an **asset owner**, other than a **grid owner**, must provide a means of checking **synchronisation** before the switching of **assets** if it is possible that such switching may result in **electrical connection** of parts of the New Zealand electric power system that are not **synchronised**; and
 - (b) a **grid owner** must provide a means of checking **synchronisation** before the switching of **assets** in locations agreed with the **system operator** so that it is not possible for such switching to result in **electrical connections** of parts of the New Zealand electric power system that are not **synchronised**.
- (6) An auto-reclose facility at the **grid interface**, at which power flows into the **grid** can occur, must include an appropriate **synchronising** check facility.

5 Specific requirements for generators

- (1) Each **generator** must ensure that—
- (a) each of its **generating units**, and its associated **control systems**,—
 - (i) supports the **system operator** to plan to comply, and to comply, with the **principal performance obligations**; and
 - (ii) is able to **synchronise** at a stable frequency within the frequency range stated in the **asset capability statement** for that **asset**; and
 - (b) the rate of change in the output of any of its **generating units** does not adversely affect the **system operator's** ability to plan to comply, and to comply, with the

- principal performance obligations.** The rate of change must be adjustable to allow for changes in **grid** conditions; and
- (c) each of its **generating units** has a speed governor that—
 - (i) provides stable performance with adequate damping; and
 - (ii) has an adjustable droop over the range of 0% to 7%; and
 - (iii) does not adversely affect the operation of the **grid** because of any of its non-linear characteristics; and
 - (d) appropriate speed governor settings to be applied before commencing **system tests** for a **generating unit** are agreed between the **system operator** and the **generator**. The performance of the **generating unit** is then assessed by measurements from **system tests** and final settings are then applied to the **generating unit** before making it ready for service after those final settings are agreed between the **system operator** and the **generator**. An **asset owner** must not change speed governor settings without **system operator** approval.
- (2) Each **grid-connected generator** directly connected to the **grid** must—
- (a) have an excitation and voltage control system with a voltage set point that is adjustable over the range of voltage set out in clause 8.23 and operates continuously in the voltage control mode when **synchronised**; and
 - (b) in order to meet the **asset owner performance obligations**, ensure that each of its **generating units** is equipped with either—
 - (i) a ~~connection~~-connection transformer with an appropriate range of taps on each transformer together with an on-load tap-changer; or
 - (ii) **assets** to give a dynamic performance equivalent to those required by subparagraph (i).
- (3) If the output of more than 1 **generating unit** is controlled by a common **control system**, the **generator** must ensure that—
- (a) the common **control system** does not adversely affect the ability of the **system operator** to plan to comply, and to comply, with the **principal performance obligations**; and
 - (b) the combined output from the **generating units** performs as though it were from 1 **generating unit**; and
 - (c) the **control system** does not degrade the individual performance of any one **generating unit**.
- (4) Each **generator** and **grid owner** must ensure that each of its **assets** is capable of operating under the voltage imbalance conditions stated in clause 4.9 of the **Connection Code** and, when operated within the limits stated in its **asset capability statement**, does not—
- (a) contribute unbalanced phase currents into the **grid**; or
 - (b) aggravate any current imbalance that may occur on the **grid**.
- (5) At some **points of connection**, a **generator** must ensure that its **generating units** have both **main protection systems** and **back-up protection systems** for nearby faults on the **grid**, if the necessity for, and the method of providing, such protection systems is agreed between the **system operator** and the **generator**.

6 Specific requirements for connected asset owners

Each **connected asset owner** must agree with the **system operator** any temporary or permanent ~~connection~~-connection of the **connected asset owner's assets** if those **assets**

become simultaneously ~~connected~~connected to the **grid** at more than 1 **point of connection**.

7 Modifications and changes to assets

- (1) **Assets** that have been modified, or are proposed to be modified, are deemed to be new **assets** for the purposes of this Code and this **Technical Code** and are subject to the requirements for ~~connection~~connection to the **grid** and the requirements for **commissioning** ~~commissioning~~ **assets**. For the purposes of this Schedule, the following are considered to be modifications to **assets**, if the new ~~connection~~connection or alteration may affect the capacity of the **assets** or may affect **asset owner performance obligations** or **technical code** requirements:
 - (a) a new ~~connection~~connection of **assets** to the **grid** or a **local network**;
 - (b) a new ~~connection~~connection of **assets** to form part of the **grid**;
 - (c) a new ~~connection~~connection of an **embedded generator** to a **local network** other than an **excluded generator** as defined in clause 8.21(1);
 - (d) an alteration to **assets** already ~~connected~~connected to the **grid** or, in the case of **embedded generator**, already ~~connected~~connected to a **local network**.
- (2) The **asset owner** must notify the **system operator** in a timely manner of any **assets** that have been **decommissioned** ~~decommissioned~~ if the **assets** affect or could affect the **system operator's** ability to comply with its **principal performance obligations**.

8 Records, tests and inspections

- (1) Each **asset owner** must arrange for, and retain, records for each of its **assets** to demonstrate that the **assets** comply with the **asset owner performance obligations** and this **technical code**.
- (2) In addition to the requirements for **commissioning** ~~commissioning~~ or testing in clause 2(6) to (8), each **asset owner** must carry out periodic testing—
 - (a) of its **assets** in accordance with Appendix B; and
 - (b) in the case of an **asset owner** that is an **extended reserve provider**, of **assets** specified in its **statement of extended reserve obligations** in accordance with that statement.
- (3) If the **system operator** advises an **asset owner** that it reasonably believes that an **asset** may not comply with an **asset owner performance obligation** or this **technical code**, the **asset owner** must—
 - (a) as soon as practicable, but no later than 30 days after receiving a written request, advise the **system operator** of its remedial or test plan for the **assets**; and
 - (b) as soon as reasonably practicable undertake any remedial action or testing of its **assets** in accordance with its plan advised to the **system operator** in paragraph (a).
The **system operator** may require such testing or remedial action to be undertaken in the presence of a **system operator** representative.
- (4) Each **asset owner** must, at the request of the **system operator**, provide access to records of the performance or testing of an **asset** and access to inspect an **asset**.

Schedule 8.3, Technical Code A, Appendix A

3 Specific requirements for duplicated main protection systems

Duplicated **main protection systems** (the 2 components of which are referred to in this appendix as main 1 protection and main 2 protection) at voltages of 220 kV a.c. or above must meet the requirements set out below:

- (a) duplicated **main protection systems** must be designed with sufficient coverage and probability of detection that if any or all parts of 1 **main protection system** fail, the other **main protection system** electrically disconnects ~~disconnects~~ a faulted **asset** before a **back up protection system** initiates the electrical disconnection ~~disconnection~~ of other non-faulted **assets**:
- (b) the d.c. supply to duplicated **main protection systems** must consist of 2 independent station batteries, each with its own charger, supervision, and with a capacity and carry over duty to cover charger failure until repair and restoration. Station batteries may only feed a common primary d.c. busbar provided that the busbar is insulated and isolated from earth:
- (c) the d.c. supply to each duplicated **main protection system** must be independently fused at the primary d.c. busbar:
- (d) the manufacturer of main 1 protection must not be the same as the manufacturer of main 2 protection, unless one protection uses different measurement principles from the other:
- (e) the current transformer core (or an equivalent instrument) and the cabling associated with that current transformer core or equivalent instrument (as the case may be) used for main 1 protection must be independent from that used for main 2 protection:
- (f) if a voltage transformer supply is required for main 1 or main 2 protection—
 - (i) the supply must be fused at the voltage transformer; and
 - (ii) the supply for main 1 protection must use an independent fuse and cable from those used for main 2 protection:
- (g) main 1 protection must use, in each of the **circuit breakers** tripped by that main 1 protection, an independent trip coil from that used for main 2 protection:
- (h) if protection signalling is used, main 1 protection must use a signal channel over an independent bearer on a different route from that used for main 2 protection:
- (i) main 1 protection cabling must be segregated from main 2 protection cabling in a manner that minimises the risk of common mode failure of main 1 and 2 protection and minimises the number of ~~connections~~ connections in any protection circuit.

4 Existing equipment

Despite clauses 1 and 3—

- (a) a current transformer commissioned ~~commissioned~~ before 31 May 2007 is not required to comply with clause 3(e) until the current transformer is replaced; and
- (b) a **circuit breaker** commissioned ~~commissioned~~ before 31 May 2007, if not designed to incorporate a second trip coil, is not required to comply with clause 3(g) until the **circuit breaker** is replaced; and
- (c) cabling commissioned ~~commissioned~~ before 31 May 2007, if not designed to be segregated, is not required to comply with the segregation requirements of clause 3(i) until the cabling is replaced.

Schedule 8.3, Technical Code B

4 Obligations of the system operator

The **system operator** must use reasonable endeavours to ensure that—

- (a) if necessary, each **participant** is advised of any independent action required of it if there is a **grid emergency**; and
- (b) facilities to be put in place by **grid owners** or other **asset owners** to manually **electrically disconnect** ~~disconnect~~ **demand** at each **point of connection** are specified.

5 Formal notices and responses

- (1) The **system operator** must issue a notice either orally or in writing to relevant **participants** whenever, or as soon as practicable after, any of the following events has occurred:
 - (a) the ability of the **system operator** to plan to comply, and to comply, with the **principal performance obligations** is at risk or is compromised (as set out in the **policy statement**):
 - (b) public safety is at risk:
 - (c) there is a risk of significant damage to **assets**:
 - (d) independent action has been taken in accordance with this **technical code** to restore the **system operator's principal performance obligations**.
- (1A) The **system operator** must issue a notice in writing to all **participants** whenever, or as soon as practicable after, an **island** wide instruction to **electrically disconnect** ~~disconnect~~ **demand** has been issued, amended, or revoked under clause 6.
- (1B) For the purposes of subclause (1A), an **island** wide instruction is when the electrical or geographical region affected by a notice is all of an **island**.
- (1C) The **system operator** must provide any notice issued under subclause (1A) to the **pricing manager** by 0730 hours on the following **trading day**.
- (2) The **system operator** must ensure that a **formal notice** issued in accordance with subclause (1) or subclause (1A) includes the following:
 - (a) the electrical or geographical region affected by the notice:
 - (b) the potential consequences of the situation:
 - (c) the responses requested of **participants**:
 - (d) the **trading periods** to which the notice applies.
- (3) The **system operator** must record the issue of a **formal notice**, and each **participant** must record receipt of a **formal notice**.
- (4) If the **system operator** issues a request in accordance with this **technical code** to a **participant**, the **participant** must use reasonable endeavours to respond to the request.

6 Actions to be taken by the system operator in a grid emergency

- (1) If insufficient generation and **frequency keeping** gives rise to a **grid emergency**, the **system operator** may, having regard to the priority below, if practicable, and regardless of whether a **formal notice** has been issued, do 1 or more of the following:
 - (a) request that a **generator** varies its **offer** and **dispatch** the **generator** in accordance with that **offer**, to ensure there is sufficient generation and **frequency keeping**:
 - (b) request that a **purchaser** or a **connected asset owner** reduce **demand**:

- (c) require a **grid owner** to reconfigure the **grid**;
 - (d) require the **electrical disconnection** ~~disconnection~~ of **demand** in accordance with clause 7A;
 - (e) take any other reasonable action to alleviate the **grid emergency**.
- (2) If insufficient transmission capacity gives rise to a **grid emergency**, the **system operator** may, having regard to the priority below, if practicable, and regardless of whether a **formal notice** has been issued, do 1 or more of the following:
- (a) request that a **generator** varies its **offer** and **dispatch** the **generator** in accordance with that **offer**, to ensure that the available transmission capacity within the **grid** is sufficient to transmit the remaining level of **demand**;
 - (b) request that an **asset owner** restores its **assets** that are not in service;
 - (c) request that a **purchaser** or **connected asset owner** reduces its **demand**;
 - (d) require the **electrical disconnection** ~~disconnection~~ of **demand** in accordance with clause 7A;
 - (e) take any other reasonable action to alleviate the **grid emergency**.
- (3) If frequency is outside the **normal band** and all available **injection** has been **dispatched**, the **system operator** may require the **electrical disconnection** ~~disconnection~~ of **demand** in accordance with clause 7A in appropriate block sizes until frequency is restored to the **normal band**.
- (4) If any **grid** voltage reaches the minimum voltage limit set out in the table contained in clause 8.22(1), and is sustained at or below that limit, the **system operator** may require the **electrical disconnection** ~~disconnection~~ of **demand** in accordance with clause 7A in appropriate block sizes until the voltage is restored to above the minimum voltage limit.
- (5) The **system operator** may, if an unexpected event occurs giving rise to a **grid emergency**, take any reasonable action to alleviate the **grid emergency**.

7A Emergency load shedding must maintain a process for

- (1) Each **connected asset owner** must maintain a process for **electrical disconnection** ~~disconnection~~ of **demand** for **points of connection**.
- (2) The process must specify the **participant that will effect the electrical disconnection** ~~disconnection~~ of **demand**.
- (3) The **connected asset owner** must obtain agreement for the process from the **system operator** and each **grid owner**.
- (4) Each **connected asset owner** must advise the **system operator** of the agreed process in addition to any changes to a process previously advised.
- (5) If the **system operator** requires the **electrical disconnection** ~~disconnection~~ of **demand** under this **technical code**, the **system operator** must instruct **connected asset owners** and **grid owners** in accordance with the agreed process under subclause (3) to **electrically disconnect** ~~disconnect~~ demand for the relevant **point of connection**.
- (6) If the **system operator** and a **connected asset owner** or **grid owner** have not agreed on a process for **electrical disconnection** ~~disconnection~~ of **demand** at a **point of connection**, the **system operator** must instruct **grid owners** to **electrically disconnect** ~~disconnect~~ **demand** directly at the relevant **point of connection**.
- (7) To the extent practicable, the **system operator** must use reasonable endeavours when instructing the **electrical disconnection** ~~disconnection~~ of **demand** to ensure equity between **connected asset owners**.

- (8) Each **connected asset owner** or **grid owner** must act as instructed by the **system operator** operating under clause 6.

7B Obligations of extended reserve providers in relation to automatic under-frequency load shedding

- (1) On the operation of **extended reserve** that is an **automatic under-frequency load shedding** system, an **extended reserve provider**—
- (a) must, as soon as practicable, advise the **system operator** of the operation of the **automatic under-frequency load shedding** system and, if reasonably required by the **system operator** to plan to comply, or to comply, with its **principal performance obligations**, a reasonable estimate of the amount of **demand** that has been **electrically disconnected** ~~disconnected~~; and
 - (b) may **electrically connect** ~~restore~~ **demand** only when permitted to do so by the **system operator**; and
 - (c) must ensure **demand** ~~restored~~ **electrically connected** under paragraph (b) complies with the obligations in its **statement of extended reserve obligations**; and
 - (d) must report to the **system operator** if **demand** is moved between **points of connection**; and
 - (e) may request permission to **electrically connect** ~~restore~~ **demand** from the **system operator** if no instruction to **electrically connect** ~~restore~~ **demand** is received from the **system operator** within 15 minutes of the frequency returning to the **normal band**; and
 - (f) may cautiously and gradually ~~restore~~ **electrically connect** the **demand** **electrically disconnected** ~~disconnected~~ through the **automatic under-frequency load shedding** system if there is a **loss of communication** with the **system operator**, 15 minutes after the **loss of communication** occurred.
- (2) An **extended reserve provider** may **electrically connect** ~~restore~~ **demand** only while frequency is within the **normal band** and voltage is within the required range.
- (3) Each **extended reserve provider** must immediately cease the **electrical connection** ~~restoration~~ of **demand** and, to the extent necessary, **electrically disconnect** ~~disconnect~~ **demand**, if the frequency drops below the **normal band** or the voltage moves outside the required range.
- (4) As soon as practicable after communications are restored, each **extended reserve provider** must report to the **system operator** on the status of **electrical connection** of load ~~restoration~~ and the status of re-arming the **automatic under-frequency load shedding** system.

8 Obligations of grid owners

- (1) A **grid owner** must use reasonable endeavours to ensure that appropriate assets are **installed for the manual** **electrically disconnect** ~~disconnection~~ of **demand** at **points of connection**.
- (2) A **grid owner** must take independent action as may be required by the **system operator** in accordance with clause 6(4), to **electrically disconnect** ~~disconnect~~ **demand** at **points of connection** when any grid voltage reaches the minimum voltage limit set out in the table contained in clause 8.22(1) and is sustained at or below that level. A **grid owner** must continue to **electrically disconnect** ~~disconnect~~ **demand** at **points of connection** while the

voltage remains below that minimum voltage limit, being guided by any arrangements with **connected asset owners** as advised by the **system operator**.

9 Obligations of generators and ancillary service agents to take independent action

The following independent action is required of **generators** and **ancillary service agents** during the occurrence of extreme variations of frequency or voltage at the **points of connection** to which their **assets** are **connected** ~~connected~~ (such extreme levels of frequency or voltage are deemed to constitute a **grid emergency** and require a fast and independent response from each **generator** and each **ancillary service agent**):

- (a) when the **under-frequency limit** is reached and the frequency continues to fall, each **generator** must use reasonable endeavours to take the following immediate independent action to assist in restoring frequency:
 - (i) increase the energy **injection** from each **generating unit** that is physically capable of increasing such **injection**;
 - (ii) attempt to restore **grid** frequency to the **normal band** by **synchronising**, ~~connecting to the grid~~ and loading each **generating unit** that is not **electrically connected** but is able to be **electrically connected** and operated in this manner;
 - (iii) **re-synchronise**, ~~re-connect to the grid~~ and load each **generating unit** that has tripped and is able to be **electrically connected** and operated in this manner;
 - (iv) report to the **system operator** as soon as practicable after taking action in accordance with subparagraphs (i) to (iii):
- (b) when the **over frequency limit** is reached and the frequency continues to rise, each **generator** must use reasonable endeavours to take the following immediate independent action to assist in restoring frequency:
 - (i) decrease the energy injection from **electrically connected generating units** if the **generator** is physically capable of decreasing such **injection**;
 - (ii) report to the **system operator** as soon as practicable after taking action in accordance with subparagraph (i):
- (c) when either the minimum voltage limit or the maximum voltage limit set out in the table contained in clause 8.22(1) is exceeded at any **point of connection**, **generators** and **ancillary service agents** must use reasonable endeavours to take immediate independent action to return the voltage to, as close as practicable, within such limits. Each **generator** must use reasonable endeavours to **synchronise**, ~~connect to the grid~~ and, as necessary, load and adjust all available **generating units** that can assist in restoring the voltage. **Ancillary service agents** must also use reasonable endeavours to **electrically connect** to the **grid** and, as necessary, load all available **reactive capability** resources, that can assist in restoring the voltage. As soon as practicable after taking such actions, each **generator** and **ancillary service agent** must report to the **system operator** on the action taken to correct voltage:
- (d) for a **loss of communication** with the **system operator**, lasting at least 5 minutes, each **generator** must use reasonable endeavours to—
 - (i) for **synchronised generating units**, take independent action to adjust supply to maintain frequency as close as possible to the **normal band**, and maintain voltage as close as possible either to that previously advised by the **system operator**, or as can be best established by the **generator**; and

- (ii) **synchronise and connect** available **generating units** to the **grid** if the **generating units** currently **electrically connected** do not have the capacity to control the frequency and voltage as required by paragraph (e)(i); and
 - (iii) continue to attempt to maintain the frequency and voltage to meet the requirements of paragraph (e)(i); and
 - (iv) as soon as practicable after communications are restored, report to the **system operator** on the action taken:
- (e) for a **loss of communication** with the **system operator** lasting at least 5 minutes, **ancillary service agents** must use reasonable endeavours to—
- (i) if on load, take independent action to adjust any real or **reactive power** resources to maintain frequency and voltage as close as possible either to that previously advised by the **system operator** or as can be best established by the **ancillary service agent**; and
 - (ii) **electrically connect** available **reactive capability** resources to the **grid** if the currently **electrically connected reactive power** resources do not have the capacity to control the voltage above the minimum limit set out in the table contained in clause 8.22(1); and
 - (iii) continue to attempt to maintain the voltage above the minimum limit set out in the table contained in clause 8.22(1); and
 - (iv) as soon as practicable after communications are restored, report to the **system operator** on the action taken:
- (f) in the event of a failure at the **system operator's** operational centre that disables the main **dispatch** or communication systems, the **system operator** may temporarily transfer its operational activities to an alternative operational centre, and the **system operator** must arrange for communication facilities to transfer to the new location and must notify **participants** of those arrangements.

Schedule 8.3, Technical Code C, Appendix A

*Appendix A: Indications and Measurements
(Clause 9(1)-(3) of Technical Code C)*

Table A1: Requirements of generators

Each **generator** must provide the indications and measurements in Table A1. If net (or gross) measurements are required in Table A1, the use of **scaling factors** together with the provision of the relevant gross (or net) values is acceptable with the **system operator's** approval. Each **generator** must provide **scaling factors** to the **grid owner** so that the **grid owner** can apply the adjustment at the **SCADA** server.

Indication or measurement	Values required	Accuracy ³
Station net MW	Import and export	±2%
Generating unit gross MW ¹	Import and export, for each generating unit	±2%
Station net Mvar	Import and export	±2%
Generating unit gross Mvar ¹	Import and export, for each generating unit	±2%

Indication or measurement	Values required	Accuracy ³
Generating unit circuit breaker status ¹	Open /closed /in transition/ indication error ²	N/A
Grid interface circuit breaker status	Open /closed /in transition/ indication error ²	N/A
Grid interface disconnecter status	Open /closed /in transition/ indication error	N/A
Special protection scheme status	Enabled/disabled/summer/winter	N/A
Maximum output capacity of generating station (for intermittent generators only)	Number of connected connected generating units × MW capability of each generating unit	N/A

Table A2: Requirements of grid owners:

Each **grid owner** must provide the indications and measurements shown in Table A2 in respect of **assets ~~connected~~ connected** to, or forming part of, the **grid**.

Indication or measurement	Values required	Accuracy ³
Grid interface circuit breaker status	Open /closed /in transition/ indication error ²	N/A
Grid interface disconnecter status	Open/ closed/ in transition/ closed to earth/ indication error	N/A
Grid interface auto reclose status	Enabled/disabled/ operated/locked out	N/A
Grid interface MW	Import and export	±2%
Grid interface Mvar	Import and export	±2%
Circuit Amps	Current at each termination point of a circuit	N/A
Circuit MW	MW at each termination point of a circuit	N/A
Circuit Mvar	Mvar at each termination point of a circuit	N/A
Special protection scheme status	Enabled/disabled/summer/winter	N/A
Tap positions for interconnecting transformers and supply transformers with on-load tap changers	Tap position for all windings including tapped tertiaries	N/A
Tap positions for interconnecting transformers and supply transformers with off-load tap changers ⁴	Tap position for all windings including tapped tertiaries	N/A
Reactive plant (eg RPC equipment, capacitor, reactor, condenser) Mvar	Import and export	±2%
Bus voltage	kV	±2%
Special protection scheme status	Enabled/disabled/summer/winter	N/A
HVDC modulation status	Frequency stabiliser/ spinning reserve sharing/ Haywards frequency control/ AC transient voltage support	N/A

Table A3: Requirements of connected asset owners

Each **connected asset owner** must provide the indications and measurements shown in Table A3 in respect of ~~assets connected~~connected to, or forming part of, the **grid**.

Indication or measurement	Values required	Accuracy ³
Grid interface circuit breaker status	Open/ closed/ in transition/ indication error ²	N/A
Grid interface disconnector status	Open/ closed/ in transition/ indication error	N/A
Grid interface auto reclose status	Enabled/disabled/operated/locked out	N/A
Special protection scheme status	Enabled/disabled/summer/winter	N/A
Reactive plant ⁵ (eg RPC equipment, capacitor, reactor, condenser) Mvar	Import and export	±2%

¹ Required only if a **generating unit** has a maximum continuous rating of greater than 5 MW.

² No intentional time delays should be included for **circuit breaker** indications as these are time tagged by the **system operator** to less than 10 ms.

³ If accuracy is measured at the input terminal of the RTU of the **grid owner**, under normal operating conditions at full scale.

⁴ Indication required within 5 minutes of status change.

⁵ Required only if reactive plant has a maximum continuous rating of greater than 5 Mvar.

Part 9

9.21 Qualifying customers

- (1) A **retailer's qualifying customer** is a person who, as at the end of the **qualifying date**, —
 - (a) is a **customer** of the **retailer**; and
 - (b) has a contract with the **retailer** for the supply of **electricity** in respect of an **ICP** at which—
 - (i) there is a **category 1 metering installation** or a **category 2 metering installation**; and
 - (ii) there was consumption, in the previous **year**, of 3000 kWh or more.
- (2) Despite subclause (1), a person is not a **qualifying customer** if the price of all of the **electricity** provided under the person's contract with the **retailer** for the supply of **electricity** is determined by reference to the **final price** at a **GXP**.
- (3) For the purposes of subclause (1)(b)(ii), if a **qualifying customer's** previous **year's** consumption at the **ICP** is not available to the **retailer**, the **retailer** must make a reasonable estimate of the consumption.
 - (4) To avoid doubt,—
 - (a) there is no **qualifying customer** at an **ICP** if, at the end of the **qualifying date**,—
 - (i) the premises to which the **ICP** is **electrically connected**~~connected~~ are vacant; or
 - (ii) the **ICP** is **electrically disconnected**~~disconnected~~;
 - (b) a **retailer's qualifying customers** includes a **customer** who switched—
 - (i) to the **retailer** from another **retailer** on or before the **qualifying date**, including during a **public conservation period**; or

- (ii) from the **retailer** to another **retailer** between the **qualifying date** and the date on which the **retailer** pays compensation under the **customer compensation scheme**.

Part 10

10.7 Access to premises in which metering installation located

- (1) In this clause, access to a **metering installation**—
 - (a) means physical access to the premises in which the **metering installation** is located; but
 - (b) does not include access to the following, which are dealt with in Schedule 10.6:
 - (i) **raw meter data** from the **metering installation**; and
 - (ii) the **metering installation** itself and its **metering components**.
- (2) A **reconciliation participant** must, upon receiving a request from 1 of the following parties, arrange access to a **metering installation** for which it is responsible:
 - (a) the **Authority**;
 - (b) an **ATH**;
 - (c) an **auditor**;
 - (d) a **metering equipment provider**;
 - (e) a **gaining metering equipment provider**.
- (3) A party listed in subclause (2) may only request access to the **metering installation** for the purposes of exercising the party's rights and performing the party's obligations under this Code or any relevant **regulations** ~~in connection with~~ relation to 1 or more of the following:
 - (a) the party's **audit** functions;
 - (b) the party's administration functions;
 - (c) the party's testing functions;
 - (d) the provision of **metering components**.
- (4) A **reconciliation participant** who is required to give a party listed in subclause (2) access to a **metering installation** must use its best endeavours to do so—
 - (a) in accordance with the authorisation, and any conditions or restrictions contained in the authorisation, referred to in subclause (5); and
 - (b) subject to and to the extent allowed by the authorisation, in a manner and within a timeframe which are appropriate in the circumstances, to enable the party to exercise the party's rights, or perform the party's obligations, that are dependent, either directly or indirectly, on access being given.
- (5) If the **reconciliation participant** referred to in subclause (2) is a **trader** responsible for an **ICP** that—
 - (a) has a **consumer**, the **trader** must have obtained the authorisation from the **consumer** to access the **metering installation** before arranging access; or
 - (b) does not have a **consumer**, the **trader** must arrange for access to the **metering installation**.
- (6) The **reconciliation participant** must arrange for the party listed in subclause (2) to be provided with any necessary facilities, codes, keys, or other means to enable the party to obtain access to the **metering installation** by the most practicable means.

10.24 Responsibility for ensuring there is metering installation for ICP that is not also NSP

A trader must, for each ~~energised~~**electrically connected** ICP that is not also an NSP, and for which it is recorded in the **registry** as being responsible, ensure that—

- (a) there is 1 or more **metering installations**; and
- (b) all **electricity** conveyed is quantified in accordance with this Code; and
- (c) it does not use subtraction to determine **submission information** for the purposes of Part 15.

10.26 Responsibility for ensuring there is metering installation for point of connection to grid

- (1) A **grid owner** must, for each **GXP** which connects to its **grid**, ensure that there is 1 or more **certified metering installations** for the **GXP**.
- (2) An **asset owner** must, for each **GIP** which connects to the **grid**, ensure that there is 1 or more **certified metering installations** for the **GIP**.
- (3) A **participant** who proposes to ~~connect~~**connect** to the **grid** at a new **point of connection** must take all practicable steps and use its best endeavours to agree with the **grid owner** and any other affected **participants**, on which **participant** will provide the **metering installation** for the proposed new **point of connection**.
- (4) If the **participants** cannot agree, within 60 **business days** of the **grid owner** first being advised of the proposed new **point of connection** to the **grid**, on the **participant** to be responsible for providing the **metering installation**,—
 - (a) any affected **participant** may advise the **market administrator**—
 - (i) that agreement has not been reached; and
 - (ii) of the identity of all affected **participants**; and
 - (iii) of the reasons (if and to the extent known) that agreement was not reached; and
 - (b) the **market administrator** must determine which **participant** must provide the **metering installation**; and
 - (c) the **market administrator** must advise—
 - (i) the relevant **participant** of its responsibility to provide the **metering installation**; and
 - (ii) the **participant** intending to ~~connect~~**connect** to the **grid** of its determination; and
 - (iii) the **grid owner** of its determination.
- (5) When determining which **participant** is responsible for providing the **metering installation**, the **market administrator** must, unless it is satisfied that there is good reason not to do so, do so on the basis that—
 - (a) the **grid owner** is responsible if the **market administrator** anticipates that the **point of connection** is a **GXP**; and
 - (b) the **participant** ~~connecting~~**connecting** assets to the **grid** at the **point of connection** is responsible if the **market administrator** anticipates that the **point of connection** is a **GIP**.

...

~~Connecting and e~~Electrically connecting ~~and energising~~ points of connection

10.28 Connecting and temporarily Eelectrically connecting point of connection

- (1) A **grid owner** may ~~electrically connect~~**connect** a **point of connection** to the **grid**.
- (2) A **distributor** that initiates the creation of an **NSP** on its **network** under Part 11 may ~~electrically connect~~**connect** the **NSP** to—

- (a) an **embedded network**, if the **embedded network** owner has agreed to the ~~connection~~connection; or
 - (b) a **local network**, if the **local network** owner has agreed to the ~~connection~~connection.
- (3) An **embedded network** owner that initiates the creation of an **NSP** on its network under Part 11 may ~~electrically connect~~connect the **NSP** to another **embedded network** if the other **embedded network** owner has agreed to the ~~connection~~connection.
- (4) A **distributor** may ~~electrically connect~~connect an **ICP** that is not an **NSP**.
- (5) No other **participant** may effect an ~~electrical connection~~ a connection to which subclauses (1) to (4) apply.
- (5A) A metering equipment provider may request a point of connection be temporarily electrically connected for the purposes of carrying out, at that point of connection,—**
- (a) the activities or processes necessary for, or as part of, the certification of a metering installation; or
 - (b) the maintenance, repair, testing, or commissioning of a metering installation.
- (6) ~~Despite subclause (5A), a~~ **A metering equipment provider must not request the temporary energisation of that a new point of connection be temporarily electrically connected** unless—
- (a) the **metering equipment provider** is authorised to do so by the **reconciliation participant** responsible for the **point of connection**; and
 - (b) the **metering equipment provider** has an arrangement with that **reconciliation participant** to provide **metering** services.
- (7) A **network** owner must not ~~electrically connect~~ connect a new **point of connection** to its **network** that is to be quantified with a **category 1 metering installation**, or higher category of **metering installation**, unless requested to do so by—
- (a) the **metering equipment provider**, for the purposes in subclause (5A) ~~a temporary energisation of the point of connection~~; or
 - (b) the **reconciliation participant** responsible for ensuring there is a **metering installation**, for the **point of connection**.

10.29 ~~Electrically e~~Connecting point of connection to grid

- (1) Despite clause 10.28(1), a **grid owner** must not ~~electrically connect~~ connect a **point of connection** to the **grid** unless it has—
- (a) ensured that the processes described in clause 10.26 have been carried out; and
 - (b) requested, in the **prescribed form**, not less than 20 **business days** before the proposed ~~connection~~connection date, authorisation from the **market administrator**, to ~~connect~~ connect the **point of connection**; and
 - (c) obtained the authorisation referred to in paragraph (b) from the **market administrator**.
- (2) The **grid owner** must, within 5 **business days** of ~~electrically connecting~~ connecting a **point of connection** to the **grid**, advise the **reconciliation manager** of—
- (a) the **point of connection** that has been ~~connected~~ connected; and
 - (b) the ~~connection~~ connection date.

10.30 Connecting and temporarily electrically connecting NSP that is not point of connection to grid

- (1) Despite clause 10.28(2), a **distributor** must not connect an **NSP** unless a **reconciliation participant** has requested the connection. —
 - (a) ~~must not electrically connect an NSP unless a reconciliation participant has requested the connection; but~~
 - (b) ~~may electrically connect an NSP if a metering equipment provider has requested temporary energisation of the NSP.~~
- (2) A **distributor** must, within 5 **business days** of ~~electrically connecting~~ connecting an **NSP**, advise the **reconciliation manager** of the following:
 - (a) the **NSP** that has been ~~connected~~ connected; and
 - (b) the ~~connection~~ connection date; and
 - (c) the **participant identifier** of the **metering equipment provider** for each **metering installation** for the **NSP**; and
 - (d) the **certification** expiry date of each **metering installation** for the **NSP**.
- (3) A **distributor** may temporarily **electrically connect** an **NSP** if a **metering equipment provider** has requested that the **NSP** be temporarily **electrically connected** for the purposes of carrying out, at that **NSP**, —
 - (a) the activities or processes necessary for, or as part of, the **certification of a metering installation**; or
 - (b) the maintenance, repair, testing, or **commissioning** of a **metering installation**.

10.31 Connecting and temporarily electrically connecting ICP that is not NSP

- (1) Despite clause 10.28(4), a **distributor** must not ~~electrically connect~~ connect an **ICP** that is not an **NSP** unless the **trader** trading at the **ICP** has requested the connection. —
 - (a) ~~the trader trading at the ICP has requested the connection; or~~
 - (b) ~~the metering equipment provider who has an arrangement with the trader trading at the ICP has requested temporary energisation of the ICP.~~
- (2) A **distributor** may temporarily **electrically connect** an **ICP** that is not an **NSP** if a **metering equipment provider** has requested that the **ICP** be temporarily **electrically connected** for the purposes of carrying out, at that **ICP**, —
 - (a) the activities or processes necessary for, or as part of, the **certification of a metering installation**; or
 - (b) the maintenance, repair, testing, or **commissioning** of a **metering installation**.

10.32 Reconciliation participant requesting electrical connection of point of connection

A **reconciliation participant** must only request the ~~electrical connection~~ connection of a **point of connection** if the **reconciliation participant**—

- (a) accepts responsibility for the **reconciliation participant's** obligations in this Part and Parts 11 and 15 for the **point of connection**; and
- (b) has an arrangement with a **metering equipment provider** to provide 1 or more **metering installations** for the **point of connection**.

10.33 Energisation of electrically connecting point of connection

- (1) A **reconciliation participant** may ~~energise electrically connect~~ a **point of connection**, or authorise a **point of connection** to be ~~energised~~ **electrically connected**, if—

- (a) the **reconciliation participant** is recorded in the **registry** as being responsible for the **ICP**; and
 - (b) 1 or more **certified metering installations** are in place in accordance with this Part; and
 - (c) in the case of an **ICP** that has not previously been ~~energised~~ **electrically connected**, the owner of the **network** to which the **point of connection** is ~~connected~~ **connected** has given written approval.
- (2) A **reconciliation participant** that meets the requirements of subclause (1)(a)—
- (a) may authorise a **metering equipment provider**, with which it has an arrangement, to request the ~~temporary energisation~~ of a **point of connection** be temporarily electrically connected, for the purposes of carrying out, at that **point of connection**,
 - (i) the activities or processes necessary for, or as part of, the certification of a metering installation; or
 - (ii) the maintenance, repair, testing, or commissioning of a metering installation;
 - (b) may authorise ~~energisation~~ of that an **ICP** be electrically connected if—
 - (i) a **metering installation** is in place at the **ICP**; and
 - (ii) the **metering installation** is operational but not **certified**; and
 - (iii) the **reconciliation participant** arranges for the **certification** of the **metering installation** to be completed within 5 **business days** of the ~~energisation~~ date of being electrically connected;
 - (c) may ~~energise~~ electrically connect an **ICP** if the **point of connection** is solely for **unmetered load**.
- (3) A **reconciliation participant** must not authorise the ~~energisation~~ of a **point of connection** be electrically connected in any of the following circumstances:
- (a) a **distributor** has ~~de-energised~~ electrically disconnected the **point of connection** for safety reasons, and has not subsequently approved the ~~energisation~~ point of connection be electrically connected;
 - (b) the ~~energisation~~ of electrically connecting the **point of connection** would breach the Electricity (Safety) Regulations 2010.
- (4) No **participant** may ~~energise~~ electrically connect a **point of connection**, or authorise the ~~energisation~~ of a **point of connection** be electrically connected, other than a **reconciliation participant** as described in subclauses (1) to (3).

10.36 Reconciliation participant to have arrangement with metering equipment provider

A **reconciliation participant** must, before accepting responsibility to be the **reconciliation participant** for a **point of connection**, enter into an arrangement with a **metering equipment provider**—

- (a) for the **reconciliation participant** to provide the **metering equipment provider** with physical access to the **metering installation** for the **point of connection** and the premises at which it is situated; and
- (b) arranging for the **point of connection** to be electrically disconnected ~~de-energisation~~ if required by the **metering equipment provider** to enable the **metering equipment provider** to comply with its obligations under this Part; and
- (c) for the **metering equipment provider** to provide the **reconciliation participant**

with access at the **services access interface** to the **metering data** from the **metering installation** for the **point of connection**, in accordance with an authorisation from—

- (i) in the case of an **ICP**, the **consumer**; or
- (ii) in the case of an **NSP**, the **network** owner.

10.39 Responsibility for metering infrastructure integration

- (1) A **metering equipment provider** must ensure that—
 - (a) for each **metering installation** for which it is responsible, an appropriately designed **metering infrastructure** is in place; and
 - (b) in each **metering installation** for which it is responsible,—
 - (i) each **metering component** is compatible with, and will not cause any interference with the operation of, any other **metering component** in the **metering installation**; and
 - (ii) collectively, all **metering components** integrate to provide a functioning system; and
 - (c) each **metering installation** for which it is responsible is correctly and accurately integrated within the associated **metering infrastructure**.
- (2) Subclause (1) does not apply to an electrically disconnected ~~a de-energised~~ **metering installation** for an **ICP**.

Schedule 10.6

1 Metering equipment provider must provide access to raw meter data

- (1) A **metering equipment provider** must, within 10 **business days** of receiving a request from a **trader** with whom it has an arrangement to access **raw meter data** from a **metering installation** for which the **metering equipment provider** is responsible, give remote or onsite access at the **services access interface** to the **trader** to collect, obtain, and use **raw meter data** from the **metering installation**.
- (2) A **metering equipment provider** may, if it receives a request from a person with whom it has an arrangement, other than a **trader** under subclause (1), to access **raw meter data** from a **metering installation** for which the **metering equipment provider** is responsible, give remote or onsite access at the **services access interface** to the person to collect, obtain, and use **raw meter data** from the **metering installation**.
- (3) A **metering equipment provider** must only give access to a **trader** under subclause (1), or a person under subclause (2), if the **trader** or person has entered into a contract to collect, obtain, and use the **raw meter data**, with the **consumer** whose **electricity** is measured or estimated, or whose load is controlled at the **metering installation**.
- (4) A **metering equipment provider** must, within 10 **business days** of receiving a request from 1 of the following parties, give the party access to **raw meter data** from a **metering installation** for which it is responsible:
 - (a) a relevant **reconciliation participant** with whom it has an arrangement, other than a **trader**;
 - (b) the **Authority**;
 - (c) an **ATH**;
 - (d) an **auditor**.
- (5) A party listed in subclause (4) may only request access to **raw meter data** for the purposes

of exercising the party's rights and performing the party's obligations under this Code or any relevant **regulations** in ~~relation to connection with~~ 1 or more of the following:

- (a) the party's **audit** functions:
 - (b) the party's administration functions:
 - (c) the party's testing functions:
 - (d) the provision of **submission information** to the **reconciliation manager**.
- (6) The **metering equipment provider** must provide a **trader** under subclause (1) or a party under subclause (4) with—
- (a) the **raw meter data**; or
 - (b) any necessary facilities, codes, keys, or other means to enable the **trader** or party to access the **raw meter data** by the most practicable means.
- (7) The **metering equipment provider** must, when complying with subclause (6), or when providing access to a person under subclause (2), use appropriate procedures to ensure that—
- (a) the **raw meter data** is received only by—
 - (i) the **trader**, person, or party; or
 - (ii) a contractor to a **trader**, person, or party; and
 - (b) the security of the **raw meter data** and the **metering installation** is maintained; and
 - (c) access to **raw meter data** under subclauses (1) to (6) is limited to only the specific **raw meter data**—
 - (i) authorised by a contract described in subclause (3), in the case of a **trader** under subclause (1) or a person under subclause (2); or
 - (ii) required for the purposes of exercising the party's rights and performing the party's obligations under this Code, any relevant **regulations**, or the **Act** in ~~connection with~~ relation to the party's **audit**, administration, and testing functions, in the case of a party referred to in subclause (4).
- (8) Nothing in this Part affects proprietary interests in **metering data**.

3 Metering equipment provider must provide access to metering installation

- (1) A **metering equipment provider** must, within 10 **business days** of receiving a request from 1 of the following parties, arrange physical access to each **metering component** in a **metering installation** for which it is responsible:
- (a) a relevant **reconciliation participant** with whom it has an arrangement, other than a **trader**:
 - (b) the **Authority**;
 - (c) an **ATH**;
 - (d) an **auditor**;
 - (e) a **gaining metering equipment provider**.
- (2) A party listed in subclause (1) may only request physical access to a **metering component** in the **metering installation** for the purposes of exercising the party's rights and performing the party's obligations under this Code or any relevant **regulations** in ~~connection with~~ relation to 1 or more of the following:
- (a) the party's **audit** functions:
 - (b) the party's administration functions:
 - (c) the party's testing functions:
 - (d) the provision of **metering components**.

- (3) The **metering equipment provider** must arrange for a party under subclause (1) to be provided with any necessary facilities, codes, keys, or other means to enable the party to obtain physical access to all **metering components** in the **metering installation** by the most practicable means.
- (4) In complying with subclause (3), the **metering equipment provider** must use appropriate procedures to ensure that—
 - (a) the security of the **metering installation** is maintained; and
 - (b) physical access to the **metering installation** under subclause (1) is limited to only the physical access required for the purposes of exercising the party's rights and performing the party's obligations under this Code or any relevant **regulations** in ~~connection with~~relation to the party's **audit**, administration, and testing functions.
- (5) If a party referred to in subclause (1) requires urgent physical access to a **metering installation**, it must advise the relevant **metering equipment provider**, giving all relevant particulars of the physical access required and the reason for the urgency, and the **metering equipment provider** must use its best endeavours to arrange physical access in accordance with the requested urgency.

5 Metering equipment provider to provide access to metering records

- (1) A **gaining metering equipment provider** may request that a **losing metering equipment provider** provide it with access to **metering records** required for the **gaining metering equipment provider** to exercise its rights and perform its obligations under this Code or any relevant **regulations** in ~~connection with~~relation to its respective **auditing**, administration, and testing functions.
- (2) The **losing metering equipment provider** must, within 10 **business days** of receiving a request under subclause (1), provide the **gaining metering equipment provider** with—
 - (a) the **metering records**; or
 - (b) any necessary facilities, codes, keys, or other means to enable the **gaining metering equipment provider** to obtain access to the **metering records** by the most practicable means.
- (3) In complying with subclause (2), the **losing metering equipment provider** must use appropriate procedures to ensure that—
 - (a) the **metering records** are received only by the **gaining metering equipment provider** or its contractor; and
 - (b) the security of the **metering records** is maintained; and
 - (c) it only provides access to the specific **metering records** required for the purposes of the **gaining metering equipment provider** exercising its rights and performing its obligations under this Code or any relevant **regulations** in ~~connection with~~relation to its **auditing**, administration, and testing functions.

Schedule 10.7

5 Determination of metering installation category

An **ATH** must, before it **certifies** a **metering installation**, determine the category of the **metering installation** in accordance with the following:

- (a) subject to clause 6, if the **metering installation** incorporates a current transformer, its category must be determined according to the primary current rating of the current

transformer and the ~~connected~~-connected voltage set out in Table 1 of Schedule 10.1:

- (b) if the **metering installation** does not incorporate a current transformer and the quantity of **electricity** conveyed is measured by a **meter**, it must be category 1.

15 Recertification programme

- (1) A **metering equipment provider** must have a **recertification** programme for all **metering installations** for which it is responsible to ensure that each **metering installation** is **recertified** prior to the expiry date of its then current **certification** if the **metering installation** is not **decommissioned**.
- (2) Subclause (1) does not apply to an electrically disconnected ~~a de-energised~~ **metering installation** for an ICP.

30 Other equipment using measuring transformer

- (1) A **metering equipment provider** must not permit a **measuring transformer**, in a **metering installation** for which it is responsible, to be connected to equipment used at any time for a purpose other than **metering**, unless it is not practical for the equipment to have a separate **measuring transformer**.
- (2) An **ATH** must, before it **certifies** a **metering installation** incorporating a **measuring transformer** used by—
 - (a) another **metering installation**, ensure, where voltage transformers are connected to more than 1 **meter**, that—
 - (i) the **meters** are included in the **metering installation** being **certified**; and
 - (ii) appropriate fuses or **circuit breakers** are provided to protect the **metering** circuit from short circuits or overloads affecting the other **meter**;
 - (b) equipment referred to in subclause (1), ensure that—
 - (i) the accuracy of the **metering installation** remains within the maximum permitted error for the relevant **metering installation** category set out in Table 1 of Schedule 10.1; and
 - (ii) the **metering installation certification report** confirms that the accuracy of the **metering installation** remains within the maximum permitted error for the relevant **metering installation** set out in Table 1 of Schedule 10.1; and
 - (iii) any wiring between the equipment and any part of the **metering installation** has no intermediate joints; and
 - (iv) the equipment referred to in subclause (1) is labelled appropriately, including with any ~~de-energisation~~ restrictions regarding being electrically disconnected; and
 - (v) the connection details of the equipment referred to in subclause (1) are recorded in the **metering installation** design report; and
 - (vi) appropriate fuses or **circuit breakers** are provided to protect the voltage transformer and **metering** circuit from short circuits or overloads affecting the other equipment; and
 - (vii) the wiring referred to in subparagraph (iii) is **certified** as part of the **metering installation**.
- (3) *[Revoked]*

38 Requirements for certification of metering installation incorporating data storage device

...

- (2) An **ATH** must, before it **certifies a metering installation**,—
- (a) ensure that each **data storage device** in the **metering installation**—
- ...
- (iv) has appropriate electrical separation between all of its outputs and inputs ~~appropriately electrically isolated and~~ all of its outputs and inputs are rated for purpose; and

Part 11

11.1 Contents of this Part

This Part—

- (a) provides for the management of information held by the **registry**; and
- (b) prescribes a process for switching **customers** and **embedded generators** between **traders**; and
- (c) prescribes a process for a **distributor** to change the record in the **registry** of an **ICP** so that the **ICP** is recorded as being usually ~~connected~~ connected to an **NSP** in the **distributor's network**; and
- (d) prescribes a process for switching responsibility for **metering installations** for **ICPs** between **metering equipment providers**; and
- (e) prescribes a process for dealing with **trader events of default**; and
- (f) requires **retailers** to give **consumers** information about their own consumption of **electricity**; and
- (g) requires **retailers** to give information about their **generally available retail tariff plans** to any person on request.

11.3 Certain points of connection must have ICP identifiers

- (1) This clause applies to the following:
- (a) a **trader** who has agreed to purchase **electricity** from an **embedded generator** or sell **electricity** to a **consumer**:
- (b) an **embedded generator** who sells **electricity** directly to the **clearing manager**:
- (c) a **direct purchaser** connected~~connected~~ to a **local network** or an **embedded network**:
- (d) an **embedded network** owner in relation to a **point of connection** on an **embedded network** that is settled by differencing:
- (e) a **network** owner in relation to a **shared unmetered load point of connection** to the **network** owner's **network**:
- (f) a **network** owner in relation to a **point of connection** between the **network** owner's **network** and an **embedded network**.
- (2) A **participant** to whom this clause applies must, before the **participant** assumes responsibility for a **point of connection** described in subclause (3) on a **local network** or **embedded network**, obtain an **ICP identifier** for the **point of connection**.

- (3) The **points of connection** for which **ICP identifiers** must be obtained under subclause (2) are **points of connection** at which any of the following occurs:
- (a) a **consumer** purchases **electricity** from a **trader**;
 - (b) a **trader** purchases **electricity** from an **embedded generator**;
 - (c) a **direct purchaser** purchases **electricity** from the **clearing manager**;
 - (d) an **embedded generator** sells **electricity** directly to the **clearing manager**;
 - (e) a **network** is settled by differencing;
 - (f) there is a **distributor** status **ICP**—
 - (i) at the **point of connection** between an **embedded network** and the **distributor's network**; or
 - (ii) at the **point of connection** of **shared unmetered load**.

11.4 Distributors must create ICP identifiers for ICPs

- (1) Each **distributor** must create an **ICP identifier** in accordance with clause 1 of Schedule 11.1 for each **ICP** on each **network** for which the **distributor** is responsible.
- (2) A **distributor** must create an **ICP identifier** for the **point of connection** at which an **embedded network** connects to the **distributor's network** in accordance with subclause (1).
- (3) An **ICP identifier** for an **ICP** may not be changed.

11.8 Provision of and changes to ICP information and NSP information by participants

- (1) This clause applies if—
 - (a) an **NSP** is to be created or ~~decommissioned~~ **decommissioned**; or
 - (b) a **distributor** wishes to change the record in the **registry** of an **ICP** that is not recorded as being usually ~~connected~~ **connected** to an **NSP** in the **distributor's network**, so that the **ICP** is recorded as being usually ~~connected~~ **connected** to an **NSP** in the **distributor's network** (a "transfer").
- (2) The **participant** specified in clause 25(3) of Schedule 11.1 must give the notification required by clause 25(1) of Schedule 11.1.
- (3) A **distributor** to whom subclause (1)(b) applies must comply with clause 25(2) of Schedule 11.1.
- (4) The **participants** specified in clauses 25 to 27 of Schedule 11.1 must comply with those clauses.
- (5) If a **network** owner acquires all or part of an existing **network**, the **network** owner must give the notification required by clause 29 of Schedule 11.1.

11.14 Process for maintaining shared unmetered load

- (1) This clause applies if **shared unmetered load** is ~~connected~~ **connected** to a **distributor's network**.
- (2) The **distributor** must notify the **registry**, and each **trader** responsible under clause 11.18(1) for the **ICPs** across which the **unmetered load** is shared, of the **ICP identifiers** of those **ICPs**.
- (3) A **trader** who receives notification under subclause (2) must notify the **distributor** if it wishes to add an **ICP** to or omit an **ICP** from the **ICPs** across which the **unmetered load** is shared.

- (4) A **distributor** who receives notification under subclause (3) must notify the **registry** and each **trader** responsible for any of the **ICPs** across which the **unmetered load** is shared of the addition or omission of the **ICP**.
- (5) If a **distributor** becomes aware of a change to the capacity of an **ICP** across which the **unmetered load** is shared or that an **ICP** across which the **unmetered load** is shared is **decommissioned**~~decommissioned~~, it must notify all **traders** who receive notification under subclause (2) of the change or **decommissioning**~~decommissioning~~ as soon as practicable after the change or decommissioning.

11.17 ~~Electrically e~~Connecting ICP that is not also NSP

- (1A) A **distributor** must, when ~~electrically connecting~~ connecting an **ICP** that is not also an **NSP**, follow the ~~connection~~ connection process set out in clause 10.31.
- (1) A **distributor** must not ~~electrically connect~~ connect an **ICP** across which **unmetered load** is shared unless a **trader** is recorded in the **registry** as accepting responsibility for the **shared unmetered load**.
- (2) A **distributor** must not ~~electrically connect~~ connect an **ICP** of any other kind unless a **trader** is recorded in the **registry** as accepting responsibility for the **ICP**.
- (3) Subclause (2) does not apply to an **ICP** that is—
 - (a) the **point of connection** between a **network** and an **embedded network**; or
 - (b) the **point of connection** of **shared unmetered load**.

11.25 Reports to the clearing manager, system operator or reconciliation manager

- (1) The **clearing manager**, or the **system operator**, or the **reconciliation manager** may request in writing, no later than 5 **business days** before the last day of the month before the 1st month for which the report is requested, a report that includes any or all of the following information:
 - (a) all active **NSPs** ~~connected~~ connected to a **local network** during the immediately preceding 14 calendar months:
 - (b) all active **NSPs** ~~connected~~ connected to a **network** for which a **trader** is, and has over the immediately preceding 14 calendar months been, responsible:
 - (c) the dates on which each **trader's** responsibility under this Code at an **NSP** commenced and ceased.
- (2) The **system operator** may at any time request, in writing, a report that sets out every switch made under clauses 2, 9 or 14 of Schedule 11.3, the effect of which is that a **trader** has commenced trading at an **NSP** or a **trader** has ceased trading at an **NSP**.
- (3) A request made under subclauses (1) or (2) may—
 - (a) be a one-off request; or
 - (b) specify a frequency over a particular period; or
 - (c) specify a frequency over an indefinite period until terminated by the requesting person.
- (4) If the request is received by the time specified in this clause, the **registry** must provide the report by 1000 hours on the 1st **business day** of the calendar month following the calendar month in which the request was made, or if the request for the report specifies a later date, by the later date.
- (5) The person who requested the report may vary any of the details set out in the request, by giving notification to the **registry** of the relevant details in writing by no later than 5

business days before the last day of the month before the 1st month for which the person requests the variation.

- (6) The **registry** must comply with a request made in accordance with subclause (5) by 1000 hours on the 1st **business day** of the calendar month following the calendar month in which the request was made.

11.31 Customer and embedded generator queries

- (1) If a **trader** receives a request from a **customer** of the **trader** or a person authorised by a **customer** of the **trader** for the **customer's ICP identifier**, the **trader** must provide that information no later than 3 **business days** after receiving the request.
- (2) If a **distributor** receives a request from a **customer** or **embedded generator** whose **ICP** is ~~connected~~connected to the **distributor's network** for the **customer** or **embedded generator's ICP identifier**, or a person authorised by such a **customer** or **embedded generator**, the **distributor** must provide that information no later than 3 **business days** after receiving the request.

Schedule 11.1

3 ~~Electrically disconnecting~~De-energisation

Each **ICP** created after 7 October 2002 must be able to be **electrically disconnected de-energised** without ~~electrically disconnecting de-energisation~~ of another **ICP**, except for the following **ICPs**:

- (a) an **ICP** that is the **point of connection** between a **network** and an **embedded network**;
- (b) an **ICP** that represents the consumption calculated by difference between the total consumption for the **embedded network** and all other **ICPs** on the **embedded network**.

4 Authority may grant dispensation

The **Authority** may, by notification in writing, grant a dispensation from the requirements of clause 3 for an **ICP** that cannot be **electrically disconnected de-energised** without ~~electrically disconnecting de-energisation~~ of another **ICP**.

7 Distributors to provide ICP information to registry

- (1) A **distributor** must, for each **ICP** on the **distributor's network**, provide the following information to the **registry**:
- ...
- (b) subject to subclause (4), the **NSP identifier** of the **NSP** to which the **ICP** is usually ~~connected~~connected;
- ...
- (f) if the **ICP** connects the **distributor's network** to an **embedded generating station** that has a capacity of 10 **MW** or more, the information required by subclause (6), in accordance with subclause (7):
- ...
- (o) if the **ICP** connects the **distributor's network** to **distributed generation**,—
- (i) the **nameplate capacity** of the **distributed generation**; and

- (ii) the generation fuel type of the **distributed generation**;
- (p) the date on which the **ICP** is initially ~~energised~~electrically connected.

...

- (2A) The **distributor** must provide the information specified in subclause (1)(p) to the **registry** no later than 10 **business days** after the date on which the **ICP** is initially ~~energised~~electrically connected.
- (2B) Despite subclause (2A), the **distributor** is not required to provide the information specified in subclause (1)(p) if the date on which the **ICP** is initially ~~energised~~electrically connected is earlier than 29 August 2013.

...

- (4) If a **distributor** cannot identify the **NSP** that is ~~connected~~connected to an **ICP**, the **distributor** must nominate the **NSP** that the **distributor** thinks is most likely to be ~~connected~~connected to the **ICP**, taking into account the flow of **electricity** within the **distributor's network**.
- (5) An **ICP** is deemed to be ~~connected~~connected to the **NSP** nominated by the **distributor** under subclause (1)(b).
- (6) If a **distributor** assigns a **loss category** code to an **ICP** on the **distributor's network** that connects the **distributor's network** to an **embedded generating station** that has a capacity of 10MW or more—
 - (a) the **loss category** code assigned to the **ICP** must be unique and must not be assigned to any other **ICP** on the **distributor's network**; and
 - (b) the **distributor** must provide the following information to the **reconciliation manager**:
 - (i) the unique **loss category** code assigned to the **ICP**;
 - (ii) the **ICP identifier** of the **ICP**;
 - (iii) the **NSP identifier** of the **NSP** to which the **ICP** is ~~connected~~connected;
 - (iv) the plant name of the **embedded generating station**.

8 Distributors to change ICP information provided to registry

- (1) If information about an **ICP** provided to the **registry** in accordance with clause 7 changes, the **distributor** in whose **network** the **ICP** is located must notify the **registry** of the change.
- (2) The **distributor** must give the notification—
 - (a) in the case of a change to the information referred to in clause 7(1)(b) (other than a change that is the result of the **commissioning** or ~~decommissioning~~decommissioning of an **NSP**), no later than 8 **business days** after the change takes effect; and
 - (b) in every other case, no later than 3 **business days** after the change takes effect.
- (3) A **distributor** is not required to notify a change of information provided in accordance with clause 7(1)(b) if the change is for less than 14 days.
- (4) If a change of information provided in accordance with clause 7(1)(b) is for more than 14 days, subclause (2) applies as if the change had taken effect on the 15th day after the change takes effect.

14 “Ready” status

- (1) The **ICP** status of “Ready” must be managed by the relevant **distributor** and indicates that—
 - (a) the associated **electrical installations** are ready for ~~connecting~~connecting to the **electricity** supply; or
 - (b) the **ICP** is ready for activation by a **trader**.
- (2) Before an **ICP** is given the "Ready" status, the relevant **distributor** must—
 - (a) identify the **trader** that has taken responsibility for the **ICP**; and
 - (b) ensure that the **ICP** has a single **price category** code.

15 "New" or "Ready" status for 24 calendar months or more

- (1) Subclause (2) applies if—
 - (a) an **ICP** has had the status of "New" for 24 calendar months or more; or
 - (b) an **ICP** has had the status of "Ready" for 24 calendar months or more.
- (2) The **distributor** must—
 - (a) ask the **trader** who intends to trade at the **ICP** whether the **ICP** should continue to have that status; and
 - (b) ~~decommission~~decommission the **ICP** if the **trader** advises that the **ICP** should not continue to have that status.

17 “Active” status

- (1) The **ICP** status of “Active” must be managed by the relevant **trader** and indicates that—
 - (a) the associated **electrical installations** are ~~energised~~electrically connected; and
 - (b) a **trader** must provide information related to the **ICP**, in accordance with Part 15, to the **reconciliation manager** for the purpose of compiling **reconciliation information**.

19 “Inactive” status

- The **ICP** status of “Inactive” must be managed by the relevant **trader** and indicates that—
- (a) the **ICP** is electrically disconnected ~~de-energised~~; or
 - (b) **submission information** related to the **ICP** is not required by the **reconciliation manager** for the purpose of compiling **reconciliation information**.

20 “Decommissioned” status

- (1) The **ICP** status of “Decommissioned~~Decommissioned~~” must be managed by the relevant **distributor** and indicates that the **ICP** is permanently removed from future switching and reconciliation processes.
- (2) Decommissioning~~Decommissioning~~ occurs when—
 - (a) **electrical installations** associated with the **ICP** are physically removed; or
 - (b) there is a change in the allocation of electrical loads between **ICPs** with the effect of making the **ICP** obsolete; or
 - (c) in the case of a **distributor-only ICP** for an **embedded network**, the **embedded network** no longer exists.

25 Creation and decommissioning of NSPs and transfer of ICPs from 1 distributor's network to another distributor's network

- (1) If an **NSP** is to be created or decommissioned~~decommissioned~~,—

- (a) the **participant** specified in subclause (3) in relation to the **NSP** must notify the **reconciliation manager** of the creation or ~~decommissioning~~**decommissioning**; and
 - (b) the **reconciliation manager** must notify the **market administrator** and affected **reconciliation participants** of the creation or ~~decommissioning~~**decommissioning** no later than 1 **business day** after receiving the notification in paragraph (a).
- (2) If a **distributor** wishes to change the record in the **registry** of an **ICP** that is not recorded as being usually ~~connected~~**connected** to an **NSP** in the **distributor's network**, so that the **ICP** is recorded as being usually ~~connected~~**connected** to an **NSP** in the **distributor's network** (a "transfer"), the **distributor** must notify the **reconciliation manager**, the **market administrator**, and each affected **reconciliation participant** of the transfer.
- (3) The notification required by subclause (1) must be given by—
- (a) the **grid owner**, if—
 - (i) the **NSP** is a **point of connection** between the **grid** and a **local network**; or
 - (ii) if the **NSP** is a **point of connection** between a **generator** and the **grid**; or
 - (b) the **distributor** for the **local network** who initiated the creation or ~~decommissioning~~**decommissioning**, if the **NSP** is an **interconnection point** between 2 **local networks**; or
 - (c) the **embedded network** owner who initiated the creation or ~~decommissioning~~**decommissioning**, if the **NSP** is an **interconnection point** between 2 **embedded networks**; or
 - (d) the **distributor** for the **embedded network**, if the **NSP** is a **point of connection** between an **embedded network** and another **network**.
- (4) A **distributor** who is required to notify a transfer under subclause (2) or subclause (3)(d) must comply with Schedule 11.2.

26 Information to be provided if NSPs are created or ICPs are transferred from 1 distributor's network to another distributor's network

...

- (2) The **participant** must make the request—
- (a) in the case of a notification given under clause 25(3)(b) or (c), at least 10 **business days** before the **NSP** is ~~electrically connected~~**electrically connected**; and
 - (b) in every other case, at least 1 calendar month before the **NSP** is ~~electrically connected~~**electrically connected** or the **ICP** is transferred.
- (3) If a **participant** gives a **notification** under clause 25(1) of the creation of an **NSP**, the **distributor** on whose **network** the **NSP** is located must give the **reconciliation manager** the following information:

...

29 Obligations concerning change in network owner

- (1) If a **network** owner acquires all or part of an existing **network**, the **network** owner must notify the following of the acquisition:
- (a) the previous **network** owner:
 - (b) the **reconciliation manager**:
 - (c) the **market administrator**:
 - (d) every **reconciliation participant** who trades at an **ICP** ~~connected~~**connected** to the **network** or part of the **network** acquired.

- (2) The **network** owner must give the notification at least 1 calendar month before the acquisition.
- (3) The notification must specify—
 - (a) the **ICP identifiers** for which the **network** owner's **participant identifier** must be amended to reflect the acquisition of the **network** or part of the **network** by the **network** owner; and
 - (b) the effective date of the acquisition.
- (4) A **network** owner who acquires all or part of an existing **network** must comply with Schedule 11.2.

30 Reconciliation manager to advise registry

- (1) The **reconciliation manager** must—
 - (a) advise the **registry** of any new or deleted **NSP identifier** no later than 1 **business day** after being notified of its creation or ~~decommissioning~~deletion; and
 - ...

Schedule 11.2

- 1 This Schedule applies if a **distributor** (the applicant **distributor**) wishes to change the record in the **registry** of an **ICP** that is not recorded as being usually ~~connected~~connected to an **NSP** in the **distributor's network**, so that the **ICP** is recorded as being usually ~~connected~~connected to an **NSP** in the applicant **distributor's network** (a "transfer").
- ...
- 5 The applicant **distributor** must give the **market administrator** confirmation that the applicant **distributor** has received written consent to the proposed transfer from—
 - (a) the **distributor** whose **network** is associated with the **NSP** to which the **ICP** is recorded as being ~~connected~~connected immediately before the notification, except if the notification relates to the creation of an **embedded network**; and
 - (b) every **trader** who trades **electricity** at any **ICP** nominated at the time of notification as being supplied from the same **NSP** to which the notification relates.

Schedule 11.3

16 Gaining trader obligations

- (1) The gaining **trader** must complete the switch by advising the **registry** of the **event date** no later than 3 **business days** after receiving a valid switch response code from the **registry** under clause 22(c).
- (2) If the **ICP** is being ~~electrically disconnected~~de-energised or if **metering** equipment is being removed, the gaining **trader** must either—
 - (a) give the losing **trader** or the **metering equipment provider** for the **ICP** an opportunity to **interrogate** the **metering installation** immediately before the **ICP** is ~~electrically disconnected~~de-energised or the **metering** equipment is removed; or
 - (b) carry out an **interrogation** and, no later than 5 **business days** after the **metering installation** is ~~electrically disconnected~~de-energised or removed, advise the losing **trader** of—
 - (i) the results of the **interrogation**; and

- (ii) the **metering component** numbers for each data channel in the **metering installation**.

Schedule 11.4

...

3 Metering equipment provider to advise registry of changes to registry metering records

A **metering equipment provider** must advise the **registry** of the **registry metering records**, or any change to the **registry metering records**, for a **metering installation** for which it is responsible, no later than 10 **business days** following:

- (a) the **electrical connection** of an **ICP** that is not also an **NSP**;
- (b) any subsequent change in any matter covered by the **metering records**.

Part 12

12.17 Purpose of Connection Code

The purpose of the **Connection Code** is to set out the technical requirements and standards that **designated transmission customers** must meet in order to be ~~connected~~ connected to the **grid** and that **Transpower** must comply with. **Transpower** and **designated transmission customers** must comply with the **Connection Code** under default **transmission agreements** that apply under clauses 12.10 and 12.13.

12.20 Required content of Connection Code

The **Connection Code** must provide for the following matters:

- (a) ~~connection~~ connection requirements for **designated transmission customers**;
- (b) technical requirements for **assets**, including **assets** owned by **Transpower**, and for other equipment and plant that is ~~connected~~ connected to a **local network** or an **embedded network** or that forms part of an **embedded network** or **embedded generating station** if the operation of that equipment and plant could affect the **grid assets**;
- (c) operating standards for equipment that is owned by a **designated transmission customer**, used in ~~connection with~~ relation to the conveyance of **electricity**, and that is situated on land owned by **Transpower**;
- (d) information requirements to be met by **designated transmission customers** before equipment is ~~connected~~ connected to the **grid** and before changes are made to the equipment;
- (e) an obligation on **Transpower** to provide a 10 **year** forecast of the expected maximum fault level of each point of service to **designated transmission customers** set out in the **transmission agreement** between **Transpower** and each **designated transmission customer**.

12.30 Principles for benchmark agreements

A **benchmark agreement** should—

...

- (f) establish common standards for a common configuration based on factors such as size of ~~connection~~connection and voltage level; and
- (g) encourage efficient and effective processes for enforcement of obligations and dispute resolution.

12.31 Contents of benchmark agreements

- (1) A **benchmark agreement** must include—
 - ...
 - (b) an obligation on **designated transmission customers** to comply with **Transpower's** reasonable technical ~~connection~~connection and safety requirements; and
 - (c) an obligation on **designated transmission customers** to pay prices calculated in accordance with the **transmission pricing methodology** approved by the **Authority** under subpart 4; and
 - ...

12.40 Replacement and enhancement of shared connection assets

- (1) If 2 or more **designated transmission customers** are ~~connected~~connected to a **point of connection** and **Transpower** has notified those **designated transmission customers**, in accordance with the provisions of a **transmission agreement** between **Transpower** and each of the **designated transmission customers**, that a **grid reliability report published** by **Transpower** in accordance with clause 12.76 sets out that the power system is not reasonably expected to meet the **N-1 criterion** at all times over the next 5 years because of a **connection asset** related to that **point of connection**, **Transpower** must—
 - ...

12.41 Removal of shared connection assets from service

- (1) If 2 or more **designated transmission customers** are ~~connected~~connected to a **point of connection**, and **Transpower** is required by a **transmission agreement** between **Transpower** and each of those **designated transmission customers** to provide the **connection assets** at the **point of connection**, **Transpower** may ~~permanently remove~~decommission a **connection asset** at that **point of connection** from service only—
 - (a) if the **designated transmission customers** unanimously agree with the ~~permanent removal~~decommissioning and clauses 12.35 to 12.37 (if applicable) are complied with; or
 - (b) if the **designated transmission customers** do not unanimously agree, or none of the **designated transmission customers** agree, with the ~~permanent removal~~decommissioning, if the ~~permanent removal~~decommissioning results in a net benefit, as calculated under the test set out in clause 12.43.
- (2) To avoid doubt, this clause applies only if **Transpower** proposes to remove a **connection asset** from service and not replace the **asset** with another **connection asset**.

12.42 Reconfiguration of shared connection assets

If 2 or more **designated transmission customers** are ~~connected~~connected to a **point of connection**, and **Transpower** is required by a **transmission agreement** between **Transpower** and each of those **designated transmission customers** to provide the

connection assets in the configuration specified in each of those **transmission agreements**, **Transpower** may only change that configuration—

- (a) if the **designated transmission customers** unanimously agree with the reconfiguration and clauses 12.35 to 12.37 (if applicable) are complied with; or
- (b) if the **designated transmission customers** do not unanimously agree, or none of the **designated transmission customers** agree with the reconfiguration, if the reconfiguration results in a net benefit, as calculated under the test set out in clause 12.43.

12.49 Existing agreements

- (1) Except as provided for by clause 12.95, this Part does not apply to or affect the rights, powers or obligations of a **participant** or **Transpower** under a written agreement entered into between that **participant** and **Transpower** for ~~connection~~connection to and/or use of the **grid** that is—
 - (a) entered into before 29 October 2003; or
 - (b) based on **Transpower's** standard ~~connection~~connection contract and entered into before 28 June 2007.
- (2) The exception from this Part in subclause (1) does not apply to a right, power or obligation of a **participant** that arises because of the variation of an agreement described in subclause (1).
- (3) To avoid doubt, the posted terms and conditions of **Transpower** do not constitute a written agreement.

12.50 Copies of other agreements to be provided to Authority

- (1) If requested to do so by the **Authority**, **Transpower** or a **participant** must provide a copy of any written agreement for ~~connection~~connection to and/or use of the **grid** that **Transpower** or the **participant** is a party to and that was entered into before 28 June 2007.
- (2) The copy that is provided must be—
 - (a) a copy of the complete agreement; and
 - (b) certified by a director or the chief executive of **Transpower** or the **participant**, to the best of the director's or chief executive's knowledge and belief, to be a true and complete copy of the agreement.
- (3) An agreement must be **published** by the **Authority**, unless the parties establish to the satisfaction of the **Authority** that there is good reason for not **publishing** the agreement.

12.96 Development of transmission prices

After approval of the **transmission pricing methodology**, **Transpower** must—

- (a) develop and **publish** transmission prices consistent with the **transmission pricing methodology** based on its total revenue requirement for ~~connection~~connection to or use of the **grid**; and
- (b) demonstrate to the **Authority** that the prices are consistent with the **transmission pricing methodology**.

12.112 Exceptions to clause 12.111

- (1) **Transpower** is not required to comply with clause 12.111(1)(a) or (2) if—

- (a) permitted under the **Outage Protocol** made under subpart 7; or
 - (b) an **interconnection asset** that forms part of an interconnection **branch** or the **HVDC link**, or a **shunt asset**—
 - (i) is permanently removed from service, the **grid** is permanently reconfigured, or the transmission capacity of such an **asset** is reduced, and the decision to remove the **asset** from service or reconfigure the **grid** or reduce the transmission capacity of the **asset** takes into account the effect of the removal of the **asset**, reconfiguration of the **grid**, or the reduction in transmission capacity of the **asset**, on other materially affected parties, and is undertaken—
 - (A) in order to maintain the health and safety of any person; or
 - (B) in order to maintain the safety and integrity of equipment; or
 - (C) in accordance with demonstrably prudent economic criteria; or
 - (iaa) has been temporarily removed from service, or the **grid** has been temporarily reconfigured, in accordance with clause 12.116AA; or
 - (ia) *[Expired]*
 - (ii) has been permanently removed from service, or the **grid** has been permanently reconfigured, in accordance with clause 12.117; or
 - (c) a modification to an **interconnection branch**, the **HVDC link**, a **shunt asset** or to the configuration of the **grid**, has been made as a result of an investment in the **grid**; or
 - (d) a modification to an **interconnection branch**, the **HVDC link**, a **shunt asset** or to the configuration of the **grid** has been made as a result of an investment made under an **investment contract** entered into in accordance with clauses 12.70 and 12.71; or
 - (e) the voltage range specified in the **AOPOs** for an **interconnection asset** that forms part of an **interconnection branch** is modified, or any **equivalence arrangement** is approved or **dispensation** is granted under clauses 8.29 to 8.31 in respect of the **asset**; or
 - (ea) in relation to the **HVDC link**—
 - (i) the **HVDC owner** is operating the **HVDC link** in accordance with—
 - (A) a ~~commissioning~~ **commissioning** plan agreed with the **system operator** under clause 2(6) to (9) of **Technical Code A** of Schedule 8.3; or
 - (B) a test plan provided to the **system operator** under clause 2(6) to (9) of **Technical Code A** of Schedule 8.3; and
 - (ii) the **configuration** of the **HVDC link** is—
 - (A) Pole 3 and Pole 2 bipole **round power**; or
 - (B) Pole 3 and Pole 2 bipole not **round power**; or
 - (f) **Transpower** and a **designated transmission customer** have agreed otherwise in accordance with clause 12.128.
- (2) If subclause (1)(c) to (e) apply, or the **grid** is reconfigured under subclause (1)(b)(i) or (ii), **Transpower** must—
- (a) make the **interconnection branch**, the **HVDC link** or the **shunt asset** available to the **system operator** at least at its modified capacity rating, and at its modified service levels; and
 - (b) keep the **grid** in its modified configuration.
- (2AA) Subclause (2AB) applies—
- (a) if subclause (1)(b)(iaa) applies; and

- (b) while—
 - (i) an **interconnection asset** that forms part of an **interconnection branch** or the **HVDC link**, or a **shunt asset**, has been temporarily removed; or
 - (ii) the **grid** has been temporarily reconfigured.
- (2AB) **Transpower** must make the **interconnection branch**, the **HVDC link** or the **shunt asset** available to the **system operator** at least at its modified capacity rating, and at its modified service levels.
- (2A) *[Expired]*
- (2B) *[Expired]*
- (3) If a decision to remove an **asset**, or reconfigure the **grid**, or reduce the transmission capacity of an **asset** has been made under subclause (1)(b)(i) or (ii), **Transpower** must as soon as reasonably possible make publicly available the analysis it undertook in accordance with subclause (1)(b)(i) or (ii), or a summary of that analysis

Schedule 12.1

1 Categories of designated transmission customers required to enter into transmission agreements with Transpower

- (1) The categories of **designated transmission customers** required to enter into **transmission agreements** with **Transpower** are—
 - (a) **connected asset owners**; and
 - (b) *[Revoked]*
 - (c) **generators** that are directly ~~connected~~ connected to the **grid**.
- (2) *[Revoked]*
- (3) *[Revoked]*
- (4) *[Revoked]*
- (5) *[Revoked]*

Part 12A

12A.7 Distributors must consult concerning changes to tariff structures

- (1) This clause applies to each **distributor** who has 1 or more **consumers ~~connected~~ connected** to its **network** to whom the **distributor** does not send accounts for **line function services** directly.
- (2) The **distributor** must consult with each **trader** trading on the **distributor's network** in respect of the **distributor's** tariff structure for the **consumers** referred to in subclause (1) before making a change to the tariff structure that materially affects 1 or more **traders** or **consumers**.
- (3) For the purpose of subclause (2), changes to a **distributor's** tariff structure that may materially affect 1 or more **traders** or **consumers** include, but are not limited to, any of the following:
 - (a) a change by the **distributor** to the eligibility criteria for 1 or more of the **distributor's** tariff rates:
 - (b) a change by the **distributor** to the **distributor's** tariff structure by the introduction of a new tariff rate:

- (c) a change by the **distributor** to the **distributor's** tariff structure that means that 1 or more of the **distributor's** tariff rates are no longer available.
- (4) However, the fact that a change is listed in subclause (3) does not mean that a **distributor** is required to consult on the change if the change will not materially affect **traders** or **consumers**.
- (5) *[Revoked]*

12A.11 Application of clauses 12A.12 to 12A.14

Clauses 12A.12 to 12A.14 apply to —

- (a) a **distributor** who has 1 or more **consumers ~~connected~~ connected** to its **network** to whom the **distributor** does not send accounts for **line function services** directly; and
- (b) a **trader** trading on the **network** of the **distributor** described in paragraph (a).

Part 13

13.6 Generators

- (1) Each **generator** (other than an **embedded generator** submitting an **offer** in accordance with subclause (2) or an **intermittent generator** submitting an **offer** in accordance with subclause (3)) must—
 - (a) submit to the **system operator** an **offer**—
 - (i) for each **trading period** in the **schedule period**; and
 - (ii) under which the **generator** is prepared to sell **electricity** to the **clearing manager**; and
 - (b) ensure that the **system operator** receives an **offer** at least 71 **trading periods** before the beginning of the **trading period** to which the **offer** applies.
- (2) Despite subclause (1), each **embedded generator** required by the **system operator** to provide an **offer** in accordance with clause 8.25(5) (other than an **embedded generator** who is also an **intermittent generator** submitting an **offer** in accordance with subclause (3)), must—
 - (a) submit to the **system operator** an **offer**—
 - (i) for each **trading period** of the **schedule period**; and
 - (ii) under which the **generator** is intending to generate **electricity**; and
 - (b) ensure that the **system operator** receives the **offer** at least 71 **trading periods** before the beginning of the **trading period** to which the **offer** applies.
- (3) Despite subclauses (1) and (2), each **intermittent generator** with a **point of connection** to the **grid**, and each **intermittent generator** with a **point of connection** to a **local network**, required by the **system operator** to provide an **offer** under clause 8.25(5), must—
 - (a) submit to the **system operator** an **offer**—
 - (i) for each **trading period** of the **schedule period**; and
 - (ii) which is based on the **intermittent generator's** forecast of the **electricity** that it expects to be able to generate; and
 - (b) ensure that the **system operator** receives the **offer** at least 71 **trading periods** before the beginning of the **trading period** to which the **offer** applies.

- (4) Despite subclauses (1) to (3), a **generator** must give not less than 5 **business days**' notice in writing to the **system operator** and the **pricing manager** before the **generator** makes an **offer** for the 1st time in respect of a **generating plant**. The notice must include advice as to which **grid injection point** the **generating plant** is ~~connected~~connected to and whether the **generating plant** is an **intermittent generating station**. The **generator** must comply with any request the **system operator** may make for information concerning the **generating plant** that the **system operator** may reasonably require for the purposes of scheduling and **dispatch** in accordance with this Code.

13.27J New GXPs

At least 1 calendar month before a **grid owner** connects a **GXP** to the **grid** for the first time, the **grid owner** must advise the **Authority** in writing of its intention to ~~connect~~connect the **GXP**.

13.30 Standing data on HVDC capability to be provided to system operator

- (1) In addition to the **asset owner** obligations to provide information under clauses 2(5) and (6), and 3(1) of **Technical Code A** of Schedule 8.3, the **HVDC owner** must provide standing data on the capability of the **HVDC link** to the **system operator** consistent with the **configuration** of the **HVDC link**.
- (2) The data provided under subclause (1) must include—
- (a) the HVDC transmission **lines** and system capacity, including reserve capacity; and
 - (b) **HVDC link** capacity, including limits of each HVDC transmission line of the HVDC transmission system; and
 - (c) HVDC system loss characteristics including transmission loss functions for each transmission line of the HVDC transmission system; and
 - (d) in relation to Pole 2, or Pole 3, or Pole 2 and Pole 3, of the **HVDC link**—
 - (i) if the **HVDC owner** imposes a limit on transfer direction, the direction of that transfer limit (northward or southward); and
 - (ii) if the **HVDC owner** imposes a minimum transfer limit, that minimum transfer limit (in MW); and
 - (iii) if the **HVDC owner** imposes a maximum transfer limit, that maximum transfer limit (in MW).
- (3) Subclause (2)(d) applies only if—
- (a) the **HVDC owner** is operating the **HVDC link** in accordance with—
 - (i) a ~~commissioning~~commissioning plan agreed with the **system operator** under clause 2(6) to (9) of **Technical Code A** of Schedule 8.3; or
 - (ii) a test plan provided to the **system operator** under clause 2(6) to (9) of **Technical Code A** of Schedule 8.3; and
 - (b) the **configuration** of the **HVDC link** is—
 - (i) Pole 3 and Pole 2 bipole **round power**; or
 - (ii) Pole 3 and Pole 2 bipole not **round power**.

13.40 Inter-relationship between reserve offers of interruptible load and bids

Bids and **reserve offers of interruptible load** are inter-related in that ~~the disconnection of~~ **demand** electrically disconnected in response to an **under-frequency event** and in accordance with a dispatched **reserve offer** may lower the quantity purchased at that **grid**

exit point. Accordingly, a **purchaser** does not breach the reasonable estimate requirement in clauses 13.7(3), 13.7AA(2), and 13.8A(4) if the **purchaser** is acting as an **ancillary service agent** and **electrically disconnects** corresponding **demand** in response to an **under-frequency event** in accordance with a dispatched **reserve offer**.

13.80 Dispatch instructions provided to grid owner

- (1) If the **system operator** has issued a **dispatch instruction** to an **embedded generator** to generate from a **generating plant** required by the **system operator** to be scheduled, the **system operator** must inform the **grid owner** that is ~~connected~~connected to the **local network** in which the **embedded generator** is located of the quantity of **active power** that was the subject of such **dispatch instruction** and the **trading periods** for which the **dispatch instruction** was issued.
- (2) The **system operator** must provide the information to the relevant **grid owner** by 0400 hours on the day after the **dispatch instruction** was issued.

13.82 Dispatch instructions to be complied with

- (1) This clause applies to—
 - (a) a **generator**; and
 - (b) an **ancillary service agent**; and
 - (c) a **dispatched purchaser**.
- (2) Each **participant** to which this clause applies must comply with a **dispatch instruction** properly issued by the **system operator** under clause 13.72 unless,—
 - (a) in the **participant's** reasonable opinion,—
 - (i) personnel or plant safety is at risk; or
 - (ii) following the **dispatch instruction** will contravene a law; or
 - (b) the **generating plant** or **dispatch-capable load station** is already responding to an automated signal to activate—
 - (i) **capacity reserve**; or
 - (ii) **instantaneous reserve**; or
 - (iii) **automatic under-frequency load shedding**; or
 - (iv) **over frequency reserve**; or
 - (c) the **participant** is a **generator** or **ancillary service agent** acting in accordance with clause 13.86; or
 - (d) the **participant** is an **intermittent generator** that has complied with clause 13.17, and the **system operator** has not advised that there is—
 - (i) a **grid emergency**; or
 - (ii) a system **constraint** that directly affects the **intermittent generator**; or
 - (e) the **participant**—
 - (i) is a **generator**; and
 - (ii) deviates from a **dispatch instruction** for **active power** to comply with clause 8.17; or
 - (f) the **participant**—
 - (i) is a **dispatched purchaser**; and
 - (ii) deviates from the **dispatch instruction**—
 - (A) to comply with a request issued by the **system operator** under clause 5(4) of **Technical Code B** of Schedule 8.3; or
 - (B) to comply with clause 8.18; or
 - (g) the **participant**—
 - (i) is a **dispatched purchaser**; and

- (ii) cannot comply with the **dispatch instruction** because ~~of a disconnection of demand~~ has been electrically disconnected under clause 7A of **Technical Code B** of Schedule 8.3; or
- (ga) the **participant**—
- (i) is a **dispatched purchaser**; and
 - (ii) the **dispatch instruction** is issued for a **trading period** for which the latest **nominated bid** for the relevant **dispatch-capable load station** is a **nominated non-dispatch bid**; or
- (h) the **participant**—
- (i) is a **generator** or an **ancillary service agent**; and
 - (ii) deviates from a **dispatch instruction** to comply with clause 9 of **Technical Code B** of Schedule 8.3; or
- (i) the **participant**—
- (i) is a **generator** or an **ancillary service agent**; and
 - (ii) is acting in accordance with a **commissioning plan**~~commissioning~~ or test plan that—
 - (A) is required under clause 2(6) of **Technical Code A** of Schedule 8.3; and
 - (B) expressly allows the **generator** or **ancillary service agent** to depart from the **dispatch instruction** for the purpose of the **commissioning plan**~~commissioning~~ or test plan; and
 - (iii) has no reasonable means of complying with the **dispatch instruction** while acting in accordance with the **commissioning plan**~~commissioning~~ or test plan; or
- (j) the **participant** is a **type B co-generator** and the **system operator** has not advised that there is—
- (i) a **grid emergency**; or
 - (ii) a system **constraint** that directly affects the **type B co-generator**.
- (3) A **participant** to which the exception in subclause (2)(a) applies must immediately advise the **system operator** of the circumstance in which the exception arises.
- (4) If a **dispatched purchaser** is issued with more than 1 **dispatch instruction** for the same **dispatch-capable load station** for the same **trading period**, the **dispatched purchaser** must comply with the latest **dispatch instruction**.
- (5) To avoid doubt, a **dispatch instruction** listed in clause 13.73(1)(b) to 13.73(1)(f) or 13.73(1)(h) is properly issued only if—
- (a) the **generator** or **ancillary service agent** to which the **dispatch instruction** is given has an enforceable contract with the **system operator** for the provision of services relating to the **dispatch instruction**; or
 - (b) the **dispatch instruction** is consistent with an enforceable contract between the **system operator** and the **generator** or **ancillary service agent** for the provision of services relating to the **dispatch instruction**; or
 - (c) the **dispatch instruction** is given for the purposes of clause 8.5 or 13.70; or
 - (d) the **dispatch instruction** is consistent with—
 - (i) the **asset owner performance obligations** under clauses 8.22 to 8.24; or
 - (ii) the **technical codes** concerning voltage; or
 - (iii) a **dispensation**.
- (6) A **dispatched purchaser** issued with a **dispatch instruction** for a **dispatch-capable load station** must not make changes to its other load at the same **GXP** with the intention of offsetting the **dispatch instruction** for the **dispatch-capable load station**.

13.104 Information to be published

- (1) As soon as practicable after the **system operator** has completed preparing a **price-responsive schedule** and a **non-response schedule**, the **system operator** must **publish**, for each **trading period** in the **schedule length period**,—
- (a) the following information in respect of both the **price-responsive schedule** and the **non-response schedule**:
- ...
- (iv) the **grid injection points** and **grid exit points** that ~~are disconnected~~ have no load or generation connected to them in the modelling system;

13.136 Generators to provide half-hour metering information

- (1) Each **generator** must give the relevant **grid owner half-hour metering information** under clause 13.138 in relation to **generating plant** that is subject to a **dispatch instruction**—
- (a) that injects **electricity** directly into a **local network** or an **embedded network**; or
- (b) if the **meter** configuration is such that the **electricity** flows into a **local network** without first passing through a **grid injection point** or **grid exit point metering installation**.
- (1A) For the purposes of subclause (1), the relevant **grid owner** is—
- (a) in relation to a **generator** (other than an **embedded generator**), the **grid owner** of the **grid** to which the **generator's generation** is ~~connected~~ connected; and
- (b) in relation to a **generator** that is an **embedded generator**, the **grid owner** of the **grid** to which the **local network** to which the **embedded generator** is directly or indirectly ~~connected~~ connected, is ~~connected~~ connected.
- (2) To avoid doubt, subclause (1) does not apply in respect of—
- (a) any **unoffered generation**; or
- (b) **electricity** supplied from—
- (i) an **intermittent generating station**; or
- (ii) a **type B industrial co-generating station**.

13.194 Clearing manager to calculate constrained off amounts

- ...
- (2) For the purposes of clauses 13.192 to 13.201, dispatched quantity must be calculated taking into account—
- (a) the quantity in **MW** recorded in the log kept by the **system operator** in accordance with clause 13.76 and, if required, the **clearing manager** must aggregate such quantities for—
- (i) **generating stations** or **generating units** in the relevant **station dispatch group**; or
- (ii) **generating units**, if the **clearing manager** requires the dispatched quantity to be determined on a **grid injection point** basis; and
- (b) for an **offer**, the ramp rate applying to that **constrained off situation** that is specified in the **offer** submitted by that **generator**, or—
- (i) for a **block dispatch group** or a **station dispatch group**; or

- (ii) for **generating units**, if the **clearing manager** requires the dispatched quantity to be determined on a **grid injection point** basis—
the fastest of the ramp rates applying to that **constrained off situation** that are specified in the **offers** submitted by the **generator** in that **block dispatch group**, that **station dispatch group** or those **generation units electrically connected** to the relevant **grid injection point** (as the case may be); and

...

13.204 Calculation of constrained on amounts

- (1) If a **constrained on situation** occurs during any **trading period** during a previous **billing period**,—

...

- (b) for the purposes of clauses 13.202 to 13.211 dispatched quantity must be calculated taking into account—

...

- (ii) for an **offer**, the ramp rate applying to that **constrained on situation** that is specified in the **offer** submitted by the **generator**, or—
 - (A) for a **block dispatch group** or a **station dispatch group**; or
 - (B) for **generating units**, if the **clearing manager** requires the dispatched quantity to be determined on a **grid injection point** basis—
the fastest of the ramp rates applying to that **constrained on situation** that are specified in the **offers** submitted by the **generator** in that **block dispatch group**, that **station dispatch group** or those **generating units electrically connected** to the relevant **grid injection point** (as the case may be); and

...

Schedule 13.3

11 Constraints relating to transmission system

The final schedule provided by the modelling system must have the following characteristics (all of which must be met to an accuracy to be specified in the **model formulation**):

- (a) the total scheduled flow into and out of a **grid injection point** or **grid exit point** must equal 0 for all **grid injection points** and **grid exit points**;
- (b) the modelling system must calculate **losses** in transmission **lines**, the **HVDC link**, and transformers. Those **losses** must be approximated using the information provided by **grid owners** under clauses 13.29 to 13.31, for transmission **lines**, the **HVDC link** and transformers respectively;
- (c) the modelling system must calculate the **electricity** flows into individual transmission **lines** and flows into the ~~connection~~-connection points of transformers ~~connected~~-connected at the same **grid injection point** or **grid exit point** using an established DC power flow technique within the limitations imposed by the technique that—
 - (i) correctly adjusts flows for transmission system **losses**; and
 - (ii) correctly apportions flows in transmission system loops, whether or not those loops contain transmission **constraints**—

provided that the capacity of transformers through which **electricity** is supplied to a **grid exit point** is not included in the model unless the transformer may carry flows of **electricity** other than **offtakes** from that **grid exit point**.

16 Calculation of prices, marginal location factors and reserve prices

...

- (2) The modelling system must assign a 0 price for **electricity** at each **grid injection point** and **grid exit point** that is ~~disconnected~~ has no load or generation connected to it in the modelling system.

...

Part 14

14.44 Event of default gives clearing manager remedies

- (1) If an **event of default** has occurred, the **clearing manager** has the power to exercise, as appropriate, all or any of the following remedies without prejudice to any other remedy it may have at law:
- apply the balance of the **cash deposit** of the defaulting **participant** in accordance with clause 14A.13(a);
 - make a demand under a guarantee, letter of credit, or bond provided under Part 14A in respect of the defaulting **participant**;
 - if the defaulting **participant** has not paid an amount due under this Part by the due date for payment, set-off any amount payable by the **clearing manager** to the defaulting **participant** against the unpaid amount payable by the defaulting **participant** to the **clearing manager**;
 - take possession of any **FTR** held by the defaulting **participant** in accordance with clause 14.47.
- (2) If an **event of default** is continuing at the expiry of the **participant's** post-default exit period registered under clause 14A.22,—
- the **clearing manager** must cancel a **hedge settlement agreement** to which the defaulting **participant** is a party in accordance with clause 14.48;
 - the **Authority** may direct a **grid owner** or **distributor** to exercise any contractual right the **grid owner** or **distributor** has to electrically disconnect ~~disconnect~~ a defaulting **participant** that is a **direct purchaser** in accordance with clause 14.49.

14.49 Electrical dDisconnection of direct purchaser

- (1) Each **direct purchaser** must at all times ensure that the terms of each of its contracts that provide for the connection of the **direct purchaser** to a **network** permit the relevant **grid owner** or **distributor** to electrically disconnect ~~disconnect~~ the **direct purchaser** on the direction of the **Authority** if an **event of default** occurs in relation to the **direct purchaser** and is continuing at the expiry of its post-default exit period registered under clause 14A.22.
- (2) Each **grid owner** or **distributor** must at all times ensure that the terms of each of its contracts that provide for the connection of a **direct purchaser** to a **network** permit the **grid owner** or **distributor** to electrically disconnect ~~disconnect~~ the **direct purchaser** on the direction of the **Authority** if an **event of default** occurs in relation to the **direct**

purchaser and is continuing at the expiry of its post-default exit period registered under clause 14A.22.

- (3) If an **event of default** occurs in relation to a **direct purchaser** and is continuing at the expiry of the **direct purchaser's** post-default exit period registered under clause 14A.22, the **Authority** may direct a **grid owner** or **distributor** to exercise any contractual right the **grid owner** or **distributor** has to **electrically disconnect** ~~disconnect~~ the defaulting **direct purchaser**.
- (4) A **grid owner** or **distributor** that receives a direction under subclause (3) must comply with the direction.

Schedule 14.3

2 Interpretation

- (1) In this Schedule, unless the context otherwise requires,—

...

closed, in relation to a **branch**, means that the **branch** is **electrically connected** ~~connected~~ at both ends

...

open, in relation to a **branch**, means that the **branch** is **electrically disconnected** ~~disconnected~~ at 1 or both ends

...

4 Grid owner must determine normal grid configuration

- (1) Each **grid owner** must determine a normal **grid** configuration for the **grid owner's grid**.
- (2) The normal **grid** configuration determined under subclause (1) must be a **grid** configuration with all existing **branches** and switches **closed** except where the **grid owner** has implemented **operational system splits** and the **grid owner** considers that the normal state of those **operational system splits** is for the relevant **branch** or switch to be **open**.
- (3) Each **grid owner** must provide to the **FTR manager** the information describing the normal **grid** configuration for the **grid owner's grid** determined under subclause (1).
- (4) Each **grid owner** must determine a new normal **grid** configuration for the **grid owner's grid** if the **grid owner** considers it necessary because, for example, any of the following occur:
 - (a) some **grid** equipment is **commissioned** ~~commissioned~~ or **decommissioned** ~~decommissioned~~;
 - (b) there is a change in the capacity or impedance of some **grid** equipment;
 - (c) the **grid owner** considers that the normal state of any **operational system split** has changed.
- (5) Each **grid owner** must provide new information to the **FTR manager** if the **grid owner** determines a new normal **grid** configuration for the **grid owner's grid** under subclause (4), unless otherwise agreed with the **FTR manager**.

9 FTR manager must calculate amounts to be applied to settlement of FTRs

- (1) The amounts calculated under this clause must be calculated using the flow quantities, nodal prices and **shadow prices** from the **final pricing schedule**.

- (2) The HVDC **loss and constraint excess** to be applied to the settlement of **FTRs** for each **trading period** of the relevant **billing period** must be calculated in accordance with the following formula:

$$\max \left(\begin{array}{l} 0, \sum_{n(NI)} price_n \times \left(\sum_{l \in R_{HVDC}(n)} (HVDCLinkFlow_l - HVDCLinkLosses_l) - \sum_{l \in S_{HVDC}(n)} HVDCLinkFlow_l \right) \\ + \sum_{n(SI)} price_n \times \left(\sum_{l \in R_{HVDC}(n)} (HVDCLinkFlow_l - HVDCLinkLosses_l) - \sum_{l \in S_{HVDC}(n)} HVDCLinkFlow_l \right) \end{array} \right) \div 2$$

where

$price_n$ is the energy price at AC **node** n

$n(NI)$ is the set of North Island AC **nodes** to which any **HVDC links** are connected

$n(SI)$ is the set of South Island AC **nodes** to which any **HVDC links** are connected

$HVDCLinkFlow_l$ is the **MW** flow at the sending end **scheduled** for **HVDC link** l

$HVDCLinkLosses_l$ is the variable **MW losses** for **HVDC link** l

$S_{HVDC}(n)$ is the set of **HVDC links** for which n is the sending AC **node**

$R_{HVDC}(n)$ is the set of **HVDC links** for which n is the receiving AC **node**

Part 15

15.5B Deriving volume information if metering installation is within premises that are connected to a point of connection

- (1) This clause applies if a **dispatch-capable load station's metering installation** is not at a **point of connection** but is located within premises that are directly ~~connected~~connected to a **point of connection**.
- (2) If this clause applies, the **dispatchable load purchaser** responsible for the **dispatch-capable load station** must prepare **dispatchable load information** using **volume information** prepared in accordance with Schedule 15.2 and derived from the **raw meter data**—
 - (a) obtained from the **metering installation**; and
 - (b) that the **dispatchable load purchaser** has adjusted, using an accurate **compensation factor**, to compensate for internal site **losses** between the **metering installation** and—
 - (i) if the premises are directly ~~connected~~connected to a **point of connection** to the **grid**, the **point of connection** to the **grid**; or
 - (ii) if the premises are directly ~~connected~~connected to a **point of connection** to a **local network**, the **point of connection** to the **local network**; or
 - (iii) if the premises are directly ~~connected~~connected to a **point of connection** to an **embedded network**, the **point of connection** to the **embedded network**.
- (3) For the purpose of this clause, a **dispatchable load purchaser** must have a **certified metering installation** for each of its **dispatch-capable load stations**.

15.14 Notification of changes to the grid

- (1) Each **grid owner** must notify the **reconciliation manager**, in accordance with any procedures or other requirements reasonably specified by the **reconciliation manager** from time to time, of any changes that the **grid owner** intends to make to the **grid** that will affect reconciliation.
- (2) The **grid owner** must give the notice at least 1 calendar month before the effective date of the intended change.
- (3) No later than 1 **business day** after receipt of the notice, the **reconciliation manager** must give a copy of the notice to the **clearing manager** and the **Authority**.
- (4) Each **grid owner** must give notice of an intended change to an existing **point of connection** to the **grid** or a new **point of connection** to the **grid** to be ~~commissioned~~commissioned.

15.15 Notification of points of connection subject to outages or alternative supply

No later than 2 hours after **publication** of **final prices** for all **trading periods** in a **consumption period**,—

- (a) the **system operator** must notify the **reconciliation manager** of the following:
 - (i) each **point of connection** to the **grid** that was ~~disconnected~~had no load or generation connected to it in the modelling system in the **consumption period**;
 - (ii) in relation to each **point of connection** referred to in subparagraph (i), the **trading periods** in the **consumption period** during which the **point of connection** to the **grid** was ~~disconnected~~had no load or generation connected to it in the modelling system; and

...

15.22 Providing information to reconciliation participants

The **reconciliation manager** must provide to a **reconciliation participant** the information it has concerning the quantity of **electricity** conveyed at an **NSP** for each **consumption period**, by a time agreed between the **reconciliation participant** and the **reconciliation manager** (or if no such time can be agreed, by such time as determined by the **Authority**), if—

- (a) the **reconciliation participant** has requested the information; and
- (b) the **reconciliation participant** has purchased or sold **electricity** at the **NSP** during the **consumption period** or, in the case of a **network** owner, has a liability as a transporter of **electricity** in relation to the **NSP**; and
- (c) the **reconciliation participant** meets the **reconciliation manager's** reasonable costs of providing the information; and
- (d) the **reconciliation participant** ensures that all information received in accordance with this clause is kept and maintained confidential to the employees of the **reconciliation participant** who are required to have access to the information to enable the **reconciliation participant** to identify errors in the **reconciliation information** produced for the **NSP**; and
- (e) the **reconciliation participant** ensures that all information received in accordance with this clause is not used for any purpose other than enabling the **reconciliation participant** to identify errors in the **submission information** submitted for the **NSP** or, in the case of any **network** owner, other than for a legitimate purpose directly ~~connected with~~ related to the **network** owner's liability as a transporter of **electricity** in relation to that **NSP**; and
- (f) the **reconciliation participant** implements and maintains best practice internal procedures to meet its obligations in accordance with this clause.

Schedule 15.2

5 Non half-hour metering information

A **reconciliation participant** must, when manually **interrogating** a **non half-hour metering installation**, if the relevant parts of the **metering installation** are visible and it is safe to do so,—

- (a) obtain the **meter** register value; and
- (b) ensure seals are present and intact; and
- (c) check for phase failure if the **meter** supports it; and
- (d) check for signs of tampering or damage; and
- (e) check for electrically unsafe situations where electrically unsafe has the meaning given to it in the Electricity (Safety) Regulations 2010.

Schedule 15.4

16 Calculation of unaccounted for electricity

- (1) The **reconciliation manager** must calculate the **unaccounted for electricity** for each **balancing area** for each **trading period** in accordance with the following formula after all relevant quantities have been loss adjusted and scaled for **ICP days**:

$$UFE_{BA} = TOT_{BA} - Q_{BA-EN}$$

where

UFE_{BA} is the **unaccounted for electricity** for each **balancing area** for the relevant **trading period**

TOT_{BA} is the net total of all **electricity** injected into the **balancing area** less all **electricity** leaving the **balancing area** as measured at—
 (a) the **NSPs** in respect of the **balancing area**; and
 (b) the **ICPs** for any **embedded generators** electrically connected to the **balancing area**

Q_{BA-EN} is all **electricity** conveyed to **consumers** ~~connected~~connected to the **balancing area**, being the sum of the consumption parts of **submission information**, adjusted for **losses** and **ICP days**.

- (2) The **reconciliation manager** must calculate the **UFE** factor in respect of each **balancing area** for each **trading period** as follows:

$$UFE\ Factor_{BA} = TOT_{BA} / Q_{ICPD-LA}$$

where

$UFE\ Factor_{BA}$ is the **unaccounted for electricity** factor in respect of each **balancing area** for each **trading period**

$Q_{ICPD-LA}$ is all **electricity** conveyed to **consumers** and **embedded networks** ~~connected~~connected to the **balancing area**, being the sum of the consumption parts of **submission information**, adjusted for **losses** and **ICP days**

TOT_{BA} has the meaning given to it in subclause (1).

21 Parent network UFE allocated to embedded networks

A portion of the **UFE** from the **balancing area** to which an **embedded network** is ~~connected~~connected must be allocated by the **reconciliation manager** to each **reconciliation participant** trading on the **embedded network**. The quantity of **UFE** to be allocated by the **reconciliation manager** to the **embedded network** must be allocated in proportion to the ratio of the **embedded network's**, and upstream **balancing area's**, **submission information** quantities (that have been adjusted for **losses** and **ICP days**).

27 Surveillance reports

The **reconciliation manager** must make the following reports available to the **Authority** and all **participants**:

- (a) reports by **retailers** and **direct purchasers** for the total **unaccounted for electricity** for each **NSP**:
- (b) reports by **retailers** for each **balancing area** of the variation between **electricity supplied** as reported by **retailers** (in accordance with clause 17) and **submission information** submitted for reconciliation by **retailers**:
- (c) summary reports of all **half hour** metered ~~connections~~ connections for which **submission information** has not been received within the time required by this Code:
- (d) summary reports by **retailers** and **direct purchasers** separately for non **half hour** and **half hour**, of all **ICP days** for which **reconciliation information** has not been received within the time required by this Code:
- (e) reports for each **balancing area** for the difference between the daily average non **half hour** kWh submitted by each **retailer** and **direct purchaser** per **NSP**, and the daily average non **half hour** kWh submitted by all **retailers** and **direct purchasers** per **NSP**:
- (f) separate reports for non **half hour** and **half hour submission information** detailing the difference between the quantity of **electricity** in initial and the quantity of **electricity** in each subsequent **submission information** submission for each **NSP** and each **retailer** and **direct purchaser**.

Schedule 15.5

15 Determine total balancing area load

- (1) This calculation determines the total **electricity** consumption inside a **balancing area** by summing all of the injection into a **balancing area** and subtracting the extraction out of the **balancing area**. In this case, injection is defined as **electricity** entering (E_i) the **balancing area** and includes flows from **embedded generators**, or any other **network** (including **embedded networks** or the **grid**). Similarly, extraction is defined as the flows of **electricity** leaving (L_i) the **balancing area**, to other **networks**.
- (2) The process in subclause (1) must be carried out for each **trading period** and for each **balancing area** within which there is non **half hour** metered **electricity** to be reconciled by following the procedure below:

$$\text{TOT}_{\text{BA}} = \underbrace{(E_{\text{GD}} + E_{\text{LN}} + E_{\text{EN}})}_{\text{Sum of energy flow entering the}} - \underbrace{(L_{\text{GD}} + L_{\text{LN}} + L_{\text{EN}})}_{\text{Sum of energy flow leaving the}} + \underbrace{(E_{\text{EG}})}_{\text{Sum of generation}}$$

where

TOT_{BA} is the total quantity of **electricity** consumed within the **balancing area**, measured as being the sum of flows injected into the **balancing area** less flows out to any **embedded network** or to another **electrically connected network**

E_{GD}	is the quantity of electricity entering the balancing area , as measured by the grid NSP metering installation for the balancing area
E_{LN}	is the quantity of electricity , entering the balancing area through an interconnection point from another network , as measured by the NSP metering installation (which has been adjusted for losses)
L_{GD}	is the quantity of electricity leaving the balancing area , as measured by the grid NSP metering installation for the balancing area
E_{EN}	is the quantity of electricity entering the balancing area from an embedded network , as measured by the NSP gateway metering installation for the embedded network
E_{EG}	is the quantity of electricity entering the balancing area from an embedded generator <u>electrically connected</u> to the network , (which may either be half hour or non half hour metered), as measured by the NSP metering installation
L_{LN}	is the quantity of electricity , leaving the balancing area through an interconnection point to another network , as measured by the NSP metering installation (which has been adjusted for losses)
L_{EN}	is the quantity of electricity , leaving the balancing area to an embedded network , as measured by the NSP gateway metering installation for the embedded network .

Schedule 15.5, Appendix 1

3 Profile class 1.2 separately metered controlled load

- (1) **Meters** in the **profile class 1.2** separately metered controlled load classification include a separate **meter** for a ripple controlled water heater, which may be switched on and off at variable times of the day. The entire load recorded on this register must be available for control.
- (2) Information from the operation logs of equipment controlling the ~~connection~~ connection of controllable loads must be used to determine the time period relating to them. If the controllable load component is not static, a calculation of the diversity of the load must be documented and applied.
- (3) Other **meters** in the **metering installation** must be applied as per **profile class 1.1** or **1.4**, as appropriate.

CRP 2016-13 and CRP 2016-14: Simplifying how information is published, and how the information system is defined.

Part 1

approved system means the system or systems required to convey information between persons in accordance with this Code as may be approved from time to time by the Authority

base case means a base case ~~published~~**publicised** by the Authority under clause 13.236D

connection and operation standards, in relation to a **distributor** or **distributed generation**,—

- (a) means requirements, as amended from time to time by the **distributor**, that—
 - (i) are set out in written policies and standards of the **distributor**; and
 - (ii) relate to the **connection** of **distributed generation** and the operation of the **distribution network**, including requirements relating to the planning, design, construction, testing, inspection, and operation of **assets** that are, or are proposed to be, **connected**; and
 - (iii) are made ~~publicly~~ available in accordance with clause 6.3; and
 - (iv) reflect, or are consistent with, **reasonable and prudent operating practice**; and
- (b) includes the following, as amended from time to time by the **distributor**:
 - (i) the **distributor's congestion management policy**, as referred to in clause 6.3(2)(d); and
 - (ii) the **distributor's** emergency response policies; and
 - (iii) the **distributor's** safety standards

disclosure information, in relation to a **participant**, means information that—

- (a) is about the **participant**; and
- (b) is held by the **participant**; and
- (c) the **participant** expects, or ought reasonably to expect, if **published** or otherwise made available to the public~~made publicly available~~, will have a material impact on prices in the **wholesale market**

~~**information system** means the system or systems required for the conveyance of information between persons in accordance with this Code as may be approved from time to time by the Authority~~

~~**publicise** means to make available to the public, at no cost to the public,—~~

- ~~(a) on the Authority's website at all reasonable times; and~~
- ~~(b) in any other manner that the Authority may decide~~

publish means—

- (a) in respect of information to be **published** by the Authority, to make the information available to the public, at no cost, on a website maintained by or on behalf the Authority;
or

- (b) in respect of information to be published by a participant, to make the information available to the public, at no cost, on a website maintained by or on behalf the participant, and published, publishes, publication, and publishing have corresponding meanings
- ~~(a) in respect of information to be published by the Authority or a market operation service provider, to make such information available to the intended recipient through the information system; and~~
- ~~(b) in respect of a document to be published under Part 9,—~~
- ~~(i) to make the document available to the public, at no cost, on an internet site maintained by or on behalf of the system operator, at all reasonable times, and~~
- ~~(ii) to give notice in the Gazette of the document, of the fact that it is available on the Internet at no cost, and of the Internet site address; and~~
- ~~(c) in respect of all other information, to make available to the intended recipient in such manner as may be prescribed from time to time by the Authority,—~~
- and **published, publishes, publication, publisher and publishing** have corresponding meanings

republish means to **publish** again following a recalculation using revised data, and **republished** and **republishing** have corresponding meanings

stress test means a stress test **published** by the Authority under clause 13.236D

system operator register means the register kept by the system operator for recording **equivalence arrangements, dispensations, and alternative ancillary service arrangements** in accordance with clause 8 of Schedule 8.1 and clause 4 of Schedule 8.2. The system operator must maintain an up to date copy of the system operator register and **publish it and keep it published** ~~make it available to registered participants at no cost on the system operator's website at all reasonable times~~

WITS means the system operated by the **WITS manager**

Part 2

2.7 Other reasons

A participant may also refuse to supply **Code information** if—

- the information requested is, or will soon be, **published** publicly available; or
- the information requested does not exist or cannot be found; or
- the information requested cannot be made available without substantial collation or research and the Authority agrees that it is unreasonable to undertake the collation or research; or
- the request is frivolous or vexatious or the information requested is trivial.

Part 3

3.5 Publication of market operation service provider agreements

The Authority must **publish** each market operation service provider agreement.

3.7 Relief of obligation because of force majeure

...

- (5) The **Authority** must ~~publish~~**publicise** the information provided under subclause (2)(a) and the reports provided under subclauses (3) and (4) as soon as practicable after receiving the information.
- (6) Despite subclause (5), the **Authority** must not ~~publish~~**publicise** or otherwise make ~~publicly~~ available to the public any information or any part of a report if the **market operation service provider** advises the **Authority** (with reasons) that the **market operation service provider** considers that it would have good reason to refuse to supply the information or the part under clause 2.6 or clause 2.7.

Part 4

4.1 Relief of obligation because of force majeure

...

- (6) The **Authority** must ~~publish~~**publicise** the information provided under subclause (2)(a) and the reports provided under subclauses (4) and (5) as soon as practicable after receiving the information.
- (7) Despite subclause (6), the **Authority** must not ~~publish~~**publicise** or otherwise make ~~publicly~~-available to the public any information or any part of a report if the **ancillary service agent** advises the **Authority** (with reasons) that the **ancillary service agent** considers that it would have good reason to refuse to supply the information or the part under clause 2.6 or clause 2.7.

Part 6

6.7 Extra terms

- (1) The parties' rights and obligations in respect of a **connection** on the **regulated terms** are also governed by any other terms and conditions that—
 - (a) were made ~~publicly~~ available under clause 6.3(2)(d) in a statement of the terms and conditions that would apply to **distributed generation** if there is congestion on the **distribution network**; or
 - (b) cover any other incidental matters (for example, invoicing procedures) if—
 - (i) the matters are not covered by the **regulated terms**; and
 - (ii) the other matters are reasonable terms and conditions that either were proposed by the **distributor** during the 30 **business day** negotiation period as part of a **connection** contract or are terms that would be implied by law if the **connection** was under a **connection** contract; and
 - (iii) the other terms and conditions do not contradict any of the **regulated terms**.
- (2) In this Part, if the parties have agreed to change all or any part of 1 or more of the **regulated terms** as part of a binding contract, the resulting contract is, in total, a **connection** contract on terms that apply instead of the **regulated terms** for the purposes of this Part.

Schedule 6.1

2 Applications under this Part of this Schedule

- (1) *[Revoked]*

- (2) A **distributed generator** must apply to a **distributor** by—
 - (a) using the application form provided by the **distributor** that is ~~publicly~~-available under clause 6.3(2)(a); and
 - (b) providing any information in respect of the **distributed generation** to which the application relates that is—
 - (i) referred to in subclause (3); and
 - (ii) specified by the **distributor** under clause 6.3(3) as being required to be provided with the application; and
 - (c) paying the application fee (if any) specified by the **distributor** in accordance with clause 6.3(2)(e).

....

9B Application for distributed generation of 10 kW or less in total in specified circumstances

- (1) A **distributed generator's** application to a **distributor** must specify which of the following circumstances applies:
 - (a) the **distributed generator** wishes to **connect distributed generation**;
 - (b) the **distributed generator** wishes to continue an existing **connection of distributed generation** that is **connected** in accordance with a **connection** contract that—
 - (i) is in force and the **distributed generator** wishes to extend the term of the **connection** contract; or
 - (ii) has expired;
 - (c) the **distributed generator** wishes to continue an existing **connection of distributed generation** that is **connected** without a **connection** contract;
 - (d) the **distributed generator** wishes to change the **nameplate capacity** or fuel type of **connected distributed generation**.
- (2) An application must include the following:
 - (a) the name, contact, and address details of the **distributed generator** and, if applicable, the **distributed generator's** agent;
 - (b) a brief description of the physical location at the address at which the **distributed generation** is or will be **connected**;
 - (c) any application fee specified by the **distributor** in accordance with clause 6.3(2)(e);
 - (d) details of the make and model of the inverter;
 - (e) confirmation as to whether the inverter—
 - (i) is included on the **distributor's** list of approved inverters made ~~publicly~~ available under clause 6.3(2)(f); or
 - (ii) conforms with the protection settings specified in the **distributor's connection and operation standards**;
 - (f) if the inverter is not included on the **distributor's** list of approved inverters, a copy of the AS 4777.2 Declaration of Conformity certificate for the inverter;
 - (g) details of—
 - (i) the **nameplate capacity** of the **distributed generation**; and
 - (ii) the fuel type of the **distributed generation** (for example, solar, wind, or liquid fuel).

....

11 Distributed generator must make initial application and give information

- (1) *[Revoked]*
- (2) A **distributed generator** must apply to a **distributor** ("**initial application**") by—
- (a) using the application form provided by the **distributor** that is ~~publicly~~-available under clause 6.3(2)(a); and
 - (b) providing any information in respect of the **distributed generation** to which the application relates that is—
 - (i) referred to in subclause (3); and
 - (ii) specified by the **distributor** under clause 6.3(3) as being required to be provided with the application; and
 - (c) paying the application fee (if any) specified by the **distributor** in accordance with clause 6.3(2)(e).
- ...

15 Distributed generator must make final application

- (1) A **distributed generator** that makes an **initial application** to a **distributor** must make a **final application**, no later than 12 months after receiving information under clauses 12 and 13, if the **distributed generator** wishes to proceed with the application, unless—
- (a) the **distributor** and the **distributed generator** agree that a **final application** is not required; and
 - (b) there are no persons to whom notification is required under clause 16 at the time that the **distributor** and **distributed generator** agree that a **final application** is not required.
- (1A) If a **final application** is not required—
- (a) subclause (2) does not apply; and
 - (b) the **distributed generator's initial application** must be treated as a **final application** for the purposes of clauses 16 to 24.
- (2) The **distributed generator** must make the **final application** by—
- (a) using the **final application** form provided by the **distributor** that is ~~publicly~~ available under clause 6.3(2)(a); and
 - (b) providing the results of any investigative studies that were identified by the **distributor** under clause 12(e)(i) as to be undertaken by the **distributed generator** or the **distributed generator's** agent.

Part 7**7.3 Functions of the system operator in relation to security of supply and emergency management**

...

- (2A) The **Authority** may ~~publish~~~~publicise~~ a security standards assumptions document.
- (2B) Subject to subclauses (2C) and (2D), if the **Authority** has ~~published~~~~publicised~~ a security standards assumptions document under subclause (2A), the **system operator** must use the assumptions set out in that document in preparing a security of supply assessment under the **security of supply forecasting and information policy**.
- (2C) The **system operator** may use different assumptions from those in a security standards assumptions document to prepare a security of supply assessment if—

- (a) the **system operator** considers that there are good reasons to use different assumptions; and
- (b) the **system operator** includes in the security of supply assessment—
 - (i) a detailed explanation of the assumptions used to prepare the security of supply assessment; and
 - (ii) a statement of reasons for using those assumptions instead of the assumptions **published**~~publicised~~ by the **Authority**; and
 - (iii) a description of how the security of supply assessment prepared using those assumptions differs from a security of supply assessment prepared using the assumptions set out in the security standards assumptions document.

7.8 Review of system operator

...

- (3) The **Authority** must **publish**~~publicise~~ a report on the performance of the **system operator** no later than 10 **business days** after the **Authority** completes its review.

7.12 Authority must **publish**~~publicise~~ system operator reports

- (1) The **Authority** must **publish**~~publicise~~ all self-review reports that are received from the **system operator** and that are required to be provided by the **system operator** to the **Authority** under this Code.
- (2) The **Authority** must **publish**~~publicise~~ each report within 5 **working days** after receiving the report.

Part 8

8.10C Authority may require system operator to reconsider

- (1) The **Authority** may require the **system operator** to reconsider a decision made under clause 8.10A(1)(b) not to propose a change to the **policy statement**.
- (2) If the **Authority** requires the **system operator** to reconsider a decision made under subclause 8.10A(1)(b), the **Authority** must advise the **system operator** of—
 - (a) the **Authority's** reasons for requiring the **system operator** to reconsider; and
 - (b) the date, determined after consulting with the **system operator**, by which the **system operator** must either confirm its decision or submit a **draft policy statement**.
- (3) The **Authority** must as soon as practicable **publish**~~publicise~~ the advice received from the **system operator** under clause 8.10A(1)(c) and the advice given by the **Authority** to the **system operator** under subclause (2).

8.11A Changes and variations

- (1) The **system operator** may at any time propose a change to the **policy statement** by submitting a **draft policy statement** to the **Authority** together with the following information:
 - (a) an explanation of the proposed change and a statement of the objectives of the proposed change;
 - (b) an evaluation of alternative means of achieving the proposed change;
 - (c) an evaluation of the costs and benefits of the proposed change.

- (2) The **Authority** or a **participant** may at any time request that the **system operator** propose a change to the **policy statement** under subclause (1).
- (3) If the **system operator** receives a request under subclause (2), it must as soon as practicable—
 - (a) decide whether to decline the request, defer the request until the next **review date**, or submit a **draft policy statement** to the **Authority**; and
 - (b) **publish** the decision ~~on its website~~.

8.12 Consultation on draft policy statement

- (1) The **Authority** must ~~publish~~**publicise** the following information as soon as practicable after it receives it:
 - (a) a **draft policy statement** submitted under clause 8.10A and the information required under clause 8.10A(2);
 - (b) a **draft policy statement** submitted under clause 8.11A and the information required under clauses 8.11A(1)(a) to (c).
- (2) When the **Authority** ~~publishes~~**publicises** a **draft policy statement** and information under subclause (1), the **Authority** must advise **participants** of the date (which must not be earlier than 10 **business days** after the date that the **Authority** ~~publishes~~**publicises** the **draft policy statement**) by which submissions on the changes proposed in the **draft policy statement** must be received by the **Authority**.
- (3) Each submission on changes proposed in a **draft policy statement** must be made in writing to the **Authority** and received on or before the **submission expiry date**.
- (4) The **Authority** must provide a copy of each submission received to the **system operator** at the close of business on the **submission expiry date** and must ~~publish~~**publicise** the submissions as soon as practicable.
- (5) The **system operator** may make its own submission on the **draft policy statement** and the submissions received in relation to it no later than 10 **business days** after the **submission expiry date**.
- (6) The **Authority** must ~~publish~~**publicise** the **system operator's** submission as soon as practicable after it is received.
- (7) Following the consultation process required by subclauses (1) to (6), the **Authority** may approve the **draft policy statement** subject to the **system operator** making any changes that the **Authority** considers appropriate.

8.12A Technical and non-controversial changes

...

- (4) If the **Authority** approves the **draft policy statement** it must as soon as practicable—
 - (a) ~~publish~~**publicise** notice of its intention to incorporate the **draft policy statement** by reference into this Code; and
 - (b) include in the notice the **Authority's** reasons for considering that the changes proposed in the **draft policy statement** are technical and non-controversial; and
 - (c) invite comment from **participants** on the reasons given in the notice.
- (5) After considering any comments made under subclause 4(c) the **Authority** must advise the **system operator** by notice in writing of its decision as to whether to confirm or revoke its approval of the **draft policy statement**, and give reasons for its decision.
- (6) The **Authority** must ~~publish~~**publicise** its decision and reasons as soon as practicable.

8.12B Authority adopts new policy statement

If the **Authority** approves a **draft policy statement** under clause 8.12 or confirms its approval of a **draft policy statement** under clause 8.12A it must—

- (a) incorporate the new **policy statement** by reference into this Code in accordance with Schedule 1 of the **Act**; and
- (b) ~~publish~~**publicise** the new **policy statement** and the date on which it takes legal effect.

8.14 Departure from policy statement

- (1) The **system operator** may depart from the policies set out in a **policy statement** when a **system security situation** arises and such departure is required for the **system operator** to comply with clause 7.1A(1).
- (2) If the **system operator** departs from a **policy statement** under subclause (1), the **system operator** must provide a report to the **Authority** setting out the circumstances of the **system security situation** and the actions taken to deal with it.
- (3) The **Authority** must ~~publish~~**publicise** the report within a reasonable time after receiving it.

8.42C Authority may require system operator to reconsider

- (1) The **Authority** may require the **system operator** to reconsider a decision made under clause 8.42A(1)(b) not to propose a change to the **procurement plan**.
- (2) If the **Authority** requires the **system operator** to reconsider a decision made under subclause 8.42A(1)(b) the **Authority** must advise the **system operator** of—
 - (a) the **Authority's** reasons for requiring the **system operator** to reconsider; and
 - (b) the date, determined after consulting the **system operator**, by which the **system operator** must either confirm its decision or submit a draft procurement plan.
- (3) The **Authority** must as soon as practicable ~~publish~~**publicise** the advice received from the **system operator** under clause 8.42A(1)(c) and the advice given by the **Authority** to the **system operator** under subclause (2).

8.43A Changes and variations

- (1) The **system operator** may at any time propose a change to the **procurement plan** by submitting a **draft procurement plan** to the **Authority** together with the following information:
 - (a) an explanation of the proposed change and a statement of the objectives of the proposed change;
 - (b) an evaluation of alternative means of achieving the objectives of the proposed change;
 - (c) an evaluation of the costs and benefits of the proposed change.
- (2) The **Authority** or a **participant** may at any time request that the **system operator** propose a change to the **procurement plan** under subclause (1).
- (3) If the **system operator** receives a request under subclause (2), it must as soon as practicable—
 - (a) decide whether to decline the request, defer the request until the next **review date**, or submit a **draft procurement plan** to the **Authority**; and

- (b) **publish** the decision ~~on its website~~.

8.44 Consultation on draft procurement plan

- (1) The **Authority** must ~~publish~~**publicise** the following information as soon as practicable after it receives it:
 - (a) a **draft procurement plan** submitted under clause 8.42A and the information required under clause 8.42A(2);
 - (b) a **draft procurement plan** submitted under clause 8.43A and the information required under clause 8.43A(1)(a) to (c).
- (2) When the **Authority** ~~publishes~~**publicises** a **draft procurement plan** and information under subclause (1) the **Authority** must advise **participants** of the date (which must not be earlier than 10 **business days** after the date that the **Authority** ~~publishes~~**publicises** the **draft procurement plan**) by which submissions on the changes proposed in the **draft procurement plan** must be received by the **Authority**.
- (3) Each submission on changes proposed in a **draft procurement plan** must be made in writing to the **Authority** and received on or before the **submission expiry date**.
- (4) The **Authority** must provide a copy of each submission received to the **system operator** at the close of business on the **submission expiry date** and must ~~publish~~**publicise** the submissions as soon as practicable.
- (5) The **system operator** may make its own submission on the **draft procurement plan** and the submissions received in relation to it no later than 10 **business days** after the **submission expiry date**.
- (6) The **Authority** must ~~publish~~**publicise** the **system operator's** submission as soon as practicable after it is received.
- (7) Following the consultation process required by subclauses (1) to (6), the **Authority** may approve the **draft procurement plan** subject to the **system operator** making any changes that the **Authority** considers appropriate.

8.44A Technical and non-controversial amendments

...

- (4) If the **Authority** approves the **draft procurement plan** it must as soon as practicable—
 - (a) ~~publish~~**publicise** notice of its intention to incorporate the **draft procurement plan** by reference into this Code; and
 - (b) include in the notice the **Authority's** reasons for considering that the changes proposed in the **draft procurement plan** are technical and non-controversial; and
 - (c) invite comment from **participants** on the reasons given in the notice.
- (5) After considering any comments made under subclause 4(c) the **Authority** must advise the **system operator** by notice in writing of its decision as to whether to confirm or revoke its approval of the **draft procurement plan**, and give reasons for its decision.
- (6) The **Authority** must ~~publish~~**publicise** its decision and reasons as soon as practicable.

8.44B Authority adopts new procurement plan

If the **Authority** approves a **draft procurement plan** under clause 8.44 or confirms its approval of a **draft procurement plan** under clause 8.44A it must—

- (a) incorporate the new **procurement plan** by reference into this Code in accordance with Schedule 1 of the **Act**; and

- (b) ~~publish~~**publicise** the new **procurement plan** and the date on which it takes legal effect.

8.45A Methodology to assess net purchase quantity

The **system operator** must make the **net purchase quantity assessment** for each relevant **ancillary service** using the methodology in the **procurement plan** and **publish** the results of the assessment ~~on its website~~ as soon as practicable.

8.47 Departure from procurement plan

- (1) The **system operator** may depart from the processes and arrangements set out in the **procurement plan** if the **system operator** reasonably considers it necessary to do so to comply with the **principal performance obligations**.
- (2) When the **system operator** makes a departure under subclause (1), the **system operator** must provide a report to the **Authority** setting out the circumstances of the departure and the actions taken to deal with it.
- (3) The **Authority** must ~~publish~~**publicise** the report within a reasonable time after receiving it.

8.54F Authority may require system operator to reconsider

- (1) The **Authority** may require the **system operator** to reconsider a decision made under clause 8.54E(1)(c) not to propose a change to the **extended reserve technical requirements schedule**.
- (2) If the **Authority** requires the **system operator** to reconsider, the **Authority** must advise the **system operator** of—
 - (a) the **Authority's** reasons for requiring the **system operator** to reconsider; and
 - (b) the date, determined after consulting with the **system operator**, by which the **system operator** must—
 - (i) confirm its decision under clause 8.54E(1)(c); or
 - (ii) provide a draft of the revised schedule to the **Authority** under clause 2(2) of Schedule 8.5.
- (3) The **Authority** must as soon as practicable ~~publish~~**publicise** the advice received from the **system operator** under clause 8.54E(1)(c) and any advice given by the **Authority** to the **system operator** under subclause (2).

8.54Q System operator to give written notice ~~advise~~ clearing manager of dates

- (1) The **system operator** must give written notice to ~~advise~~ the **Authority** and the **clearing manager** of all dates on which **extended reserve providers** will provide, or cease to provide, **extended reserve**, as set out in the **extended reserve schedule**.
- (2) If an amendment to an implementation plan made under clause 8.54M(6) or (7) results in an **extended reserve provider** providing, or ceasing to provide, any **extended reserve** on a date that is different from the relevant date specified in the implementation plan, in each case the **system operator** must—
 - (a) update the **extended reserve schedule** with the new date; and
 - (b) give written notice to ~~advise~~ the **Authority** and the **clearing manager** of the new date.

8.54T Assignment of extended reserve obligations

- (1) An **extended reserve provider** that proposes to assign **assets** that it uses to provide **extended reserve** may apply to the **Authority** by notice in writing for approval to assign its obligations to provide **extended reserve** that relate to those **assets**.
- (2) The **Authority** may, on receiving an application under subclause (1),—
 - (a) approve the assignment; or
 - (b) approve the assignment with conditions; or
 - (c) decline to approve the assignment.
- (3) Before giving an **extended reserve provider** approval to assign its obligations under subclause (2), the **Authority** must consult with the **system operator**.
- (4) If the **Authority** gives an **extended reserve provider** approval to assign its obligations under subclause (2), the **Authority** must give written notice to advise the **system operator**.
- (5) An assignment of an **extended reserve provider's** obligations is not effective except as approved by the **Authority** under subclause (2).

Schedule 8.3, Technical Code B

7 Extended reserve providers to provide extended reserve

- (1) Each **extended reserve provider** must provide **extended reserve** at all times in accordance with its current **statement of extended reserve obligations** issued by the **system operator** under clause 8.54P.
- (2) An **extended reserve provider** must give written notice to advise the **system operator** as soon as practicable if the **extended reserve provider** is unable to comply with subclause (1).

Schedule 8.3, Technical Code C

5 Specific requirements for document transmission ~~communication~~

- (1) ~~Subject to subclause (2) and the **information system**, Each **asset owner's control room** must give information to use facsimile transmission as the primary means of transmitting a document between the ~~**control room**~~ of the ~~**asset owner**~~ and the **system operator** in writing.~~
- (2) An **asset owner** may request the **system operator** to approve an ~~alternative~~ primary means of transmitting information a document (such approval not to be unreasonably withheld).
- (3) Each **asset owner** must have in place a backup means of transmitting information a document. The backup means of transmitting information document transmission communication—
 - (a) must be approved by the **system operator** (such approval not to be unreasonably withheld); and
 - (b) may include, but is not limited to, voice communication or email; and
 - (c) may only be used if the primary means of document transmission described in subclause (1) or (2) is unavailable or otherwise with the agreement of the **system operator**.

Schedule 8.5

3 Technical and non-controversial changes

- (1) The **system operator** may at any time make a change to the **extended reserve technical**

requirements schedule that it considers is technical and non-controversial.

- (2) If the **system operator** makes a change to the **extended reserve technical requirements schedule** under subclause (1), the **system operator** is not required to comply with clause 2 of this Schedule.
- (3) The **system operator** must give written notice to advise the **Authority** of any changes to the **extended reserve technical requirements schedule** made under this clause.

6 Approval of extended reserve selection methodology

...

- (4) If the **Authority** declines to approve the draft methodology, the **Authority** must either—
 - (a) ~~publish~~**publicise** the changes that the **Authority** wishes the **extended reserve manager** to make to the draft methodology; or
 - (b) require the **extended reserve manager** to prepare a new draft methodology.

7 Consultation on proposed changes

- (1) When the **Authority** ~~publishes~~**publicises** changes that the **Authority** wishes the **extended reserve manager** to make to the draft **extended reserve selection methodology** under clause 6(4), the **Authority** must advise the **extended reserve manager** and interested parties of the date by which submissions on the changes must be made to the **Authority**.
- (2) Each submission on the changes to the draft methodology must be made in writing to the **Authority** and be received by the date specified by the **Authority**.
- (3) The **Authority** must—
 - (a) give a copy of each submission made to the **extended reserve manager**; and
 - (b) ~~publish~~**publicise** the submissions.
- (4) The **extended reserve manager** may make its own submission on the changes to the draft methodology and the submissions made in relation to the changes.
- (5) The **Authority** must ~~publish~~**publicise** the **extended reserve manager's** submission when it is received.
- (6) The **Authority** must consider the submissions made to it on the changes to the draft methodology and prepare a revised draft methodology incorporating any amendments that the **Authority** proposes be made to the methodology.
- (7) The **Authority** must give the revised draft methodology prepared under subclause (6) to the **system operator**, and clause 6(2) applies as if the revised draft methodology was the draft methodology prepared under clause 5.
- (8) As soon as practicable after receiving the **system operator's** comments, or advice that the **system operator** does not wish to make any comments, the **Authority** must,—
 - (a) by notice in writing to the **extended reserve manager** and the **system operator**,—
 - (i) approve the revised draft methodology; or
 - (ii) amend the revised draft methodology to address any comments received from the **system operator**, and approve it; or
 - (b) ~~publish~~**publicise** a further revised draft methodology, and advise the **extended reserve manager** and interested parties of the date by which submissions on the changes must be made to the **Authority**.
- (9) If the **Authority** ~~publishes~~**publicises** a further revised draft methodology under subclause (8)(b), subclauses (2) to (8) apply as if the further revised draft methodology was the revised draft methodology.

8 Technical and non-controversial changes

- (1) The **extended reserve manager** may at any time propose a change to the **extended reserve selection methodology** that it considers is technical and non-controversial by giving a draft methodology to the **Authority** together with an explanation of the proposed change.
- (2) If the **extended reserve manager** gives a draft methodology to the **Authority** under subclause (1) the **extended reserve manager** is not required to comply with clauses 5 and 6 of this Schedule.
- (3) The **Authority** must give written notice to ~~advise~~ the **system operator** of any proposed change to the **extended reserve selection methodology** that it receives under subclause (1).
- (4) The **Authority** must, as soon as practicable after receiving a draft methodology and the information required by subclause (1), by notice in writing to the **extended reserve manager** and the **system operator**—
 - (a) approve the draft methodology; or
 - (b) decline to approve the draft methodology, giving reasons.

12 Approval of extended reserve procurement schedule

- (1) The **extended reserve manager** must give the **Authority** and the **system operator**—
 - (a) a copy of each submission made on the draft **extended reserve procurement schedule**; and
 - (b) a response to each issue raised by each submission; and
 - (c) a copy of the draft procurement schedule that the **extended reserve manager** proposes to **publish**.
- (2) As soon as practicable, but no later than 15 **business days** after receiving a copy of the draft procurement schedule, the **system operator** must—
 - (a) give the **Authority** any comments it wishes to make on the draft procurement schedule; or
 - (b) advise the **Authority** that it does not wish to make any comments.
- (3) As soon as practicable after receiving the **system operator's** comments, or advice that the **system operator** does not wish to make any comments, the **Authority** must, by notice in writing to the **extended reserve manager** and the **system operator**,—
 - (a) approve the draft procurement schedule; or
 - (b) decline to approve the draft procurement schedule.
- (4) If the **Authority** declines to approve the draft procurement schedule, the **Authority** must either—
 - (a) ~~publish~~**publicise** the changes that the **Authority** wishes the **extended reserve manager** to make to the draft procurement schedule; or
 - (b) require the **extended reserve manager** to prepare a new draft procurement schedule.

13 Consultation on proposed changes

- (1) When the **Authority** ~~publishes~~**publicises** changes that the **Authority** wishes the **extended reserve manager** to make to the draft **extended reserve procurement schedule** under clause 12(4), the **Authority** must advise the **extended reserve manager** and interested parties of the date by which submissions on the changes must be made to the **Authority**.

- (2) Each submission on the changes to the draft procurement schedule must be made in writing to the **Authority** and be made by the date advised by the **Authority**.
- (3) The **Authority** must—
 - (a) give a copy of each submission made to the **extended reserve manager**; and
 - (b) the submissions.
- (4) The **extended reserve manager** may make its own submission on the changes to the draft procurement schedule and the submissions made in relation to the changes.
- (5) The **Authority** must ~~publish~~**publicise** the **extended reserve manager's** submission when it is received.
- (6) The **Authority** must consider the submissions made to it on the changes to the draft procurement schedule and prepare a revised draft procurement schedule incorporating any amendments that the **Authority** proposes be made to the schedule.
- (7) The **Authority** must give the revised draft procurement schedule prepared under subclause (6) to the **system operator**, and clause 12(2) applies as if the revised draft procurement schedule was the draft procurement schedule prepared under clause 11.
- (8) As soon as practicable after receiving the **system operator's** comments, or advice that the **system operator** does not wish to make any comments, the **Authority** must,—
 - (a) by notice in writing to the **extended reserve manager** and the **system operator**,—
 - (i) approve the revised draft procurement schedule; or
 - (ii) amend the revised draft procurement schedule to address any comments received from the **system operator**, and approve it; or
 - (b) ~~publish~~**publicise** a further revised draft procurement schedule, and **advise** the **extended reserve manager** and interested parties of the date by which submissions on the changes must be made to the **Authority**.
- (9) If the **Authority** ~~publishes~~**publicises** a further revised draft procurement schedule under subclause (8)(b), subclauses (2) to (8) apply as if the further revised draft procurement schedule was the revised procurement schedule.

Part 9

9.5 Amendments and substitutions of system operator rolling outage plans

- (1) The **system operator** may—
 - (a) amend a **system operator rolling outage plan**; or
 - (b) revoke a **system operator rolling outage plan** and substitute a new plan.
- (2) This subpart applies to an amendment to a plan or a substitute plan—
 - (a) as if the amendment or substitute plan were the original plan; and
 - (b) with other necessary modifications.
- (3) The **system operator** must not submit an amended or new **system operator rolling outage plan** to the **Authority** under clause 9.2(2) unless the **system operator** has—
 - (a) consulted with persons that the **system operator** thinks are representative of the interests of persons likely to be substantially affected by the amended or new plan; and
 - (b) considered submissions made on the amended or new plan.
- (4) Subclause (3) does not apply if the **system operator** considers that it is necessary or desirable in the public interest that the proposed **system operator rolling outage plan** be **published** urgently, and, in this case, the **system operator rolling outage plan**, ~~and the~~

notice in the *Gazette* that is part of the ~~publishing~~ of the plan, must state that the plan is **published** in reliance on this subclause and then, within 6 months of the plan being **published**, the **system operator** must—

- (a) comply with subclause (3); and
 - (b) decide whether or not the plan should be amended or revoked and a new plan substituted; and
 - (c) no later than 10 **working days** after making that decision, **publish** the decision; and
 - (d) if the **system operator** decides that the plan should be amended or revoked and a new plan substituted, comply with this clause in relation to the proposed amendment or revocation and substitution.
- (5) To avoid doubt, a **system operator rolling outage plan** is not invalid only because the **system operator** did all or any of the things referred to in subclause (3) before this clause came into force.

9.13B Request for urgent temporary grid reconfiguration

...

- (3) No later than 10 **business days** after giving notice to **Transpower**, the **system operator** must give a written report to the **Authority** setting out the basis on which the **system operator** requested that **Transpower** remove 1 or more **interconnection assets** from service or temporarily reconfigure the **grid**.
- (4) The **system operator** must ensure that the report given under subclause (3) includes—
 - (a) the matters specified in subclause (2)(a) and (b); and
 - (b) sufficient information to demonstrate that in developing its request to **Transpower** the **system operator** followed a robust process, including the options the **system operator** considered and the extent of any analysis and consultation undertaken by the **system operator**.
- (5) The **Authority** must ~~publish~~**publicise** the report.

9.15 Power to direct outages in security of supply situation

- (1) The **system operator** may, at any time in the period during which a **supply shortage declaration** is in force, ~~give a written direction to~~**direct specified participants** to contribute to achieving reductions in the consumption of **electricity** by implementing outages or taking any other action specified in the direction.
- (2) A direction must—
 - (a) be consistent with the **system operator rolling outage plan**; and
 - (b) be given only after consultation with the **Authority**; and
 - (c) if the direction requires a **specified participant** to implement outages, specify the savings targets that the **specified participant** must achieve.
- ~~(3) A direction may be communicated through the **information system** operated by the **system operator**.~~
- (4) The **system operator** must **publish** ~~each~~ a direction as soon as practicable after it is given.
- (5) The **system operator** may—
 - (a) amend a direction; or
 - (b) revoke a direction and, if the **system operator** considers it appropriate, substitute a new direction.
- (6) Subclauses (1) to (4) apply to an amendment to a direction or a substitute direction—

- (a) as if the amendment or substitute direction were the original direction; and
- (b) with other necessary modifications.

9.23 System operator commences official conservation campaign

...

- (5) If the **system operator** and the **Authority** agree under subclause (1)(b) or (2)(b) that an **official conservation campaign** will commence, the **system operator** must **publish** ~~make publicly available on its website~~ the reasons for agreeing that the **official conservation campaign** will commence.

9.25 Authority must determine minimum weekly amount

- (1) In determining the minimum weekly amount that each **retailer** must pay to its **qualifying customers**, the **Authority** must take into account—
 - (a) the estimated value, in dollars/MWh, of the savings that the **Authority** expects all **qualifying customers** in the South Island or New Zealand, as the case may be, of all **retailers**, will achieve during an **official conservation campaign**; and
 - (b) any other factors that the Authority considers relevant.
- (2) The **Authority** must—
 - (a) ~~publish~~ **publish** the minimum weekly amount; and
 - (b) review the minimum weekly amount—
 - (i) after each **public conservation period** ends; and
 - (ii) at least once every 3 calendar years; and
 - (c) following a review under paragraph (b), ensure that it gives **participants** at least 3 months' notice if it determines a new minimum weekly amount.

9.28 Publishing description of additional customer compensation schemes

A **retailer** who has 1 or more **additional customer compensation schemes** must—

- (a) **publish** and **keep published** ~~make~~ a description of its **additional customer compensation schemes** ~~publicly available, at no cost, on an Internet site maintained by or on behalf of the retailer, at all reasonable times~~; and
- (b) on request from a **customer**, provide a written description of the **additional customer compensation schemes**.

Part 10

10.49 NSP table

- (1) The **market administrator** must **publish** and maintain an **NSP** table, or ensure that an **NSP** table is **published** and maintained, ~~on the Authority's website~~.
- (2) The **reconciliation manager** must advise the **market administrator** of any change to the information contained in the **NSP** table within 1 **business day** of becoming aware of such change.
- (3) The **market administrator** must update the **NSP** table, or ensure that the **NSP** table is updated, within 2 **business days** of being advised by the **reconciliation manager** under subclause (2).

Part 11

11.15AA Trader may elect to have switch saving protection

- (1) A **trader** that buys **electricity** from the **clearing manager** may elect to have switch saving protection by giving written notice to the **Authority**.
- (2) The **Authority** must ~~publish~~**publish** the name of each **trader** that has elected to have switch saving protection as soon as practicable after receiving the written notice from the **trader**.
- (3) A **trader's** switch saving protection comes into effect on the day after the day on which the **Authority** ~~publishes~~**publishes** the **trader's** election.

11.32B Requests for information

- (1) A **retailer** to which a request is made must give the information to the **consumer** no later than 5 **business days** after the date on which the request is made.
- (2) In responding to a request, the **retailer** must comply with the procedures, and any relevant **EIEP**, ~~published~~**published** by the **Authority** under clause 11.32F.
- (3) A **retailer** must not charge a fee for responding to a request, but if 4 requests in respect of a **consumer's** information have been made in a 12 month period, the **retailer** may impose a reasonable charge for further requests in that 12 month period.

11.32FAuthority to ~~publish~~**publish** procedures for responding to requests for consumption information

- (1) The **Authority** must, no later than 20 **business days** after this clause comes into force, ~~publish~~**publish** (and must keep **published**)—
 - (a) procedures under which a **retailer** must respond to a request from a **consumer** under clause 11.32B; and
 - (b) 1 or more **EIEPs** with which a **retailer** must comply when responding to such a request.
- (2) The procedures ~~published~~**published** by the **Authority** must specify the manner in which information must be given to **consumers**.
- (3) Each **EIEP** ~~published~~**published** by the **Authority** must specify 1 or more formats in which information must be given to **consumers**.
- (4) Before the **Authority** ~~publishes~~**publishes** an **EIEP** under subclause (1), or amends an **EIEP** that it has ~~published~~**published** under subclause (1), it must consult with the **participants** that the **Authority** considers are likely to be affected by the **EIEP**.
- (5) The **Authority** need not comply with subclause (4) if it proposes to amend an **EIEP** ~~published~~**published** under subclause (1) if the **Authority** is satisfied that—
 - (a) the nature of the amendment is technical and non-controversial; or
 - (b) there has been adequate prior consultation so that the **Authority** has considered all relevant views.

Schedule 11.1

9 Traders to provide ICP information to registry

- (1) Each **trader** must provide the following information to the **registry** for each **ICP** for which it is recorded in the **registry** as having responsibility:
 - (a) the **participant identifier** of the **trader**:

- (b) the **profile** code of each **profile** at that **ICP** approved by the **market administrator** in accordance with clause 13 of Schedule 15.5:
- (c) the **participant identifier** of the **metering equipment provider** for each **category 1 metering installation**, or higher category **metering installation**, for the **ICP**:
- (d) *[Revoked]*
- (e) *[Revoked]*
- (ea) the type of **submission information** that the **trader** will provide to the **reconciliation manager** for the **ICP**:
- (f) if the settlement type UNM is assigned to the **ICP**—
 - (i) if the load is profiled through an engineering **profile** in accordance with **profile class 2.1**, the code ENG; or
 - (ii) in all other cases, the daily average **unmetered load** in kWh at the **ICP**:
- (g) the type and capacity of the **unmetered load** at the **ICP** (if any):
- (h) *[Revoked]*
- (i) *[Revoked]*
- (j) the status of the **ICP** determined in accordance with clauses 12 to 20.
- (k) except as provided in subclause (1A), the relevant business classification code applicable to the **customer** at the **ICP**, in accordance with business classification codes **published**~~publicised~~ by the **Authority**.

Part 12

12.10 Benchmark agreements to be default transmission agreements

- (1) Subject to clauses 12.49 and 12.50, if, at the expiry of 2 months after a **participant** becomes a **designated transmission customer**, the **designated transmission customer** and **Transpower** have not entered into a **transmission agreement** in accordance with clause 12.9, the **benchmark agreement** applies as a binding contract between the **designated transmission customer** and **Transpower**, and the **designated transmission customer** and **Transpower** must comply with the process specified in this clause.
- (2) If this clause applies:
 - (a) within 10 **business days** of the date that is 2 months after the **participant** became a **designated transmission customer**, the **designated transmission customer** must provide **Transpower**, at the address for service for **Transpower** registered at the New Zealand Companies Office, with—
 - (i) the **designated transmission customer's** full name; and
 - (ii) the **designated transmission customer's** physical address, postal address and electronic address ~~facsimile number~~ to which notices under the default **transmission agreement** are to be sent; and
 - (iii) the name of the contact person of the **designated transmission customer** to whom such notices should be addressed:
 - (b) by the date 20 **business days** after the receipt of the **designated transmission customer's** details under paragraph (a), **Transpower** must provide the **designated transmission customer** with a draft default **transmission agreement** completed in accordance with the **benchmark agreement**, which must include the following:
 - (i) the **designated transmission customer's** details as provided under paragraph (a):
 - (a):

- (ii) **Transpower's** physical address, postal address and electronic address ~~facsimile number~~ to which notices under the default **transmission agreement** are to be sent:
- (iii) the contact person to whom notices under the default **transmission agreement** should be addressed:
- (iv) **Transpower's** designated bank account for the purposes of receiving payments under the default **transmission agreement**:
- (v) a draft Schedule 1, which sets out the **connection locations, points of service and points of connection** of the **assets** owned or operated by the **designated transmission customer** to the **grid**:
- (vi) a draft Schedule 4 setting out, in the same form as the diagram in Schedule 4 of the **benchmark agreement**, the configuration of the **connection assets** in relation to each **connection location** listed in Schedule 1:
- (vii) a draft Schedule 5 setting out proposed service levels for each **connection location** listed in Schedule 1 determined in accordance with subclause (3):
- (viii) if applicable, a draft Schedule 6, including identifying the facilities, facilities area, and land that are to be subject to the access and occupation terms set out in the schedule and the licence charges under the schedule:

12.13 Expiry or termination of transmission agreements

If a **transmission agreement**, or an existing written agreement to which clause 12.49 applies, expires or terminates on or after the date that is 2 months after the **participant** became a **designated transmission customer** and **Transpower** and the **designated transmission customer** do not enter into a new **transmission agreement** within 2 months of that date, the following procedure applies:

- (a) within 10 **business days**, the **designated transmission customer** must provide **Transpower**, at the address for service for **Transpower** registered at the New Zealand Companies Office, with—
 - (i) the **designated transmission customer's** full name; and
 - (ii) the **designated transmission customer's** physical address, postal address and electronic address ~~facsimile number~~ to which notices under the default **transmission agreement** are to be sent; and
 - (iii) the name of the contact person of the **designated transmission customer** to whom such notices should be addressed:
- (b) within 20 **business days** of receipt of the **designated transmission customer's** details under paragraph (a), **Transpower** must provide the **designated transmission customer** with a draft default **transmission agreement** completed in accordance with the **benchmark agreement**, which must include—
 - (i) the **designated transmission customer's** details as provided under paragraph (a); and
 - (ii) **Transpower's** physical address, postal address and electronic address ~~facsimile number~~ to which notices under the default **transmission agreement** are to be sent; and
 - (iii) the contact person to whom notices under the default **transmission agreement** should be addressed; and

- (iv) **Transpower's** designated bank account for the purposes of receiving payments under the default **transmission agreement**; and
 - (v) a draft Schedule 1, which sets out the **connection locations, points of service and points of connection** of the **assets** owned or operated by the **designated transmission customer** to the **grid**; and
 - (vi) a draft Schedule 4 setting out, in the same form as the diagram in Schedule 4 of the **benchmark agreement**, the configuration of the **connection assets** in relation to each **connection location** listed in Schedule 1; and
 - (vii) a draft Schedule 5 setting out proposed service levels for each **connection location** listed in Schedule 1 determined in accordance with clause 12.10(3); and
 - (viii) if applicable, a draft Schedule 6, including identifying the facilities, facilities area, and land that are to be subject to the access and occupation terms set out in that schedule and the licence charges under that schedule:
- (c) the **designated transmission customer** and **Transpower** may discuss the schedules proposed under paragraph (b)(v) to (viii), as a result of which **Transpower** may amend any of the schedules:
 - (d) the **designated transmission customer** must advise **Transpower** in writing within **20 business**

12.112 Exceptions to clause 12.111

...

- (3) If a decision to remove an **asset**, or reconfigure the **grid**, or reduce the transmission capacity of an **asset** has been made under subclause (1)(b)(i) or (ii), **Transpower** must as soon as reasonably possible **publish** ~~make publicly available~~ the analysis it undertook in accordance with subclause (1)(b)(i) or (ii), or a summary of that analysis.

12.116AC Information to be published~~publicly available~~

If **Transpower** receives a notice given in accordance with clause 9.13B, **Transpower** must make publish~~publicly available~~ at no cost, on an ~~Internet site maintained by or on behalf of Transpower,~~ —

- (a) as soon as practical, a copy of the notice; and
- (b) by no later than **5 business days** after receiving the notice, a summary of **Transpower's** application of the net benefit test that relates to the exceptional circumstances stated in the notice.

Schedule 12.4

3 Definitions and interpretation

...

transition date means the date of the last ODV report published ~~by~~ ~~on Transpower's website~~ before the date on which this **transmission pricing methodology** takes effect

...

42 Prudent Discount Details to be Published

- (1) As soon as reasonably practicable after concluding a prudent discount agreement with a **customer**, **Transpower** must **publish** ~~on its website~~ the decision made, the analysis supporting that decision and the following information:
 - (a) the cost estimate used by **Transpower** in assessing the **alternative project** and the calculations undertaken by **Transpower** using those cost estimates;
 - (b) any report prepared by an **independent expert**;
 - (c) the annual amount payable by the **customer** under clause 41(1)(a);
 - (d) details of how the **customer's** transmission charges will be calculated under clause 41(1)(b).

Part 12A

12A.1 Contents of this Part

This Part—

...

- (g) provides that the **Authority** may **publish**~~publicise~~ **EIEPs** that **distributors** and **traders** must comply with when exchanging information.

12A.13 Authority may **publish**~~publicise~~ **EIEPs** that must be used

- (1) The **Authority** may **publish**~~publicise~~ 1 or more **EIEPs** that set out standard formats that **distributors** and **traders** must use when exchanging information.
- (2) When **publishing**~~publicising~~ an **EIEP** under subclause (1), the **Authority** must specify the date on which the **EIEP** will come into effect.
- (3) The information to which an **EIEP** **published**~~publicised~~ under subclause (1) may relate includes, but is not limited to, the following information:
 - (a) **ICP** level billing information;
 - (b) level billing information;
 - (c) **half hourly** billing information;
 - (d) **distributor** tariff rate change information.
- (4) Before the **Authority** **publishes**~~publicises~~ an **EIEP** under subclause (1), or amends an **EIEP** it has **published**~~publicised~~ under subclause (1), it must consult with the **participants** that the **Authority** considers are likely to be affected by the **EIEP**.
- (5) The **Authority** need not comply with subclause (4) if it proposes to amend an **EIEP** **published**~~publicised~~ under subclause (1) if the **Authority** is satisfied that—
 - (a) the nature of the amendment is technical and non-controversial; or
 - (b) there has been adequate prior consultation so that the **Authority** has considered all relevant views.
- (6) *[Revoked]*

12A.14 Distributors and traders must comply with **EIEPs**

- (1) If the **Authority** **published**~~publicised~~ an **EIEP** under clause 12A.13, the **distributor** and the **trader** must, when exchanging information to which the **EIEP** relates, comply with the **EIEP** from the date on which the **EIEP** comes into effect.
- (2) *[Revoked]*

- (3) However, a **distributor** and a **trader** may, after an **EIEP** has been ~~published~~**publicised**, agree to exchange information other than in accordance with the **EIEP**, by recording the agreement in each **use-of-system agreement** between the **distributor** and **trader**.
- (4) An agreement to exchange information other than in accordance with an **EIEP** is not effective in relieving a **distributor** and a **trader** of the obligation to comply with subclause (1), unless the agreement comes into effect on or after the date on which the relevant **EIEP** comes into effect.
- (5) An agreement under subclause (3) is not affected by the **Authority** ~~publishing~~**publicising** an amendment to the **EIEP**.
- (6) Subclause (1) does not apply to an **EIEP** ~~published~~**publicised** under clause 12A.15.

12A.15 Authority may ~~publish~~publicise voluntary EIEPs

The **Authority** may ~~publish~~**publicise** 1 or more **EIEPs** that set out standard formats that **distributors** and **traders** may, but are not required to, use when exchanging information.

12A.16 Transitional provision relating to EIEPs

- (1) This clause applies to any **EIEP** that a **distributor** or **trader** was required to comply with immediately before this clause came into force.
- (2) An **EIEP** to which this clause applies—
 - (a) is deemed to be an **EIEP** ~~published~~**publicised** under clause 12A.13(1); and
 - (b) despite clause 12A.13(2), comes into effect on the date on which this clause comes into force.
- (3) The **Authority** need not comply with clause 12A.13(4) in respect of an **EIEP** to which this clause applies, unless the **Authority** proposes to amend the **EIEP**.
- (4) *[Revoked]*

Part 13

13.7A System operator to prepare forecast of non-dispatch-capable load at conforming GXP

- (1) The **system operator** must prepare a forecast of **non-dispatch-capable load** for each **conforming GXP** for each **trading period** in a **schedule period**.
- (2) The **system operator** must—
 - (a) disclose to the **Authority** a description of the processes and methodology it uses to prepare the forecast under subclause (1); and
 - (b) ~~publish and keep published~~make available to the public on the **system operator's** website at all reasonable times, either—
 - (i) the description it disclosed to the **Authority** under paragraph (a); or
 - (ii) a summary of the processes and methodology it uses to prepare the forecast under subclause (1).
- (3) Despite subclause (2), the **system operator** is required to disclose or ~~publish~~**publish** to make information available under subclause (2) only if the information—
 - (a) is available to the **system operator**; and
 - (b) is not confidential or commercially sensitive.

13.22 Transmission of information through information system

- (1) ~~Except where specified otherwise in clauses 13.6 to 13.27, a~~All information required to be submitted by a **purchaser** or **generator** under clauses 13.6 to 13.27 must be transmitted to the **system operator** through **WITS**~~the electronic facility contained in the information system.~~
- (2) The **system operator** must immediately confirm receipt of any information that the system operator receives ~~by it~~ from a **purchaser** or **generator** under clauses 13.6 to 13.27~~through the electronic facility contained in the information system.~~ Each confirmation must contain a copy of the information received by the **system operator** together with the time of receipt.
- (3) If a **purchaser** or **generator** has not received the confirmation within 10 minutes after ~~that information has been sent,~~ the **purchaser** or **generator** submitted the information under clauses 13.6 to 13.27 to the system operator, the **purchaser** or **generator** must ~~telephone the system operator to~~ check whether the **system operator** has received the information has been received. If the system operator ~~it~~ has not received the information, the **purchaser** or **generator** must resend the information. The process set out in this clause must then be repeated until the **system operator** has confirmed receipt of the information from the **purchaser** or **generator**.

13.23 Backup procedures if **WITS** information system is unavailable

- (1) If ~~WITS~~~~the information system~~ is unavailable to receive **bids** or **offers** or to confirm the receipt of **bids** or **offers**, each **purchaser** and **generator** or the **system operator**, as the case may be, must follow the backup procedures specified by the ~~WITS manager~~~~market administrator~~.
- (2) The backup procedures referred to in subclause (1) must be specified by the **WITS manager**~~market administrator~~ following consultation with each **purchaser**, **generator** and the **system operator**. ~~The market administrator must ensure that there is always a backup procedure notified to each purchaser, generator and the system operator.~~

13.27C Process for making a determination

...

- (2) The **Authority** must make a determination in accordance with the methodology in Schedule 13.7, unless—
 - (a) the **Authority** has applied the methodology; and
 - (b) according to the methodology, the **GXP** is a **conforming GXP**; and
 - (c) the **Authority** considers that the **GXP** should be treated as a **non-conforming GXP**; and
 - (d) the **Authority** has ~~published~~~~publicised~~ criteria under clause 13.27E; and
 - (e) making a determination that the **GXP** is a **non-conforming GXP** is in accordance with the criteria.
- (3) If paragraphs (a) to (e) in subclause (2) apply, the **Authority** may make a determination in accordance with the criteria ~~published~~~~publicised~~ under clause 13.27E.
- (4) As soon as practicable after making a determination, the **Authority** must—
 - (a) advise the wholesale information trading system provider, all **purchasers**, and the **system operator**—
 - (i) of its determination; and

- (ii) whether, in making the determination, the **Authority** has followed—
 - (A) the methodology set out in Schedule 13.7; or
 - (B) the criteria ~~published~~**publicise** under clause 13.27E; and
- (b) advise all **purchasers** and the **system operator** of the right to request, under clause 13.27H, a reconsideration of the determination; and
- (c) if the determination was requested under clause 13.27H, provide reasons for its decision to the requester.

13.27E Authority may ~~publish~~publicise** criteria for determining GXP to be non-conforming**

- (1) The **Authority** may ~~publish~~**publicise** criteria that set out the circumstances in which the **Authority** may make a determination that does not follow the methodology set out in Schedule 13.7.
- (2) The **Authority** must consult with **participants** before—
 - (a) ~~publishing~~**publicising** the criteria under subclause (1);
 - (b) amending the criteria ~~published~~**publicise** under subclause (1).

13.27G Authority must ~~publish~~publicise** and maintain list of non-conforming and conforming GXPs**

The **Authority** must ~~publish~~**publicise** and maintain a list of all **non-conforming GXPs** and all **conforming GXPs**, including—

- (a) the mean **demand** (in **MW**) for each **GXP** calculated in accordance with clause 1(b) of Schedule 13.7; and
- (b) if the mean **demand** for a **GXP** is 10 **MW** or more, the unpredictability measure for the **GXP** calculated in accordance with clause 1(c) of Schedule 13.7.

13.35 ~~System operator to confirm receipt of Transmission of grid owner information through information system~~

- (1) ~~All information required to be submitted by a **grid owner** under clauses 13.29 to 13.36 must be transmitted to the **system operator** through the electronic facility contained in the **information system**.~~
- (2) The **system operator** must immediately confirm in writing to each **grid owner** receipt of all information received from that **grid owner** under clauses 13.29 to 13.36 ~~through the electronic facility contained in the **information system**~~. The confirmation must also contain a record of the time of receipt.

13.36 ~~Backup procedures if information system is unavailable~~

- (1) ~~If the **information system** is unavailable to receive information or confirm the receipt of information, the **grid owner** or the **system operator**, as the case may be, must follow the backup procedures specified by the **market administrator**.~~
- (2) ~~The backup procedures referred to in subclause (1) must be specified by the **market administrator** following consultation with **grid owners** and the **system operator**. The **market administrator** must ensure that there is always a backup procedure notified to **grid owners** and the **system operator**.~~

13.51 Transmission of reserve offers through WITS ~~information system~~

- (1) All **reserve offers** or cancellations of **reserve offers** submitted by an **ancillary service agent** under clauses 13.37 to 13.54 must be transmitted to the **system operator** through WITS ~~the electronic facility contained in the information system~~.
- (2) The **system operator** must immediately confirm receipt to the **ancillary service agent** of all **reserve offers** or cancellations of **reserve offers** received from the **ancillary service agent** through WITS ~~the electronic facility contained in the information system~~. Such confirmation must also contain a copy of the **reserve offer** or cancellation of **reserve offer** received by the **system operator**, together with the time of receipt.
- (3) If an **ancillary service agent** has not received confirmation that the system operator has received its reserve offer or cancellation of a **reserve offer** ~~has been received by the system operator~~ within 10 minutes after the ancillary service agent submitted the reserve offer or cancellation of a **reserve offer** ~~has been sent~~, the **ancillary service agent** must telephone the ~~system operator~~ to check whether the system operator has received the reserve offer or cancellation of a **reserve offer** ~~has been~~. If it has not, the **ancillary service agent** must resend the **reserve offer** or cancellation of a **reserve offer**. The processes set out in this clause must then be repeated until the **system operator** confirms receipt of the **reserve offer** or cancellation of a **reserve offer** from the **ancillary service agent**.

13.52 Backup procedures if WITS ~~information system~~ is unavailable

- (1) If the WITS information system is unavailable to receive **reserve offers** or cancellations of **reserve offers** or to confirm the receipt of such **reserve offers** or cancellations, an **ancillary service agent** or the **system operator**, as the case may be, must follow the backup procedures specified by the WITS manager~~market administrator~~.
- (2) The backup procedures referred to in subclause (1) must be specified by the WITS manager~~market administrator~~ following consultation with **ancillary service agents** and the **system operator**. The ~~market administrator~~ must ensure that there is always a backup procedure notified to the ~~ancillary service agents~~ and the ~~system operator~~.

13.55 Availability of bids, offers, and reserve offers

- (1) The **market administrator** must, within 24 hours of the end of each day, publish and make available on WITS all final **bids**, final **offers** and final **reserve offers** received for the **trading periods** of the previous **trading day**.
- (2) All information published and ~~to be~~ made available on WITS by the **market administrator** under this clause must be—
 - (a) ~~transmitted to participants~~ through the electronic facilities contained in the **information system**; and
 - (b) ~~placed on a publicly accessible website~~—
and must remain available for inspection through WITS ~~the electronic facilities contained in the information system~~ and kept published on the publicly accessible website, for a period of at least 4 weeks.
- (3) If the WITS information system is unavailable to send information under subclause (2)(a), the **market administrator** must follow the backup procedures specified by the WITS manager~~market administrator~~ from time to time.

- (4) The backup procedures referred to in subclause (3) must be put in place by the **WITS manager**~~market administrator~~ in consultation with **purchasers, generators and ancillary service agents**. ~~The market administrator must ensure that there is always a backup procedure notified to the purchasers, generators and ancillary service agents.~~
- (5) If the ~~publicly accessible~~ website on which information is to be **published** ~~placed~~ under subclause (2)(b) is not available, the **WITS manager**~~market administrator~~ is not obliged to follow any backup procedures, but the **WITS manager**~~market administrator~~ must **publish** ~~make the information available~~ as soon as practicable once the ~~publicly accessible~~ website becomes available.
- (6) *[Revoked]*
- (7) *[Revoked]*

13.58 Process for preparing price-responsive schedule and non-response schedule

- (1) The **system operator** must prepare—
 - (a) a **price-responsive schedule**; and
 - (b) a **non-response schedule**.
- (1A) The **system operator** must prepare the schedules listed in subclause (1) in accordance with the timing required under clause 13.62.
- (2) *[Revoked]*
- (3) *[Revoked]*
- (3A) In preparing each **price-responsive schedule**, the **system operator** must—
 - (a) use the most recent information received under subpart 1; and
 - (b) use all other information described in clause 13.58A(1); and
 - (c) act in accordance with Schedule 13.3.
- (3B) In preparing each **non-response schedule**, the **system operator** must—
 - (a) use the most recent information received under subpart 1; and
 - (b) use all other information described in clause 13.58A(2); and
 - (c) act in accordance with Schedule 13.3.
- (4) As soon as practicable after the **system operator** has completed preparing a **price-responsive schedule** and a **non-response schedule**, the **system operator** must make available ~~send~~ the **price-responsive schedule** and the **non-response schedule** to the **clearing manager** through WITS.

13.63 Trading period information to be given to pricing manager and clearing manager

The **system operator** must, by 0730 hours of each **trading day**, make available ~~send~~ to the **pricing manager** and **clearing manager** the final information provided to the **system operator** under subpart 1 in relation to each **trading period** of the previous **trading day** through WITS or through an approved system.

13.67 Transmission of information ~~through information system~~

- (1) ~~All information to be made available by the system operator to the clearing manager or the pricing manager under clauses 13.58 to 13.66 must be transmitted through the electronic facility contained in the information system.~~
- (2) If WITS or the approved system ~~If the information system~~ is unavailable to make ~~send~~ information available under clauses 13.58 to 13.66, the **system operator** must follow the backup procedures specified by the **WITS manager**~~market administrator~~.

- (3) The backup procedures referred to in subclause (2) must be specified by the **WITS manager**~~market administrator~~ following consultation with the **system operator**, the **clearing manager**, and the **pricing manager**. ~~The market administrator must ensure that there is always a backup procedure notified to the system operator, the clearing manager, and the pricing manager.~~

13.76 Dispatch instructions to be issued and logged

- (1) The **system operator** must issue **dispatch instructions**, —
- (a) to each generator, using an approved system;
 - (b) to each dispatchable load purchaser that has submitted a nominated dispatch bid: through WITS; and
 - (c) to each ancillary service agent, verbally or in writing.
- ~~the electronic facilities specified in the information system to—~~
- ~~(a) each generator; and~~
 - ~~(b) each dispatchable load purchaser that has submitted a nominated dispatch bid.~~
- ~~(2) The system operator must use either voice communication or electronic communication (if such facility exists) to issue dispatch instructions to each ancillary service agent.~~
- (3) The **system operator** must log and record each **dispatch instruction**.
 - (4) Each **generator** and each **ancillary service agent** must log each **dispatch instruction** received from the **system operator**.
 - (5) The **system operator** must provide a copy of each **dispatch instruction**—
 - (a) to the **clearing manager**, by 1600 hours on the 7th **business day** of the **billing period** after the **billing period** in which the **system operator** issues and logs the **dispatch instruction**; and
 - (b) to the **Authority**, by 1600 hours on the first **business day** after the day on which the **system operator** issues and logs the **dispatch instruction**.
 - (6) For the purpose of subclause (5), if the **system operator** has issued more than 1 **dispatch instruction** for a **dispatch-capable load station** for the same **trading period**, the **system operator** must provide a copy of the latest **dispatch instruction**.

13.90 Process for publishing real time prices

- (1) The **system operator** must use reasonable endeavours to make available on WITS publish, for each **real time pricing period**, as soon as practicable after the **real time pricing period**,—
- (a) a schedule of **real time prices**; and
 - (b) the following additional information for each schedule of **real time prices**:
 - (i) the number of transmission **lines** or transformers that have a **MW** arc flow equal to the maximum flow limit (in **MW**) on that transmission line or transformer set by the **grid owner** in accordance with clauses 13.29 to 13.32;
 - (ii) the number of groups of transmission **lines** or transformers, or both, that have a total **MW** arc flow equal to the relevant maximum flow limit (in **MW**) as set by the **system operator** in accordance with Schedule 13.3;
 - (iii) the aggregate of the following occurrences:
 - (A) the number of occurrences at which energy (in **MW**) for a **generator** at a set of **grid injection points** is equal to the minimum and/or maximum generation (in **MW**) for that set of **grid injection points** set by the **system operator** in accordance with Schedule 13.3;

- (B) the number of occurrences at which energy (in **MW**) and reserves (in **MW**) for a **generator** at a set of **grid injection points** is equal to the maximum generation (in **MW**) for that set of **grid injection points** set by the **system operator** in accordance with Schedule 13.3:
- (C) the number of occurrences at which reserve (in **MW**) for a **participant** at a set of **grid exit points** is equal to the maximum reserve (in **MW**) for that set of **grid exit points** as determined under Schedule 13.3:
 - (iv) the number of occurrences at which the ramp up rate is equal to the maximum ramp up rate specified in the relevant **offer**:
 - (v) the number of occurrences at which the ramp down rate is equal to the maximum ramp down rate as specified in the relevant **offer**:
 - (vi) the number of **grid exit points** at which demand was estimated.
- (2) The **system operator** must use reasonable endeavours to make available on WITS to **participants**, for each **grid injection point** and each **grid exit point**, a time-weighted average of the **real time prices** for each **trading period**.

13.91 System operator to use backup procedures if WITS is unavailable ~~Transmission of information through information system~~

- ~~(1) All information that must be made available by the **system operator** under clauses 13.89 to 13.96 must be transmitted through the electronic facility contained in the **information system**.~~
- (2) If WITS ~~the **information system**~~ is unavailable to make send information available under clauses 13.89 to 13.96, the **system operator** must follow the backup procedures specified by the WITS manager ~~market administrator~~.
- (3) The backup procedures referred to in subclause (2) must be specified by the WITS manager ~~market administrator~~ following consultation with **purchasers, generators** and the **system operator**. ~~The **market administrator** must ensure that there is always a backup procedure notified to **purchasers, generators** and the **system operator**.~~

13.92 Transmission of information through website

- (1) The information (if any) received from the **system operator** under clause 13.90 must be published ~~made available by the **market administrator** by placing that information on a publicly accessible website.~~
- (2) If the ~~publicly accessible website~~ upon which information is to be published ~~placed~~ under subclause (1) is no longer available, the **market administrator** is not required to follow any backup procedures, and the **market administrator** is not required to make the information available on the ~~publicly accessible~~ website at a later time.

13.104 System operator to make information available on WITS ~~to be published~~

- (1) As soon as practicable after the **system operator** has completed preparing a **price-responsive schedule** and a **non-response schedule**, the **system operator** must make available on WITS ~~publish~~, for each **trading period** in the **schedule length period**,—
 - (a) the following information in respect of both the **price-responsive schedule** and the **non-response schedule**:
 - (i) **forecast prices** and **forecast reserve prices**; and
 - (ii) scheduled **non-dispatch-capable load** at each **conforming GXP**; and

- (iii) the aggregate supply curve at each **reference point** incorporating all **offers** from **generators** with **offer** prices adjusted for **forecast marginal location factors**; and
 - (iv) the **grid injection points** and **grid exit points** that are **disconnected**; and
 - (v) the **grid injection points** and **grid exit points** where an **infeasibility situation** has occurred; and
 - (vi) the scheduled largest single reserve risk for each **island** as described in clause 13.59(ix); and
 - (vii) the scheduled levels of **fast instantaneous reserve** and **sustained instantaneous reserve** required in each **island** as described in clause 13.59(x); and
 - (viii) the **reserve offer** stacks for each **island** as described in clause 13.59(xi); and
 - (ix) the adjusted **reserve offer** stacks for each **island** as described in clause 13.59(xii); and
 - (x) *[Revoked]*
 - (xi) the scheduled **HVDC component flows**; and
 - (xii) the scheduled **HVDC risk offsets**; and
 - (xiii) the **expected near-constraint arc flows**; and
 - (xiv) the **expected near-group-constraint arc flows**; and
 - (xv) the **group constraint formulas** relating to the **expected near-group-constraint arc flows**; and
 - (xvi) the expected deficit quantities for energy, **fast instantaneous reserve**, and **sustained instantaneous reserve** (if any); and
 - (xvii) whether the **HVDC link** is out of service; and
 - (b) in relation to the **price-responsive schedule**, the aggregate **demand** curve at each **reference point** incorporating the forecast prepared under clause 13.7A(1), and all **bids** from **purchasers** with **bid** prices adjusted for **forecast marginal location factors**; and
 - (c) in relation to the **non-response schedule**, the scheduled **frequency keeping units** for each **island**.
- (2) Subclause (3) applies to—
- (a) each **price-responsive schedule** prepared under clause 13.62(1)(a);
 - (b) each **non-response schedule** prepared under clause 13.62(1)(a).
- (3) Despite subclause (1), for each schedule to which this subclause applies, the **system operator** is not required to ~~make publish~~ the information available on WITS set out in subclause (1) for the **trading periods** covered by—
- (a) the **price-responsive schedule** prepared under clause 13.62(1)(b);
 - (b) the **non-response schedule** prepared under clause 13.62(1)(b).

13.105A Information to be made available ~~provided to~~ purchasers, generators, and ancillary service agents

- (1) At the same time as the **system operator** is required to make publish information available in accordance with clause 13.104, the **system operator** must make available on WITS—
 - (aa) ~~send~~ to each **dispatchable load purchaser** that has submitted a **nominated dispatch bid**, information from the current **non-response schedule** relating to the scheduling

- of the **dispatchable load purchaser's nominated dispatch bids** for the **trading periods** covered in the **schedule length period**; and
- (a) ~~send~~ to each **purchaser** information from the current **price-responsive schedule** relating to the scheduling of the **purchaser's bids** for the **trading periods** covered in the **schedule length period**; and
 - (b) ~~send~~ to each **generator** information from the current **price-responsive schedule** and **non-response schedule** relating to the scheduling of the **generator's offers** for the **trading periods** covered in the **schedule length period**; and
 - (c) ~~send~~ to each **ancillary service agent** who has submitted a **reserve offer** for the **scheduling period**, information from the current **price-responsive schedule** and **non-response schedule** relating to the scheduling of the **ancillary service agent's reserve offers** for the **trading periods** covered in the **schedule length period**.
- (2) Subclause (3) applies to—
 - (a) each **price-responsive schedule** prepared under clause 13.62(1)(a);
 - (b) each **non-response schedule** prepared under clause 13.62(1)(a).
 - (3) Despite subclause (1), for each schedule to which this subclause applies, the **system operator** is not required to make available on WITS~~send~~ the information set out in subclause (1) for the **trading periods** covered by—
 - (a) the **price-responsive schedule** prepared under clause 13.62(1)(b);
 - (b) the **non-response schedule** prepared under clause 13.62(1)(b).

13.106 Transmission of information through information system

- (1) ~~The information required to be published by the system operator under clauses 13.104 to 13.105A must be transmitted through the electronic facility contained in the information system.~~
- (2) If WITS~~the information system~~ is unavailable to make send information available under clauses 13.104 to 13.105A, the **system operator** must follow the backup procedures specified by the WITS manager~~market administrator~~.
- (3) The backup procedures referred to in subclause (2) must be specified by the WITS manager~~market administrator~~ following consultation with the **system operator, pricing manager, clearing manager, purchasers, generators and ancillary service agents**. ~~The market administrator must ensure that there is always a backup procedure notified to the system operator, pricing manager, clearing manager, purchasers, generators and ancillary service agents.~~

13.114 Auction Information to be transmitted~~exchanged~~ through WITS~~information system~~

- (1) Except where specified otherwise in this Part, aAll information in relation to **auctions** must be transmitted ~~exchanged~~ through WITS~~the information system~~.
- (2) If WITS~~the information system~~ is not available to transmit~~send~~ information under this clause, the **clearing manager** must follow the backup procedures specified by the WITS manager~~market administrator~~.
- (3) The backup procedures referred to in subclause (2) must be specified by the WITS manager~~market administrator~~ following consultation with **generators** and the **clearing manager**.

13.119 Historic load data

By 1100 hours 2 days before each **auction**, each **grid owner** must give written notice or use WITS to advise the **clearing manager** the total load of the **preceding year day** for the day following the **auction**.

13.121 Notice of auction and deadline for auction bids

- (1) For each **auction**, by any time up to 1100 hours on the day before the **auction**, the **clearing manager** must give written notice or use WITS to advise each **generator** of the quantity of **auction rights** available in each **time block** at the **auction** to be held the following day and must invite **auction bids** for those **auction rights**.
- (2) A **generator** who wishes to bid at an **auction** must submit **auction bids** by 0900 hours on the day that the **auction** is to be held.

13.122 Revising, cancelling and extending auction bids

- (1) A **generator** may revise or cancel an **auction bid** by giving written notice or through WITS up to 0900 hours on the day of the **auction** to which the **auction bid** relates.
- (2) Each **auction bid** is valid for only 1 **auction** unless the **generator** expressly states when it makes the **auction bid** that the **auction bid** is to remain valid until cancelled.

13.128 Results

By 1100 hours on the day of each **auction** the **clearing manager** must give written notice or use WITS to notify—

- (a) each **generator** that has bid at an **auction** of the outcome of the **auction**; and
- (b) all **generators** and **purchasers** of the quantity and price of all successful **auction bids** made at the **auction**.

13.129 Authorisation to successful bidders

The **clearing manager** must give issue an authorisation to each **generator**, by way of a written notice or through WITS, that secures **auction rights** at an **auction**. The authorisation must set out the **auction rights** the **generators** secured at the **auction** and the price payable for them.

13.130 Records

The **clearing manager** must maintain a complete record for 3 years of all quantities of **auction rights** offered, all **auction bids** received, and the prices achieved in each **time block** at each **auction**. A **generator** may require the **clearing manager** to provide information relating to the **generator's auction bids** and **auction** results at any time within that period in writing or through WITS.

13.132 Purpose of the pricing process

The purpose of the pricing process is to achieve an appropriate balance between certainty and accuracy of **final prices** and **final reserve prices** for each **trading period**. As part of the process—

- (a) the **system operator**, the **pricing manager**, a **grid owner**, or a **generator** must take certain steps under this subpart if a **provisional price situation** or **shortage situation** exists; and

- (b) after any **provisional price situation** is resolved, but before making the **publishing final prices** or **final reserve prices** available on WITS, the **pricing manager** must make available on WITS ~~publish interim prices~~ and **interim reserve prices**; and
- (c) if an **error claimant** claims that a **pricing error** has been made, the **pricing manager** must consider the claim and resolve any **pricing error** that has occurred; and
- (d) the **pricing manager** must produce **final prices** and send them to the **clearing manager**, who will then use them in the clearing and settlement processes; and
- (e) the **pricing manager** must produce **final reserve prices**.

13.135A Notice of scarcity pricing situation

- (1) This clause applies if the **pricing manager**, in relation to a **trading period**, gives written notice in accordance with clause 13.144(1) that a **shortage situation** exists.
- (2) If this clause applies, the **pricing manager** must determine whether a **scarcity pricing situation** exists in the relevant **trading period**.
- (3) An **island scarcity pricing situation** exists for an **island** if the **pricing manager** gives notice that an **island shortage situation** existed and the **input information** or revised data shows that—
 - (a) for the relevant **trading period**, there is no **binding constraint** in the **island** (excluding the **HVDC link**) in which an **island shortage situation** declaration is made; and
 - (b) for the relevant **trading period**—
 - (i) the **HVDC link** is in service and—
 - (A) if the **island** in which the **island shortage situation** declaration is made is the South Island, the price at the Benmore **node** is higher than the price at the Haywards **node**; or
 - (B) if the **island** in which the **island shortage situation** declaration is made is the North Island, the price at the Haywards **node** is higher than the price at the Benmore **node**; or
 - (ii) the **HVDC link** is out of service.
- (4) A **national scarcity pricing situation** exists if the **pricing manager** gives notice that a **national shortage situation** existed and the **input information** or revised data shows that, for the relevant **trading period**,—
 - (a) there is no **binding constraint** in either **island**; and
 - (b) the **HVDC link** is in service and there is no **binding constraint** on the **HVDC link**.
- (5) If the **pricing manager** determines that a **scarcity pricing situation** exists, the **pricing manager** must—
 - (a) give ~~publish~~ notice on WITS of the **scarcity pricing situation**; and
 - (b) specify in the notice each **trading period** affected by the **scarcity pricing situation**; and
 - (c) in relation to each **trading period** affected by the **scarcity pricing situation**, specify in the notice whether the **scarcity pricing situation** is an **island scarcity pricing situation** or a **national scarcity pricing situation**.

13.135B Methodology to prepare interim prices and interim reserve prices if scarcity pricing situation exists

Subject to clause 13.135C, if a **scarcity pricing situation** exists in a **trading period**, the **pricing manager** must—

- (a) calculate **interim prices** and **interim reserve prices** in the affected **island** or **islands** for that **trading period** in accordance with the methodology set out in Schedule 13.3A; and
- (b) make available on WITS~~publish~~ **interim prices** and **interim reserve prices** for the **trading period** by—
 - (i) if no **provisional price situation** is notified, 1200 hours in the following **trading day**; or
 - (ii) if a **provisional price situation** is notified, 2.5 hours after the **provisional price situation** is resolved.

13.136 Generators to provide half-hour metering information

- (1) Using an approved system or by written notice eEach **generator** must give the relevant **grid owner half-hour metering information** under clause 13.138 in relation to **generating plant** that is subject to a **dispatch instruction**—
 - (a) that injects **electricity** directly into a **local network** or an **embedded network**; or
 - (b) if the **meter** configuration is such that the **electricity** flows into a **local network** without first passing through a **grid injection point** or **grid exit point metering installation**.
 - (1A) For the purposes of subclause (1), the relevant **grid owner** is—
 - (a) in relation to a **generator** (other than an **embedded generator**), the **grid owner** of the **grid** to which the **generator's generation** is **connected**; and
 - (b) in relation to a **generator** that is an **embedded generator**, the **grid owner** of the **grid** to which the **local network** to which the **embedded generator** is directly or indirectly **connected**, is **connected**.
- (2) To avoid doubt, subclause (1) does not apply in respect of—
 - (a) any **unoffered generation**; or
 - (b) **electricity** supplied from—
 - (i) an **intermittent generating station**; or
 - (ii) a **type B industrial co-generating station**.

13.137 Generators to provide half-hour metering information for unoffered and intermittent generation and type B industrial co-generation

- (1) Using an approved system or by written notice eEach **generator** must give the relevant **grid owner half-hour metering information** for—
 - (a) **unoffered generation** from a **generating station** with a **point of connection** to the **grid**; and
 - (b) **electricity** supplied from an **intermittent generating station** with a **point of connection** to the **grid**; and
 - (c) **electricity** supplied from a **type B industrial co-generating station** with a **point of connection** to the **grid**.
- (2) To avoid doubt, each **generator** must give the relevant **grid owner** the **half-hour metering information** required under this clause in accordance with the requirements of Part 15 for the collection of the **generator's volume information**.

- (3) If the **half-hour metering information** is not available, the **generator** must give the relevant **grid owner** a reasonable estimate of such data using an approved system or by written notice.

13.138A Dispatchable load purchaser's half-hour metering information to be adjusted for losses

- (1) Using an approved system or by written notice, each **dispatchable load purchaser** must provide **half-hour metering information** to the relevant **grid owner**—
- for each of its **dispatch-capable load stations**; and
 - in accordance with subclause (2).
- (2) Each **dispatchable load purchaser** must provide the **half-hour metering information**—
- adjusted for **losses**, if any, relative to the **grid exit point** at which the **dispatchable load purchaser** purchases **electricity** for the **dispatch-capable load station**; and
 - in the manner and form advised by the relevant **grid owner**; and
 - by 0500 hours on a **trading day** for each **trading period** of the previous **trading day**.
- (3) To avoid doubt, each **dispatchable load purchaser** must prepare the **half-hour metering information** required under this clause in accordance with the requirements of Part 15 for the collection of the **dispatchable load purchaser's volume information**.
- (4) If the **Authority** or the **system operator** requests a copy of the information specified in subclause (2) from a **dispatchable load purchaser**, the **dispatchable load purchaser** must comply with the request.

13.141 Pricing manager to use certain input information

- (1) The **pricing manager** must use the following **input information**:
- for existing generation configuration—
 - data specifying the instantaneous **MW injection** at the **grid injection point** at the beginning of each **trading period** for each **generating plant** and each **generating unit** that was the subject of **offers** for that **trading period**; or
 - if no **such** data is available, a reasonable estimate of such data:
 - for actual **demand** over the **trading period**,—
 - the **demand half-hour metering information** described as L_{MA} below must be calculated as follows:

$$L_{MA} = G_{EA} + L_{MX} - L_{DCLS} \text{ (for a grid exit point)}$$

$$L_{MA} = G_{EA} - L_{MI} - L_{DCLS} \text{ (for a grid injection point)}$$

$$L_{MA} = L_{MX} - L_{DCLS} - UI_{G_{EA}} \text{ (for an intermittent generating station with a point of connection to the grid, and/or unoffered generation from a generating station with a point of connection to the grid, and/or a type B industrial co-generating station with a point of connection to the grid)}$$

where

L_{MA} is the adjusted quantity of **electricity** measured in **MWh** by a **metering installation** at a **grid exit point** or **grid injection point**

L_{MX} is the unadjusted **half-hour metering information** for the quantity of **electricity** measured in **MWh** at a **grid exit point**

L_{MI} is the unadjusted **half-hour metering information** for the quantity of **electricity** measured in **MWh** at a **grid injection point**

L_{DCLS} is the adjusted **half-hour metering information** for the quantity of **electricity** measured in **MWh** used by a **dispatch-capable load station** for the **trading periods** that the **system operator** listed under clause 13.138B

G_{EA} is the adjusted **half-hour metering information** given to the relevant **grid owner** under clause 13.136

$UI_{G_{EA}}$ is the information given to the relevant **grid owner** under clause 13.137:

- (ii) if any of the **half-hour metering information** is not available, an **initial estimate** for each **grid exit point** or **grid injection point**:
 - (iii) to avoid doubt, each **grid owner** must, using an approved system, provide the **half-hour metering information** to the **pricing manager** required under this clause in accordance with Part 15 for the collection of that **grid owner's volume information**:
- (c) the final **offers** for each **trading period** submitted by **generators** and provided to the **pricing manager** by the **system operator** in accordance with clause 13.63:
 - (ca) the final **nominated dispatch bid** for each **dispatch-capable load station** (other than a **dispatch-capable load station** for which the final **nominated bid** for the **trading period** was a **nominated non-dispatch bid**) dispatched in each **trading period** that was provided to the **pricing manager** by the **system operator** in accordance with clause 13.63:
 - (d) the final **reserve offers** for each such **trading period** as given by **ancillary service agents** in accordance with clauses 13.37 to 13.54:
 - (e) the final information provided to the **system operator** by a **grid owner** under clauses 13.29 to 13.34 for each **trading period** that the **system operator** notifies in accordance with clause 13.63.
- (1AA) The **pricing manager** must remove all **offers** from the following **participants** from the information specified in subclause (1)(c) before using it in the pricing process:
- (a) **intermittent generators**; and
 - (b) **type B co-generators**.
- (1A) Each **grid owner** must give the **pricing manager** the information the **pricing manager** is required to use under subclause (1)(a)—
- (a) by 0730 hours on each **trading day**; and
 - (b) for each **trading period** of the previous **trading day**; and
 - (c) in the manner and form agreed by the **pricing manager** and each **grid owner**.
- (2) Each **grid owner** must give the information required by subclause (1)(b) to the **pricing manager** by 0730 hours on a **trading day** for each **trading period** of the previous **trading day**. Each **grid owner** must provide this information in the form specified by the **pricing manager**.
- (3) The **pricing manager** must make available on WITS, and available to the public at no cost on the WITS manager's website, publish the information by 1000 hours on a **trading day** for each **trading period** of the previous **trading day**.
- (4) If the **pricing manager** receives revised demand **half-hour metering information** in accordance with clauses 13.146(1) and 13.154(1A)(b), and if the revised information

resolves a **provisional price situation**, the **pricing manager** must make available on WITS, and available to the public at no cost on the **WITS manager's** website, ~~publish~~ the revised demand **half-hour metering information** no later than the time at which it is required to make available on WITS ~~publish~~ **interim prices** and **interim reserve prices**.

- (5) If the **pricing manager** receives revised information after it has made ~~publish~~ information available in accordance with subclause (3), the pricing manager ~~it~~ must replace the information previously made available ~~publish~~ with the revised information ~~by replacing the previously published information with the revised information~~.

13.142 Pricing manager to make available on WITS ~~publish~~ interim prices unless **provisional price situation** or **shortage situation** notified

- (1) The **pricing manager** must implement the process set out in clauses 13.143 to 13.185 and resolve the **provisional price situation** or **shortage situation** if, by 1000 hours on a **trading day**, 1 of the following notices has been given ~~published~~ for the previous **trading day**:
- (a) a notice ~~published~~ by a **grid owner** has given a written notice, in accordance with clause 13.143, which specifies that a **SCADA situation** exists;
- (b) a notice ~~published~~ by the **pricing manager** has given a written notice, in accordance with clause 13.144(1), which specifies that an **infeasibility situation** or a **metering situation** or a **high spring washer price situation** or a **shortage situation** exists.
- (2) However, if by 1000 hours on a **trading day** a notice specified in subclause (1) has not been **published** for the previous **trading day**, the **pricing manager** must make available on WITS ~~publish~~ **interim prices** and **interim reserve prices** for the previous **trading day** by 1200 hours.

13.143 Grid owners to give written notice of ~~notify~~ **SCADA situation**

- (1) If a **grid owner** gives any **input information** in accordance with clause 13.141 to the **pricing manager**, the **grid owner** must—
- (a) give written ~~publish~~ notice to affected participants that it has given the **pricing manager input information**; and
- (b) specify in the notice whether the **input information** yields a **SCADA situation**, and if so each **trading period** affected; and
- (c) give details in the notice of the relevant **grid exit points** and **grid injection points** for which the **SCADA situation** exists.
- (2) A **grid owner** must give the notice required by subclause (1)(a) by 0730 hours on the day on which it gives the relevant **input information**.
- (3) Despite subclause (2), the **grid owner** may give ~~publish~~ further written notices to affected participants advising that the **grid owner** has found that a **SCADA situation** exists and the **trading periods** that are affected by it.
- (4) A **grid owner** must give ~~publish~~ each written notice ~~published~~ in accordance with subclause (3) no later than 0900 hours on the same day that it gave notice under subclause (1)(a).

13.144 Pricing manager to give notice of infeasibility situation, metering situation, high spring washer price situation, or shortage situation

- (1) Subject to subclause (2), if the **pricing manager** receives **input information** that yields an **infeasibility situation**, or a **metering situation**, or a **high spring washer price situation**, or receives notice of a **shortage situation** in accordance with clause 5(1A) of **Technical Code B** of Schedule 8.3, the **pricing manager** must, no later than 0900 hours on the day that the **pricing manager** receives the **input information** or notice,—
 - (a) ~~give written publish~~ notice to affected participants of the **infeasibility situation**, or **metering situation**, or **high spring washer price situation**, or **shortage situation**; and
 - (b) specify in the notice each **trading period** affected by the **infeasibility situation**, or **metering situation**, or **high spring washer price situation**, or **shortage situation**; and
 - (c) in relation to each **trading period** affected by a **high spring washer price situation**, specify in the notice each **transmission security constraint** that has **bound** in the relevant **trading period** or **trading periods**; and
 - (d) in relation to each **trading period** affected by a **shortage situation**, specify in the notice whether the **shortage situation** is an **island shortage situation** or a **national shortage situation**.
- (2) The **pricing manager** must not give written notice of a **high spring washer price situation** or **shortage situation** in accordance with subclause (1) in relation to a **trading period** if an **infeasibility situation**, or a **metering situation**, or a **SCADA situation** exists in that **trading period** and has not been resolved.

13.145 Grid owner to give written notice that estimated data given

If a **grid owner** gives the **pricing manager** estimated **input information** in accordance with clauses 13.141(1)(a)(ii) or (b)(ii), the **grid owner** must, by 0730 hours on the day the relevant **input information** is required by clause 13.141—

- (a) ~~give written publish~~ notice to affected participants of any **input information** that is estimated; and
- (b) specify in the notice whether the estimated information relates to **SCADA** or **half-hour metering information**; and
- (c) give details in the notice of the **grid exit points** and **grid injection points** to which the estimated information relates; and
- (d) specify in the notice whether the estimated information relates to a **dispatch capable load station** or a **type B industrial co-generating station**; and
- (e) specify in the notice the **trading periods** for which the input information is estimated for each relevant **grid exit point**, **grid injection point**, and **dispatch capable load station**.

13.146 Requirements if provisional price situation or shortage situation exists

- (1) If notice is given by—
 - (a) a **grid owner** to the **pricing manager** of a **SCADA situation** in accordance with clause 13.143; or

- (b) the **pricing manager** of a **metering situation** in accordance with clause 13.144(1);
or
- (c) the **pricing manager** of an **infeasibility situation** in accordance with clause 13.144(1)—
the relevant **grid owner**, and, in the case of an **infeasibility situation**, the **system operator**, must exercise reasonable endeavours to resolve the **provisional price situation** and to provide revised data to the **pricing manager** using an approved system.
- (2) If notice is given of a **high spring washer price situation** in accordance with clause 13.144(1), the **system operator** must apply the **high spring washer price relaxation factor** in accordance with the **high spring washer price situation methodology** and provide revised data to the **pricing manager** using an approved system.
- (2A) If the **pricing manager** gives notice of a **shortage situation** in accordance with clause 13.144(1), the **pricing manager** must determine whether a **scarcity pricing situation** exists in accordance with clause 13.135A and, if a **scarcity pricing situation** does exist, calculate **interim prices** and **interim reserve prices** in accordance with clause 13.135B.
- (3) The revised data required by subclauses (1) and (2) must be provided to the **pricing manager**—
 - (a) if the **provisional price situation** arose on a **business day**, by 1000 hours on that day; and
 - (b) if the **provisional price situation** arose on a day other than a **business day**, by 1200 hours on the 2nd **business day** after the **provisional price situation** arose.
- (4) If a **generator** or a **dispatchable load purchaser** does not give supply half-hour metering information to a **grid owner** in accordance with clauses 13.136 to 13.140, and the **pricing manager** has notified a **metering situation** in accordance with clause 13.144(1), the **generator** or the **dispatchable load purchaser** must use reasonable endeavours to assist the **grid owner** to resolve the **provisional price situation**.

13.147 Revised data to be accompanied by notice

- (1) This clause applies to—
 - (a) a **grid owner**; and
 - (b) [Revoked]
 - (c) the system operator.
 - (d) [Revoked]
- (2) If a **participant** to which this clause applies gives revised data to the **pricing manager** under clause 13.146, the **participant** must—
 - (a) give written ~~publish~~ notice to affected participants specifying that it has given revised data; and
 - (b) specify in the notice the revisions that have been made; and
 - (c) in the case of revised data given in relation to a **SCADA situation**, state in the notice whether a **SCADA situation** continues to exist; and
 - (d) in the case of revised data given in relation to a **high spring washer price situation**, state in the notice whether the **high spring washer price relaxation factor** has been applied.
- (3) A **participant** to which this clause applies must comply with subclause (2) within the timeframes specified in clause 13.146(3) as if references to the revised data in clause 13.146(3) are references to a notice under this clause.

13.149 Pricing manager to make available on WITS~~publish~~ provisional prices and provisional reserve prices and give written notice of provisional price situation if revised data and notice not given in relation to provisional price situation arising on business day

- (1) This clause applies if—
 - (a) a notice of a **provisional price situation** is given on a **business day**; and
 - (b) a **participant** that is listed in clause 13.147(1)—
 - (i) does not comply with the timeframes specified in clause 13.146(3); or
 - (ii) does not comply with the timeframes specified in clause 13.147(3).
- (2) If this clause applies, the **pricing manager** must—
 - (a) by 1200 hours on that day, give written~~publish~~-notice to affected participants of the **provisional price situation** and each **trading period** affected; and
 - (b) by 1200 hours on that day, make available on WITS~~publish~~ **provisional prices** and **provisional reserve prices**; and
 - (c) by 0900 hours on the following day, inform the **Authority** of the **provisional price situation** in the daily report submitted under clause 13.213.

13.150 Pricing manager to make available on WITS~~publish~~ provisional prices and provisional reserve prices and give written notice of provisional price situation if revised data and notice not given in relation to provisional price situation arising on day other than business day

- (1) This clause applies if—
 - (a) a notice of a **provisional price situation** is given on a day other than a **business day**; and
 - (b) a **participant** that is listed in clause 13.147(1),—
 - (i) does not comply with the timeframes in clause 13.146(3); or
 - (ii) does not comply with the timeframes in clause 13.147(3).
- (2) If this clause applies, the **pricing manager** must—
 - (a) by 1000 hours on the day that the notice of a **provisional price situation** was given, give written~~publish~~-notice to affected participants of the **provisional price situation** and each **trading period** affected; and
 - (b) by 1000 hours on that day make available on WITS~~publish~~ **provisional prices** and **provisional reserve prices**; and
 - (c) by 0900 hours on the following day inform the **Authority** of the **provisional price situation** in the daily report submitted under clause 13.213.

13.152 Pricing manager to make available on WITS~~publish~~ interim prices and interim reserve prices if revised data resolves provisional price situation

- (1) This clause applies if a **participant** that is listed in clause 13.147(1)—
 - (a) gives revised data in accordance with clause 13.146 (that does not itself give rise to a **provisional price situation**); or
 - (b) gives a written~~publishes~~ a notice in accordance with clause 13.147.
- (2) If this clause applies, the **pricing manager** must make available on WITS~~publish~~ **interim prices** and **interim reserve prices** for each **trading period** of the previous trading day.

- (3) The **pricing manager** must make available on WITS~~publish~~ the **interim prices** and **interim reserve prices** by 1200 hours on the day that the revised data and notice were required to be given.

13.153 Revised data gives rise to provisional price situation

If revised data provided in accordance with clause 13.146 gives rise to a **provisional price situation**, the **pricing manager** must make available on WITS~~publish~~ **provisional prices** and **provisional reserve prices** in accordance with clauses 13.149 and 13.150, as if no data had been received.

13.154 Grid owner, generators, dispatchable load purchasers, and system operator to give revised data if provisional prices and provisional reserve prices have been published

- (1) This clause applies if the **pricing manager** makes ~~publishes~~ **provisional prices** and **provisional reserve prices** available under clause 13.149 or 13.150.

- (1A) If **provisional prices** and **provisional reserve prices** are made available on WITS~~published~~ in relation to—

- (a) an **infeasibility situation** or a **SCADA situation**, the **grid owner** and, in the case of an **infeasibility situation**, the **system operator**, must use reasonable endeavours to resolve the **provisional price situation** and provide revised data to the **pricing manager** using an approved system; or
 - (b) a **metering situation**, the **grid owner** or the **generator** or the **dispatchable load purchaser** (as the case may be) must provide revised **metering information** in accordance with clause 13.166; or
 - (c) a **high spring washer price situation**, the **system operator** must apply the **high spring washer price relaxation factor** in accordance with the **high spring washer price situation methodology** and use reasonable endeavours to provide revised data to the **pricing manager** using an approved system.
- (2) The revised data required by subclause (1A) must be provided to the **pricing manager** by 1200 hours on the 2nd **business day** following after the ~~pricing manager makes publication~~ of the **provisional prices** and **provisional reserve prices** available on WITS.

13.155 Revised data to be accompanied by written notice

If a **participant** that is listed in clause 13.147(1) gives revised data in accordance with clause 13.154 to the **pricing manager**, the **participant** must, by the time prescribed by that clause for giving revised data,—

- (a) give written ~~publish~~ notice to affected participants that revised data has been given; and
- (b) specify in the notice the revisions that have been made; and
- (c) in the case of revised data given in relation to a **metering situation** or a **SCADA situation**, state in the notice whether a **metering situation** or a **SCADA situation** continues to exist; and affected
- (d) in the case of revised data given in relation to a **high spring washer price situation**, if the **high spring washer price situation relaxation factor** has been applied, state in the notice that the factor has been applied.

13.156 Pricing manager to make available on WITS~~publish~~ **interim prices** after following publication of ~~provisional prices and provisional reserve prices~~ are made available

unless further provisional price situation arises and give written notice that an infeasibility situation or high spring washer price situation exists

- (1) Subject to subclause (2), if the **pricing manager**—
- (a) does not receive revised data in accordance with clause 13.154 and notice in accordance with clause 13.155 in relation to a **provisional price situation** (other than a **high spring washer price situation**), the **pricing manager** must make available on WITS ~~publish~~ **interim prices** and **interim reserve prices** for all **trading periods** of the relevant **trading day** in accordance with clauses 13.163 and 13.164; or
 - (b) does not receive revised data in accordance with clause 13.154 and notice in accordance with clause 13.155 in relation to a **high spring washer price situation**, the **pricing manager** must, by 1400 hours on the 2nd **business day** after the **provisional prices** and **provisional reserve prices** were made available on WITS ~~published~~, make available on WITS ~~publish~~ **interim prices** and **interim reserve prices** for all **trading periods** of the relevant **trading day** as if the **high spring washer price situation** did not exist; or
 - (c) receives revised data in accordance with clause 13.154 (that does not itself give rise to a **provisional price situation**) and notice in accordance with clause 13.155, the **pricing manager** must, by 1400 hours on the 2nd **business day** after the **provisional prices** and **provisional reserve prices** were made available on WITS ~~published~~, make available on WITS ~~publish~~ **interim prices** and **interim reserve prices** for all **trading periods** of the relevant **trading day**; or
 - (d) receives revised data in accordance with clause 13.154 and notice in accordance with clause 13.155 and an **infeasibility situation** arises from that data, the **pricing manager** must, by 1400 hours on the 2nd **business day** after the **provisional prices** and **provisional reserve prices** were made available on WITS, ~~published~~, give written ~~publish~~ notice to affected participants that an **infeasibility situation** exists, specifying in the notice each **trading period** affected by the **infeasibility situation**; or
 - (e) receives revised data in accordance with clause 13.154 and notice in accordance with clause 13.155 and a **high spring washer price situation** arises from that data, the **pricing manager** must, by 1400 hours on the 2nd **business day** after the **provisional prices** and **provisional reserve prices** were made available on WITS ~~published~~, give written ~~publish~~ notice to affected participants that a **high spring washer price situation** exists, specifying in the notice—
 - (i) each **trading period** affected by the **high spring washer price situation**; and
 - (ii) each **transmission security constraint** that has **bound** in the relevant **trading period** or **trading periods**.
- (2) The **pricing manager** must not give written notice of a **high spring washer price situation** in accordance with subclause (1)(e) in relation to a **trading period** if—
- (a) an **infeasibility situation** exists in that **trading period** and it has not been resolved; or
 - (b) the **pricing manager** has previously given written notice that a **high spring washer price situation** exists in that **trading period**.

13.157 Requirements if infeasibility situation or high spring washer price situation exists

- (1) If the **pricing manager** gives notice of an **infeasibility situation** in accordance with clause 13.156(1)(d), the relevant **grid owner** and the **system operator** must, by 1600 hours on the 2nd **business day** after the **provisional prices** and **provisional reserve prices** were made available on WITS published, exercise reasonable endeavours to resolve the **provisional price situation** and provide revised data to the **pricing manager** using an approved system.
- (2) If the **pricing manager** gives notice of a **high spring washer price situation** in accordance with clause 13.156(1)(e), the **system operator** must, by 1600 hours on the 2nd **business day** after the **provisional prices** and **provisional reserve prices** were made available on WITS published, apply the **high spring washer price relaxation factor** in accordance with the **high spring washer price situation methodology** and provide revised data to the **pricing manager** using an approved system.

13.158 Revised data to be accompanied by written notice

If a **grid owner** or the **system operator** gives revised data to the **pricing manager** in accordance with clause 13.157, the **grid owner** or **system operator** (as the case may be) must, by the time prescribed by that clause for giving revised data,—

- (a) give written ~~publish~~ notice to affected participants that revised data has been given; and
- (b) specify in the notice the revisions that have been made; and
- (c) in the case of revised data given in relation to an **infeasibility situation**, state in the notice whether the **infeasibility situation** has been resolved; and
- (d) in the case of revised data given in relation to a **high spring washer price situation**, if the **high spring washer price situation relaxation factor** has been applied, state in the notice that the factor has been applied.

13.159 Pricing manager to make available on WITS~~publish~~ interim prices or give written ~~publish~~ notice that high spring washer price situation exists

Subject to clause 13.160, if the **pricing manager**—

- (a) receives revised data in accordance with clause 13.157 and notice in accordance with clause 13.158, the **pricing manager** must,—
 - (i) if the revised data does not itself give rise to a **provisional price situation**, by 1800 hours on the 2nd **business day** after the **provisional prices** and **provisional reserve prices** were **published**, make available on WITS~~publish~~ **interim prices** and **interim reserve prices** for all **trading periods** of the relevant **trading day**; or
 - (ii) if an **infeasibility situation** arises from that data, make available on WITS~~publish~~ **interim prices** and **interim reserve prices** in accordance with clauses 13.163 and 13.164; or
 - (iii) if a **high spring washer price situation** arises from that data, by 1800 hours on the 2nd **business day** after the **provisional prices** and **provisional reserve prices** were made available on WITS published, give written ~~publish~~ notice to affected participants that a **high spring washer price situation** exists, specifying in the notice—

- (A) each **trading period** affected by the **high spring washer price situation**; and
 - (B) each **transmission security constraint** that has **bound** in the relevant **trading period** or **trading periods**; and
- (b) does not receive revised data in accordance with clause 13.157 and does not receive a written notice in accordance with clause 13.158,—
- (i) in relation to an **infeasibility situation**, the **pricing manager** must make available on WITS ~~publish~~ **interim prices** and **interim reserve prices** in accordance with clauses 13.163 and 13.164; or
 - (ii) in relation to a **high spring washer price situation**, the **pricing manager** must make available on WITS ~~publish~~ **interim prices** and **interim reserve prices** by 1800 hours on the 2nd **business day** after the **provisional prices** and **provisional reserve prices** were made available on WITS ~~published~~, as if the **high spring washer price situation** did not exist.

13.161 System operator to apply high spring washer price relaxation factor and give notice

- (1) If the **pricing manager** gives ~~electronic~~ written notice of a **high spring washer price situation** in accordance with clause 13.159(a)(iii), the **system operator** must, by 1000 hours on the 3rd **business day** after the **provisional prices** and **provisional reserve prices** were made available on WITS ~~published~~,—
- (a) apply the **high spring washer price relaxation factor** in accordance with the **high spring washer price situation methodology**; and
 - (b) exercise reasonable endeavours to provide revised data to the **pricing manager** using an approved system.
- (2) If the **system operator** gives revised data to the **pricing manager** in accordance with subclause (1), the **system operator** must, by the time prescribed by that subclause for giving revised data,—
- (a) give written ~~publish~~ notice to affected participants that the revised data has been given; and
 - (b) specify in the notice the revisions that have been made; and
 - (c) if the **high spring washer price relaxation factor** has been applied, state in the notice that the factor has been applied.

13.162 Pricing manager to ~~publish~~ make interim prices available on WITS

If the **pricing manager**—

- (a) receives revised data in accordance with clause 13.161(1) and notice in accordance with clause 13.161(2), the **pricing manager** must, ~~publish~~ by 1200 hours on the 3rd **business day** after the **provisional prices** and **provisional reserve prices** were made available on WITS ~~published~~, make available on WITS ~~publish~~ **interim prices** and **interim reserve prices** for all **trading periods** of the relevant **trading day**; or
- (b) does not receive revised data in accordance with clause 13.161(1) and does not receive a notice in accordance with clause 13.161(2), the **pricing manager** must, by 1200 hours on the 3rd **business day** after the **provisional** or **provisional reserve price** was made available on WITS ~~published~~, make available on WITS ~~publish~~ **interim prices** and **interim reserve prices** for all **trading periods** of the relevant **trading day** as if the **high spring washer price situation** did not exist.

13.163 Revised data cannot be given or revised data gives rise to provisional price situation (other than high spring washer price situation)

If clause 13.156(1)(a) applies, or the revised data received in accordance with clause 13.157(1) does not resolve an **infeasibility situation** or gives rise to a **provisional price situation** (other than a **high spring washer price situation**), the **pricing manager** must make available on WITS ~~publish~~ **interim prices** and **interim reserve prices** and must give written notice to **generators** and **purchasers**—

- (a) for each **trading period** not affected by a **provisional price situation**; and
- (b) on the basis of the information given to it under clause 13.154; and
- (c) by 1800 hours of the 2nd **business day** after it makes available on WITS ~~publishes~~ **provisional prices** and **provisional reserve prices**.

13.164 If provisional price situation (other than high spring washer price situation) continues

If clause 13.156(1)(a) applies, or the revised data received in accordance with clause 13.157(1) does not resolve an **infeasibility situation** or gives rise to a **provisional price situation** (other than a **high spring washer price situation**), the **pricing manager** must, for each affected **trading period**,—

- (a) no later than the time at which the **pricing manager** would be required to make ~~publish~~ **interim prices** available under clause 13.163, give a written a-notice to affected participants that it cannot calculate **interim prices** and **interim reserve prices**, specifying the **trading periods** affected; and
- (b) on the basis of the information given to the **pricing manager** under clause 13.154, calculate and make available on WITS ~~publish~~ **interim prices** for all **grid injection points** and all **net grid exit points** for each affected **trading period** by—
 - (i) assigning a price to all **net grid injection points** for each affected **trading period** equal to the highest price at the point that the **loss adjusted demand** intersects with the **offer stack**; and
 - (ii) assigning a price to all **net grid exit points** equal to 1.05 times the price calculated for all **grid injection points** under subparagraph (i)—
 by 1800 hours on the 2nd **business day** after it ~~publishes~~ makes available on WITS **provisional prices** and **provisional reserve prices**; and
- (c) calculate and make available on WITS **interim reserve prices** by taking the mean of the relevant **final reserve prices** of the corresponding day in each of the 4 previous weeks, by 1800 hours on the 2nd **business day** after it ~~publishes~~ **provisional prices** and **provisional reserve prices**; and
- (d) give written ~~publish~~ notice to affected participants of all **interim prices** and **interim reserve prices** by 1800 hours on the 2nd **business day** after it makes available on WITS ~~publishes~~ **provisional prices** and **provisional reserve prices**.

13.165 Authority notified if provisional price situation not resolved

- (1) If a **grid owner** or the **system operator** receives notice of an unresolved **provisional price situation** in accordance with clause 13.164, the **grid owner** or **system operator** (as the case may be) must immediately give written notice to ~~notify~~ the **Authority** of—
 - (a) how the unresolved **provisional price situation** arose; and

- (b) the steps taken in attempting to resolve the **provisional price situation**; and
 - (c) the reasons for the inability of the **grid owner** or **system operator** (as the case may be) to resolve the **provisional price situation**.
- (2) As soon as it receives a notice given under subclause (1), the **Authority** must consider the unresolved **provisional price situation** and urgently address the matters raised in the notice.

13.166A Pricing manager to recalculate and make available on WITS ~~publish~~ interim prices if infeasibility situation caused by shortage of instantaneous reserve

- (1) If an **infeasibility situation** that has been resolved under this subpart was caused by a shortage of **instantaneous reserve**, the **pricing manager** must recalculate and make available on WITS ~~publish~~ **interim prices** for the relevant **trading period** by adding a virtual provider of **fast instantaneous reserve** and **sustained instantaneous reserve**, at the price as specified in subclause (2), that provides sufficient **fast instantaneous reserve** and **sustained instantaneous reserve** so that prices for **fast instantaneous reserve** and **sustained instantaneous reserve** do not exceed that price.

13.167 Pricing manager to make available on WITS ~~publish~~ interim prices

The **pricing manager** must make available on WITS ~~publish~~ **interim prices** and **interim reserve prices**—

- (a) when required to do so by clauses 13.142, 13.152, 13.156(1), 13.159, 13.162, 13.163 or 13.164, by 1200 on each **trading day** for the previous **trading day**; and
- (aa) when required to do so by clause 13.135B; and
- (b) when required to do so by the **Authority** under clause 13.177(1)(c); and
- (c) before making available on WITS ~~publishing~~ **final prices** or **final reserve prices**.

13.168 When pricing error may be claimed

Once the **pricing manager** has made available on WITS **interim prices** and **interim reserve prices**, an **error claimant** may claim that the prices contain a **pricing error**.

13.170 Method and timing for claiming pricing error has occurred

To claim that a **pricing error** has occurred, an **error claimant** must—

- (a) complete the form set out in Form 9 of Schedule 13.1; and
- (b) include sufficient information in the form to demonstrate that the **error claimant** (other than an **error claimant** described in clause 13.169(2)) has been materially affected by the **pricing error**; and
- (c) give ~~email~~ the completed form to an ~~email address notified by~~ the **pricing manager** for that purpose; and
- (d) comply with paragraphs (a) to (c) no later than 1200 on the 1st **business day** following the **trading day** on which the **pricing manager** made available on WITS ~~published~~ the **interim price** or **interim reserve price** that contains the **pricing error**.

13.171 Pricing manager must make available on WITS ~~publish~~ final prices if no pricing error claimed

- (1) This clause applies if, by 1200 on the 1st **business day** following the **trading day** on which the **pricing manager** made available on WITS ~~published~~ the **interim price** or **interim reserve price**, no **pricing error** is claimed in respect of the **interim prices** or **interim reserve prices**.
- (2) The **pricing manager** must make available on WITS ~~publish~~ the **interim prices** as **final prices**, and **interim reserve prices** as **final reserve prices**, by 1400 hours on the 1st **business day** following the **trading day** on which the **pricing manager** made available on WITS ~~published~~ the **interim prices** or **interim reserve prices**.

13.172 Effect of pricing error being claimed

If an **error claimant** claims that a **pricing error** is contained in either **interim prices** or **interim reserve prices**, the **pricing manager** must not make available on WITS ~~publish~~ **final prices** or **final reserve prices** until the **pricing manager** has implemented the **Authority's** decision in accordance with clause 13.177.

13.173 Process when pricing error claimed

If the **pricing manager** receives a claim that an **error claimant** considers that a **pricing error** has occurred, the **pricing manager** must—

- (a) check that sufficient information is included in the form as required under clause 13.170; and
- (b) confirm to the **error claimant** that it has received the **pricing error** claim; and
- (c) by 1400 hours on the 1st **business day** following the **trading day** on which the **pricing manager** made available on WITS ~~published~~ the **interim prices** or **interim reserve prices** in respect of which the **pricing error** has been claimed, make available on WITS ~~publish~~ a written notice advising—
 - (i) that a **pricing error** has been claimed; and
 - (ii) the name of the **error claimant**; and
 - (iii) the reason for the **error claimant** believing that a **pricing error** has occurred; and
 - (iv) the **trading periods** that are claimed to have been affected by the **pricing error**; and
- (d) request that the **error claimant**, a **participant**, or the **Authority**, provide the **pricing manager** with any additional information that the **pricing manager** reasonably requires to determine whether a **pricing error** has occurred; and
- (e) provide the **Authority** with a copy of all information it has received in relation to the **pricing error** that has been claimed; and
- (f) determine whether it agrees that a **pricing error** has occurred.

13.176 Pricing manager to give written ~~publish~~ notice

As soon as practicable after the **Authority** has notified the **pricing manager** of its decision under clause 13.175, the **pricing manager** must ~~publish~~ give a written notice to affected participants specifying—

- (a) the name of the **error claimant**; and
- (b) the reason for the **error claimant** claiming that a **pricing error** has occurred; and

- (c) the trading **periods** that are claimed to have been affected by the **pricing error**; and
- (d) the **Authority's** decision made under clause 13.175; and
- (e) the **Authority's** reasons for its decision under clause 13.175; and:
- (f) if the **Authority** decided that a **pricing error** had occurred, any actions it has directed be taken to correct the **pricing error**.

13.177 Pricing manager to implement Authority's decision

- (1) If the **Authority** decides that a **pricing error** has occurred, the **pricing manager** must—
 - (a) take any action directed by the **Authority** under clause 13.175(c)(i) to correct the **pricing error**; and
 - (b) give a written direction to a **participant** to take any action ~~notified~~ required by the **Authority** under clause 13.175(c)(ii) to correct the **pricing error**; and
 - (c) once those actions have been completed, make available on WITS ~~publish~~ recalculated ~~republish~~ **interim prices** and **interim reserve prices**, using any updated **metering information**.
- (2) If the **Authority** decides that a **pricing error** has not occurred, the **pricing manager** must make available on WITS ~~publish~~ the **interim prices** and **interim reserve prices** as **final prices** and **final reserve prices**.

13.178 Effect of republishing interim prices

If the **pricing manager** is required to make available on WITS ~~publish~~ recalculated ~~republish~~ **interim prices** and **interim reserve prices** in accordance with clause 13.177(1)(c)—

- (a) the **pricing manager** must do so by following the methodology required under clauses 13.135 to 13.179; and
- (b) a further **pricing error** may be claimed in respect of the ~~republished~~ recalculated **interim prices** and **interim reserve prices** made available on WITS.

13.179 Timing for resolution of pricing error claim process

The **pricing manager** and the **Authority** must make reasonable endeavours to ensure that, by 1400 hours on the 2nd **business day** after the relevant **pricing error** was claimed, but at least 2 hours after the **pricing manager** gives ~~publishes~~ the notice under clause 13.176, the **pricing manager**—

- (a) makes available recalculated ~~republishes~~ **interim prices** and **interim reserve prices** in accordance with clause 13.177(1)(c); or
- (b) makes available ~~publishes~~ **final prices** and **final reserve prices** in accordance with clause 13.177(2).

13.180 Actions Authority may take to resolve pricing error

- (1) To correct a **pricing error**, the actions that the **Authority** may take, or that the **Authority** may direct the **pricing manager** to take, include—
 - (a) delaying the availability ~~the publication~~ of **interim prices**, **interim reserve prices**, **final prices** and **final reserve prices** under clause 13.184, if the **Authority** considers that is necessary to allow time for the **pricing error** to be investigated or corrected; or

- (b) giving written directions to any **participant** to act in a manner that will, in the **Authority's** opinion, correct or assist in correcting the **pricing error**.
- (2) However, to avoid any doubt, in resolving a **pricing error**, the **Authority** must not—
 - (a) act inconsistently with this Code, the **Act**, or any other law; or
 - (b) require any other **participant** to act inconsistently with this Code, the **Act**, or any other law.

13.181 Obligation to comply with pricing manager

- (1) If the **pricing manager** asks a **participant** or the **Authority** to provide information in accordance with clause 13.173(d), the **participant** or the **Authority** must provide the **pricing manager** with the requested information in writing, within the reasonable timeframe advised by the **pricing manager**.
- (2) Each **participant** must comply promptly with any direction given by the **pricing manager** in accordance with clause 13.175(c)(ii).
- (3) To avoid doubt, if an **error claimant** does not provide the **pricing manager** with sufficient information to support its claim that a **pricing error** has occurred, and fails to provide additional information when requested under clause 13.173(d) the **pricing manager** may recommend under clause 13.174(b) that the **Authority** not uphold the claim.

13.182 No pricing errors notified after final prices calculated

- (1) An **error claimant** may only claim that a **pricing error** has occurred in respect of **interim prices** or **interim reserve prices**.
- (2) Once the **pricing manager** has made available on WITS final prices or **final reserve prices** are **published**, no further **pricing errors** can be claimed in respect of those prices.

13.183 Recalculation ~~Republication~~ of final prices

Unless directed to do so by the **Authority** under clause 5.2, the **pricing manager** must not make available on WITS ~~republish~~ a recalculated ~~the~~ **final price** or **final reserve price** for any **trading period** despite the fact that the **final price** or **final reserve price** may contain an error.

13.184 Authority may order delay of publication of final prices

Despite clauses 13.135 to 13.191 the **Authority** may give a written direction to the **pricing manager** to delay making ~~order that the~~ **publication** of **interim prices**, **interim reserve prices**, **final prices**, or **final reserve prices** available on WITS ~~be delayed~~.

13.185 Final prices for more than 1 trading day

If the **pricing manager** is required to make available on WITS ~~publish~~ 1 or more of the following prices for more than 1 **trading day** at a time, the **pricing manager's** **publishing** deadline for making the price or prices available on WITS is extended by 2 hours for each **trading day**:

- (a) **interim prices**;
- (b) **interim reserve prices**;
- (c) **final prices**;
- (d) **final reserve prices**.

13.189A Pricing manager to give clearing manager information about dispatch-capable load station from schedule of final prices

- (1) The **pricing manager** must give the **clearing manager** information about the quantity of **electricity** scheduled in the schedule of **final prices** for each **dispatch-capable load station** for each **trading period** that is both—
 - (a) a **trading period** for which a **nominated dispatch bid** was submitted for the **dispatch-capable load station**; and
 - (b) a **trading period** in the **billing period** that is immediately before the **billing period** in which the information must be provided under subclause (2).
- (2) The **pricing manager** must provide the information by 1600 hours on the 7th **business day** of each **billing period** through WITS.

13.190 All information and noticesnotifications to be unconditional and, final and transmitted by information system

- (1) All information and every notice to be given under clauses 13.135 to 13.191 must be **published** through the **information system**.
- (2) Except as provided for in this Code, **participants** may treat all any such information and notices given under clauses 13.135 to 13.191 as final.

13.191 Backup procedures if WITS or approved system information system is unavailable

- (1) If WITS or the approved system the **information system** is unavailable to give or make information available send information under clauses 13.135 to 13.191, each **grid owner** and the **pricing manager** must follow the backup procedures specified by the WITS manager~~market administrator~~.
- (2) The backup procedures referred to in subclause (1) must be specified by the WITS manager~~market administrator~~ following consultation with **generators**, **purchasers**, **ancillary service agents**, the **grid owners** and the **pricing manager**.
- (3) ~~The **market administrator** must ensure that there is always a backup procedure notified to all **generators**, **purchasers**, **ancillary service agents**, **grid owners** and the **pricing manager**.~~

13.199 Clearing manager to make available on WITS publish details of constrained off amounts

The **clearing manager** must make available on WITS, at the time specified in clause 13.197, ~~publish~~ the details of **constrained off amounts** for each **generator** and each **dispatched purchaser** for the previous **billing period** as follows:

- (a) the **constrained off amounts** calculated in accordance with clauses 13.194 to 13.196;
- (b) the **generator** or **dispatched purchaser** (as the case may be) that was constrained off;
- (c) the applicable **grid injection point**, or **grid exit point**, or **block dispatch group**, or **station dispatch group**.

13.200 Authority, generators and purchasers have rights to constrained off information

- (1) In addition to the information made available ~~published~~ by the **clearing manager** under clause 13.199, a **generator** or **purchaser** who reasonably believes it was adversely

affected by a **constrained off situation** occurring, or the **Authority**, may request information from the **system operator** about the cause of the **constrained off situation**.

- (2) The **system operator** must comply with any reasonable request made for such information provided that the information does not include any information that is confidential in respect of any other **generator** or **purchaser**.

13.206 Time frame for calculating constrained on amounts

The **clearing manager** must calculate **constrained on amounts**—

- (a) by 1600 hours on the 8th **business day** of each **billing period** for the previous **billing period** in accordance with clauses 13.204 and 13.205; or
- (b) if ~~publication of final prices is delayed for any trading period in the relevant billing period~~ are delayed and only made available on WITS so that final prices for a trading period in the billing period are published later than 1600 hours on the 6th **business day** of the month following the relevant **billing period**, 1 **business day** after all **final prices** for the **billing period** are made available on WITS ~~published~~.

13.208 Clearing manager to make available on WITS ~~publish~~ details of constrained on amounts

The **clearing manager** must, at the time specified in clause 13.206, make available on WITS ~~publish~~ the details of **constrained on amounts** in relation to each **generator**, **ancillary service agent**, and **dispatched purchaser** for the previous **billing period** calculated in accordance with clauses 13.204 and 13.205 as follows:

- (a) the aggregate **constrained on amounts** calculated under clauses 13.204 and 13.205;
- (b) the **generator**, **ancillary service agent**, or **dispatched purchaser** (as the case may be) that was constrained on;
- (c) the applicable **grid injection point**, **grid exit point**, **block dispatch group**, or **station dispatch group**.

13.209 Authority, generators, ancillary service agents, and purchasers have rights to constrained on information

- (1) In addition to the information made available ~~published~~ by the **clearing manager** under clause 13.208, the **Authority**, or a **generator**, **ancillary service agent**, or **purchaser** who reasonably believes it was adversely affected by a **constrained on situation** occurring, may request information from the **system operator** about the cause of the **constrained on situation**.
- (2) The **system operator** must comply with any reasonable request for such information except that the information must not include any information that is confidential in respect of any other **generator**, **ancillary service agent**, or **purchaser**.

~~13.210 Transmission of information through information system~~

~~Information sent to **generators**, **ancillary service agents**, or **purchasers** by the **clearing manager** under clauses 13.199 and 13.208 must be transmitted through the electronic facility contained in the **information system**.~~

13.211 Backup procedures if WITS information system is unavailable

- (1) If WITS the ~~information system~~ is unavailable to send information under clauses 13.199 and 13.208, the **clearing manager** must follow the backup procedures specified by the WITS manager~~market administrator~~ from time to time.
- (2) The backup procedures referred to in subclause (1) must be specified by the WITS manager~~market administrator~~ following consultation with **generators, ancillary service agents, purchasers** and the **clearing manager**. ~~The market administrator must ensure that there is always a backup procedure notified to generators, ancillary service agents, purchasers and the clearing manager.~~

13.213 Daily reports

- (1) On each **trading day** the **pricing manager** must provide the **market administrator** with a written report for the **trading periods** beginning at 0700 hours on the previous **trading day** and ending with the **trading period** beginning at 0630 hours on the **trading day** the report is due to be given, specifying—
 - (a) any **provisional prices** ~~made available on WITS~~**published**; and
 - (b) any **pricing errors** claimed; and
 - (c) any situation where the **pricing manager** believes, on reasonable grounds, that it or another **participant** has breached this Code.
- (2) In relation to each alleged breach the report must give details of—
 - (a) occasions when prices were or will be ~~made available on WITS~~**published** late and whether the delay was caused by the **pricing manager**; and
 - (b) the time at which the alleged breach took place; and
 - (c) the nature of the alleged breach, including details of the person alleged to be in breach and any **generator** or **purchaser** believed to be affected by the alleged breach; and
 - (d) the reason for the alleged breach, if the **pricing manager** is aware of the reason.

13.216 Daily situation report

On the day ~~after following the~~ **pricing manager** made available on WITS ~~publication of final prices and final reserve prices~~ in respect of the **trading day** to which the ~~published~~ prices relate, the **pricing manager** must give the **market administrator** a report containing—

- (a) a statement of whether flows on any **branches** were at their maximum capacity and each **trading period** affected; and
- (b) a statement of whether the status of circulating **HVDC link** and **branch** flows was abnormal and each **trading period** affected.

13.218 Parties required to submit information

The following **parties** to **risk management contracts** are required to submit the information specified in clauses 13.219, 13.222 and 13.223 using an approved system:

- (a) the **seller**, if the **seller** is a **participant**; or
- (b) the **buyer**, if the **buyer** is a **participant** and the **seller** is not a **participant**.

13.219 Information that must be submitted

- (1) The following information must be submitted to the **approved system information system** in relation to every **options contract**:
 - (a) the **trade date**;
 - (b) the **effective date**;
 - (c) the **end date**;
 - (d) the **quantity**.
- (2) The following information must be submitted to the **approved system information system** in relation to each **contract for differences** or **fixed-price physical supply contract**:
 - (a) whether the contract is a **contract for differences** or a **fixed-price physical supply contract**;
 - (b) the **trade date**;
 - (c) the **effective date**;
 - (d) the **end date**;
 - (e) the **quantity**;
 - (f) whether or not the contract applies to all **trading periods** within its **term**;
 - (g) whether there is an **adjustment clause**;
 - (h) whether there is a **force majeure clause**;
 - (i) whether there is a **suspension clause**;
 - (j) whether there are any other clauses providing for the pass-through of certain costs, levies or tax or some form of carbon-related cost.
- (3) In addition to the information that must be submitted in accordance with subclause (2), the following information must be submitted to **the approved system information system** in relation to each **contract for differences**:
 - (a) whether there is a **special credit clause**;
 - (b) whether the volume of **electricity**, in respect of which payments are required to be made by the **floating-price payer**, is flat or varies for different **trading periods**;
 - (c) whether the contract has been traded on the EnergyHedge platform. The EnergyHedge platform is a centralised trading platform for standardised derivative contracts on **electricity** prices in New Zealand;
 - (d) whether the contract has been prepared based on the standardised schedule, which can be adopted in conjunction with the International Swaps and Derivatives Association Master Agreement, as may be available on EnergyHedge.
- (4) In addition to the information that must be submitted in accordance with subclauses (2) and (3), the following information must be submitted to the **approved system information system** in relation to each **contract for differences** that has a **term** of less than 10 years and each **fixed-price physical supply contract** that has a **term** of less than 10 years:
 - (a) the **contract price** calculated in accordance with clause 13.220;
 - (b) the **grid zone area** in which the **contract price** is determined or applies.
- (5) The information specified in this clause must be submitted in the form specified by the **Authority** and in accordance with clause 13.225(1).
- (6) If a **seller** and a **buyer** enter into a **contract for differences** or **fixed-price physical supply contract** that includes more than 1 **contract price schedule**, the **party** required to submit information in accordance with clause 13.218 must do so in accordance with 1 of the following methods:

- (a) if the contract includes **contract price schedules** relating to more than 1 **grid zone area**, by combining the information relating to all **contract price schedules** within each **grid zone area** and submitting that combined information to the **approved system information system** as if there were 1 contract for each **grid zone area**;
 - (b) if the contract includes **contract price schedules** relating to more than 1 **node**, by combining the information relating to all **contract price schedules** at each **node** and submitting the combined information to the **approved system information system** as if there were 1 contract for each **node**;
 - (c) if the **party** does not wish to combine the information in accordance with paragraphs (a) and (b), by submitting the information for each **contract price schedule** to the **approved system information system** individually, as though each **contract price schedule** was a separate contract.
- (7) To avoid doubt, if a **contract for differences** or **fixed-priced physical supply contract** includes an **adjustment clause**,—
- (a) the information that must be disclosed in accordance with this clause, in relation to the contract, must only be disclosed once; and
 - (b) the **contract price** to be disclosed in accordance with subclause (4) is that which first applies under the contract.

13.220 Calculation of contract price

...

- (2) The **Authority** may issue guidelines on the **approved system** to provide assistance to **sellers** and **buyers** in determining what information must be submitted to the **approved system information system**, which may include clarification as to how to apply the formula in subclause (1) in the circumstances covered by clause 13.219(6).

13.221 Node and grid zone area information

- (1) The **WITS manager Authority** must **publish** annually, ~~on the **information system**,~~—
 - (a) a list of all **nodes** at which the **pricing manager** ~~makes~~ **publishes final prices available on WITS**; and
 - (b) a corresponding **location factor** for each such **node**; and
 - (c) a corresponding **grid zone area** for each such **node**; and
 - (d) a list of nominated **zone nodes**, being 1 **node** at which the **pricing manager** ~~makes~~ **publishes final prices available on WITS**, within each **grid zone area**.
- (2) For the purposes of subclause (1)(b), the **location factor** for each such **node** must be calculated as follows:

$$LF = A/B$$

where

- A is the average **final price** made available on **WITS published** at that **node** over the 12 month period preceding the month before the date on which the **location factors** are **published**
- B is the average **final price** made available on **WITS published** at the relevant nominated **zone node**, as **published** in accordance with subclause (1)(d), for the 12

month period preceding the month before the date on which the **location factors** are **published**

LF is the **location factor** to be **published** in accordance with subclause (1)(b).

13.222 Other information that must be submitted

- (1) The following information must be submitted to the approved system information system in relation to every **risk management contract**:
 - (a) each **party's** legal name;
 - (b) each **party's** email address for notice.
- (2) The information must be submitted in accordance with clause 13.225(1).

13.223 Modified or amended information

- (1) If a modification or amendment is made to a **risk management contract**, after the information referred to in clauses 13.219 or 13.222 has been submitted to the approved system information system, and the effect of the modification or amendment is that the information submitted to the approved system information system is no longer correct or complete, the modified or amended information must be submitted to the approved system information system.
- (2) The information submitted under subclause (1) must—
 - (a) identify in each case the information that has been modified or amended; and
 - (b) be in the form specified by the **Authority**; and
 - (c) be submitted in accordance with clause 13.225(2).

13.224 Correction of information

Except when clause 13.223 applies, if a **party** to a **risk management contract** discovers that information previously submitted to the approved system information system about that **risk management contract** is incorrect or incomplete, that **party** must—

- (a) seek to agree with the **other party** to the **risk management contract** that the information is incorrect or incomplete and how it should be corrected; and
- (b) when both **parties** have agreed that the incorrect or incomplete information should be corrected, submit the corrected information to the approved system information system in accordance with clause 13.225(3).

13.225 Timeframes for submitting information

- (1) The information specified in clauses 13.219 and 13.222 must be submitted to the approved system information system—
 - (a) in respect of a **contract for differences** or an **options contract**, no later than 5pm, 5 **business days** after the **trade date**; and
 - (b) for any other type of **risk management contract**, no later than 5pm, 10 **business days** after the **trade date**.
- (2) The modified or amended information submitted under clause 13.223(1) must be submitted to the approved system information system no later than 5pm, 5 **business days** after the amendment or modification to the **risk management contract** is made.
- (3) The **participant** ~~that who~~ discovered, in accordance with clause 13.224, that any information it submitted to the approved system was incorrect or incomplete, must submit

the corrected information to the approved system information system no later than 5pm, 2 **business days** after both **parties** to the **risk management contract** have agreed how the incorrect or incomplete information should be corrected.

- (4) The corrected information submitted in accordance with clause 13.227(8) must be submitted to the approved system information system no later than 5pm, 2 **business days** after the **parties** to the **risk management contract** have agreed, in accordance with clause 13.227(5)(b), that the information made ~~publicly~~ available under clause 13.226(1) is not correct, and corrected the information accordingly.

13.226 WITS manager must ~~Information system will make information publicly available to the public~~

- (1) The WITS manager must make the information submitted under clauses 13.219, 13.223(1), and 13.224 ~~must be made~~ available to the public, at no cost, on the approved system ~~publicly available on the information system~~ as soon as practicable.
- (2) At the same time that it makes the submitted information ~~publicly~~ available in accordance with subclause (1), for all information other than that submitted under clause 13.224, the WITS manager information system ~~must—~~
- (a) indicate on the approved system that the information is unverified; and
 - (b) if the contract is a **contract for differences** or an **options contract**, ~~give send~~ a written notice to the **other party** to the contract—
 - (i) (if the **other party** is a **participant**) requiring the **other party** to submit a **verification notice** to the approved system information system within 2 **business days** of receiving the notice confirming whether or not the information is correct; or
 - (ii) (if the **other party** is not a **participant**) giving the **other party** the option to submit a **verification notice** to the approved system information system within 2 **business days** of receiving the notice confirming whether or not the information is correct; or
 - (c) if the contract is a **fixed-price physical supply contract**, ~~give a written send a~~ notice to the **other party** giving the **other party** the option to submit a **verification notice** to the approved system information system within 2 **business days** confirming whether or not the information is correct.
- (3) A **participant** who receives a **verification notice** under subclause (2)(b)(i) must comply with the written notice.

13.227 Verification of information

- (1) If the **other party** to a **risk management contract** submits a **verification notice** to the **information system** within 2 **business days** of receiving notice under clause 13.226(2) confirming that the information made ~~publicly~~ available under clause 13.226(1) is correct, the WITS manager information system must indicate that the information made ~~publicly~~ available under clause 13.226(1) is verified.
- (2) The WITS manager information system ~~must indicate~~ on the approved system that the information made ~~publicly~~ available under clause 13.226(1) is not disputed, if—
- (a) the **other party** to a **contract for differences** or an **options contract** is not a **participant** and does not submit a **verification notice** to the approved system

- ~~information system~~ within 2 **business days** of receiving notice under clause 13.226(2)(b)(ii); or
- (b) the **other party** to a **fixed-price physical supply contract** does not submit a **verification notice** to the ~~**approved system information system**~~ within 2 **business days** of receiving notice under clause 13.226(2)(c).
- (3) If the **other party** to a **risk management contract** submits a **verification notice** to the ~~**WITS manager information system**~~ within 2 **business days** of receiving notice under clause 13.226(2) advising that the information made ~~publicly-available-under~~ clause 13.226(1) is not correct, the ~~**approved system information system**~~ must indicate that the information is disputed.
- (4) If the **other party** to a **contract for differences** or an **options contract** is a **participant** but does not submit a **verification notice** within 2 **business days** of receiving notice in accordance with clause 13.226(2)(b)(i), the ~~**WITS manager information system**~~ must—
- (a) indicate on the **approved system** that the information made ~~publicly-available~~ in accordance with clause 13.226(1) is pending verification; and
- (b) ~~give send~~ the **other party** a written reminder notice requiring the **other party** to submit a **verification notice** as soon as possible.
- (5) If the information made ~~publicly-available-under~~ clause 13.226(1) is disputed, the ~~**WITS manager information system**~~ must—
- (a) indicate on the **approved system** that the information is disputed; and
- (b) ~~give send~~ the **parties** to the relevant **risk management contract** a written notice requiring the **parties** to use all reasonable endeavours to agree on whether the information submitted in accordance with clause 13.225(1) is correct or not within 10 **business days** of receiving the notice.
- (6) The **parties** must comply with any notice ~~given issued~~ under subclauses (4)(b) or (5)(b).
- (7) If the **parties** to the **risk management contract** agree in accordance with subclause (5)(b) that the information made ~~publicly-available~~ in accordance with clause 13.226(1) is correct, the **other party** must submit a **verification notice** to the ~~**approved system information system**~~ within 1 **business day** confirming that the information is correct.
- (8) If the **parties** to a **risk management contract** agree in accordance with subclause (5)(b) that the information made ~~publicly-available~~ in accordance with clause 13.226(1) is not correct, the **party** that submitted that information to the ~~**approved system information system**~~ must correct that information in accordance with clause 13.225(4).
- (9) If, within 10 **business days** of receiving the notice sent in accordance with subclause (5)(b), the **parties** to the relevant **risk management contract** are not able to agree whether or not the information made ~~publicly available~~ in accordance with clause 13.226(1) is correct, despite using all reasonable endeavours, the ~~**WITS manager information system**~~ must indicate on the **approved system** that the information is subject to a long term dispute.

13.228 Confirmation of information submitted to the ~~**approved system information system**~~

- (1) The ~~**WITS manager information system**~~ must, using the **approved system**, confirm receipt of any information received by it under clauses 13.21, or 13.222 to 13.224.
- (2) Each confirmation under subclause (1) must contain a copy of the information received through by the ~~**approved system information system**~~, together with the date and time of receipt.

13.229 Submitting party to check if no confirmation received

- (1) If a **party** that submitted information to the ~~approved system information system~~ has not received confirmation ~~from the **WITS manager** in accordance with clause 13.288(1)~~ that its information has been received by the ~~approved system information system~~ within 6 hours of submitting the information to the ~~information system~~, that **party** must, within 1 **business day** of the expiry of that 6 hour period, contact the **market administrator** to check whether the information has been received by the ~~approved system information system~~.
- (2) If the ~~approved system information system~~ has not received the information, the **party** must resubmit the information.
- (3) This process must be repeated until the ~~**WITS manager** information system~~ has confirmed receipt of the information from the **party** in accordance with clause 13.228.

13.230 Certification of information

- (1) Each **participant** who has submitted information to the ~~information system~~ in accordance with clause 13.225 in a particular **year** must provide, within 3 months of the end of the **year**, a certificate to the **Authority** verifying that the information submitted was correct.
- (2) The certificate must be—
 - (a) in the form of a declaration; and
 - (b) in the form specified by the **Authority**; and
 - (c) signed and dated by either—
 - (i) 2 directors of the **participant**; or
 - (ii) the chief financial officer, or person holding an equivalent position, of the **participant**; or
 - (iii) the chief executive officer, or person holding an equivalent position, of the **participant**.

13.231 Audit of information

- (1) The **Authority** may, in its discretion, carry out an **audit** as to whether a **participant** has complied with this subpart.
- (2) If the **Authority** decides under subclause (1) that a **participant** should be subject to an **audit**, the **Authority** must first give written notice to require the **participant** requiring the **participant** to nominate an appropriate **auditor**. The **participant** must provide that nomination in writing to the **Authority** within a reasonable timeframe. The **Authority** must appoint the **auditor** nominated by the **participant**. If the **participant** fails to nominate an appropriate **auditor** within a reasonable timeframe, the **Authority** may appoint an **auditor** of its own choice.
- (3) A **participant** subject to an **audit** under this clause must, on request from the **auditor**, provide the **auditor** with a copy of every **risk management contract** that it has entered into in the previous 12 months or within such other period specified by the **auditor**. The **participant** must provide this **audit** information no later than 20 **business days** after receiving a request from the **auditor** for the information.
- (4) The **participant** must ensure that the **auditor** provides the **Authority** with an **audit** report on the **participant's** compliance with this subpart that has been prepared in accordance with subclauses (4A) and (5).

- (4A) The **audit** report must include any comments from the **participant** on any non-compliance found by the **auditor** if the **participant** provided comments to the **auditor** within a time specified by the **auditor**.
- (5) The **audit** report must not contain any **risk management contract** that the **participant** has provided to the **auditor** in accordance with subclause (3), unless the **Authority** has specifically requested that the **auditor** do so.

13.233 WITS manager information system and Authority must not publish certain information and may use information only under this subpart

- (1) The **Authority** must keep, and ensure that the **WITS manager information system** and each **auditor** appointed under clause 13.231(2) keep, information submitted to the **approved system information system** under clauses 13.219, or 13.222 to 13.224 and copies of any **risk management contract** provided to the **auditor** under clause 13.231 confidential, unless—
- the information is provided by the **Authority** to subcontractors or **service providers** that the **Authority** appoints to provide services for the purposes of this subpart, and those subcontractors or **service providers** have agreed to keep that information confidential, on the same terms as apply to the **Authority** under this clause; or
 - the information is required to be disclosed by law; or
 - the **party** or **parties** to whom the information relates have provided written consent to the disclosure; or
 - any of the information in a **risk management contract** is made publicly-available in accordance with clause 13.226(1).
- (2) The **Authority** may use the information submitted to the **information system** under clause 13.222 and copies of a **risk management contract** provided to the **Authority** by an **auditor** appointed under clause 13.231(2) only for purposes related to this subpart and the enforcement of this subpart.

13.236 Availability of information

The information that is submitted under clauses 13.219, 13.223, or 13.224 may only be removed from the **approved system information system** after 12 months following the termination of the **risk management contract**.

13.236D Authority must publish publicise base case, stress test, and method for calculating target cover ratio

- (1) The **Authority** must **publish** publicise a notice setting out the following:
- a **base case**;
 - 1 or more **stress tests**;
 - 1 or more methods for calculating a **disclosing participant's** target cover ratio.
- (2) If the **Authority** has not **published** publicised a notice under subclause (1) at least 30 **working days** before the start of a quarter in respect of which a **spot price risk disclosure statement** is required to be prepared, a **disclosing participant** is not required to prepare or submit a **spot price risk disclosure statement** for the next quarter.
- (3) If the **Authority** **publishes** publicises an amendment to a notice, or revokes and replaces a notice, within 30 **working days** before the start of a quarter in respect of which a **spot price risk disclosure statement** is required to be prepared, **disclosing participants** must

prepare **spot price risk disclosure statements** for the immediately following quarter in accordance with the notice as in force immediately before the amendment or replacement was made and not in accordance with the notice as amended or replaced.

13.236E Content of spot price risk disclosure statements

- (1) A **spot price risk disclosure statement** submitted under this subpart must include the following:
 - (a) the **disclosing participant's** annual net cash flow from operating activities as set out in the **disclosing participant's** most recent set of audited annual financial statements;
 - (b) the **disclosing participant's** level of shareholders' equity as set out in the **disclosing participant's** most recent set of audited annual financial statements;
 - (c) the **disclosing participant's** estimate of the value of **electricity** that it expects to sell to the **clearing manager** during the period to which the **stress test** relates when the **stress test** is applied, minus the **disclosing participant's** estimate of the value of that **electricity** under the **base case** for that period;
 - (d) the **disclosing participant's** estimate of the value of **electricity** that it expects to purchase from the **clearing manager** during the period to which the **stress test** relates when the **stress test** is applied, minus the **disclosing participant's** estimate of the value of that **electricity** under the **base case** for that period;
 - (e) the **disclosing participant's** estimate of the projected net cash flows from operating activities of the **disclosing participant** during the period to which the **stress test** relates when the **stress test** is applied, minus the **disclosing participant's** estimate of those cash flows under the **base case** for that period;
 - (f) a statement as to whether the **disclosing participant** has an explicit risk management policy in respect of its exposure to the **wholesale market**;
 - (g) if the **disclosing participant** has an explicit risk management policy, the **disclosing participant's** target cover ratio, for each **stress test**, calculated in accordance with the relevant method ~~published~~**publicised** by the **Authority** under clause 13.236D for the quarter to which the statement relates.

13.238 Preparation and publication of FTR allocation plan

- (1) The **FTR manager** must prepare and ~~publish~~**publicise** an **FTR allocation plan** that complies with Schedule 13.5.
- (2) The **FTR manager** must ~~keep~~ **make** the **FTR allocation plan** ~~published~~**publicised** available to the public at no cost on the ~~FTR manager's~~ website at all reasonable times.
- (3) Subject to subclause (4), if Schedule 13.5 is amended, the **FTR manager** must, no later than 3 months after the date on which the amendment comes into force, submit to the **Authority** for approval under clause 13.241(4), a variation to the **FTR allocation plan** to make the **FTR allocation plan** consistent with Schedule 13.5.
- (4) The **FTR manager** is not required to comply with subclause (3) if no amend

13.247 FTR manager must operate FTR register

- (1) The **FTR manager** must create and operate an **FTR register** that records—
 - (a) the holdings of FTRs; and
 - (b) the FTR acquisition cost for each FTR; and

- (c) assignments of FTRs including any price disclosed under clause 13.249; and
 - (d) the amount of electricity (in MW) to which each FTR relates; and
 - (e) the reconfiguration of each offered FTR.
- (2) The **FTR register** must contain an account for each holder of an **FTR**.
 - (3) The **FTR manager** must assign a registered number to each **FTR** recorded in the **FTR register**.
 - (4) The **FTR manager** must maintain and publish and keep published an up to date copy of the **FTR register**; ~~make at no cost on the FTR manager's website~~ at all reasonable times.

13.248 Assignment of FTRs

- (1) If a person ("assignor") wishes to assign an **FTR** or part of an **FTR** to another person ("assignee"), the assignor and assignee must complete and sign Form 1 in Schedule 13.6 and provide it to the **FTR manager**.
- (2) The completed form may be provided to the FTR manager under subclause (1) ~~transmitted~~ in electronic form ~~through the information system~~ if—
 - (a) both the assignor and assignee consent to completing and signing the form electronically; and
 - (b) the electronic form contains all of the information required by Form 1 in Schedule 13.6; and
 - (c) the notification of assignment to the **FTR manager** is in a format specified by the **FTR manager**.
- (3) The **FTR manager** must not register an assignment in the **FTR register** unless the **FTR manager** is satisfied that the assignee complies with prudential requirements in Part 14A.
- (4) The **FTR manager**, on being satisfied that all requirements for an assignment are met, must register the assignment on the **FTR register**.
- (4A) If an assignment is made under this clause in respect of part of an **FTR**, the **FTR manager** must register the assignment as follows:
 - (a) create a new record for an **FTR** in respect of the amount of **electricity** (in MW) to which the assignment relates; and
 - (b) amend the record for the **FTR** retained by the assignor by reducing the amount of **electricity** (in MW) to which the **FTR** relates so as to reflect the assignment.
- (5) An assignment of an **FTR** or part of an **FTR** is not effective unless it is registered on the **FTR register** by the **FTR manager**.
- (6) The **FTR manager** must not register an assignment that is expressed to have effect after the end of the **billing period** to which the **FTR** relates.

13.251 Information to be provided to FTR manager

- (1) Each **grid owner** must provide a written forecast of the configuration and capacity of the **grid owner's grid** for the **FTR period** (as advised to each **grid owner** by the **FTR manager**) to the **FTR manager** for use in determining the **FTRs** to be offered in each **FTR auction**.
- (2) The information that each **grid owner** must provide must include relevant planned outages.
- (3) Except as otherwise agreed with the **FTR manager**, each **grid owner** must provide the information to the **FTR manager** no later than 1 month before the date (as advised to each **grid owner** by the **FTR manager**) on which an **FTR auction** is to be held.

- (4) The **clearing manager** must advise the **FTR manager** in writing—
 - (a) whether a person who has applied to participate in an **FTR auction** complies with prudential requirements in Part 14A; and
 - (b) the amount of security that a person who has applied to participate in an **FTR auction** has provided that exceeds that person's other obligations under Parts 14 and 14A.
- (5) Except as otherwise agreed with the **FTR manager**, the **clearing manager** must provide the information to the **FTR manager** no later than 2 **business days** before the date (as advised to the **clearing manager** by the **FTR manager**) on which an **FTR auction** is to be held.
- (6) If the information referred to in subclause (4) changes, the **clearing manager** must, if requested by the person who has applied to participate in an **FTR auction**, provide the updated information in writing to the **FTR manager**.
- (7) The **clearing manager** must ~~inform~~ give the **FTR manager** written notice, as soon as practicable after receiving a request from the **FTR manager**, whether an assignee of an **FTR** meets the prudential security requirements in Part 14A.

13.252 Information to be provided to clearing manager

- (1) The **FTR manager** must provide the following information to the **clearing manager** in writing in relation to each successful bidder in an **FTR auction**:
 - (a) the details of each **FTR** allocated under an **FTR auction**, including—
 - (i) the period to which the **FTR** applies; and
 - (ii) whether the **FTR** is an **option FTR** or an **obligation FTR**; and
 - (iii) the formula under which the **FTR hedge value** is to be calculated for the settlement of the **FTR**;
 - (b) the **FTR acquisition cost** in respect of each **FTR**.
- (2) The **FTR manager** must provide the information specified in subclause (1) to the **clearing manager** as soon as practicable and no later than 1 week after each **FTR auction**.

~~13.253 Transmission of information to FTR manager and clearing manager~~

~~The information required to be provided to the **FTR manager** and the **clearing manager** under clauses 13.251 and 13.252 must be transmitted through the **information system**, except as otherwise agreed by the parties providing and receiving the information.~~

13.254 Publication of results of FTR auctions

The **FTR manager** must, as soon as practicable after each **FTR auction**, publish and keep published ~~make~~ the results of each **FTR auction**, available to the public at no cost on the **FTR manager's** website in accordance with the **FTR allocation plan**.

Schedule 13.4

3 Authority must publish~~publicise~~ each application for approval

On receipt of an application, the **Authority** must—

- (a) publish~~publicise~~ the application; and
- (b) provide a copy of the application to the **system operator**.

4 Factors that Authority must consider

Before the **Authority** approves an application, it must take into account—

- (a) the **system operator's** views as to the effect an approval would have on the **system operator's** ability to meet the **PPOs**; and
- (b) the cumulative effects, if the approval were granted, of all approvals granted under this Schedule on the **system operator's** ability to meet the **PPOs**; and
- (c) any views that may be made known to the **Authority** within the time specified by the **Authority** when it ~~published~~**publicised** the application in accordance with clause 3(a); and

...

8 Authority's decision

- (1) The **Authority** must, no later than 6 months after receiving an application,—
 - (a) approve each **generating unit** that is the subject of the application as either—
 - (i) a **type A industrial co-generating station**; or
 - (ii) a **type B industrial co-generating station**; or
 - (b) decline to approve the application.
- (2) The **Authority** must consult with an applicant before making a decision if the **Authority**—
 - (a) proposes to approve an application for a type of **industrial co-generating station** other than the applicant's preference specified under clause 2(1)(d); or
 - (b) proposes to decline the application.
- (3) The **Authority** must, as soon as practicable after making a decision,—
 - (a) advise the applicant, the **system operator**, the **grid owner**, and the **clearing manager** in writing; and
 - (b) ~~publish~~**publicise** its decision, including—
 - (i) the reasons for the decision; and
 - (ii) in the case of an application that has been approved, any conditions that have been imposed.

10 Effect of approval

Approval of 1 or more **generating units** as a **type A industrial co-generating station** or a **type B industrial co-generating station** takes effect from the date specified in the approval, which may be no earlier than 10 **business days** after the date of the notice of decision ~~publish~~**publicise** by the **Authority** under clause 8(3).

Part 14

14.23 Procedure for advising participant of amounts owing and payable

- (1) When advising a **participant** of amounts owing and payable under this subpart, the **clearing manager** must—
 - (a) ~~submit post~~the information to each relevant **participant** through **WITS** ~~the electronic facility contained in the information system~~ for the purpose ~~and publish the information~~; and
 - (b) if the **participant** requests, post or hand deliver the information to the **participant**.
- (2) Proof of dispatch ~~of submitting the information to~~ by **WITS** ~~is the electronic facility~~

contained in the **information system** for the purpose is deemed to be proof of the advice under subclause (1), despite the procedures set out in this clause and in clause 14.24.

14.24 Participant to confirm receipt

- (1) Each **participant** that receives information from the **clearing manager** under this subpart must immediately confirm, through **WITS** the ~~electronic facility contained in the information system~~ for the purpose, receipt of the information sent by the **clearing manager** under clause 14.23(1)(a) or (b).
- (2) If, by 1200 hours on the **business day** after submitting the information under clause 14.23(1), the **clearing manager** has not received confirmation from a **participant** that the **participant** has received the information, the **clearing manager** must check whether the **participant** has received the information. ~~the clearing manager has not received a confirmation that the information has been received by a participant by 1200 hours on the business day after the day of dispatch of the information, the clearing manager must telephone the participant to check if the information has been received.~~
- (3) If ~~the participant the information has not been received the information, by the participant,~~ the **clearing manager** must ~~resubmit~~ ~~resend~~ the information through WITS.
- (4) Delayed confirmation by a **participant** that the information has been received does not extend the payment period set out in clause 14.31.

14.53 Authority may ~~publish~~ publicise information about event of default

- (1) The **Authority** may ~~publish~~ publicise information about an **event of default** if the **Authority** considers it is appropriate.
- (2) If an **event of default** results in a reduction in payments under subpart 8, the **Authority** must ~~publish~~ publicise information about the following:
 - (a) the nature of the **event of default**;
 - (b) the extent of the **event of default**;
 - (c) the identity of the defaulting **participant**.

14.71 Clearing manager to publish block dispatch settlement differences

- (1) By 0900 hours on the 2nd **business day** after the **clearing manager** has advised **participants** of amounts owing under clause 14.18, the **clearing manager** must make available on WITS ~~publish~~ the following information for **participants** on WITS ~~the information system~~:
 - (a) the maximum block dispatch settlement difference for each **block dispatch group** for the previous **billing period** as determined by the following formula:

$$\text{Settlement Difference} = \text{Max} \left\{ \sum_{gip=1}^{gip} P_{gip} \left\{ \text{Gen}_{gip} - \text{Set}_{gip} \left\{ \frac{\sum \text{Gen}_{gip}}{\sum \text{Set}_{gip}} \right\} \right\} \right\}$$

- (b) the total block dispatch settlement differences for each **block dispatch group** for the

$$\text{Settlement Difference} = \sum_{i=1}^i \left\{ \sum_{gip=1}^{gip} P_{gip,i} \left\{ \text{Gen}_{gip,i} - \text{Set}_{gip,i} \left\{ \frac{\sum \text{Gen}_{gip,i}}{\sum \text{Set}_{gip,i}} \right\} \right\} \right\}$$

previous **billing period** as determined by the following formula:

where

- P_{gip} is the **final price** at the relevant **grid injection point** for the **generating plant** or **generating unit** that forms part of the **block dispatch group** for the relevant **trading period** of the **billing period**
- Gen_{gip} is the final quantity of **electricity** sold by that **generator** to the **clearing manager** at the relevant **grid injection point** for the **generating plant** or **generating unit** that forms part of the **block dispatch group**, obtained from the **reconciliation information** for the relevant **trading period** of the **billing period**
- Set_{gip} is the generation quantity at the **relevant grid injection point** for the **generating plant** or **generating unit** that forms part of the **block dispatch group** for the relevant **trading period** of the **billing period**
- $P_{gip,i}$ is the **final price** at the relevant **grid injection point** for the **generating plant** or **generating unit** that forms part of the **block dispatch group** for the relevant **trading period** of the **billing period**
- $Gen_{gip,i}$ is the final quantity of **electricity** sold by that **generator** to the **clearing manager** at the relevant **grid injection point** for the **generating plant** and **generating units** that form part of the **block dispatch group**, obtained from the **reconciliation information** for the relevant **trading period** of the **billing period**
- $Set_{gip,i}$ is the generation quantity at the relevant **grid injection point** for the **generating plant** and **generating units** that form part of the **block dispatch group** for the relevant **trading period** of the **billing period**.

14.72 Clearing manager to make block dispatch settlement differences available on WITS later if WITS information system is unavailable

- (1) If WITS the information system is unavailable to make publish the information set out in clause 14.71 available in accordance with that clause, the **clearing manager** is not obliged to follow any backup procedures in respect of making publishing the information available.
- (2) The **clearing manager** must make available on WITS publish the information as soon as reasonably possible after WITS the information system becomes available.

14.75 Notices

- (1) Except as expressly provided in this Code, a notice or demand given or required to be given under this Part may be given by being delivered or transmitted to the intended recipient at its address or electronic address as last advised in writing to the sender and may be posted to such address by prepaid post.
- (2) Subject to subclause (3),—
 - (a) a notice or demand delivered by hand is deemed to be delivered on the date of such delivery; and
 - (b) a notice or demand delivered by post is deemed to be delivered on the 2nd **business**

- day** following the date of posting; and
- (c) a notice or demand transmitted through WITS ~~the information system~~ is deemed to be delivered on the date it was transmitted.
- (3) Any notice or demand delivered, or deemed to be delivered, on a day that is not a **business day**, or after 1600 hours on a **business day**, is deemed to have been delivered on the next **business day**.

Part 14A

14A.21 Clearing manager to provide information about required security

...

- (2) The **clearing manager** must provide the information to the **participant** through ~~the~~ WITS and **publish the information**~~information system~~.

14A.24 Notices

- (1) Except as expressly provided in this Code, a notice or demand given or required to be given under this Part may be given by being delivered or transmitted to the intended recipient at its address or electronic address as last advised in writing to the sender and may be posted to such address by prepaid post.
- (2) Subject to subclause (3),—
- (a) a notice or demand delivered by hand is deemed to be delivered on the date of such delivery; and
- (b) a notice or demand delivered by post is deemed to be delivered on the 2nd **business day** following the date of posting; and
- (c) a notice or demand transmitted through WITS ~~the information system~~ is deemed to be delivered on the date it was transmitted.
- (3) Any notice or demand delivered, or deemed to be delivered, on a day that is not a **business day**, or after 1600 hours on a **business day**, is deemed to have been delivered on the next **business day**.

CRP 2016-15 Simplifying Code terms about ‘notifying’ information

Part 1

declaration date means the date, nominated by the **profile applicant**, on which the **market administrator** must, for a particular **profile**, ~~give written notice to~~ notify every **registered participant** of the information set out in clause 13 of Schedule 15.5 for that **profile**

~~**notify** means to notify the persons referred to in the relevant clause by way of letter, e-mail or facsimile, to a contact person and address provided by that person, that the information referred to in that clause has been **published**~~

notified planned outages means planned outages of **assets** forming part of or **connected** to the **grid** or **local network** that have been planned by the **asset owners** concerned and have been ~~notified~~ in relation to which written notice has been given to the **system operator** in accordance with **Technical Code D** of Schedule 8.3

Part 2

2.2 Information held by Authority

If the **Authority** receives a request for the supply of **Code information** that the **Authority** holds, the **Authority** must—

- (a) consider and process the request in accordance with the Official Information Act 1982; and
- (b) ~~give written notice to~~ notify the **participant** with which the information originated of the request for the supply of that information, before supplying it.

2.4 Authority must contact participant believed to hold requested information

The **Authority** must, as soon as practicable after receiving a request for ~~the supply of~~ **Code information** that it does not hold, send a written notice to the **participant** who the **Authority** believes holds the relevant **Code information**—

- (a) ~~giving~~ notifying the **participant** written notice of the request made to the **Authority**, and the name and address of the requesting **participant**; and
- (b) requesting the **participant** to either—
 - (i) supply the information, together with a note of the **participant’s** charges (if any) in relation to the supply of information; or

2.14 Process if participant refuses to supply information

- (1) If the **participant** refuses to supply all or any of the **Code information** requested, the **participant** must, as soon as practicable, ~~give written notice to~~ notify the **Authority** and the requesting **participant** of both the refusal and of the reasons for the refusal.
- (2) The **Authority** must, as soon as practicable after receiving ~~the notice that notification,~~ advise the requesting **participant** of its rights to appeal under clause 2.15.

Part 6

Schedule 6.2 – Regulated Terms for distributed generation

15 Permanent disconnections

- (1) Despite clause 10, the **distributor** may permanently disconnect **distributed generation** in the following circumstances:
- (a) on receipt of a request from a **distributed generator**:
 - (b) without notice, if a **distributed generator** has been temporarily disconnected under clause 11(g) and—
 - (i) the **distributed generator** fails to remedy the non-compliance within a reasonable period of time; and
 - (ii) there is an ongoing risk to persons or property:
 - (c) without notice, if the **trader** that is recorded in the **registry** as being responsible for the **ICP** to which the **distributed generation** is **connected** to the **distribution network** has **de-energised** the **ICP** and advised the **registry** that the **ICP** has a status of "inactive" with the reason of "de-energised – ready for decommissioning":
 - (d) on at least 10 **business days'** notice of intention to disconnect, if—
 - (i) the **distributed generator** has not injected **electricity** into the **distribution network** at any time in the preceding 12 months; and
 - (ii) the **distributor** has not been given written notice notified by the **distributed generator** of reasons for the non-injection; and
 - (iii) the **distributor** has reasonable grounds for believing that the **distributed generator** has ceased to operate the **distributed generation**.

...

Part 8

Schedule 8.1

3 System operator obligations on receipt of application

No later than 5 **business days** after receiving the application made in accordance with clause 2, the **system operator** must—

- (a) record the name of the **asset owner** making the application, the date and the subject matter of the application in the **system operator register**; and
- (b) ~~notify~~ give written notice to the **Authority** of the application; and
- (c) provide the **asset owner** with an estimate of the likely time that it will take to consider the application and the likely costs associated with processing the application.

5 Obligation of asset owner to pay costs

- (1) The **system operator** and the **asset owner** must agree on the costs involved in processing an application for approval of an **equivalence arrangement** or grant of a **dispensation** and the method for payment to the **system operator** by the **asset owner** of those costs—
- (a) before the **system operator** proceeds with the application; and
 - (b) at any time during the processing of the application when either—
 - (i) the **system operator** ~~notifies~~ gives written notice to the **asset owner** that it considers the estimate of the likely timeframe involved in processing the

- application will exceed the estimate given under clause 3(c) or any revised estimate given under clause 4; or
- (ii) an **asset owner** varies its application and the **system operator**, acting reasonably, considers this variation will change the cost of processing the application.
- (2) The **system operator** is entitled not to proceed until agreement on costs is reached at any of these stages.

6 Special provisions relating to the grant of dispensations

- (1) Before granting a **dispensation**, the **system operator** must issue a draft decision on the application. The draft decision must be published on the **system operator register** and must include—
- (a) an assessment by the **system operator** of the technical issues; and
 - (b) advice from the **system operator** about any changes required to **ancillary services** procurement as a result of the proposed **dispensation**.
- (2) If changes are required to the **procurement plan**, the draft decision must be conditional on the **procurement plan** being amended appropriately in accordance with clause 8.44.
- (3) A **participant** may make a submission to the **system operator** on the application that resulted in the publication of the draft decision no later than 10 **business days** after the draft decision is recorded on the **system operator register**.
- (4) All submissions must be considered by the **system operator**, and the **system operator** must ~~notify~~give written notice to any **participant** who made a submission as to the **system operator's** decision on the application.

Schedule 8.2

1 Process for approval of alternative ancillary service arrangement

- (1) An application for an **alternative ancillary service arrangement** must—
- (a) be in writing; and
 - (b) specify the **ancillary service** for which approval for an **alternative ancillary service arrangement** is sought; and
 - (c) provide supporting information for the application, including sufficient information about the actual capability of the **asset** or configuration of **assets**; and
 - (d) describe any remedial action planned to return the **asset** or configuration of **assets** to a compliant state; and
 - (e) specify the required term of the **alternative ancillary service arrangement**; and
 - (f) indicate any information for which confidentiality is sought on the grounds that it would, if disclosed, unreasonably prejudice the commercial position of the person who supplied the information (or the person who is the subject of that information), or would disclose a trade secret, or on the ground that it is necessary to protect information which is itself subject to an obligation of confidence.
- (2) No later than 5 **business days** after receipt of the application under subclause (1), the **system operator** must—
- (a) record the name of the **asset owner** making the application, the date and the subject matter of the application in the **system operator register**; and
 - (b) ~~notify~~give written notice to the **Authority** of the application; and

- (c) provide the **asset owner** with an estimate of the likely time it will take to consider the application and the likely costs associated with processing the application.
- (3) The **system operator** and the **asset owner** must agree on the costs involved in processing an application for authorisation of an **alternative ancillary service arrangement** and the method for payment to the **system operator** by the **asset owner** of those costs—
 - (a) before the **system operator** proceeds with the application; and
 - (b) at any time during the processing of the application, the **system operator** is entitled not to proceed until agreement is reached if either—
 - (i) the **system operator** ~~notifies~~ gives written notice to the **asset owner** that it considers the estimate of the likely timeframe and costs involved in processing the application will exceed the estimate given under subclause (2)(c); or
 - (ii) an **asset owner** varies its application and the **system operator**, acting reasonably, considers this variation will change the costs in processing the application.

7 Modifications and changes to assets

- (1) **Assets** that have been modified, or are proposed to be modified, are deemed to be new **assets** for the purposes of this Code and this **Technical Code** and are subject to the requirements for **connection** to the **grid** and the requirements for commissioning **assets**. For the purposes of this Schedule, the following are considered to be modifications to **assets**, if the new **connection** or alteration may affect the capacity of the **assets** or may affect **asset owner performance obligations** or **technical code** requirements:
 - (a) a new **connection** of **assets** to the **grid** or a **local network**;
 - (b) a new **connection** of **assets** to form part of the **grid**;
 - (c) a new **connection** of an **embedded generator** to a **local network** other than an **excluded generator** as defined in clause 8.21(1);
 - (d) an alteration to **assets** already **connected** to the **grid** or, in the case of **embedded generator**, already **connected** to a **local network**.
- (2) The **asset owner** must ~~notify~~ give written notice to the **system operator** in a timely manner of any **assets** that have been decommissioned if the **assets** affect or could affect the **system operator's** ability to comply with its **principal performance obligations**.

Schedule 8.3

9 Obligations of generators and ancillary service agents to take independent action

The following independent action is required of **generators** and **ancillary service agents** during the occurrence of extreme variations of frequency or voltage at the **points of connection** to which their **assets** are **connected** (such extreme levels of frequency or voltage are deemed to constitute a **grid emergency** and require a fast and independent response from each **generator** and each **ancillary service agent**):

...

- (f) in the event of a failure at the **system operator's** operational centre that disables the main **dispatch** or communication systems, the **system operator** may temporarily transfer its operational activities to an alternative operational centre, and the **system operator** must arrange for communication facilities to transfer to the new location and must ~~notify~~ give written notice to **participants** of those arrangements.

Schedule 8.3, Technical Code B

9 Obligations of generators and ancillary service agents to take independent action

The following independent action is required of **generators** and **ancillary service agents** during the occurrence of extreme variations of frequency or voltage at the **points of connection** to which their **assets** are **connected** (such extreme levels of frequency or voltage are deemed to constitute a **grid emergency** and require a fast and independent response from each **generator** and each **ancillary service agent**):

- (a) ...
- (f) in the event of a failure at the **system operator's** operational centre that disables the main **dispatch** or communication systems, the **system operator** may temporarily transfer its operational activities to an alternative operational centre, and the **system operator** must arrange for communication facilities to transfer to the new location and must give written notice to **notify participants** of those arrangements.

Schedule 8.3, Technical Code C

8 Notification of planned outages of primary means of communication

Each **asset owner** must notify give written notice to the **system operator** of any planned outage of a primary means of communication described in clauses 4(1), 5(1) or (2), and 6(1) or (2).

Schedule 8.3, Technical Code D

1 Purpose

The purpose of this **technical code** is to set out the obligations of **asset owners** to notify give written notice of planned outages of **assets** that affect **common quality**, and to set out the obligations of the **system operator** in relation to outage co-ordination and the provision of timely advice to asset owners on the security implications of **notified planned outages**.

2 Notification of planned outages

- (1) Each **asset owner** must, in relation to each of its **assets**, notify give written notice to the **system operator** as soon as practicable of all planned outages of such **assets** if such outages may impact on the **system operator's** ability to plan to comply, and to comply, with the **principal performance obligations**.
- (2) If the **asset owner** is unsure whether an outage of an **asset** may impact on the **system operator's** ability to plan to comply, and to comply, with the **principal performance obligations**, the **asset owner** must contact the **system operator** for advice.
- (3) Each **asset owner** must notify give written notice to the **system operator** up to 12 months ahead of planned outages and update the **system operator** of changes to the planned outages as and when the **asset owner** becomes aware of them.

Part 10

Schedule 10.3

7 Notification of cancellation, expiry, or revision of scope of ATH approval

- (1) The **Authority** must notify give written notice to all **metering equipment providers** if—
 - (a) an **ATH's** approval expires and the **Authority** does not renew it:

- (b) the **Authority** cancels an **ATH's** approval under clause 5:
- (c) an **ATH's** approval is cancelled under clause 6(2) or 6(3)(a):
- (d) the scope of an **ATH's** approval has been revised under clause 6(3)(b).
- (2) The **Authority** must include with the ~~notification~~notice under subclause (1) the date on which the approval expired or was cancelled, or the scope of the approval was revised.
- (3) A **metering equipment provider** ~~given notice~~notified under subclause (1) must treat all **metering installations certified** by the **ATH** during the period during which it was not validly approved, or was performing activities outside its scope of approval, as being defective from the date **notified** under subclause (2) and follow the procedures set out in clauses 10.43 to 10.48.
- (4) Despite subclause (3), the **Authority** may ~~notify~~give a **metering equipment provider** written notice that the **metering equipment provider** must treat a **metering installation certified** by the **ATH** as being defective and follow the procedures set out in clauses 10.43 to 10.48.

Part 11

11.14 Process for maintaining shared unmetered load

- (1) This clause applies if **shared unmetered load** is **connected** to a **distributor's network**.
- (2) The **distributor** must ~~notify~~give written notice to the **registry**, and each **trader** responsible under clause 11.18(1) for the **ICPs** across which the **unmetered load** is shared, of the **ICP identifiers** of those **ICPs**.
- (3) A **trader** who receives notification under subclause (2) must ~~notify~~give written notice to the **distributor** if it wishes to add an **ICP** to or omit an **ICP** from the **ICPs** across which the **unmetered load** is shared.
- (4) A **distributor** who receives notification under subclause (3) must ~~notify~~give written notice to the **registry** and each **trader** responsible for any of the **ICPs** across which the **unmetered load** is shared of the addition or omission of the **ICP**.
- (5) If a **distributor** becomes aware of a change to the capacity of an **ICP** across which the **unmetered load** is shared or that an **ICP** across which the **unmetered load** is shared is decommissioned, it must ~~notify~~give written notice to all **traders** who receive notification under subclause (2) of the change or decommissioning as soon as practicable after the change or decommissioning.
- (6) A **trader** who receives notification under subclause (5) must, as soon as practicable after receiving the notification, adjust the **unmetered load** information for each **ICP** for which it is responsible, so that the **unmetered load** is shared equally across each of those **ICPs**.
- (7) A **trader** must take responsibility for **shared unmetered load** assigned to an **ICP** for which the **trader** becomes responsible as a result of a switch in accordance with this Part.
- (8) A **trader** must not relinquish responsibility for **shared unmetered load** assigned to an **ICP** if there would then be no **ICPs** left across which the load could be shared.
- (9) A **trader** who changes the status of an **ICP** across which the **unmetered load** is shared to inactive in accordance with clause 19 of Schedule 11.1 is not required to ~~notify~~give written notice to the **distributor** of the change under subclause (3). The amount of **electricity** attributable to that **ICP** becomes **UFE**.

11.32C Retailers must notify consumers of availability of information

Each **retailer** must ~~notify~~give written notice to each **consumer** with whom it has a contract to supply **electricity** of the **consumer's** ability to make a request to the **retailer** under clause 11.32B, so that the **consumer** is notified at least once in each calendar year.

Schedule 11.1

8 Distributors to change ICP information provided to registry

- (1) If information about an **ICP** provided to the **registry** in accordance with clause 7 changes, the **distributor** in whose **network** the **ICP** is located must ~~notify~~give written notice to the **registry** of the change.
- (2) The **distributor** must give the ~~notification~~notice—
 - (a) in the case of a change to the information referred to in clause 7(1)(b) (other than a change that is the result of the **commissioning** or decommissioning of an **NSP**), no later than 8 **business days** after the change takes effect; and
 - (b) in every other case, no later than 3 **business days** after the change takes effect.
- (3) A **distributor** is not required to ~~notify~~give written notice of a change of information provided in accordance with clause 7(1)(b) if the change is for less than 14 days.
- (4) If a change of information provided in accordance with clause 7(1)(b) is for more than 14 days, subclause (2) applies as if the change had taken effect on the 15th day after the change takes effect.

24 Balancing area information

- (1) A **distributor** must ~~notify~~give written notice to the **reconciliation manager** of the establishment of a **balancing area** associated with an **NSP** supplying the **distributor's network**, in accordance with clause 26.
- (2) A **distributor** must ~~notify~~give written notice to the **reconciliation manager** of any change to the information provided under subclause (1).
- (3) The ~~notification~~notice must—
 - (a) specify the date and **trading period** from which the change takes effect; and
 - (b) be given no later than 3 **business days** after the change takes effect.
- (4) The **reconciliation manager** must ~~notify~~give written notice to the **registry** of changes to **balancing areas** within 1 **business day** after receiving the ~~notification~~notice.
- (5) The **registry** must **publish** an updated schedule of the mapping between **NSPs** and **balancing areas** within 1 **business day** after receiving the ~~notification~~notice.
- (6) The schedule must specify the date and **trading period** from which the change took effect.

25 Creation and decommissioning of NSPs and transfer of ICPs from 1 distributor's network to another distributor's network

- (1) If an **NSP** is to be created or decommissioned,—
 - (a) the **participant** specified in subclause (3) in relation to the **NSP** must ~~notify~~give written notice to the **reconciliation manager** of the creation or decommissioning; and
 - (b) the **reconciliation manager** must ~~notify~~give written notice to the **market administrator** and affected **reconciliation participants** of the creation or decommissioning no later than 1 **business day** after receiving the ~~notice~~notification in paragraph (a).

- (2) If a **distributor** wishes to change the record in the **registry** of an **ICP** that is not recorded as being usually **connected** to an **NSP** in the **distributor's network**, so that the **ICP** is recorded as being usually **connected** to an **NSP** in the **distributor's network** (a "transfer"), the **distributor** must ~~notify~~ give written notice to the **reconciliation manager**, the **market administrator**, and each affected **reconciliation participant** of the transfer.
- (3) The ~~notification~~ notification required by subclause (1) must be given by—
 - (a) the **grid owner**, if—
 - (i) the **NSP** is a **point of connection** between the **grid** and a **local network**; or
 - (ii) if the **NSP** is a **point of connection** between a **generator** and the **grid**; or
 - (b) the **distributor** for the **local network** who initiated the creation or decommissioning, if the **NSP** is an **interconnection point** between 2 **local networks**; or
 - (c) the **embedded network** owner who initiated the creation or decommissioning, if the **NSP** is an **interconnection point** between 2 **embedded networks**; or
 - (d) the **distributor** for the **embedded network**, if the **NSP** is a **point of connection** between an **embedded network** and another **network**.
- (4) A **distributor** who is required to ~~notify~~ give written notice of a transfer under subclause (2) or subclause (3)(d) must comply with Schedule 11.2.

26 Information to be provided if NSPs are created or ICPs are transferred from 1 distributor's network to another distributor's network

- (1) If a **participant** gives a ~~notification~~ notice under clause 25(1) or (2) of the creation of an **NSP** or the transfer of an **ICP** from 1 **distributor's network** to another **distributor's network**, the **participant** must request that the **reconciliation manager** create a unique **NSP identifier** for the **NSP**.
- (2) The **participant** must make the request—
 - (a) in the case of a ~~notification~~ notice given under clause 25(3)(b) or (c), at least 10 **business days** before the **NSP** is electrically **connected**; and
 - (b) in every other case, at least 1 calendar month before the **NSP** is electrically **connected** or the **ICP** is transferred.
- (3) If a **participant** gives a ~~notification~~ notice under clause 25(1) of the creation of an **NSP**, the **distributor** on whose **network** the **NSP** is located must give the **reconciliation manager** the following information:
 - (a) if the **NSP** is to be located in a new **balancing area** to be created—
 - (i) all relevant details necessary for the **balancing area** to be created; and
 - (ii) ~~notification~~ notice that the **NSP** to be created is to be assigned to the new **balancing area**; and
 - (b) in every other case, ~~notification~~ notice of the **balancing area** in which the **NSP** is located.
- (4) If a **participant** gives a ~~notification~~ notice under clause 25(1) or (2) of a creation or transfer that relates to an **NSP** between a **network** and an **embedded network**, the **distributor** who owns the **embedded network** must ~~notify~~ give written notice to the **reconciliation manager** of the following:
 - (a) the **network** on which the **NSP** will be located after the creation or transfer;
 - (b) the **ICP identifier** for the **ICP** that connects the **network** and the **embedded network**;
 - (c) the date on which the creation or transfer will take effect.

- (5) The **distributor** must give the ~~notification~~notice at least 1 calendar month before the creation or transfer.

27 Information to be provided if ICPs become NSPs

- (1) If a transfer notified under clause 25 results in an **ICP** becoming an **NSP** at which an **embedded network** connects to a **network**, or in an **ICP** becoming an **NSP** that is an **interconnection point**, the **distributor** who owns the **network** on which the **NSP** will be located after the change must ~~notify~~give written notice to any **trader** trading at the **ICP** of the transfer.
- (2) The **distributor** must give the ~~notice~~notification at least 1 calendar month before the transfer.

Schedule 11.3

12 Gaining trader may change switch event meter reading

- (1) The gaining **trader** may use the **switch event meter reading** supplied by the losing **trader** or may, at its own cost, obtain its own **switch event meter reading**.
- (2) If the gaining **trader** elects to use the new **switch event meter reading**, the gaining **trader** must give written notice to~~notify~~ the losing **trader** of the new **switch event meter reading** and the **event date** to which it refers as follows:
- (a) if the **switch event meter reading** established by the gaining **trader** differs by less than 200 kWh from that provided by the losing **trader**, both **traders** must use the **switch event meter reading** provided by the gaining **trader**; or
- (b) if the **switch event meter reading** provided by the losing **trader** differs by 200 kWh or more from a value established by the gaining **trader**, the gaining **trader** may dispute the **switch event meter reading**.
- (2A) Despite subclauses (1) and (2), subclause (2B) applies if—
- (a) the losing **trader** trades **electricity** at the **ICP** through a **metering installation** with a submission type of non **half hour** in the **registry**; and
- (b) the gaining **trader** will trade **electricity** at the **ICP** through a **metering installation** with a submission type of **half hour** in the **registry**, as a result of the gaining **trader's** arrangement with the **customer** or **embedded generator**; and
- (c) a **switch event meter reading** provided by the losing **trader** under subclause (1) has not been obtained from an **interrogation** of a **certified metering installation** with an AMI flag of Y in the **registry**.
- (2B) No later than 5 **business days** after receiving final information from the **registry** under clause 22(d),—
- (a) the gaining **trader** may provide the losing **trader** ~~with~~ a **switch event meter reading** obtained from an **interrogation** of a **certified metering installation** with an AMI flag of Y in the **registry**; and
- (b) the losing **trader** must use that **switch event meter reading**
- (3) If the gaining **trader** disputes a **switch event meter reading** under subclause (2)(b), the gaining **trader** must, no later than 4 months after the actual **event date**, provide to the losing **trader** a changed **validated meter reading** or a **permanent estimate** supported by 2 **validated meter readings**, and the losing **trader** must either,—
- (a) no later than 5 **business days** after receiving the **switch event meter reading** from the gaining **trader**, the losing **trader**, if it does not accept the **switch event meter**

reading, must give written notice to~~notify~~ the gaining **trader** (giving all relevant details), and the losing **trader** and the gaining **trader** must use reasonable endeavours to resolve the dispute in accordance with the disputes procedure contained in clause 15.29 (with all necessary amendments); or

- (b) if the losing **trader** notifies its acceptance of the **switch event meter reading** received from the gaining **trader**, or does not provide any response, the losing **trader** must use the **switch event meter reading** supplied by the gaining **trader**.

22 Registry notifications

The **registry** must provide notic~~notification~~ to **participants** required by this Schedule as follows:

- (a) on receipt of information about a switch request in accordance with clauses 2, 9 and 14, the **registry** must give written notice to~~notify~~ the losing **trader** of the information received;
- (b) on receipt of information about a withdrawal request in accordance with clauses 18(c) and (d), the **registry** must give written notice to~~notify~~ the other relevant **trader** of the information received;
- (c) on receipt of information about a switch acknowledgement in accordance with clauses 3(a) and 15, the **registry** must give written notice to~~notify~~ the gaining **trader** of the information received;
- (d) on receipt of information about a switch completion in accordance with clauses 3(a)(ii), 5, 10 and 16, the **registry** must give written notice to~~notify~~ the gaining **trader**, the losing **trader**, the **metering equipment provider**, and the relevant **distributor** of the information received.

4A Trader to provide information about NSPs and ICPs at which it cannot trade

- (1) If the **Authority** gives a notice to a **trader** under clause 4, the **Authority** must give written notice to~~notify~~ each **trader** (except the defaulting **trader**) that it must provide the information specified in subclause (2) to the **registry manager** by no later than 1600 on the **business day** following the day on which the notice under this subclause was given.

...

Part 12

12.61 Authority must publish draft grid reliability standards

- (1) This clause applies if the **Authority** undertakes a review of the **grid reliability standards** under clauses 12.59 or 12.60.
- (2) The **Authority** must **publish** draft **grid reliability standards**.
- (3) At the time the **Authority** publishes the draft **grid reliability standards** the **Authority** must publish~~notify registered participants~~ of the date by which submissions on the draft **grid reliability standards** are to be received by the **Authority**. The date must be no earlier than 15 **business days** from the date of **publication** of the draft **grid reliability standards**.
- (4) Each submission on the draft **grid reliability standards** must be made in writing to the **Authority** and be received on or before the **submission expiry date**. In addition to receiving written submissions, the **Authority** may elect to hear 1 or more oral submissions.

12.68 Authority must publish draft core grid determination

- (1) This clause applies if the **Authority** undertakes a review of the **core grid determination** in accordance with clauses 12.66 or 12.67.
- (2) The **Authority** must **publish** a draft **core grid determination**.
- (3) When the **Authority publishes** the draft **core grid determination** the **Authority** must **publish**~~notify registered participants~~ of the date by which submissions on the draft **core grid determination** are to be received by the **Authority**. The date must be no earlier than 15 **business days** from the date of publication of the draft **core grid determination**.
- (4) Each submission on the draft **core grid determination** must be made in writing to the **Authority** and be received on or before the **submission expiry date**. In addition to receiving written submissions, the **Authority** may elect to hear 1 or more oral submissions.

12.82 Authority must consult on issues paper

- (1) When the **Authority publishes** the issues paper, the **Authority** must **publish**~~notify registered participants~~ of the date by which submissions are to be received by the **Authority**. The date must be no earlier than 15 **business days** from the date of **publication** of the issues paper.
- (2) Each submission on the issues paper must be made in writing to the **Authority** and received on or before the **submission expiry date**. In addition to receiving written submissions, the **Authority** may elect to hear one or more oral submissions.
- (3) Within 20 **business days** of the **submission expiry date** (or such longer period as the **Authority** may allow), the **Authority** must complete its consideration of all submissions it receives on the issues paper.

12.92 Authority must publish proposed transmission pricing methodology

- (1) The **Authority** must **publish** the proposed **transmission pricing methodology** as soon as practicable.
- (2) At the time the **Authority publishes** the proposed **transmission pricing methodology** the **Authority** must **publish**~~notify registered participants~~ of the date by which submissions are to be received by the **Authority**. The date must be no earlier than 15 **business days** from the date of **publication** of the proposed **transmission pricing methodology**.
- (3) Each submission on the proposed **transmission pricing methodology** must be made in writing to the **Authority** and received on or before the **submission expiry date**. In addition to receiving written submissions, the **Authority** may elect to hear 1 or more oral submissions.

12.128 Transpower and designated transmission customers may agree on other requirements

- (1) **Transpower** and each **designated transmission customer** must comply with this Part, unless agreed otherwise by **Transpower** and the **designated transmission customer** in respect of specified **interconnection circuit branches**, the **HVDC link**, **shunt assets** or **interconnection assets**, or the **designated transmission customer** in accordance with subclause (2).
- (2) An agreement between **Transpower** and a **designated transmission customer** under this clause may not exclude the application of clause 12.118(1)(h) and must be conditional in

all respects on—

- (a) obtaining agreement from all other potentially affected **designated transmission customers** that this Part does not apply to the specified **interconnection circuit branches**, the **HVDC link**, **shunt assets** or **interconnection assets**, or the **designated transmission customer**; and
 - (b) **Transpower** and the **designated transmission customer** certifying to the **Authority** that they have consulted with all potentially affected end use customers on this Part not applying to the specified **interconnection branches**, **circuit branches**, the **HVDC link**, **shunt assets** or **interconnection assets** or the **designated transmission customer**, and that there are no material unresolved issues affecting the interests of those end use customers.
- (3) **Transpower** must give written notice to ~~notify~~ the **Authority** as soon as practicable in the event that **Transpower** enters into an agreement with a **designated transmission customer** under this clause.

12.151 Compliance with Outage Protocol

- (1) **Transpower** and each **designated transmission customer** must comply with the **Outage Protocol**, unless agreed otherwise by **Transpower** and a **designated transmission customer** in respect of specified **assets** or the **designated transmission customer** in accordance with subclause (2).
- (2) An agreement between **Transpower** and a **designated transmission customer** to which the **Outage Protocol** does not apply in respect of specified **assets** may not exclude the application of clause 12.118(1)(h) and must be conditional in all respects on—
 - (a) obtaining agreement from all other potentially affected **designated transmission customers** that the **Outage Protocol** does not apply in respect of the specified **assets** or the **designated transmission customer**; and
 - (b) **Transpower** and the **designated transmission customer** satisfying the **Authority** that they have consulted with all potentially affected end use customers on the **Outage Protocol** not applying in respect of the specified **assets** or the **designated transmission customer** and that there are no material unresolved issues affecting the interests of those end use customers.
- (3) **Transpower** must give written notice to ~~notify~~ the **Authority** as soon as practicable if **Transpower** enters into an agreement with a **designated transmission customer** in respect of specified **assets** in accordance with subclause (1).

Part 13

13.27B Authority to determine conforming and non-conforming GXPs if requested

- (1) Subclause (4) applies if—
 - (a) a **purchaser** or the **system operator** makes a request under clause 13.27H; and
 - (b) the **Authority** decides there are valid grounds to consider the request.
- (2) The **Authority** must decide whether to proceed with the request within a reasonable time after receiving the request.
- (3) If the **Authority** decides there are no valid grounds to consider the request, the **Authority** must notify ~~give written notice to~~ the requester ~~in writing~~ of—
 - (a) the **Authority**'s decision; and

- (b) the grounds for the **Authority's** decision.
- (4) If subclause (1) applies, the **Authority** must—
 - (a) determine whether a **GXP**, which is deemed to be a **conforming GXP** under clause 13.27F, is a **conforming GXP** or a **non-conforming GXP**;
 - (b) reconsider a previous determination, and as a result may decide to replace the previous determination with a new determination.

13.28 Special treatment of some grid exit points

- (1) For the purpose of this subpart and subparts 2 and 4, a **purchaser, generator or market operation service provider** may apply to the **Authority** to have 2 or more **grid exit points** treated as 1 **grid exit point** for the purposes of determining the status of a **GXP** under clause 13.27A or clause 13.27B(4), submitting **bids**, scheduling, switching, **dispatch**, pricing, clearing and settlement where there are 2 or more **local networks** supplied from the **grid** at the same physical location.
- (2) In determining an application under subclause (1), the **Authority** must consider the following factors:
 - (a) the efficiency or otherwise, of creating a separate price for **grid exit points** that are at the same, or at a geographically similar location;
 - (b) the geographical similarity of the **grid exit points** that are the subject of the application;
 - (c) the effect on a **market operation service provider** in terms of added processing time and complexity in treating as separate 2 or more **grid exit points** that are in the same or in a geographically similar location;
 - (d) any submissions received from **participants** under subclause (3);
 - (e) any other matter the **Authority** thinks fit.
- (3) The **Authority** must give written notice to ~~notify~~ **participants** ~~in writing~~ of an application under subclause (1) within 2 **business days** of the application being received by the **Authority**. Each **participant** has 5 **business days** to make submissions to the **Authority** on the application. The **Authority** must not consider an application until after the period for making submissions on the application has expired.
- (4) If an application under subclause (1) has been approved, the **Authority** must consult with each **market operation service provider** about the time it may take to implement changes that are required to accommodate the decision. The **Authority** must then give written notice to ~~notify~~ each **participant** of the date from which its decision takes effect.

13.34 Changes may be made within 2 hours before trading period

- (1) A **grid owner** may update the information submitted under clause 13.33 later than 2 hours before the relevant **trading period** only if—
 - (a) a **bona fide physical reason** necessitates the change; or
 - (b) the **system operator** issues a **formal notice**; or
 - (c) an unforeseeable change occurs in the availability of a **grid owner's assets**, which were the subject of a planned or unplanned outage in relation to which written notice was given ~~notified~~ by the **grid owner** to the **system operator**.
- (2) If a **grid owner** has sent revised information to the **system operator** under subclause (1) later than 15 minutes before the relevant **trading period**, the **grid owner** must also immediately notify the **system operator** of the revised information by telephone or by

such other mechanism as may be agreed from time to time in writing between **grid owners** and the **system operator**.

- (3) A **grid owner** who submits revised information to the **system operator** later than 2 hours before the relevant **trading period** must report each revision to the **Authority** in writing together with an explanation of the reasons for the revision. The **grid owner** must report each revision to the **Authority** by 1700 hours on the 1st **business day** following the **trading day** on which the revision was made.

13.46 Reserve offers may be revised or cancelled

- (1) An **ancillary service agent** (other than an **ancillary service agent** who is an **embedded generator**) may—
 - (a) revise its **reserve offer** prices or its **reserve offer** quantities, as the case may be, for any **trading period** by submitting a new **reserve offer** to the **system operator**. A revised **reserve offer** may be made up to 2 hours before the beginning of the **trading period** in respect of which the **reserve offer** is made; or
 - (b) cancel a **reserve offer** by giving written notice to ~~notify~~ the **system operator**. Any such cancellation may be made up to 2 hours before the beginning of the **trading period** in respect of which the **reserve offer** was made.
- (2) Despite subclause (1), and subject to clauses 13.47 and 13.97 to 13.101, an **ancillary service agent** who revises a **reserve offer** associated with an **embedded generating station** must use reasonable endeavours to submit the revised **reserve offer** at least 2 hours before the beginning of the **trading period** in respect of which the **reserve offer** is made, and may—
 - (a) revise any of its **reserve offer** quantities for any **trading period** by submitting a new **reserve offer** to the **system operator**. A revised **reserve offer** may be made up to 30 minutes before the beginning of the **trading period** in respect of which the **reserve offer** was made; or
 - (b) cancel any of its **reserve offers** by notice-in writing to the **system operator**. A cancellation of a **reserve offer** may be made up to 30 minutes before the beginning of the **trading period** in respect of which the **reserve offer** was made.

13.60 Block dispatch may occur

- (1) A **generator** and the **system operator** may agree to treat a group of **generating stations** as a **block dispatch group**.
- (2) If an agreement for block dispatch has been reached, the following procedures apply:
 - (a) the **generator** must give written notice to ~~notify~~ the **system operator** and the **clearing manager** of the agreement, at least 5 **business days** before the agreement takes effect, specifying—
 - (i) the **trading day** and the **trading period** in which the agreement will take effect; and
 - (ii) the **generating stations** that are the subject of the agreement; and
 - (iii) the terms of the agreement; and
 - (b) the **system operator** must identify in each **non-response schedule** the **generating stations** or **generating units** that are part of a **block dispatch group**.

- (3) The **generator** must give written notice to~~notify~~ the **system operator** and the **clearing manager** of any change to an agreement for **block dispatch** made under this clause or clause 13.61 at least 5 **business days** before the change takes effect.

13.61 System operator to notify block security constraints

- (1) The **system operator** must give written notice to~~notify~~ **generators** of the implication of any **block security constraints** that apply within the **block dispatch group**. The notification must include—
- (a) the **trading periods** for which the **block security constraint** applies; and
 - (b) how the **block security constraint** divides the **generating stations** or **generating units** of a **block dispatch group** into **sub-block dispatch groups**.
- (2) If a notice has been sent in accordance with subclause (1), the notice remains valid until the earliest of—
- (a) completion of the **trading periods** set out in the notice; or
 - (b) receipt of another notice from the **system operator** in accordance with subclause (1) for the same **block dispatch group** for the same **trading period** or **trading periods**; or
 - (c) receipt of a notice~~notification~~ from the **system operator** that the **block security constraint** no longer exists; or
 - (d) receipt of an instruction from the **system operator** in accordance with clause 13.75(f) for the same **block dispatch group** for the applicable **trading period**, and such instruction remains valid for the **trading periods** specified in that instruction.
- (3) *[Revoked]*

13.64 Station dispatch may occur

- (1) A **generator** may elect to have its **generating plant dispatched** as a **station dispatch group** by giving the **system operator** at least 15 **business days'** notice in writing in the form set out in Form 8 of Schedule 13.1. The **system operator** must use best endeavours to implement the election within 15 **business days** after receiving the notice.
- (2) The **system operator** must give written notice to~~notify~~ the **generator** and the **clearing manager** of the effective date of the election at least 5 **business days** before the date. On and from the effective date, the procedures set out in clauses 13.65 and 13.66 must be followed by the **system operator** and the **generator**.

13.65 System operator to notify station security constraints

- (1) The **system operator** must give written notice to~~notify~~ the **generator** of the implication of any **station security constraints** that apply within a **station dispatch group**. The notice~~notification~~ must include—
- (a) the **trading periods** for which the **station security constraint** applies; and
 - (b) how the **station security constraint** divides the **generating units** or **generating stations** of a **station dispatch group** into a **sub-station dispatch group** or limits the generation of a **station dispatch group**.
- (2) If a notice has been sent in accordance with subclause (1), the notice remains valid until the earliest of—
- (a) completion of the **trading periods** set out in the notice; or

- (b) receipt of another notice from the **system operator** in accordance with subclause (1) for the same **station dispatch group** for the same **trading period** or **trading periods**; or
- (c) receipt of a notice~~notification~~ from the **system operator** that the **station security constraint** no longer exists; or
- (d) receipt of an instruction from the **system operator** in accordance with clause 13.75(g) for the same **station dispatch group** for the applicable **trading period**, and the instruction remains valid for the **trading periods** specified in the instruction.

13.66 Generator notifies change from station to unit dispatch

If a **generator** changes the dispatch of its **generating plant** from a **station dispatch group** basis to a **generating unit** basis, it must give the **system operator** at least 15 **business days**' notice in writing. The **system operator** must use best endeavours to implement the change within 15 **business days** of receiving a notice. The **system operator** must give written notice to~~notify~~ the **generator** and the **clearing manager** of the effective date of the change at least 5 **business days** before the date.

13.128 Results

By 1100 hours on the day of each **auction** the **clearing manager** must give written notice~~of~~~~notify~~—

- (a) each **generator** that has bid at an **auction** of the outcome of the **auction**; and
- (b) all **generators** and **purchasers** of the quantity and price of all successful **auction bids** made at the **auction**.

13.165 Authority notified if provisional price situation not resolved

- (1) If a **grid owner** or the **system operator** receives notice of an unresolved **provisional price situation** in accordance with clause 13.164, the **grid owner** or **system operator** (as the case may be) must immediately give written notice to~~notify~~ the **Authority** of—
 - (a) how the unresolved **provisional price situation** arose; and
 - (b) the steps taken in attempting to resolve the **provisional price situation**; and
 - (c) the reasons for the inability of the **grid owner** or **system operator** (as the case may be) to resolve the **provisional price situation**.
- (2) As soon as it receives a notice given under subclause (1), the **Authority** must consider the unresolved **provisional price situation** and urgently address the matters raised in the notice.

13.175 Authority to accept or reject recommendations

If the **Authority** receives a recommendation and reasons from the **pricing manager** under clause 13.174, it—

- (a) must decide whether to accept the **pricing manager's** recommendations; and
- (b) must immediately give written notice to~~notify~~ the **pricing manager** of the **Authority's** decision; and
- (c) may direct the **pricing manager**—
 - (i) to take any specified action to resolve the **pricing error**; or
 - (ii) to direct, on behalf of the **Authority**, another **participant** to take any specified action to resolve the **pricing error**.

13.176 Pricing manager to publish notice

As soon as practicable after the **Authority** has given written notice ~~notified the pricing manager~~ of its decision under clause 13.175, the **pricing manager** must **publish** a report ~~notice~~ specifying—

- (a) the name of the **error claimant**; and
- (b) the reason for the **error claimant** claiming that a **pricing error** has occurred; and
- (c) the trading **periods** that are claimed to have been affected by the **pricing error**; and
- (d) the **Authority's** decision made under clause 13.175; and
- (e) the **Authority's** reasons for its decision under clause 13.175; and:
- (f) if the **Authority** decided that a **pricing error** had occurred, any actions it has directed be taken to correct the **pricing error**.

13.215 Generators and purchasers have right to information concerning pricing manager's action

- (1) A **generator** or a **purchaser** may, by giving written notice ~~in writing~~ to the **pricing manager**, request further information relating to any situation set out in a **pricing manager's** report **published** under clause 13.214 that has materially affected the **generator** or **purchaser**.
- (2) In such cases, the **pricing manager** must provide the requested information to that **generator** or **purchaser** except that such information must not include any information that is confidential in respect of any other person.

Schedule 13.3

13 Adjustments to schedules to meet dispatch objective

- (1) As soon as practicable after each **non-response schedule** and each **dispatch schedule** has been completed, the **system operator** must give written notice ~~to notify participants~~ of any changes required to the **non-response schedule** or **dispatch schedule** (as the case may be) to meet the **dispatch objective**, including adjustments for—
 - (a) **voltage support**; and
 - (b) **frequency keeping** reserves; and
 - (c) over-frequency arming; and
 - (d) additional transmission **constraints**; and
 - (e) **instantaneous reserve**.

...

Part 14

Schedule 14.2

3 Consultation on proposed changes to methodology

- (1) When the **Authority** **publishes** the changes that the **Authority** wishes the **clearing manager** to make to the draft methodology under clause 2(5), the **Authority** must **publish** ~~notify the clearing manager and interested parties~~ of the date by which submissions on the changes must be received by the **Authority**....

Part 15

15.14 Notification of changes to the grid

- (1) Each **grid owner** must give written notice to~~notify~~ the **reconciliation manager**, in accordance with any procedures or other requirements reasonably specified by the **reconciliation manager** from time to time, of any changes that the **grid owner** intends to make to the **grid** that will affect reconciliation.
- (2) The **grid owner** must give the notice at least 1 calendar month before the effective date of the intended change.
- (3) No later than 1 **business day** after receipt of the notice, the **reconciliation manager** must give a copy of the notice to the **clearing manager** and the **Authority**.
- (4) Each **grid owner** must give notice of an intended change to an existing **point of connection** to the **grid** or a new **point of connection** to the **grid** to be commissioned.

15.15 Notification of points of connection subject to outages or alternative supply

No later than 2 hours after **publication of final prices** for all **trading periods** in a **consumption period**,—

- (a) the **system operator** must give written notice to~~notify~~ the **reconciliation manager** of the following:
 - (i) each **point of connection** to the **grid** that was **disconnected** in the **consumption period**;
 - (ii) in relation to each **point of connection** referred to in subparagraph (i), the **trading periods** in the **consumption period** during which the **point of connection** to the **grid** was **disconnected**; and
- (b) each **grid owner** must give written notice to~~notify~~ the **reconciliation manager** of the following:
 - (i) each **point of connection** to the **grid** that was supplied from an alternative **point of connection** in the **consumption period**;
 - (ii) in relation to each **point of connection** referred to in subparagraph (i), the **trading periods** in the **consumption period** during which the **point of connection** to the **grid** was supplied from an alternative **point of connection**.

15.17 Submission information to be reviewed in the case of an outage constraint

In the case of an **outage constraint**, the **reconciliation manager** must—

- (a) review the **submission information** in accordance with a notice received in accordance with clause 15.15 and satisfy itself that the **submission information** is consistent with the occurrence of the stated **outage constraint**; and
- (b) reconcile the **submission information** for the affected **NSP** within the **balancing area** identified in accordance with clause 15.15 for the **trading periods** during which the **outage constraint** applied; and
- (c) as soon as reasonably practicable, but no later than 2 **business days** after **publication of final prices**, give written notice to~~notify~~ any **reconciliation participants** who were affected by the **outage constraint** affecting the **NSPs**, of the **trading periods** in the prior **consumption period** during which the **outage constraint** applied, and any changes to **balancing area NSP** groupings made in accordance with clause 15.16; and

(d) ...

Schedule 15.1

8 Changes that affect certification

- (1) If a **reconciliation participant** intends to make a change to any of its facilities, processes or procedures that the **reconciliation participant** considers is material, the **reconciliation participant** must, at least 5 **business days** before the change is to take place,—
 - (a) ~~give written notice to~~ notify the **Authority** of the change; and
 - (b) submit to the **Authority** an **audit** report confirming that, after the change has come into effect, the **reconciliation participant** will continue to meet the requirements specified in clause 5.
- (2) The **Authority** must, by notice to the **reconciliation participant**, continue a **reconciliation participant's certification** if the **Authority** is satisfied that the **reconciliation participant** will continue to meet the requirements in clause 5 after the change has come into effect.
- (3) A **reconciliation participant's certification** is deemed to be revoked if—
 - (a) a **reconciliation participant** fails to give the notice required by subclause (1); or
 - (b) the **Authority** notifies the **reconciliation participant** that the **Authority** is not satisfied that the **reconciliation participant** will continue to meet the requirements in clause 5 after the change has come into effect.

8A Timeframe for auditing a change extended

- (1) This clause applies if a **reconciliation participant** intends to make a change to any of its facilities, processes, or procedures that—
 - (a) the **reconciliation participant** considers is material; and
 - (b) is required to implement the Electricity Industry Participation (Metering Arrangements) Code Amendment 2011.
- (2) Despite clause 8(1), a **reconciliation participant** must, no later than 4 months after the amendment comes into force—
 - (a) ~~given written notice to~~ notify the **Authority** of the change; and
 - (b) submit to the **Authority** an **audit** report confirming that, after the change came into effect, the **reconciliation participant** continued to meet the requirements specified in clause 5.
- (3) Despite clause 8(3), a **reconciliation participant's certification** is only deemed to be revoked if—
 - (a) the **reconciliation participant** fails to give the advice required by subclause (2); or
 - (b) the **Authority** advises the **reconciliation participant** that the **Authority** is not satisfied that the **reconciliation participant** continued to meet the requirements in clause 5 after the change came into effect.
- (4) To avoid doubt, if this clause applies, the **Authority** must comply with clause 8(2).

10 Allocation by profile

If **submission information** is submitted as non **half hour** quantities to be allocated to **trading periods** by **profile** shape, the **reconciliation manager** must use the appropriate shape for the **profile** code contained in the **submission information**, if—

- (a) the **profile** code has been approved by the **market administrator** in accordance with Schedule 15.5; and
- (b) the **profile owner** has ~~given written notice to~~^{notified} the **reconciliation manager** of the approved **profile** code; and
- (c) the **profile owner** has authorised the **reconciliation participant** to use the approved **profile** code.

12 Application of profile shapes

The **reconciliation manager** must calculate the **trading period** information by applying the **profile** shape for the **profile** code specified in the submission file provided by the **reconciliation participant** if—

- (a) the **profile** code has been approved by the **market administrator** in accordance with Schedule 15.5; and
- (b) the **profile owner** has ~~given written notice to~~^{notified} the **reconciliation manager** of the approved **profile** code, and the **profile owner** has authorised the **reconciliation participant** to use the approved **profile** code; and
- (c) if a **balancing area** shape is required as part of the **profile**, the initial residual or final residual **profile** shape as defined in Schedule 15.5 must be used.

13 Balancing area derived profiles approved in accordance with Appendix 1 of Schedule 15.5

The **reconciliation manager** must calculate the **trading period** information by applying the **balancing area** derived **profile** code specified in the submission file provided by the **reconciliation participant**, if—

- (a) the **profile** code has been approved by the **market administrator** for use as a **balancing area** derived **profile** in accordance with Schedule 15.5; and
- (b) the **profile owner** has ~~given written notice to~~^{notified} the **reconciliation manager** of the approved **profile** code, and that the **profile owner** has authorised the **reconciliation participant** to use the approved **profile** code; and
- (c) if the **profile** code had not been approved by the **market administrator**, or notified to the **reconciliation manager**, the **reconciliation manager** must use the final residual **profile**.

18 Calculation of scorecard rating

...

- (4) Despite anything else in this Code, the **scorecard rating** must be set to 1 until such time as the **Authority** ~~gives written notice to~~^{notifies} **participants** that the **scorecard rating** will be calculated and applied in accordance with this clause.

Schedule 15.5

33 Profile maintenance and changes

- (1) The **profile sample** must be representative of the **profile population**. The **profile owner** must be responsible for maintaining a valid statistical sample which takes into account changes in the **profile population**.
- (2) The **profile owner** must maintain a current **profile population** list. The **profile owner** must inform the **market administrator** when an update is necessary (refer subclause (3)).

- The **profile population** list is subject to random **audit** by the **market administrator** or its appointed **audit** agent.
- (3) The **profile sample** must be updated when membership of the **profile population** has changed by more than 20% since the **sample date**. The **profile owner** must, no later than 10 **business days** after the **profile owner** becomes aware of such change in membership, give written notice to ~~notify~~ the **market administrator** of the changes in the **profile population** list. The **market administrator** must determine, and ~~notify~~ give written notice to the **profile owner** of, any required modifications to the **profile sample**. The **profile owner** has 1 month from the date of notification by the **market administrator** to ensure that **certified half hour meters** are installed in the **metering installations** of these **ICP identifiers**, and that the **metering installations** are fully **certified**.
 - (4) If more than 5% of the **profile sample** has been lost or removed, the **profile owner** must submit to the **market administrator** a list of **ICP identifiers** in the current **profile sample** who have been lost or removed from the **profile population** list. The **market administrator** must draw **ICP identifiers** from the **profile population** list to replace those who are lost or removed from the **profile sample**. The **profile owner** must ensure that **certified half hour meters** are installed in the **metering installations** of these **ICP identifiers**, and that the **metering installations** are fully **certified**, no later than 1 month after the **market administrator** issues its determination of the appropriate replacement **ICP identifiers**.
 - (5) The addition or removal of **ICP identifiers** to or from the **profile sample** must follow the procedures in Appendix 2.
 - (6) There must be at least 3 months between updates.