

Capacity Market Operating Model

Annex B – Data Flows

Version 1.0

Document Control

Change Control

Version Number	Author	Date modified	Record of change
1.0	DECC	17/12/13	Published Version

In a number of cases, the field data is not yet completed as the specific format may be dependent on the chosen system (however the content would be in line with finalised policy). Accordingly, the data flows will be updated and refined in subsequent versions of this document.

Capacity Market Data Flows Summary Table

		Process	Initiator	Recipient	New Data Flow
1. Amount to auction	1.1 Handle a Demand Curve	1.1.1 Gather Data	DECC	Potential auction participants	1.1.1a Establish and publish enduring Reliability Standard
			Industry	Delivery Body	1.1.1b Delivery Body gather data including alternatives to Future Energy Scenarios
		1.1.2 Publish Initial Demand Curve	DECC	Industry	1.1.2a DECC publish initial Demand Curve
			DECC	Industry	1.1.2b Notify of postponed or cancelled auction
		1.1.3 Publish Final Demand Curve	DECC	Industry	1.1.3a DECC publish final Demand Curve
			DECC	Industry	1.1.3b Notify of postponed or cancelled auction
2. Eligibility & Prequalification	2.1 Handle Eligibility	2.1 Handle eligibility	N/A	N/A	N/A
	2.2 Manage the flow of prequalification	2.2.1 Submit Applications	Delivery Body	Applicants	2.2.1a Publish auction guidelines
			Delivery Body	Applicants	2.2.1b Notify of data submission window opening
			Applicant	Delivery Body	2.2.1c Submit opt-out/retiring notice
			Applicant	Delivery Body	2.2.1d Submit price-maker/taker status (optional)
		2.2.2 Assessing Applications	Applicant	Delivery Body	2.2.2a Submit completed applications for CMU
			Delivery Body	Industry	2.2.2b Notify Industry of all applicants
		2.2.3 Prequalification results	Delivery Body	Industry	2.2.3a Publish results of prequalification CMUs and conditionally prequalified CMUs
			Delivery Body	Applicants	2.2.3b Notify applicants of their prequalification status
			Delivery Body	Successful Applicants	2.2.3c Provide prequalification certificate
		2.2.4 Handle Credit support	Delivery Body	Unproven Applicant	2.2.4a Notify credit support value and date as required
			Unproven Applicant	Settlement Body	2.2.4b Unproven Applicant provide credit support
			Unproven Applicant	Delivery Body	2.2.4c Show receipt of valid credit

Capacity Market Data Flows

Summary Table

		Process	Initiator	Recipient	New Data Flow
3. Auction	3.1 Handle an Auction	3.1.1 Set Auction Framework	Delivery Body	Industry	3.1.1a Confirmation of auction framework
		3.1.2 Set Price Maker/Taker status	Prequalified CMU	Custodian	3.1.2a Lodge Price-Maker Memorandum
			Prequalified CMU	Delivery Body	3.1.2b Submit receipt and Price-Maker Certificate
		3.1.3 Hold Auction	Prequalified CMUs	Delivery Body	3.1.3a Make first bid in Auction
			Prequalified CMUs	Delivery Body	3.1.3b Make subsequent bid in Auction
		3.1.4 Notify Auction Outcome	Delivery Body	Prequalified CMU	3.1.4a Notify provisional outcome
			Delivery Body	Prequalified CMUs	3.1.4b Publish Capacity Auction results to bidders
4. Capacity Agreement Management	4.1 Handle lifetime of a capacity obligation	4.1.1 Register Capacity Obligation	Delivery Body	Successful auction applicant	4.1.1a Successful bidders sent terms of capacity obligation
		4.1.1.4 Return Credit Support	Settlement Body	CDR & Prospective Generator	4.1.1.4a Return credit support
		4.1.2 Monitor milestones	Capacity Provider	Delivery Body	4.1.2a Submit six monthly progress report
			Delivery Body	Capacity Provider	4.1.2b Request of remedial plan
	Capacity Provider		Delivery Body	4.1.2c Send Remedial plan	
	4.2 Handle capacity provider milestones	4.2.1 Handle capacity provider financial milestone	Capacity Provider	Delivery Body	4.2.1a Submit Financial Completion Milestone report
		4.2.2 Handle capacity provider completion milestone (New)	Capacity Provider (New Build)	Delivery Body	4.2.2a Submit Substantial Completion Milestone evidence (New Build)
		4.2.3 Handle capacity provider completion milestone (Refurbishing)	Capacity Provider (Refurbishing)	Delivery Body	4.2.3a Submit Substantial Completion Milestone evidence (Refurbishing)
		4.2.4 Handle a Termination	Capacity Provider	Delivery Body	4.2.4a Notify of failed milestone
			Delivery Body	Capacity Provider	4.2.4b Issue Capacity Agreement termination notice
		4.2.5 Sanctions (Refurbishing)	Delivery Body	Capacity Provider	4.2.5a Notify of Capacity Agreement to pre-refurbishment levels
			Delivery Body	Capacity Provider	4.2.5b Notify of not reaching Financial Commitment Milestone
		4.3 Handle a change to a capacity agreement	4.3.1 Handle an internal change to a Capacity Agreement	Capacity Provider	Delivery Body
	Delivery Body			Capacity Provider	4.3.1b Notify of update to Capacity Agreement
	4.3.2 Handle an external change to a Capacity Agreement		Capacity Provider	Delivery Body	4.3.2a Notify of change of details within Capacity Agreement
			Delivery Body	Capacity Provider (Transferor & Recipient)	4.3.2b Notify of rejection of changes to Capacity Agreement
			Delivery Body	Capacity Provider (Transferor & Recipient)	4.3.2c Notify of acceptance of changes to Capacity Agreement
Settlement Body			Capacity Provider (Transferor & Recipient)	4.3.d Notify od recalculated liability cap	

Capacity Market Data Flows

Summary Table

		Process	Initiator	Recipient	New Data Flow
5. Secondary Market	5.1 Handle a Physical Trade	5.1.1 Trade notification	Capacity Provider (Transferor & Recipient)	Delivery Body	5.1.1a Submission of trade request
			Delivery Body	Capacity Provider (Transferor & Recipient)	5.1.1b Acknowledge trade notification
			Delivery Body	Capacity Provider (Transferor & Recipient)	5.1.1c Confirm trade notification
		5.1.2 Trade occurs	Delivery Body	Capacity Provider (Transferor & Recipient)	5.1.2a Send acceptance notification
			Delivery Body	Capacity Provider (Transferor & Recipient)	5.1.2b Send rejection notification
		5.1.3 Successful trade information update	Delivery Body	Capacity Provider (Recipient)	5.1.3a Send new Capacity Agreement
	6.1 Handle a capability test	6.1.1 Schedule test	Capacity Provider	Delivery Body	6.1.1a Notify of performance
			Delivery Body	Capacity Provider	6.1.1b Notify time, date and level of load following obligation of spot test
		6.1.2 Run test	Capacity Provider	Delivery Body	6.1.2a Submit statement of output of Capacity Committed CMU
			Delivery Body	Capacity Provider	6.1.3a Notify of passed spot test
		6.1.3 Notify of Spot Test outcome	Delivery Body	Capacity Provider	6.1.3b Notify of failed spot test
			Delivery Body	Capacity Provider	
6. Delivery	6.2 Handle a CM Warning Notification	6.2.1 Issue Capacity Market warning	System Operator	Capacity Provider	6.2.1a Publish Capacity Market Warning
		6.2.2 Collect Capacity Market warning data	Capacity Provider	System Operator	6.2.2a Submit Data (CMW)
		6.2.3 Handle a stress event	Capacity Provider	System Operator	6.2.3a Submit Data(Stress event)
		6.2.4 Respond to Capacity Market Warning	N/A	N/A	N/A
		6.2.5 Close Capacity Market Warning	System Operator	Capacity Provider	6.2.5a Notify and record closure of Capacity Market Warning

Capacity Market Data Flows Summary Table

		Process	Initiator	Recipient	New Data Flow
7. Payment	7.1 Handle Capacity Market Payment Obligations	7.1.1 Publish capacity cost for Delivery Year	Supplier	Settlement Body	7.1.1a Supplier peak demand forecast notification
	7.2 Handle a Billing Cycle	7.2.1 Supplier charges	Settlement Body	Supplier	7.2.1a Supplier invoice note
			Settlement Body	Supplier	7.2.1b Notify of drawing down on credit
		7.2.2 Calculate Capacity Provider payments	N/A	N/A	N/A
		7.2.3 Handle all bonuses and penalties for a stress event	N/A	N/A	N/A
		7.2.3.4 Handle CMU Charges	Settlement Body	Capacity Provider	7.2.3.4a Capacity Provider charge notification
			Settlement Body	Capacity Provider	7.2.3.4b Capacity Provider payment reminder
		7.2.3.5 Calculate CMU over delivery charges	N/A	N/A	N/A
	7.3 Handle a credit requirement on a supplier	7.3.1 Request Credit	Settlement Body	Supplier	7.3.1a Supplier credit request
		7.3.2 Supplier stage 1 credit default	Settlement Body	Supplier	7.3.2a Notify of move to stage 1 credit default
			Supplier	Settlement Body	7.3.2b Respond to notification of stage 1 credit default
		7.3.3 Supplier stage 2 credit default	Settlement Body	Supplier	7.3.3a Notification of move to stage 2 credit default
			Settlement Body	Supplier	7.3.3b Notification to remaining suppliers

Capacity Market Data Flows

Summary Table

		Process	Initiator	Recipient	New Data Flow
8. Reporting	8.1 Handle an annual report	8.1.1 Handle the Authority annual report	Stakeholder	The Authority	8.1.1a Authority annual report stakeholder consultation
	8.2 Handle a policy review	8.2 Handle a policy review	Stakeholder	DECC	8.2a Policy review stakeholder consultation
	8.3 Handle a performance review	8.3 Handle a performance review	N/A	N/A	N/A
	8.4 Handle a change to the Regulations	8.4.1 Handle a Rules report	The Authority	Capacity Market Participants	8.4.1a Data request for rules report
			Stakeholders	The Authority	8.4.1b Consultation for rules report
		8.4.2 Handle a Statutory Report	Stakeholders	DECC	8.4.2a Consultation for statutory report
9. Change Management	9.1 Handle a change to the rules and regulations	9.1.1 Handle a change to the rules	N/A	N/A	N/A
		9.1.2 Initiate rule change	Stakeholder	The Authority	9.1.2a Rule change consultation
			The Authority	Stakeholder	9.1.2b Publish decision and rationale for not changing Rules
			The Authority	Stakeholder	9.1.2c Publish decision for changing Rules
		9.1.3 Handle a change to the regulations	Stakeholder	DECC	9.1.3a Regulation change stakeholder consultation

Capacity Market Data Flows

Summary Table

		Process	Initiator	Recipient	New Data Flow
10. Appeals	10.1 Appeals	10.1.1 Appeals to the Delivery Body	Applicant/ Capacity Provider	Delivery Body	10.1.1a Register first round of appeal to the Delivery Body
			Delivery Body	Applicant/ Capacity Provider	10.1.1b Notify of unsuccessful appeal
			Delivery Body	Applicant/ Capacity Provider	10.1.1c Notify of successful appeal
		10.1.2 Appeals to the Settlement Body	Applicant/ Capacity Provider/ Supplier	Settlement Body	10.1.2a Register first round of appeal to the settlement body
			Settlement Agent	Applicant/ Capacity Provider/ Supplier	10.1.2b Notify of investigation
			Settlement Body	Applicant/ Capacity Provider/ Supplier	10.1.2c Notify of unsuccessful appeal
			Settlement Body	Applicant/ Capacity Provider/ Supplier	10.1.2d Notify of successful appeal
		10.1.3 Appeals to Independent Body	Applicant/ Capacity Provider	Independent Body	10.1.3a Register second round of appeal to the Independent Body
			Independent Body	Applicant/ Capacity Provider	10.1.3b Notify unsuccessful appeal
			Independent Body	Applicant/ Capacity Provider	10.1.3c Notify of successful appeal
		10.1.4 Appeals to the courts	Applicant/ Capacity Provider/ Supplier	The courts	10.1.4a Register final round of appeal to the courts
			The courts	Applicant/ Capacity Provider/ Supplier	10.1.4b Notify of unsuccessful appeal
			The courts	Applicant/ Capacity Provider/ Supplier	10.1.4c Notify of successful appeal

Process: 1.1 Handle a Demand Curve

Data Flow Description Name			Reference
Establish and publish enduring Reliability Standard			1.1.1a
Initiated By:	DECC	Received By:	Potential auction participants
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Government consulted on a draft reliability standard in the draft EMR delivery plan in July 2013.Government will finalise the reliability standard in the first EMR delivery plan – published December 2013.			
Method			
<ul style="list-style-type: none">Published as part of EMR Delivery Plan.Further detail is provided in Part 2 of the Capacity Market Regulations.			
Responses			
<ul style="list-style-type: none">Uncertainty for investors is minimised.Setting the standard on an enduring basis is intended to minimise the risk of over procurement of GB capacity, and avoid large swings in the amount auctioned from one year to the next.			
Information			
Field	Description		Format
Approvals			
Assumptions, notes			
Reliability standard provides an indication of the acceptable level of security of supply for the GB system – factoring in likely costs of providing that level of security.			

Data Flow Description Name			Reference
<i>Delivery Body gather data including alternatives to Future Energy Scenarios</i>			<i>1.1.1b</i>
Initiated By:	<i>Industry</i>	Received By:	<i>Delivery Body</i>
Push/Pull	<i>Pull</i>		
Triggers			
<ul style="list-style-type: none"> Industry participants invited to feed back their views through Future Energy Scenarios consultation. 			
Method			
<ul style="list-style-type: none"> As per consultation instructions. 			
Responses			
<ul style="list-style-type: none"> Industry provides DB with demand assumptions and low-carbon generating assumptions. DB shares this information with data gatherer. 			
Information			
Field	Description		Format
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
DECC publish initial Demand Curve			1.1.2a
Initiated By:	DECC	Received By:	Industry
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Government will publish the demand curve for each four year ahead auction around four and a half years ahead of the delivery year.Government will publish the demand curve for each year ahead auction around one and a half years ahead of the delivery year.First demand curve to be published June 2014.In advance of the Initial Demand Curve being published, DECC must confirm the auction is still going ahead, or if there are any issues to be resolved prior to auction (if these issues cannot be resolved, the auction is cancelled and a notification is broadcast as per Data Flow 1.1.2b).			
Method			
Responses			
<ul style="list-style-type: none">Industry participants review.Industry participants begin to formulate auction strategy (price-taker/price-maker, etc.).			
Information			
Field	Description	Format	
Approvals			
Assumptions, notes			
This is as per Capacity Markets Regulations 14 and 18.			

Data Flow Description Name			Reference
<i>Notify of postponed or cancelled auction</i>			<i>1.1.2b</i>
Initiated By:	<i>DECC</i>	Received By:	<i>Industry</i>
Push/Pull	<i>Push</i>		
Triggers			
<ul style="list-style-type: none"> • In advance of publishing the Initial Demand Curve, DECC must confirm that the auction is going ahead. • However, if issues are discovered that cannot be resolved then this will prevent the auction from going ahead, either temporarily or permanently. • A notification will be broadcast to industry informing them of this. 			
Method			
<ul style="list-style-type: none"> • Broadcast notification as per Capacity Market Regulations 24 to 26. 			
Responses			
Information			
Field	Description	Format	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
DECC publish final Demand Curve			1.1.3a
Initiated By:	DECC	Received By:	Industry
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The Demand Curve must be recomputed to factor in the results of all pre-qualifications and related appeals.The Delivery Body carry out an opt-out and de-rating analysis before publishing the final Demand Curve.There must also be sufficient liquidity at auction for the final Demand Curve to be published, otherwise the auction will be cancelled and industry will be notified as per Data Flow 1.1.3b.			
Method			
Responses			
<ul style="list-style-type: none">Industry participants review and refine their bidding strategy			
Information			
Field	Description		Format
Approvals			
Assumptions, notes			
<p>The Government will publish the Demand Curve for each four year ahead auction (T-4) around four and a half years ahead of the delivery year, and the demand curve for each year ahead auction (T-1) around 18 months ahead of the delivery year.</p> <p>As per Capacity Markets Regulations 14 and 18.</p>			

Data Flow Description Name			Reference
Notify of postponed or cancelled auction			1.1.3b
Initiated By:	DECC	Received By:	Industry
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The Delivery Body have recomputed the Demand Curve as a result of all completed pre-qualifications, appeals, opt-outs and a de-rating analysis.However, DECC have concluded that there is not sufficient liquidity for an auction, therefore the final Demand Curve is not published, and the auction is cancelled.Industry is notified of the auction cancellation.			
Method			
<ul style="list-style-type: none">Broadcast notification as per Capacity Market Regulations 24 to 26.			
Responses			
Information			
Field	Description	Format	
Approvals			
Assumptions, notes			

Process: 2.2 Manage the flow of prequalification

Data Flow Description Name			Reference
Publish Auction Guidelines			2.2.1a
Initiated By:	Delivery Body	Received By:	Applicants
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The Delivery Body must publish auction guidelines that will include further specific details as to the running of each individual Capacity Auction (the “Auction Guidelines”) prior to the opening of the Prequalification Window, as per the Capacity Market Rules 2.2.1.			
Method			
<ul style="list-style-type: none">The Auction Guidelines must be published as per Regulations 18.The Auction Guidelines must contain a timetable for the Capacity Auction, including dates for the activities given in the Capacity Market Rules 2.2.2.The Auction Guidelines must also provide information as per the Capacity Market Rules 2.2.3 and 2.3.1.			
Responses			
<ul style="list-style-type: none">At the appropriate time following the publication of the Auction Guidelines, the Delivery Body must open the data submission window and notify Applicants as per Data Flow 2.2.1b.			
Information			
Field	Description		
Approvals			
Assumptions, notes			
“Auction Guidelines” has the meaning as given in the Capacity Market Rules 2.2.1.			

Data Flow Description Name			Reference
Notify of data submission window opening			2.2.1b
Initiated By:	Delivery Body	Received By:	Applicants
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The initial Demand Curve has been published by DECC, triggering the opening of the prequalification window, and the data submission window following which Applicants can begin to submit their application form.In the first year only, legislation is required to start this process.			
Method			
<ul style="list-style-type: none">E-notification			
Responses			
<ul style="list-style-type: none">Applicants will submit their applications for prequalification as per Chapter 3 in the Capacity Market Rules.			
Information			
Field	Description		
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
<i>Submit opt-out/retiring notice</i>			<i>2.2.1c</i>
Initiated By:	<i>Applicant</i>	Received By:	<i>Delivery Body</i>
Push/Pull	<i>Push</i>		
Triggers			
<ul style="list-style-type: none"> As part of the prequalification submission, applicants must submit to the Delivery Body their decision of whether they are opting-out or retiring as per Capacity Market Rules 3.10. 			
Method			
<ul style="list-style-type: none"> Notification 			
Responses			
<ul style="list-style-type: none"> The Delivery Body will update the Register and next iteration of the Demand Curve to reflect the opting-out or retirement. The Delivery Body will also notify the Settlement Agent of any opt-out notification under Rules 3.10.2(g) (ii) and the Settlement Agent will notify the Delivery Body if the CMU generates during the relevant winter. 			
Information			
Field	Description		
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Submit price-maker/taker status(optional)			2.2.1d
Initiated By:	Applicant	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">If the Applicant is not opting-out or retiring, they can choose whether to submit their price-maker/taker status as part of prequalification, or at a subsequent point up to five days prior to auction (as per Process Map “3.1.2 Notify Price-Maker/Price-Taker status”).If they choose to submit during prequalification, then this data flow represents the notification of this status to the Delivery Body.			
Method			
<ul style="list-style-type: none">Each applicant for an Existing Generating CMU who wishes to be a Price-maker must lodge a Price-Maker Memorandum with the Custodian and provide a receipt for the same to the Delivery Body, and submit a price-maker Certificate to the Delivery Body as per Capacity Market Rules 4.7.			
Responses			
<ul style="list-style-type: none">Within two Business Days of receiving the receipt and price-maker Certificate, the Delivery Body must notify the Applicant that it is a price-maker and update the Capacity Market Register accordingly.			
Information			
Field	Description		
Approvals			
Assumptions, notes			
The Register would not be updated within two days as per Capacity Market Rules 4.7.2 if the price maker/taker status was submitted in advance of the first publication of the Register.			

Data Flow Description Name			Reference
Submit completed applications for CMU			2.2.2a
Initiated By:	Applicant	Received By:	Delivery Body
Push/Pull	Push		
Triggers – first Delivery Year			
<ul style="list-style-type: none">Data submission window for prequalification opens – this is a two week long window in the first Delivery Year.Trigger for submission is deciding to participate in the capacity market.			
Triggers – subsequent Delivery Years			
<ul style="list-style-type: none">Data submission window for prequalification opens – this is a six week long window.Trigger for submission is deciding to participate in the capacity market.			
Method			
<ul style="list-style-type: none">Electronic submission as per Capacity Market Rules 3.4.			
Responses			
<ul style="list-style-type: none">If the Delivery Body becomes aware during the period up to but excluding the tenth Business Day prior to the closure of the submission window that an Application has not been completed appropriately/fully, then they will contact applicants as per 4.2 in the Capacity Market Rules.Delivery Body will carry out a review of complete Applications.The Delivery Body will carry out the “Prequalification Decision” for each CMU for which an Application has been received as per 4.4 in the Capacity Market Rules.			
Information			
Field		Description	
General Details about applicant		As per Capacity Market Rules 3.5.1	
Legal status of applicant		As per Capacity Market Rules 3.5.2	
Nominations relating to CMU		As per Capacity Market Rules 3.5.3	
Classification of the CMU		As per Capacity Market Rules 3.5.4	
Statement as to De-rated capacity		As per Capacity Market Rules 3.5.5	
Declaration of Solvency		As per Capacity Market Rules 3.5.6	
Low Carbon Exclusion status		As per Capacity Market Rules 3.5.7	
Ethical Code of the Applicant		As per Capacity Market Rules 3.5.8	
Additional Information for Existing Generating CMU		Previous Settlement Period performance, Grid Code compliance and connection arrangements as per Capacity Market Rules 3.6	
Additional Information for a Prospective Generating CMU		Relevant planning consents, construction plan, connection arrangements, and Grid Code compliance as per Capacity Market Rules 3.7	
Additional Information for a Proven Customer Demand Response CMU		CDR Test Certificate and Business Model as per Capacity Market Rules 3.8	
Additional Information for an Unproven Customer Demand Response CMU		Business Plan and CDR Testing as per Capacity Market Rules 3.9	
Approvals			

Assumptions, notes
<p>Capacity providers will participate in the Capacity Market on the basis of CMUs, as per section 4.8 in the Consultation Document.</p> <p>A prequalification submission should be made as per Capacity Market Rules 3.3.</p>

Data Flow Description Name			Reference
Notify Industry of all applicants			2.2.2b
Initiated By:	Delivery Body	Received By:	Industry
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none"> As per Capacity Market Rules 3.10.5, the Delivery Body must no later than 4 weeks before the prequalification window closes notify industry of all parties who have submitted an application, as per the (optional) report provided to the Delivery Body by The Authority (not applicable with respect to the first Delivery Year). 			
Method			
<ul style="list-style-type: none"> Broadcast notification 			
Responses			
Information			
Field	Description		
Approvals			
Assumptions, notes			
This notification is contingent on The Authority submitting a list of generators to the Delivery Body as per Capacity Market Rules 3.10.5.			

Data Flow Description Name			Reference
<i>Publish results of prequalification CMUs and conditionally prequalified CMUs</i>			<i>2.2.3a</i>
Initiated By:	<i>Delivery Body</i>	Received By:	<i>Industry</i>
Push/Pull	<i>Push</i>		
Triggers			
<ul style="list-style-type: none"> On the prequalification results day, as per Capacity Market Rules 4.5.1, the Delivery Body will publish the results of prequalification CMUs and conditionally prequalified CMUs. 			
Method			
<ul style="list-style-type: none"> Broadcast notification 			
Responses			
Information			
Field	Description		
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Notify applicants of their prequalification status			2.2.3b
Initiated By:	Delivery Body	Received By:	Applicants
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Closure of prequalification window.Delivery Body assess all applications and update registry with outcomes of prequalification.On “Prequalification Results Day”, Delivery Body notifies each applicant of their prequalification status as per 4.5.1 in the Capacity Market Rules.			
Method			
<ul style="list-style-type: none">The Delivery Body provides feedback and a report to the applicant.			
Responses			
<ul style="list-style-type: none">If successful the Delivery Body provides a prequalification certificate to those who are successful as per Data Flow 2.2.3c.If unsuccessful applicants can choose whether or not to appeal the outcome.If they do choose to appeal then this will trigger process 10.1 (Appeals).			
Information			
Field		Description	
Approvals			
Assumptions, notes			
Further detail is provided in the Capacity Market Rules (4.5-4.9).			

Data Flow Description Name			Reference
Provide prequalification certificate			2.2.3c
Initiated By:	Delivery Body	Received By:	Successful Applicants
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">All criteria satisfied by Applicant before end of prequalification period and notified as per Data Flow 2.2.3b.All appeals complete (only those who were successful at appeal are applicable here).			
Method			
<ul style="list-style-type: none">Delivery Body provides certificate.			
Responses			
<ul style="list-style-type: none">Applicant becomes prequalified CMU.The prequalified CMU should also provide to the Delivery Body a receipt from lodging their required credit support.			
Information			
Field	Description		
Approvals			
Assumptions			
<ul style="list-style-type: none">Certificates will still be issued throughout the ongoing appeals process for any successful appellants.			

Data Flow Description Name			Reference
<i>Notify credit support value and date as required</i>			<i>2.2.4a</i>
Initiated By:	<i>Delivery Body</i>	Received By:	<i>Unproven Applicant</i>
Push/Pull	<i>Push</i>		
Triggers			
<ul style="list-style-type: none"> Delivery Body notify unproven applicant of credit cover requirements – bond value and date that it is effective from. 			
Method			
<ul style="list-style-type: none"> This is as per Capacity Market Rule 4.6.1. 			
Responses			
<ul style="list-style-type: none"> Unproven applicant will organise credit support as per notification. 			
Information			
Field	Description		
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Unproven Applicant provide credit support			2.2.4b
Initiated By:	Unproven Applicant	Received By:	Settlement Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The Delivery Body will inform the Settlement Body that a prospective customer response CMU has applied for prequalification and the Settlement Body will calculate the credit support required and request it from the unproven applicant.Credit support must be paid to settlement body at least five Business Days after the prequalification notification, as per Capacity Market Rule 4.6.1.			
Method			
Responses			
<ul style="list-style-type: none">Once paid, the Settlement Body will check bond and provide unproven applicant with receipt.If unproven applicant is successful at auction, but fails to prove capability on time, the credit support is cashed by Settlement body.Credit support is returned by Settlement Body if it fails to participate at auction/ it does participate but unsuccessfully/ participates successfully and proves its capability.			
Information			
Field	Description		
Bond Value			
Date effective from	At least 1 week before the auction		
Approvals			
Assumptions, notes			
For further information, please see Capacity Market Rule 4.6.1. The forms that credit support can take will match the credit arrangements set out in the Connection and Use of System Code (CUSC).			

Data Flow Description Name			Reference
Show receipt of valid credit			2.2.4c
Initiated By:	Unproven Applicant	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">As per Capacity Market Rules 4.6.1(c), the unproven applicant must provide the Delivery Body with a copy of the receipt received from the Settlement Body under Capacity Market Rule 4.6.1(b).			
Method			
<ul style="list-style-type: none">Copy of receipt of valid credit support.			
Responses			
<ul style="list-style-type: none">As per Capacity Market Rules 4.6.2, within 5 Business Days of receiving this receipt, the Delivery Body will notify the Applicant that they are fully prequalified.			
Information			
Field	Description		
Approvals			
Assumptions, notes			

Process: 3.1 Handle an Auction

Data Flow Description Name			Reference
Confirmation of auction framework			3.1.1a
Initiated By:	Delivery Body	Received By:	Prequalified CMUs
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">As per Rules 5.3.5, no later than 15 business days prior to the commencement of the first Bidding Round, the Delivery Body must confirm the details in the “Information” section below.The Delivery Body must also publish auction guidelines (22 weeks prior to the auction) that will include further specific details as to the running of each Capacity Auction (the “Auction Guidelines) prior to the opening of the pre-qualification window as well as including a provisional timeline.			
Method			
Responses			
<ul style="list-style-type: none">Auction applicants can refine their bidding strategy if necessary.Furthermore, they have at least 10 business days to decide upon and confirm their price maker/taker status to the Delivery Body.			
Information			
Field		Description	
Auction Guidelines			
Pre-qualification window dates and results			
Auction Parameters determined by Secretary of State			
Where to access relevant forms to be completed by Applicants as part of pre-qualification process		This also includes information on relevant file formats for the Application and Additional information	
Instructions on using Capacity Auction software		This also includes the file format for Bid submission in the Capacity Auction and reconfirmation of the Prequalification Certificate	
Any other information which is to be included in the Auction Guidelines			
Information as per Rules 5.3.5			
Date and time of auction			
Identity and status of pre-qualified bidders and their aggregate de-rated capacity		This will reflect the outcome of any appeals which have concluded by the start of the Business Day which precedes the date of announcement.	
Aggregate Volume contracted in the in the relevant T-4 Auction		This is only in the case of T-1 Auction, and the figure will have been adjusted for any cancellation or termination of Capacity Agreements and/or delays in the commissioning of Prospective Generating CMUs.	

Approvals
Assumptions, notes

Data Flow Description Name			Reference
Lodge Price-Maker Memorandum			3.1.2a
Initiated By:	Prequalified CMU	Received By:	Custodian
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Price-maker/taker status is to be submitted during the pre-qualification processHowever, applicants have up until five Business Days before the first Bidding Window to notify the Delivery Body as to their final decision on whether to be a price-maker/taker.In order to do so, they must first lodge a Price-Maker Memorandum with the Custodian as per Capacity Market Rule 4.7.1			
Method			
<ul style="list-style-type: none">Price-Maker Memorandum as per 4.7.1(a)			
Responses			
<ul style="list-style-type: none">The Custodian will provide a receipt for the Price-Maker Memorandum, which the Applicant must show to the Delivery Body as per data flow 3.1.2b.			
Information			
Field	Description		
Approvals			
Assumptions, notes			
Bidders are classified as either “price-takers” or “price-makers” in order to mitigate market power. Price-takers cannot bid above a relatively low threshold whereas price makers can.			
New entrants and DSR resources will be classified as price makers			

Data Flow Description Name			Reference
Submit receipt and Price-Maker Certificate			3.1.2b
Initiated By:	Prequalified CMU	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Price-maker/taker status is to be submitted during the pre-qualification processHowever, applicants have up until five Business Days before the first Bidding Window to notify the Delivery Body as to their final decision on whether to be a price-maker/taker.Price-Maker Memorandum submitted as per data flow 3.1.2a.			
Method			
<ul style="list-style-type: none">Provide all information set out in “field” below.			
Responses			
<ul style="list-style-type: none">Delivery Body will ensure that the Capacity Market Register is updated to reflect the status of all Applicants as price-maker/taker with respect to a CMU.			
Information			
Field	Description		
Receipt	Where an applicant for an Existing Generating CMU receives notice from the delivery body under Rule 4.5.1(b) (iii) they must lodge each of the articles stated in the field section no later than five business days prior to the commencement of the first bidding round of the relevant Capacity Auction.		
Price-Maker Certificate			
Approvals			
Assumptions, notes			
Bidders are classified as either “price-takers” or “price-makers” in order to mitigate market power. Price-takers cannot bid above a relatively low threshold whereas price makers can.			
New entrants and DSR resources will be classified as price makers			

Data Flow Description Name			Reference
Make first bid in Auction			3.1.3a
Initiated By:	Prequalified CMUs	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">When the first Bidding Round opens, each Bidder must make their bid.The information to be included in a bid is covered below.			
Method			
<ul style="list-style-type: none">Each bid must be made on an electronic platform which is to be provided by the Auctioneer, in the form prescribed by the Delivery Body.			
Responses			
<ul style="list-style-type: none">The Delivery Body will collate the bids that have been receivedIf sufficient capacity has not been offered, the auction is cancelled.If sufficient capacity has been offered, and the auction has cleared (a capacity auction clears when the aggregate volume of bids in a Bidding Round is less than the clearing capacity for that Bidding Round price) then bidders are notified of the outcome.			
Information			
Field	Description		
CMU	In order to identify the CMU for which the Bid is made		
Duration	Specifying the duration in whole Delivery Years of Capacity Agreement required		
Pre-qualification certificate check	Certifies that the pre-qualification certificate submitted with the initial application is still valid		
Approvals			
Assumptions, notes			
No Bidder may withdraw or modify its Bid during the first Bidding Window			
This is as per 5.4.2 in the Capacity Market Rules			

Data Flow Description Name			Reference
Make subsequent bid in Auction			3.1.3b
Initiated By:	Prequalified CMUs	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Following the first Bidding Round where the auction does not clear, another round is set-up and applicants can make new bids.			
Method			
<ul style="list-style-type: none">Each bid must be made on an electronic platform which is to be provided by the Auctioneer, in the form prescribed by the Delivery Body.			
Responses			
<ul style="list-style-type: none">The Delivery Body will collate the bids that have been receivedIf sufficient capacity has not been offered, the auction is cancelled.If sufficient capacity has been offered, and the auction has cleared (a capacity auction clears when the aggregate volume of bids in a Bidding Round is less than the clearing capacity for that Bidding Round price) then bidders are notified of the outcome.If the auction does not clear in the first Bidding Round, then another round is needed and applicants can make a new bid.During Bidding Rounds following the first, bids can be withdrawn or modified during the Bidding Window.The process repeats until the auction clears.			
Information			
Field	Description		
CMU	In order to identify the CMU for which the Bid is made		
Duration	Specifying the duration in whole Delivery Years of Capacity Agreement required		
Pre-qualification certificate check	Certifies that the pre-qualification certificate submitted with the initial application is still valid		
Approvals			
Assumptions, notes			
As per 5.4.3 in the Rules			

Data Flow Description Name			Reference
Notify provisional outcome			3.1.4a
Initiated By:	Delivery Body	Received By:	Prequalified CMU
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">When the Capacity Auction clears, that is to say the Bid Capacity (aggregate Volume of bids) in a Bidding Round is less than a Non-Match Clearing Round (the clearing capacity for that Bidding Round price), then the Delivery Body must within 24 hours notify Bidders as to whether (based on provisional results) they have been awarded a Capacity Agreement.			
Method			
<ul style="list-style-type: none">Notification as per 5.9.1 in the Capacity Market Rules.			
Responses			
<ul style="list-style-type: none">8 Business Days after the auction concluding, the “Auction Results Day” will be held.Apart from any relevant internal processes, auction applicants have no action upon receiving their provisional results.			
Information			
Field	Description		
Awarded with Capacity Agreement?	This is for each CMU		
Duration	Length of Capacity Agreement provisionally awarded		
Disclaimer	Result is provisional and this must be reflected as part of the notification		
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Publish Capacity Auction results to bidders			3.1.4b
Initiated By:	Delivery Body	Received By:	Prequalified CMU
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Within 8 days of the Capacity Auction clearing, the “Auction Results Day” is heldThe details of results to be published at this point are outlined in the Information section below.			
Method			
<ul style="list-style-type: none">This is as per 5.9.4 in the Capacity Market Rules.			
Responses			
<ul style="list-style-type: none">The results of the Capacity Auction are made final once the Delivery Body then enters the results into the Capacity Market Register.Individual Capacity Agreements subsequently issued to successful bidders as per process map 4.1.1.			
Information			
Field		Description	
Price			
Aggregate Volume of Capacity Agreements awarded			
Total forecast cost of the Capacity Obligations		This is the product of the Price and the aggregate Volume of Capacity Agreements awarded	
CMUs awarded a Capacity Agreement			
Duration of Capacity Agreement for each CMU			
Approvals			
Assumptions, notes			

Process: 4.1 Handle Lifetime of a Capacity Obligation

Data Flow Description Name			Reference
Successful bidders sent terms of Capacity Obligation			4.1.1a
Initiated By:	Delivery Body	Received By:	Capacity Provider
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Delivery Body must issue a Capacity Agreement Notice in the form set out in Schedule 1 for each CMU that is successful in a Capacity Auction by no later than 20 Business Days after Auction Results Day.			
Method			
<ul style="list-style-type: none">Capacity Agreement Notice issued to successful bidders.			
Responses			
<ul style="list-style-type: none">Successful bidders now begin to prepare for “pre-delivery” and meeting the related milestones before the relevant Delivery Year starts.			
Information			
Field		Description	
Approvals			
Assumptions, notes			
For further details on the format of a Capacity Agreement Notice, please see Schedule 1 in the Capacity Market Rules.			

Data Flow Description Name			Reference
<i>Return Credit Support</i>			<i>4.1.1.4a</i>
Initiated By:	<i>Settlement Body</i>	Received By:	<i>CDR & Prospective Generator</i>
Push/Pull	<i>Push</i>		
Triggers			
<ul style="list-style-type: none"> Where the criteria in 4.1 in Schedule 2 of the Capacity Market Rules are satisfied then the Settlement Body returns the credit support. 			
Method			
<ul style="list-style-type: none"> Return credit support. 			
Responses			
<ul style="list-style-type: none"> The credit support is returned to the CDR / Prospective Generator. 			
Information			
Field	Description		
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Submit six-monthly progress report			4.1.2a
Initiated By:	Capacity Provider	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Every six months, Capacity Providers of any Prospective Generating CMU from the date of the Capacity Auction until such time as the Substantial Completion Milestone is achieved must submit a progress report to the Delivery Body.			
Method			
<ul style="list-style-type: none">Progress report as per Capacity Market Rules 11.2.			
Responses			
<ul style="list-style-type: none">The Delivery Report will use the progress report to check if the CMU is set to achieve its Substantial Completion Milestone by the appropriate date as per the Capacity Market Rules 11.2.4.			
Information			
Field		Description	
Schedule identifying earliest and latest dates on which each of the Construction Milestones are expected to be achieved		This will give the Delivery Body an indication of whether the Capacity Provider is on track, and there must also be an explanation from the Capacity Provider of any material change in such dates since the last progress report	
Any material changes to the works described in the Construction Plan			
Assessment from an Independent Technical Advisor			
Certificate from two directors of the board of the Capacity Provider		This will state that they believe the report to give a fair view of the matters described in the progress report	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
<i>Request Remedial Plan</i>			<i>4.1.2b</i>
Initiated By:	<i>Delivery Body</i>	Received By:	<i>Capacity Provider</i>
Push/Pull	<i>Push</i>		
Triggers			
<ul style="list-style-type: none"> Delivery Body have judged from the Capacity Provider's six-monthly progress report that the Substantial Completion Milestone will be missed under current plans, and consider that remedial plans to maintain the milestone should be created. 			
Method			
<ul style="list-style-type: none"> Notification as per Capacity Market Rules 11.2.4. 			
Responses			
<ul style="list-style-type: none"> The Delivery Body request a Remedial Plan from the Capacity Provider. 			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Send Remedial Plan			4.1.2c
Initiated By:	Capacity Provider	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Triggered by data flow 4.1.2bThe Remedial Plan must be sent by the Capacity Provider within 120 days of receiving the request.			
Method			
<ul style="list-style-type: none">Remedial Plan as per Capacity Market Rules 11.2.			
Responses			
<ul style="list-style-type: none">If the Remedial Plan is not received within 120 days of the request from the Delivery Body, then the Delivery Body will inform the Secretary of State.After sending the Remedial Plan, the Capacity Provider should action the plan for accelerating its progress to ensure that when the next 6-monthly report is due (if applicable), they are on track to meet their Substantial Completion Milestone.			
Information			
Field		Description	
Steps to be taken to accelerate the programme		These steps should demonstrate that the Substantial Completion Milestone will be achieved by the appropriate date	
Commentary from Independent Technical Advisor		This will address whether the remedial plan is achievable and identifies any further area where acceleration could be achieved (if the milestone is still not set to be achieved by the appropriate date)	
Certificate from two directors of the board of the Capacity Provider		This will state that they believe the remedial plan is fair and achievable	
Approvals			
Assumptions, notes			
This is as per 11.2 in the Capacity Market Rules.			

Process: 4.2 Handle Capacity Provider Milestones

Data Flow Description Name			Reference
Submit Financial Completion Milestone Report			4.2.1a
Initiated By:	Capacity Provider	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Within 12 months of the Auction Results Day on which the Capacity Agreement was awarded, a Prospective Generating CMU must demonstrate that it has met its Financial Commitment milestone by submitting a report to the Delivery Body, confirming that the Capital Expenditure they has been incurred is at least 50% of the Financial Commitment Declaration.			
Method			
<ul style="list-style-type: none">Report prepared by an Independent Technical Advisor, supplemented by reasonable supporting evidence as per Capacity Market Rule 6.6			
Responses			
<ul style="list-style-type: none">The Delivery Body will confirm that the Financial Completion Milestone has been achieved.If it has, then the Capacity Provider carries on with its pre-delivery activities in preparation for the Delivery phase.If the FCM has not been achieved, then the Capacity Provider may face termination			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Submit Substantial Completion Milestone evidence (New Build)			4.2.2a
Initiated By:	Capacity Provider (New Build)	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none"> By the Long-Stop date (i.e. within 18 months after the first day of the 1st scheduled delivery year), a Prospective Generating CMU (other than Refurbishing CMU) must demonstrate that it has met its Substantial Completion Milestone (SCM). If at least 90% of the Volume stated in its Capacity Agreement has achieved operational status then this Substantial Completion Milestone has been achieved. 			
Method			
<ul style="list-style-type: none"> This is as per the Capacity Market Rule 6.7.2. Achieving the Substantial Completion Milestone can be based on: <ul style="list-style-type: none"> The CMU's ION certification status Certification of an Independent Technical Advisor if a Non-CMRS Distribution CMU 			
Responses			
<ul style="list-style-type: none"> The Delivery Body will check if the SCM has been achieved. If it has not (i.e. 90% of Volume stated in the Capacity Agreement has not achieved operational status) then the Delivery Body will check if the Minimum Completion Requirement has been achieved (50% of Volume stated in the Capacity Agreement has been achieved). If between 50% and 90% operational by the Long-Stop date then the CMU is given a further 6 months to become fully operational. If the Minimum Completion Requirement has not been achieved, the CMU may face termination (this is at the discretion of the Secretary of State) 			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Submit Substantial Completion Milestone evidence (Refurbishing)			4.2.3a
Initiated By:	Capacity Provider (Refurbishing)	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">By the Long-Stop date (i.e. 24 months after Auction Results Day), a Refurbishing CMU must demonstrate that it has met its Substantial Completion Milestone (SCM)The SCM is achieved when 100% of the Volume is stated in its Capacity Agreement has achieved operational status, and the CMU has resumed full commercial operations prior to the Long-Stop date.			
Method			
<ul style="list-style-type: none">This is as per Capacity Market Rules 6.7.3.Achieving the Substantial Completion Milestone can be based on:<ul style="list-style-type: none">The CMU’s ION certification statusCertification of an Independent Technical Advisor if a Non-CMRS Distribution CMU			
Responses			
<ul style="list-style-type: none">The Delivery Body will check it has been evidencedIf the SCM has not been achieved by the Long-Stop date, then the Capacity Provider will face sanctions as per Process Map 4.2.6.If the SCM has been achieved by the Long-Stop date, then the Capacity Provider carries on with its pre-delivery activities, in preparation for the Delivery phase.			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Notify of failed milestone			4.2.4a
Initiated By:	Capacity Provider	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Where a Capacity Provider of a Prospective Generating CMU (other than Refurbishing) fails to achieve either its Financial Commitment Milestone or its Substantial Completion Milestone, it must notify the Delivery Body			
Method			
<ul style="list-style-type: none">Notification to Delivery Body as per Capacity Market Rule 6.10.1			
Responses			
<ul style="list-style-type: none">Delivery Body will issue a written notice to the Capacity Provider (alongside the Secretary of State and The Authority) stating the Capacity Agreement will terminate in 60 Business Days, and for what reason as per the Capacity Market Rules 6.10.			
Information			
Field	Description		
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Issue Capacity Agreement termination notice			4.2.4b
Initiated By:	Delivery Body	Received By:	Capacity Provider
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Where the Delivery Body becomes aware of any of the circumstances outlined in Rule 6.10.1 or receives direction from the Secretary of State it issues a written termination notice to the Capacity Provider.			
Method			
<ul style="list-style-type: none">Termination Notice as per Capacity Market Rule 6.10.			
Responses			
<ul style="list-style-type: none">The Capacity Agreement will terminate automatically within 60 Business Days unless it is withdrawn under Capacity Market Rule 6.10.2(d)			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Notify of Capacity Agreement to pre-refurbishment level			4.2.5a
Initiated By:	Delivery Body	Received By:	Capacity Provider
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">In the case of a Refurbishing CMU failing to reach its Substantial Completion Milestone by its Long-Stop date, the Delivery Body will send a notification to the Capacity Provider (and Secretary of State).Notification will include notice of Capacity Agreement of Refurbishing CMU being reduced to one year duration and restoration of the de-rating capacity to the level of the CMU pre-refurbishment			
Method			
<ul style="list-style-type: none">Notification by Delivery Body as per Capacity Market Rules 6.8			
Responses			
<ul style="list-style-type: none">The Capacity Agreement is updated by the Delivery Body and the Register updated accordingly			
Information			
Field		Description	
Approvals			
Assumptions, notes			
This is as per 6.8 in the Capacity Market Rules			

Data Flow Description Name			Reference
Notify of not reaching Financial Commitment Milestone			4.2.5b
Initiated By:	Delivery Body	Received By:	Capacity Provider
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The Delivery Body must notify the Secretary of State and the Capacity Provider where a Capacity Provider fails to reach the Financial Commitment Milestone in accordance to Rule 6.6Notification will include notice of Capacity Agreement of Refurbishing CMU being reduced to one year duration and restoration of the de-rating capacity to the level of the CMU pre-refurbishment			
Method			
<ul style="list-style-type: none">Notification to Delivery Body as per Capacity Market Rules 6.8			
Responses			
<ul style="list-style-type: none">The Capacity Agreement is updated by the Delivery Body and the Register updated accordingly			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Process: 4.3 Handle a change to a Capacity Agreement

Data Flow Description Name			Reference
Notify of change of details within Capacity Agreement			4.3.1a
Initiated By:	Capacity Provider	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">If there has been an internal change of details within the Capacity Agreement, then the Capacity Provider must notify the Delivery Body.			
Method			
<ul style="list-style-type: none">Notification.			
Responses			
<ul style="list-style-type: none">The Delivery Body will update the Register and the Capacity Provider's Capacity Agreement in order to reflect the internal change of details.			
Information			
Field		Description	
Approvals			
Assumptions, notes			
See Capacity Market Rule 3.5.1 for example changes.			

Data Flow Description Name			Reference
Notify of update to Capacity Agreement			4.3.1b
Initiated By:	Capacity Provider	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Following an internal change to a Capacity Agreement as per data flow 4.3.1a, changes are updated in the Register and the Capacity Agreement.			
Method			
<ul style="list-style-type: none">Notification whereby the Capacity Provider will be sent confirmation of this update to the Capacity Agreement from the Delivery Body.			
Responses			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Notify of change of details within Capacity Agreement			4.3.2a
Initiated By:	Capacity Provider	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">If the Capacity Provider would like to propose a change (not internal) to the Capacity Agreement, then the Capacity Provider must notify the Delivery Body.			
Method			
<ul style="list-style-type: none">Notification.			
Responses			
<ul style="list-style-type: none">The Delivery Body will notify the Recipient Capacity Provider of the proposed changes, so that they can review and decide whether they agree with the proposed changes.			
Information			
Field		Description	
Approvals			
Assumptions, notes			
E.g. Sale of an asset, moving the CMU.			

Data Flow Description Name			Reference
Notify of rejection of changes to Capacity Agreement			4.3.2b
Initiated By:	Delivery Body	Received By:	Capacity Provider (Transferor & Recipient)
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The Delivery Body has reviewed the proposed changes to be made to the Capacity Agreement, and has rejected the proposed changes.			
Method			
<ul style="list-style-type: none">Notification.			
Responses			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Notify of acceptance of changes to Capacity Agreement			4.3.2c
Initiated By:	Delivery Body	Received By:	Capacity Provider (Transferor & Recipient)
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The Capacity Provider (recipient and transferor) have submitted the proposed changes to be made to the Capacity Agreement, and has accepted the proposed changes.The Delivery Body updated the register and Capacity Agreement to reflect the changes and notifies the Capacity Providers (transferor and recipient).			
Method			
<ul style="list-style-type: none">Notification.			
Responses			
<ul style="list-style-type: none">The proposed changes have been accepted.The liability cap will be recalculated in due course (see Data Flow 4.3.2d).			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Notify of recalculated liability cap			4.3.2d
Initiated By:	Delivery Body	Received By:	Capacity Provider (Transferor & Recipient)
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The Settlement Body is notified of the updates that have been made to the Capacity Agreement, based on the accepted proposed changes.The Settlement Body recalculates the liability caps on each of the Capacity Providers (transferor and recipient) as a result.			
Method			
<ul style="list-style-type: none">Notification of recalculated liability cap.			
Responses			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Process: 6.1 Handle a capability test

Data Flow Description Name			Reference
Notify of performance			6.1.1a
Initiated By:	Capacity Provider	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">During winter of the relevant Delivery Year, as per Capacity Market Rule 13.3.1.			
Method			
<ul style="list-style-type: none">The Capacity Provider notifies the Delivery Body as per Capacity Market Rule 13.3.2.			
Responses			
<ul style="list-style-type: none">As per Capacity Market Rules 13.3.5 and 13.3.6, the Capacity Provider will be subjected to Spot Testing if it has not met the requirement of Rule 13.3.1.			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Notify time, date and level of load following obligation of spot test			6.1.1b
Initiated By:	Delivery Body	Received By:	Capacity Provider
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">If the Capacity Provider has failed to demonstrate their capacity volumes on three occasions of the provided selection over the winter period of a delivery year, then they will be subject to spot testing by the Delivery Body between 1 May and 30 September in the Delivery Year.Providers designated for a spot test will be required to deliver the amount of their capacity agreements at a date and time (the spot test) specified by the Delivery Body.Capacity Providers will receive 6 hours advance notification of the spot test.			
Method			
<ul style="list-style-type: none">6 hours advanced notification.			
Responses			
<ul style="list-style-type: none">The Capacity Provider will acknowledge the test scheduleThe 6 hours advanced notification period will enable the capacity provider to sell the energy they will be generating during the test into the electricity market, as per Capacity Market Rules 13.3.			
Information			
Field		Description	
Settlement Period		This will be the Spot Test Settlement Period	
Fixed value of ALFCO		This is to be achieved by the CMU during the Spot Test Settlement Period	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Submit statement of output of Capacity Committed CMU			6.1.2a
Initiated By:	Capacity Provider	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The Spot Test Settlement Period has passed.As soon as is practicable following the Spot Test Settlement Period the Capacity Provider must submit to the Delivery Body a statement of the output of the Capacity Committed CMU during such Settlement Period.			
Method			
<ul style="list-style-type: none">Statement of output of the Capacity Committed CMU as per Capacity Market Rules 13.3.10.			
Responses			
<ul style="list-style-type: none">From the statement submitted, the Delivery Body will check whether the Capacity Provider has passed or failed the spot test as per Process Map 6.1.3, and subsequently notify the Capacity Provider as to whether they have passed/failed the spot test.			
Information			
Field	Description		
Metered Volume or CDR Volume	Evidence based – must equal or exceed the Capacity Commitment CMU’s Capacity Obligation		
Settlement Body/Agent approval	This is only in the case of a CMRS CMU		
Approvals			
Assumptions, notes			
<ul style="list-style-type: none">This is as per Capacity Market Rule 13.3.10.			

Data Flow Description Name			Reference
Notify of passed spot test			6.1.3a
Initiated By:	Delivery Body	Received By:	Capacity Provider
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The Capacity Provider has provided a statement as per Data Flow 6.1.2a (and as per Capacity Market Rules 13.3.10) to the satisfaction of the Delivery Body, demonstrating that their performance was of at least the de-rating level during the Spot Test Settlement Period.Within 5 Business Days of receiving the statement, the Delivery Body must notify the Capacity Committed CMU that the spot test has been passed.			
Method			
<ul style="list-style-type: none">Notification as per Capacity Market Rules 13.3.11.			
Responses			
<ul style="list-style-type: none">The Capacity Provider will remain operational and there are no further consequences.			
Information			
Field	Description		
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Notify of failed spot test			6.1.3b
Initiated By:	Delivery Body	Received By:	Capacity Provider
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The Capacity Provider has failed to provide a statement as per Data Flow 6.1.2a (and as per Capacity Market Rules 13.3.10) to the satisfaction of the Delivery Body, and have therefore not demonstrated that their performance was of at least the de-rating level during the Spot Test Settlement Period.Within 10 Business Days of providing notice of the spot test to the Capacity Provider, the Delivery Body must notify the Capacity Provider that the Capacity Committed CMU has failed the spot test.			
Method			
<ul style="list-style-type: none">Notification as per Capacity Market Rules 13.3.2			
Responses			
<ul style="list-style-type: none">The Capacity Provider can make a request for the Delivery Body to conduct a second Spot Test of the Capacity Committed CMU.This retest will take place within 20 Business Days of the Delivery Body receiving the request, and 6 hours advanced notification will take place as per Data Flow 6.1.1a.Only 2 spot tests can take place each Delivery Year.			
Information			
Field	Description		
Capacity Payments suspension	The Capacity Committed CMU's entitlement to Capacity Payments in that Delivery Year will be suspended		
Future Capacity Payments	The Capacity Committed CMU's entitlement to Capacity Payments in a subsequent Delivery Year will be suspended in accordance with the Regulations in the event that Spot Test has not been passed prior to the end of the prior Delivery Year		
Adjustment of testing output factor	The Capacity Payments for the next Delivery Year for which the Capacity Committed CMU (or any CMU Component in it) has a Capacity Agreement will be scaled down by a factor in accordance with the Regulations		
Liability for penalties	The Capacity Committed CMU's liability for penalties will remain unaffected		
Approvals			
Assumptions, notes			

Process: 6.2 Handle a Capacity Market Warning Notification

Data Flow Description Name			Reference
Publish Capacity Market Warning			6.2.1a
Initiated By:	System Operator	Received By:	Capacity Provider
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">As soon as is reasonably practicable after determining that a System Stress Event has occurred, the System Operator must publish details of the Settlement Period that has been classified as a System Stress event. This must occur from time to time on the website specified by the System Operator.The System Operator must publish a Capacity Market Warning at times when, in the System Operator’s reasonable opinion, there is inadequate System Margin			
Method			
<ul style="list-style-type: none">Warning published as per Capacity Market Rule 8.4.7			
Responses			
<ul style="list-style-type: none">The Capacity Provider will respond to the Capacity Market Warning as per Process Map “6.2.4 Respond to Capacity Market Warning”.			
Information			
Field	Description		
Commencement time of warning			
Settlement Period(s) for which the warning is applicable			
Information about circumstances which have triggered the warning			
System Operator’s expectations	<p>This is with regards to the following for which the Settlement Period(s) is applicable:</p> <ul style="list-style-type: none">DemandAggregate capacity that Capacity Committed CMUs are likely to deliverAggregate capacity that [BM Units] that are not Capacity Committed CMUs are likely to deliver		
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Submit Data (CMW)			6.2.2a
Initiated By:	Capacity Provider	Received By:	System Operator
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The issue of a Capacity Market warning			
Method			
<ul style="list-style-type: none">As part of discharging the System Operator’s obligations as per Capacity Market Rule 8.4.7, it requires input from Capacity Providers in the form of Electronic Data Transfer (EDT)			
Responses			
<ul style="list-style-type: none">The System Operator will submit this data to the Settlement Body			
Information			
Field		Description	
Approvals			
Assumptions, notes			
Existing industry processes in place for EDT submission. EDT is only applicable to capacity providers who are active in the Balancing Mechanism. Being a part of the Balancing Mechanism will not be compulsory.			

Data Flow Description Name			Reference
Submit Data (Stress event)			6.2.3a
Initiated By:	Capacity Provider	Received By:	System Operator
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The issue of a Capacity Market warning			
Method			
<ul style="list-style-type: none">As part of discharging the System Operator’s obligations as per Capacity Market Rule 8.4.7, it requires input from Capacity Providers in the form of Electronic Data Transfer (EDT).			
Responses			
<ul style="list-style-type: none">The System Operator will submit this data to the Settlement Body			
Information			
Field		Description	
Approvals			
Assumptions, notes			
Existing industry processes in place for EDT submission EDT is only applicable to capacity providers who are active in the Balancing Mechanism. Being a part of the Balancing Mechanism will not be compulsory.			

Data Flow Description Name		Reference	
<i>Notify and record closure of Capacity Market Warning</i>		<i>6.2.5a</i>	
Initiated By:	<i>System Operator</i>	Received By:	<i>Capacity Provider</i>
Push/Pull	<i>Push</i>		
Triggers			
<ul style="list-style-type: none"> The Capacity Market Warning will remain in force from the stated time until the circumstances set out in Capacity Market Rule 8.4.7(e). 			
Method			
<ul style="list-style-type: none"> The System Operator will notice of the expiry of a Capacity Market Warning as per Capacity Market Rule 8.4.7(f). 			
Responses			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Process: 7.1 Handle the capacity market payment obligations

Data Flow Description Name			Reference
Supplier peak demand forecast notification			7.1.1a
Initiated By:	Supplier	Received By:	Settlement Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Having been notified of the auction outcome, and three months before the Delivery Year, suppliers can calculate their own peak demand forecast.Suppliers must send their peak demand forecast to the Settlement Body.In respect of the relevant Delivery Year, a Supplier must forecast the details provided in the Information section below.			
Method			
<ul style="list-style-type: none">Notification as per Capacity Market Payment Regulation 15 (Suppliers: Data Provision).			
Responses			
<ul style="list-style-type: none">Supplier’s submitted forecast is used by the Settlement Body to determine market share for the supplier.			
Information			
Field		Description	
TRIAD periods during relevant Delivery Year		During the months of peak demand (1 st November to last day of February), the following three periods: <ul style="list-style-type: none">The settlement period of highest demand for electricity by customers on the GB electricity systemTwo settlement periods of next highest demand for electricity by customers on the GB electricity system which are at least 10 days separate from each other and from PD.	
Average demand in MWh for electricity by supplier’s customers during TRIAD periods		This must be provided no later than 1 st June before commencement of the capacity year	
Approvals			
Assumptions, notes			

Process: 7.2 Handle a billing cycle

Data Flow Description Name			Reference
Supplier invoice notice			7.2.1a
Initiated By:	Settlement Body	Received By:	Supplier
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Delivery month supplier invoices will be raised.			
Method			
<ul style="list-style-type: none">The invoice covers Settlement Body costs and the Capacity Market supplier charge as per Capacity Market Payment Regulation 30.The Capacity Market supplier charge is calculated in proportion to a supplier’s share of the energy market at the time of system peak demand. Calculations will be based on forecast demand data and later reconciled on actual demand where meter data becomes available.			
Responses			
<ul style="list-style-type: none">The supplier must settle these invoices within three working days or have their credit drawn down as per process map 7.2.1.			
Information			
Field		Description	
Approvals			
Assumptions, notes			
<ul style="list-style-type: none">As per Capacity Market Payment Regulation 30.			

Data Flow Description Name			Reference
Notify of drawing down on credit			7.2.1b
Initiated By:	Settlement Body	Received By:	Supplier
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">If a supplier fails to pay either their supplier charges or settlement body charges, then the Settlement Body will draw down upon their credit.The Settlement Body must notify the supplier in question that their credit is being drawn down upon.			
Method			
<ul style="list-style-type: none">Notification as per Capacity Market Payment Regulation 33 (2).			
Responses			
<ul style="list-style-type: none">If the credit drawn down is insufficient to cover the shortfall, the difference will be mutualised across suppliers.			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Capacity Provider charge notification			7.2.3.4a
Initiated By:	Settlement Body	Received By:	Capacity Provider
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Following a stress event where a Capacity Provider has under-performed against its capacity obligation a penalty charge is payable.			
Method			
<ul style="list-style-type: none">The invoice is sent 18 days after the start of the month following the stress event as per Capacity Market Payment Regulation 28 and 30.			
Responses			
<ul style="list-style-type: none">The Capacity Provider must settle these invoices within three working days.			
Information			
Field		Description	
Approvals			
Assumptions, notes			
<ul style="list-style-type: none">Penalties are linked to the VoLL, adjusted by a scaling factor, minus the prevailing ‘System Buy Price’ imbalance price for each half hourly settlement period in which there was system stress.			

Data Flow Description Name			Reference
Capacity Provider payment reminder			7.2.3.4b
Initiated By:	Settlement Body	Received By:	Capacity Provider
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Where a Capacity Provider fails to pay the charges within three working days of the invoice being sent a reminder notice is issued.			
Method			
<ul style="list-style-type: none">The invoice is sent 18 days after the start of the month following the stress event as per Capacity Market Payment Regulation 28 and 30.			
Responses			
<ul style="list-style-type: none">The Capacity Provider makes the appropriate payment.			
Information			
Field	Description		
Approvals			
Assumptions, notes			

Process: 7.3 Handle a credit requirement on a supplier

Data Flow Description Name			Reference
Supplier credit request			7.3.1a
Initiated By:	Settlement Body	Received By:	Supplier
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Month prior to delivery the supplier will be required to lodge collateral with the settlement body to provide cover for their payment obligation for the following month.This credit cover is made up of the monthly capacity market supplier charge and the settlement body costs plus an additional 10% of the total monthly supplier charge an settlement body costs.Alternatively where credit has previously been drawn down the cover must be replenished.			
Method			
<ul style="list-style-type: none">The Settlement body provides a schedule of estimated monthly credit cover no later than two months before the commencement of a capacity year as per Capacity Market Payment Regulations 44-46.			
Responses			
<ul style="list-style-type: none">The supplier can provide the appropriate credit cover 12 working days prior to the start of the delivery month which will be used in the instance where the supplier fails to pay any invoices.			
Information			
Field	Description		
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Notification of move to stage 1 credit default			7.3.2a
Initiated By:	Settlement Body	Received By:	Supplier
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none"> Where credit cover has not been provided within 12 working days prior to the start of the deliver year the settlement body gives notice. 			
Method			
<ul style="list-style-type: none"> As per Capacity Market Payment Regulation 47, whereby there has been non-provision of credit cover The Settlement body notifies the supplier no later than 9 working days prior to the start of the delivery month whether: <ol style="list-style-type: none"> Credit provided is not approved in whole or part Credit has not been provided 			
Responses			
<ul style="list-style-type: none"> The supplier can make an adequate response by providing the appropriate credit cover within 6 working days of the notice being issued. Where the response is adequate the Settlement Body must issue another notice informing the supplier that the credit cover has been approved. 			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Respond to notification of stage 1 credit default			7.3.2b
Initiated By:	Supplier	Received By:	Settlement Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">The Settlement Body has notified the Supplier than they have been moved to stage 1 credit default, having not provided valid credit when previously requested as per data flow 7.3.2a.			
Method			
<ul style="list-style-type: none">As per Capacity Market Payment Regulation 47, the supplier must respond to this notification by providing credit cover before the Settlement Body takes the decision to move the supplier to stage 2 credit defaultValid credit cover provided as per Capacity Market Payment Regulation 46(1)			
Responses			
<ul style="list-style-type: none">The supplier can make an adequate response by providing the appropriate credit cover within six working days of the notice being issued.Where the response is adequate the Settlement Body must issue another notice informing the supplier that the credit cover has been approved.Where the response is inadequate the Supplier moves to stage 2 credit default as per process map 7.3.3.			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Notification of move to stage 2 credit default			7.3.3a
Initiated By:	Settlement Body	Received By:	Supplier
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Where credit cover has not been provided after the issue of the notice of move to stage 1 credit default the settlement agent issues a notice that the supplier moves to stage 2 credit default.			
Method			
<ul style="list-style-type: none">This is as per Capacity Market Payment Regulation 47(3)The Settlement body notifies the supplier no later than 3 working days prior to the start of the delivery month whether:<ul style="list-style-type: none">1) Credit provided is not approved in whole or part2) Credit has not been provided.			
Responses			
<ul style="list-style-type: none">The supplier must pay the default amounts no later than 3 working days after the notice was given or risk suspension as per process map 7.3.3.			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Notification to remaining suppliers			7.3.3b
Initiated By:	Settlement Body	Received By:	Supplier
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Where credit cover has not been provided by a supplier and that supplier is suspended, the charges are mutualised amongst the remaining suppliers.			
Method			
<ul style="list-style-type: none">The Settlement Body calculates new payments by reference to supplier market share, as per Capacity Market Payment Regulations 47 and 48.			
Responses			
<ul style="list-style-type: none">The supplier base makes payments in accordance to the usual billing cycle.			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Process: 8.1.1 Handle The Authority annual report

Data Flow Description Name			Reference
Authority Annual Report Stakeholder Consultation			8.1.1a
Initiated By:	Stakeholder	Received By:	The Authority
Push/Pull	Pull		
Triggers			
<ul style="list-style-type: none"> Consultation on annual report required of The Authority. 			
Method			
<ul style="list-style-type: none"> Stakeholders may respond to the consultation as requested by The Authority in the timescales set out in the consultation document. 			
Responses			
<ul style="list-style-type: none"> The Authority will take provided responses into consideration when finalising the Annual report. 			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Process: 8.2 Handle a policy review

Data Flow Description Name			Reference
Policy review stakeholder consultation			8.2a
Initiated By:	Stakeholder	Received By:	DECC
Push/Pull	Pull		
Triggers			
<ul style="list-style-type: none">DECC consults on policy change proposed.			
Method			
<ul style="list-style-type: none">Stakeholders may respond to the consultation as requested by DECC in the timescales set out in the consultation document.			
Responses			
<ul style="list-style-type: none">DECC will take provided responses into consideration when finalising the Policy review.			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Process: 8.4 Handle a 5-year statutory review

Data Flow Description Name			Reference
<i>Data request for rules report</i>			<i>8.4.1a</i>
Initiated By:	<i>The Authority</i>	Received By:	<i>Capacity Market participants</i>
Push/Pull	<i>Push</i>		
Triggers			
<ul style="list-style-type: none"> Data required for rules report to scope the effectiveness of existing Rules by The Authority. 			
Method			
<ul style="list-style-type: none"> Data requests 			
Responses			
<ul style="list-style-type: none"> Provide relevant data to feed into report within the requested timescales. 			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name		Reference	
<i>Consultation for Rules report</i>		<i>8.4.1b</i>	
Initiated By:	<i>Stakeholders</i>	Received By:	<i>The Authority</i>
Push/Pull	<i>Pull</i>		
Triggers			
<ul style="list-style-type: none"> Consultation for Rules report required of The Authority. 			
Method			
<ul style="list-style-type: none"> Stakeholders may respond to the consultation as requested by The Authority in the timescales set out in the consultation document. 			
Responses			
<ul style="list-style-type: none"> The Authority will take provided responses into consideration when finalising the Rules report. 			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name		Reference	
<i>Consultation for statutory report</i>		<i>8.4.2a</i>	
Initiated By:	<i>Stakeholders</i>	Received By:	<i>DECC</i>
Push/Pull	<i>Push</i>		
Triggers			
DECC consults on statutory report.			
Method			
<ul style="list-style-type: none"> Stakeholders may respond to the consultation as requested by DECC in the timescales set out in the consultation document. 			
Responses			
<ul style="list-style-type: none"> DECC will take provided responses into consideration when finalising the statutory report. 			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Process: 9.1 Handle a change to the rules and regulations

Data Flow Description Name			Reference
<i>Rule change consultation</i>			<i>9.1.2a</i>
Initiated By:	<i>Stakeholders</i>	Received By:	<i>The Authority</i>
Push/Pull	<i>Pull</i>		
Triggers			
<ul style="list-style-type: none"> Consultation on rule change required of The Authority. 			
Method			
<ul style="list-style-type: none"> Stakeholders may respond to the consultation as requested by The Authority in the timescales set out in the consultation document. 			
Responses			
<ul style="list-style-type: none"> The Authority will take provided responses into consideration when Rule change. 			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name		Reference	
<i>Publish decision and rationale for not changing Rules</i>		<i>9.1.2b</i>	
Initiated By:	<i>The Authority</i>	Received By:	<i>Stakeholders</i>
Push/Pull	<i>Push</i>		
Triggers			
<ul style="list-style-type: none"> The Authority makes the decision to not make a change to the Rules. 			
Method			
<ul style="list-style-type: none"> The Authority makes the stakeholders aware of their decision not to change the Rules and provide a rationale to their decision. 			
Responses			
<ul style="list-style-type: none"> The Authority publishes the outcome. 			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name		Reference	
<i>Publish decision for changing Rules</i>		<i>9.1.2c</i>	
Initiated By:	<i>The Authority</i>	Received By:	<i>Stakeholders</i>
Push/Pull	<i>Push</i>		
Triggers			
<ul style="list-style-type: none"> The Authority makes the decision to make a change to the Rules. 			
Method			
<ul style="list-style-type: none"> The Authority makes the stakeholders aware of their decision not to change the Rules and provide a rationale to their decision. 			
Responses			
<ul style="list-style-type: none"> The Authority publishes the outcome. 			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
<i>Regulation change stakeholders consultation</i>			<i>9.1.3a</i>
Initiated By:	<i>Stakeholders</i>	Received By:	<i>DECC</i>
Push/Pull	<i>Push</i>		
Triggers			
<ul style="list-style-type: none"> Consultation on Regulation change required of DECC. 			
Method			
<ul style="list-style-type: none"> Stakeholders may respond to the consultation as requested by DECC in the timescales set out in the consultation document. 			
Responses			
<ul style="list-style-type: none"> DECC will take provided responses into consideration when making a change to the Regulations. 			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Process: 10.1.1 Appeals to the Delivery Body

Data Flow Description Name			Reference
Register first round of appeal to the Delivery Body			10.1.1a
Initiated By:	Applicant/ Capacity Provider	Received By:	Delivery Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Receiving a decision from the Delivery Body related to the disputable issues set out in Capacity Market Rule 12.2.			
Method			
<ul style="list-style-type: none">Within five (5) days of receiving the trigger decision, refer the matter to the Delivery Body for redetermination.			
Responses			
<ul style="list-style-type: none">The Delivery Body will consider the representation and either disagrees with it or agrees with it (as per data flows 10.1.1b and 10.1.1c respectively).			
Information			
Field		Description	
Appeal		Justification and supporting information for the raised dispute	
Approvals			
Assumptions, notes			
<ul style="list-style-type: none">The only circumstances eligible for appeal are set out in Rule 12.2.			

Data Flow Description Name			Reference
Notify of unsuccessful appeal			10.1.1b
Initiated By:	Delivery Body	Received By:	Applicant/ Capacity Provider
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Receipt by Delivery Body of an appeal registration as per data flow 10.1.1a.			
Method			
<ul style="list-style-type: none">Within five (5) business days of receiving the request for redetermination, determine unsuccessful outcome and notify the Applicant/ Capacity Provider of this outcome.			
Responses			
<ul style="list-style-type: none">The Applicant/ Capacity Provider will consider the response and either choose to take no further action or to progress the appeal to the next stage with the Independent Body (as per process 10.1.3).			
Information			
Field	Description		
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Notify of successful appeal			10.1.1c
Initiated By:	Delivery Body	Received By:	Applicant/ Capacity Provider
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Receipt by Delivery Body of an appeal registration as per data flow 10.1.1a.			
Method			
<ul style="list-style-type: none">Within five (5) business days of receiving the request for redetermination, determine successful outcome and notify the Applicant/ Capacity Provider of this outcome.			
Responses			
<ul style="list-style-type: none">The Applicant/ Capacity Provider will consider the response and return to the pre-appeal process relevant to the circumstances of the appeal (as set out in Rule 12.2).			
Information			
Field	Description		
Approvals			
Assumptions, notes			

Process: 10.1.2 Appeals to the Settlement Body

Data Flow Description Name			Reference
Register first round of appeal to the Settlement Body			10.1.2a
Initiated By:	Applicant/ Capacity Provider/ Supplier	Received By:	Settlement Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Receiving a decision from the Settlement Body related to the disputable issues set out in Chapter 10 of the Payment Regulations.			
Method			
<ul style="list-style-type: none">Within three (3) months of receiving the trigger decision (the making of the calculation or determination giving rise to the dispute, refer the matter to the Settlement Body for redetermination.			
Responses			
<ul style="list-style-type: none">The Settlement Body will consider the representation and either disagrees with it or agrees with it (as per data flows 10.1.2b and 10.1.2c respectively).There are three paths that the Settlement Body could take, in accordance with Payment Regulations 53 (3) to lead to their decision: <p>The settlement agent must as soon as practicable recommend to the settlement body that the dispute—</p> <ul style="list-style-type: none">(a) be refused because it has not been given in accordance with paragraph (2)(b)(“a late dispute”);(b) be investigated by the settlement agent; or(c) be decided by the settlement body without investigation.			
Information			
Field		Description	
Appeal		Justification and supporting information for the raised dispute	
Approvals			
Assumptions, notes			
<ul style="list-style-type: none">The only circumstances eligible for appeal are set out in Payment Regulations 52.			

Data Flow Description Name			Reference
Notify of Investigation			10.1.2b
Initiated By:	Settlement Agent	Received By:	Applicant/ Capacity Provider/ Supplier
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Receiving a notification from the Settlement Body that the dispute requires an investigation by the Settlement Agent.			
Method			
<ul style="list-style-type: none">As per Settlement Regulations 53 (3), the Settlement Agent will recommend the method to resolve the dispute. If it falls under the category of requiring investigation by the Settlement Agent, then the Settlement Body under 53 (6)(a)(i) will instruct the Settlement Agent to investigate the dispute and to give a notice to the disputing party that the dispute is to be investigated.			
Responses			
<ul style="list-style-type: none">The Applicant/ Capacity Provider/ Supplier will receive this notification and then await the outcome of the investigation, at which point they may choose to appeal to the courts as per process 10.1.4.			
Information			
Field		Description	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Notify of unsuccessful appeal			10.1.2c
Initiated By:	Settlement Body	Received By:	Applicant/ Capacity Provider/ Supplier
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Receipt by Settlement Body of an appeal registration as per data flow 10.1.2a.			
Method			
<ul style="list-style-type: none">Where a decision has been taken for further investigation by the Settlement Agent as per Payment Regulation 53(3)b, within forty (40) business days of receiving the request for redetermination, the Settlement Agent will provide a report to the Settlement Body for decision. This may be extended to eight (80) business days under certain circumstances as set out in Payment Regulations 54.If a report is not able to be achieved in forty (40) days, interim reports may be required to be provided by the Settlement Agent to the Settlement Body.The Settlement Body will then determine unsuccessful outcome and notify the Applicant/ Capacity Provider of this outcome. In doing so, they will follow Payment Regulation 56 in informing parties of the decision either within 20 working days of receiving thee interim or disputes report, or under certain circumstances as soon as reasonably practicable.			
Responses			
<ul style="list-style-type: none">The Applicant/ Capacity Provider will consider the response and either choose to take no further action or to progress the appeal to the next stage with the courts (as per process 10.1.4).			
Information			
Field		Description	
Approvals			
Assumptions, notes			
<ul style="list-style-type: none">In general, the timeframes set out above means that a disputing party might expect to receive a response within 60 working days. This has been reflected on the process map.			

Data Flow Description Name			Reference
Notify of successful appeal			10.1.2d
Initiated By:	Settlement Body	Received By:	Applicant/ Capacity Provider/ Supplier
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Receipt by Settlement Body of an appeal registration as per data flow 10.1.2a.			
Method			
<ul style="list-style-type: none">Where a decision has been taken for further investigation by the Settlement Agent as per Payment Regulation 53(3)b, within forty (40) business days of receiving the request for redetermination, the Settlement Agent will provide a report to the Settlement Body for decision. This may be extended to eight (80) business days under certain circumstances as set out in Payment Regulations 54.If a report is not able to be achieved in forty (40) days, interim reports may be required to be provided by the Settlement Agent to the Settlement Body.The Settlement Body will then determine unsuccessful outcome and notify the Applicant/ Capacity Provider of this outcome. In doing so, they will follow Payment Regulation 56 in informing parties of the decision either within 20 working days of receiving thee interim or disputes report, or under certain circumstances as soon as reasonably practicable.			
Responses			
<ul style="list-style-type: none">The Applicant/ Capacity Provider/ Supplier will consider the response and return to the pre-appeal process.			
Information			
Field	Description		
Notice			
Approvals			
Assumptions, notes			
<ul style="list-style-type: none">In general, the timeframes set out above means that a disputing party might expect to receive a response within 60 working days. This has been reflected on the process map.			

Process: 10.1.3 Appeals to the Independent Body

Data Flow Description Name			Reference
Register second round of appeal to the Independent Body			10.1.3a
Initiated By:	Applicant/ Capacity Provider	Received By:	Independent Body
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Receiving a negative decision from the Delivery Body related to a dispute raised by the Applicant/ Capacity Provider.Applicant/ Capacity Provider decide to raise a request for reconsideration with the Independent Body.			
Method			
<ul style="list-style-type: none">As per Regulation 41, an application must be made within five (5) business days of the start date.As per Regulation 41 (2), the start date means:<ul style="list-style-type: none">(a) if a request for reconsideration has been made, the earlier of—<ul style="list-style-type: none">(i) the date on which the affected person receives the reconsidered decision; or(ii) the day after the date by which the Delivery Body is required under capacity market rules to reconsider the decision;(b) in any other case, the date on which the affected person receives the decision.			
Responses			
<ul style="list-style-type: none">The Independent Body will consider the representation and either disagrees with it or agrees with it (as per data flows 10.1.3b and 10.1.3c respectively).			
Information			
Field		Description	
Appeal		Justification and supporting information for the raised dispute	
Approvals			
Assumptions, notes			

Data Flow Description Name			Reference
Notify of unsuccessful appeal			10.1.3b
Initiated By:	Independent Body	Received By:	Applicant/ Capacity Provider
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Receipt by Independent Body of a request for reconsideration as per data flow 10.1.3a.			
Method			
<ul style="list-style-type: none">After receiving the request for redetermination, the Independent Body determines an unsuccessful outcome and notifies the Applicant/ Capacity Provider of this outcome.As per Regulation 41:<ul style="list-style-type: none">(4) Upon receiving an application, [the Authority] must—<ul style="list-style-type: none">(a) subject to paragraph (6), review the decision;(b) determine whether to uphold the Delivery Body’s decision or to substitute a different decision; and(c) notify the affected person, the Delivery Body and the [Settlement Agent] of its determination.(5) [The Authority] may, to assist it in determining an application, appoint an independent person to consider the application or any matter relating to it and provide a report to [the Authority]; but [the Authority] remains responsible for determining the application.			
Responses			
<ul style="list-style-type: none">The Applicant/ Capacity Provider will consider the response and either choose to take no further action or to progress the appeal to the next stage with the courts (as per process 10.1.4).			
Information			
Field		Description	
Approvals			
Assumptions, notes			
<ul style="list-style-type: none">No timeframe for response set out in the Regulations.			

Data Flow Description Name			Reference
Notify of successful appeal			10.1.3c
Initiated By:	Independent Body	Received By:	Applicant/ Capacity Provider
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Receipt by Independent Body of a request for reconsideration as per data flow 10.1.3a.			
Method			
<ul style="list-style-type: none">After receiving the request for redetermination, the Independent Body determines a successful outcome and notifies the Applicant/ Capacity Provider of this outcomeAs per Regulation 41:<ul style="list-style-type: none">(4) Upon receiving an application, [the Authority] must—<ul style="list-style-type: none">(a) subject to paragraph (6), review the decision;(b) determine whether to uphold the Delivery Body’s decision or to substitute a different decision; and(c) notify the affected person, the Delivery Body and the [Settlement Agent] of its determination.(5) [The Authority] may, to assist it in determining an application, appoint an independent person to consider the application or any matter relating to it and provide a report to [the Authority]; but [the Authority] remains responsible for determining the application.			
Responses			
<ul style="list-style-type: none">The Applicant/ Capacity Provider will consider the response and return to the pre-appeal process relevant to the circumstances of the appeal (as set out in Rule 12.2).			
Information			
Field		Description	
Approvals			
Assumptions, notes			
<ul style="list-style-type: none">No timeframe for response set out in the Regulations.			

Process: 10.1.4 Appeals to the courts

Data Flow Description Name			Reference
Register final round of appeal to the courts			10.1.4a
Initiated By:	Applicant/ Capacity Provider/ Supplier	Received By:	The courts
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Receiving a negative decision from the Settlement Body or Independent Body.			
Method			
<ul style="list-style-type: none">As per Regulation 42, appeals to the court should be brought within 28 days of receiving the trigger decision (the determination).			
Responses			
<ul style="list-style-type: none">The court will consider the representation and either disagrees with it or agrees with it (as per data flows 10.1.4b and 10.1.4c respectively).			
Information			
Field		Description	
Appeal		Justification and supporting information for the raised dispute	
Approvals			
Assumptions, notes			
<ul style="list-style-type: none">Appeal to the court is only set out in the Regulations and not the Payment Regulations, and in the Regulations only refers to those requests for redetermination undertaken by the Independent Body (i.e. that commenced as a Delivery Body appeal rather than a Settlement Body/CMS appeal).We have approached this data flow as though either a Delivery Body or Settlement Body dispute were the starting point, and followed the timescales etc. set out in the Regulations.			

Data Flow Description Name			Reference
Notify of unsuccessful appeal			10.1.4b
Initiated By:	The courts	Received By:	Applicant/ Capacity Provider/ Supplier
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Receipt by the court of an appeal registration as per data flow 10.1.4a.			
Method			
<ul style="list-style-type: none">After receiving the request for redetermination, the court determines an unsuccessful outcome and notifies the Applicant/ Capacity Provider/ Supplier of this outcome.As set out in Regulation 42 (4) on an appeal relating to a prequalification decision in respect of a CMU the court may—<ul style="list-style-type: none">(a) dismiss the appeal;(b) direct the Delivery Body to register the CMU on the capacity market register as a prequalified CMU;(c) if the relevant capacity auction has started or been held, direct the Delivery Body to issue a capacity agreement to the appellant on such terms as appear just; or(d) remit the matter to the Delivery Body with a direction to reconsider it and make a new decision in accordance with the findings of the court.(5) On an appeal relating to any other decision, the court may—<ul style="list-style-type: none">(a) dismiss the appeal; or(b) remit the matter to the Delivery Body with a direction to reconsider it and make a new decision in accordance with the findings of the court.			
Responses			
<ul style="list-style-type: none">The Applicant/ Capacity Provider/ Supplier will receive the response from the court and the court’s decision will be upheld upon returning to the relevant pre-appeal process.			
Information			
Field	Description		
Approvals			
Assumptions, notes			
<ul style="list-style-type: none">No timeframe for decision set out.Appeal to the court is only set out in the Regulations and not the Payment Regulations, and in the Regulations only refers to those requests for redetermination undertaken by the Independent Body (i.e. that commenced as a Delivery Body appeal rather than a Settlement Body/CMS appeal).We have approached this data flow as though either a Delivery Body or Settlement Body dispute were the starting point, and followed the timescales etc. set out in the Regulations.			

Data Flow Description Name			Reference
Notify of successful appeal			10.1.4c
Initiated By:	The courts	Received By:	Applicant/ Capacity Provider/ Supplier
Push/Pull	Push		
Triggers			
<ul style="list-style-type: none">Receipt by the court of an appeal registration as per data flow 10.1.4a.			
Method			
<ul style="list-style-type: none">After receiving the request for redetermination, the court determines a successful outcome and notifies the Applicant/ Capacity Provider/ Supplier of this outcome.As set out in Regulation 42 (4) on an appeal relating to a prequalification decision in respect of a CMU the court may—<ul style="list-style-type: none">(a) dismiss the appeal;(b) direct the Delivery Body to register the CMU on the capacity market register as a prequalified CMU;(c) if the relevant capacity auction has started or been held, direct the Delivery Body to issue a capacity agreement to the appellant on such terms as appear just; or(d) remit the matter to the Delivery Body with a direction to reconsider it and make a new decision in accordance with the findings of the court.(5) On an appeal relating to any other decision, the court may—<ul style="list-style-type: none">(a) dismiss the appeal; or(b) remit the matter to the Delivery Body with a direction to reconsider it and make a new decision in accordance with the findings of the court.			
Responses			
<ul style="list-style-type: none">The Applicant/ Capacity Provider will receive the response and return to the pre-appeal process relevant to the circumstances of the appeal.			
Information			
Field		Description	
Approvals			
Assumptions, notes			
<ul style="list-style-type: none">No timeframe for decision set out.Appeal to the court is only set out in the Regulations and not the Payment Regulations, and in the Regulations only refers to those requests for redetermination undertaken by the Independent Body (i.e. that commenced as a Delivery Body appeal rather than a Settlement Body/CMS appeal).We have approached this data flow as though either a Delivery Body or Settlement Body dispute were the starting point, and followed the timescales etc. set out in the Regulations.			