



New Brunswick System Operator

Market Procedure

MP-03

Facility Registration, Including Amendment, Transfer, De-Registration and Cancellation

Issue: 02

Effective Date: 2006 11 01

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Part 1 Document Control

1.1 Change History

Issue	Date	Reason for Issue
00	2004 02 16	Pre-Market Publication
01	2006 04 01	Post-Market Publication
02	2006 11 01	Market Rule Changes and Process Streamlining

1.2 Contact for Queries and Submissions

For queries concerning the application or interpretation of this Market Procedure, contact:

Name: NBSO Power System Operations

Phone: 506 458-4656

Address: P. O. Box 2020
77 Canada Street
Fredericton
New Brunswick
E3B 5G4

E-mail: info@nbso.ca

Website: www.nbso.ca

Except as otherwise provided in this Market Procedure, all documents required to be submitted to the SO under this Market Procedure must be submitted to the attention of this contact at the coordinates noted above in accordance with the requirements of section 2.7.

1.3 Authority for Market Procedures

This Market Procedure is made under the authority of section 3.3 of the Market Rules.

1.4 Relationship with Market Rules and Transmission Tariff

Nothing in this Market Procedure supersedes or over-rides any provision of the Market Rules or of the Transmission Tariff. Where there is a discrepancy between the requirements in this Market Procedure and the Market Rules, the Market Rules prevail. Similarly, where there is a discrepancy between the requirements in this Market Procedure and the Transmission Tariff, the Transmission Tariff prevails. Any user of this Market Procedure who identifies any discrepancy between this Market Procedure and either the Market Rules or the Transmission Tariff should notify the contact identified in section 1.2.

Any summary of a provision or requirement of the Market Rules or of the Transmission Tariff contained in this Market Procedure is provided for convenience of reference only. Users of this Market Procedure are reminded that the obligations that need to be met are as stated in the Market Rules and the Transmission Tariff.

1.5 Definitions and Terminology

Terms capitalized in this Market Procedure that are not otherwise defined in this Market Procedure have the meanings given to them in chapter 10 of the Market Rules. The rules of interpretation contained in chapter 10 of the Market Rules apply to this Market Procedure, with such modifications as the context may require.

This Market Procedure should be read in conjunction with Market Procedure MP-00, which specifies certain terminology and standard conventions common to all Market Procedures.

In this Market Procedure the term “Facility” includes a facility that has not yet been registered. When used in the context of the registration of a Facility, a reference in this Market Procedure to a “Market Participant” includes an applicant for Accreditation that is not yet a Market Participant but that is permitted by this Market Procedure to commence the Facility registration process.

1.6 Updating this Market Procedure

Changes may from time-to-time be made to this Market Procedure in accordance with the Market Rules. All such changes will be Published by the SO but may not yet be included in a consolidated version of this Market Procedure. It is the responsibility of each user of this Market Procedure to use the most up-to-date information and documents. Users wishing confirmation of any changes to this Market Procedure that have not yet been incorporated into this consolidation should contact the person identified in section 1.2.

Part 2 Introduction

2.1 Purpose of this Market Procedure

The purpose of this Market Procedure is to define the process, documents and forms to be used in relation to the registration of Facilities by the SO and by Market Participants, and to set out the requirements to be fulfilled by such parties in order that Facilities may be registered by the SO.

This Market Procedure also establishes the process to be used by a Market Participant that wishes to update its Facility registration information, to change the registration status of a Facility, to de-register a Facility or to transfer the registration of a Facility.

This Market Procedure also establishes the process to be used by the SO in canceling the registration of a Facility.

2.2 Purpose of Registration

Registration is the process by which operational information relating to a Facility is provided to the SO and by which the SO may ascertain whether the Facility complies with all applicable technical requirements of the Market Rules.

Under the Market Rules, electricity or Ancillary Services may only be provided or conveyed into, through or out of the SO-controlled Grid from a Facility if that Facility has been registered with the SO. Similarly, the SO may not purchase Ancillary Services or capacity from a Market Participant where the Facility providing the Ancillary Service or capacity has not been registered with the SO.

Accordingly, registration is mandatory for the following Facilities:

- Generation Facilities, Joint Facilities and Load Facilities, including Distribution Systems, that are directly connected to the SO-controlled Grid;
- Embedded Generation Facilities and Embedded Joint Facilities whose output is intended to be scheduled with the SO or that are intended to be the subject of an Ancillary Services contract, including an Ancillary Services contract for self-supply described in section 6.2 of the Market Rules; and
- Embedded Load Facilities and Embedded Joint Facilities that are intended to be the subject of an Interruptible Load contract.

Under the Market Rules, the SO has various options in terms of the registration of Facilities. Specifically, it can register a Facility:

- unconditionally;
- with conditions of registration, in which case the Market Participant for the Facility must ensure that the Facility complies with those conditions on an on-going basis in addition to all other applicable requirements of the Market Rules;

- on a provisional basis, where the Facility is being registered for commissioning or re-registered for re-commissioning purposes; or
- on an interim basis, in which case the registration will typically last for a period of no more than six months.

Provisional and interim registration can each also be granted with conditions of registration.

A Facility will be registered by the SO as either a Generation Facility, a Joint Facility or a Load Facility, depending on its operational characteristics. Until the Systems Implementation Date, Generation Facilities and Joint Facilities may in certain cases be designated as Self-scheduling Facilities, and thus be subject to different treatment under the Market Rules in respect of matters such as the submission of Dispatch Data.

2.3 Market Rules - References

Sections 2.6.1 and 2.6.2 of the Market Rules set out certain requirements for the registration of Facilities prior to their use to provide or convey electricity or Ancillary Services into, through or out of the SO-controlled Grid.

Section 2.6.6 of the Market Rules requires the SO to specify in a Market Procedure the process for the registration of a Facility and requires that certain provisions be included in that Market Procedure. This Market Procedure fulfills that obligation.

The balance of section 2.6 of the Market Rules sets out the provisions relating to Facility registration and de-registration, the transfer or cancellation of the registration of a Facility and the re-registration of a Facility following a change in status.

2.4 Scope and Application

This Market Procedure describes the steps to be taken and the forms to be used by any person seeking to register or de-register a Facility, to change the status of the Registration of a Facility or to update its registration information.

This Market Procedure also includes the process to be used in transferring the registration of a Facility from one Market Participant to another, as well as the process to be followed by the SO in canceling the registration of a Facility.

This Market Procedure includes provisions relating to the assignment of Delivery Points for Facilities, including “virtual” Delivery Points in respect of Embedded Facilities. This Market Procedure does not address the assignment or use of “virtual” Delivery Points that are designed to facilitate the submission of Balanced Schedules on a consolidated basis for more than one Load Facility using Network Integrated Service. Those “virtual” Delivery Points are addressed in Market Procedure MP-16.

This Market Procedure does not address the suspension or termination of a Market Participant’s rights under the Market Rules on the initiative of the SO, nor the disconnection of a Market Participant’s Facilities. These issues are addressed in sections 2.7 and 2.8 of the Market Rules.

2.5 Responsibilities of Parties under this Procedure

It is the responsibility of a Market Participant seeking to register a Facility to complete and submit an application in the form required and to supply any additional information that may be required by the SO in order to process that application. A person that has received from the SO a formal acknowledgment of receipt of its application for Accreditation may commence the Facility registration process. To that end, such a person must comply with the registration-related obligations of a Market Participant under this Market Procedure. The registration process cannot, however, be completed until the person has been Accredited.

It is the responsibility of each applicant for registration and each Market Participant to promptly notify the SO of any change in the information provided to the SO as part of the registration process or of any change in any previous updates to that information. This includes notification that the Facility is to undergo the testing referred to in section 4.7 of the Market Rules.

It is the responsibility of each Market Participant that wishes to change the registration status of its Facility, to de-register its Facility or to transfer the registration of its Facility to complete and submit to the SO an application to that effect in the manner required by this Market Procedure.

It is the responsibility of the SO to:

- process and render decisions on applications for the registration of Facilities;
- notify applicants for registration of any deficiencies in their applications for registration and otherwise assist applicants in completing the registration process;
- process and render decisions on applications by Market Participants seeking to change the registration status of their Facilities, to de-register their Facilities or to transfer the registration of their Facilities; and
- cancel the registration of a Facility where permitted or required under the Market Rules.

2.6 Other Market Procedures

The process by which persons may apply for Accreditation is defined in Market Procedure MP-01.

The process by which Waivers may be obtained is described in Market Procedure MP-07.

2.7 Form and Means of Communication

All documents that are required by this Market Procedure to be signed are required to be delivered to the SO by personal delivery, courier or mail. The SO may accept advance copies by other means of communication, but shall only recognize the document as having been submitted on the date of receipt of the signed original in hard copy.

All other documents and information may be communicated by personal delivery, courier, mail fax, e-mail or voice communications as considered appropriate by the sending person. Where a document or information is provided other than by means of the transmission of an original in hard copy, the SO retains the right to require written confirmation of the document or information by an authorized representative of the sending person or to require that an original be provided in hard copy. Similarly, the SO may require such written confirmation of information already in its possession where the SO intends to use such information in association with any process described in this Market Procedure.

2.8 Confidentiality

Section 3.7 of the Market Rules and Market Procedure MP-06 contain the rules applicable to the treatment of Confidential Information by the SO, Market Participants and Transmitters. These rules apply to information disclosed under this Market Procedure, including information disclosed to or by an applicant for Accreditation, and shall be interpreted accordingly.

Where a person submits information to the SO that the person has identified as Confidential Information, the SO will maintain the confidentiality of such information except to the extent that the information is required or permitted by the Market Rules or a Market Procedure to be disclosed. As indicated in section 3.15, the SO will Publish information relating to the processes described in this Market Procedure. Such information is not considered to be Confidential Information for the purposes of the Market Rules or of any Market Procedure.

Part 3 Process description

3.1 Obligation to Register

3.1.1 Generation Facilities (including External Dispatchable Facilities), Joint Facilities and Load Facilities (including Distribution Systems, that are directly connected to the SO-controlled Grid) are required to be registered before they can provide or convey electricity or Ancillary Services into, through or out of the SO-controlled Grid.

3.1.2 Embedded Facilities are required to be registered if:

- a) their output is intended to be scheduled with the SO;
- b) they are intended to be certified as Capacity Resources;
- c) they are intended to be the subject of an Interruptible Load contract; or
- d) they are intended to be the subject of an Ancillary Services contract, including an Ancillary Services contract relating to self-supply under section 6.2 of the Market Rules.

In all such cases, the Embedded Facility is required to be registered prior to engaging in the activity in question.

3.1.3 An Embedded Facility may only be registered with the consent of the Market Participant for the Delivery Point behind which the Embedded Facility is embedded.

3.2 Form of Registration and Aggregation

3.2.1 Only one person may be the Market Participant for a Facility. That person need not be the Market Participant for the provision of Bid-Based Demand Response or Ancillary Services from that Facility. Unless the registration of a Facility is transferred (see section 3.11), the Market Participant for a Facility will be the Market Participant that applied to register the Facility.

3.2.2 A Facility can be registered as a Generation Facility (including External Dispatchable Facilities), a Load Facility or a Joint Facility, depending on its operational characteristics. A Facility whose injections into the SO-controlled Grid in any hour exceed, or are expected to exceed, its withdrawals in the same hour may not be registered as a Load Facility. A Facility whose injections into the SO-controlled Grid exceed, or are expected to exceed, its withdrawals in any month in a year must be registered as a Generation Facility.

3.2.3 As a general rule, the Market Participant applying for the registration of a Generation Facility may apply to register the generation units comprising that Generation Facility individually or on an aggregated basis, as the Market Participant sees fit. Section 2.6.4 of the Market Rules, however, requires that generation units be aggregated in certain cases and prohibits the aggregation of generation units in other cases.

Generation units that are aggregated are treated as a single Facility for all purposes under the Market Rules.

- 3.2.4 Each transformer station providing step-down from Transmission to Distribution voltages, together with its associated Distribution feeders, is required to be registered as a separate Facility.
- 3.2.5 An External Dispatchable Facility shall be treated as a Generation Facility except as otherwise specified in the Market rules or Market procedures.

3.3 Not Used

3.4 Submission of Application for Registration

- 3.4.1 A Market Participant that wishes to register a Facility shall complete an application for registration in form PF-03-01 electronically or by hand, and submit it to the person identified in section 1.2 in accordance with the requirements of section 2.7. The information on the form pertaining to the Delivery Point for the Facility will be supplied by the SO.
- 3.4.2 The applicant for registration of a Facility may, but need not be, the owner of the Facility. Where the applicant is not the owner, the applicant must demonstrate to the SO that the owner of the Facility has consented to registration of the Facility and has given to the applicant all such authority, power and control over the Facility as may be required to enable the applicant to ensure that the Facility complies with the Market Rules and to enable the applicant to perform all of the obligations of a Market Participant in respect of the Facility. The SO may accept a letter signed by the owner of the Facility for this purpose, but may also require the applicant to provide copies of relevant contracts between the owner of the Facility and the applicant. In the case where the Facility is an External Dispatchable Facility (therefore to be treated as a Generation Facility), in the form of a purchase from a competitive power pool, the party that is making the purchase directly from the competitive power pool is the Facility owner.
- 3.4.3 The applicant must provide the information prescribed in one of the following Appendices, as applicable to the Facility in question:
- Appendix MP-03-A Generation Facilities and Joint Facilities, other than Distribution Systems, directly connected to the SO-controlled Grid - information requirements for registration
 - Appendix MP-03-B Load Facilities, other than Distribution Systems, directly connected to the SO-controlled Grid - information requirements for registration

- Appendix MP-03-C Distribution Systems directly connected to the SO-controlled Grid - information requirements for registration
 - Appendix MP-03-D Embedded Generation Facilities and Embedded Joint Facilities - information requirements for registration
 - Appendix MP-03-E Embedded Load Facilities that are intended to be the subject of an Interruptible Load contract or an Ancillary Services contract - information requirements for registration
- 3.4.4 Except as permitted by the deferral of the coming into force of sections 4.3.1 and 4.3.3 of the Market Rules (see section 3.4.5), the application for registration must be accompanied by satisfactory evidence that the Facility is the subject of a Connection Agreement in the form required by section 4.3 of the Market Rules.
- 3.4.5 The obligation to have a Connection Agreement referred to in section 3.4.4 has been deferred under the Market Rules for Facilities that are directly connected to the SO-controlled Grid. The deferral period is for three months following the Market Commencement Date. Where a Facility has been registered prior to that time, the Market Participant must submit evidence that the Connection Agreement has been entered into within the time required by section 4.3.6 of the Market Rules. Failure to do so will entitle the SO to cancel the registration of the Facility (see section 3.13). The deferral does not apply to Embedded Facilities, which must comply with the Connection Agreement requirement as of the Market Commencement Date.
- 3.4.6, Where the Facility is an Embedded Facility, the application for registration must be accompanied by satisfactory evidence that the Market Participant for the Delivery Point behind which the Embedded Facility is embedded has consented to registration.
- 3.4.7 Where a Facility is being registered on a provisional basis for commissioning purposes, or re-registered for re-commissioning purposes, the application for registration must be accompanied by the design and testing information required by section 4.7 of the Market Rules.
- 3.4.8 Except where the Market Participant is requesting provisional registration for a new Facility that will undergo commissioning, the application for registration must be accompanied by the certification referred to in section 3.6.4
- 3.4.9 Where the registration of a Facility will affect the applying Market Participant's Credit Support Obligation, the application for registration must be accompanied by information and documentation that will enable the SO to determine the new Credit Support Obligation. The forms to be used for this purpose are specified in Market Procedure MP-02.
- 3.4.10 The application for registration requires that the applying Market Participant identify any applicable technical requirements that are known not to be met by the Facility.

Details of these technical requirements are contained in section 3.6.3. The application for registration also requires that the applying Market Participant identify any Waivers that have been granted or applied for (see section 3.6.6).

3.5 SO Assessment for Completeness

- 3.5.1 Upon receipt of an application for registration, the SO will first carry out an initial review for apparent completeness. Where the SO determines that the application for registration is seriously deficient, it will reject the application and so notify the applicant. In such cases, the applicant must re-file a more complete application for registration.
- 3.5.2 Where the SO is satisfied, on the basis of its initial review, that an application for registration is sufficiently complete, the SO will formally acknowledge receipt of the application and assign an application number to it.
- 3.5.3 The SO will then conduct a more thorough assessment of the application for completeness. Where information is missing, or the SO otherwise requires additional information or clarification, the SO will so notify the applicant and will specify a reasonable period within which such information or clarification should be provided.
- 3.5.4 Particularly at or around the Market Commencement Date, the SO may have information pertaining to a Facility that can be used for purposes of the registration of the Facility. Market Participants should contact the SO to determine whether or not this is the case. Where the SO has such information and intends to rely on it for purposes of registering a Facility, the SO will request that the Market Participant review the information and certify that it is accurate. The SO will not use such information unless it has been certified as accurate by the Market Participant.

3.6 SO Assessment of Eligibility for Registration (other than provisional registration)

- 3.6.1 The SO will then proceed to determine whether there is any reason why the Facility should not be registered.
- 3.6.2 Section 2.6.11 of the Market Rules permits the SO to refuse the registration of a Facility only where:
- the SO is satisfied on reasonable grounds that the Facility does not or will not comply with all applicable requirements of the Market Rules, having regard to any Waivers that have been granted in respect of the Facility;
 - the applying Market Participant has failed to provide the documentation referred to in section 3.4.2 or the certification referred to in section 3.6.4; or
 - the proposed aggregation of generation units violates section 2.6.4 of the Market Rules.

- 3.6.3 As part of the SO's assessment of the eligibility for registration of a Facility, the SO will consider whether the Facility complies with the technical requirements of the Market Rules. These technical requirements are, for the most part, set out in chapter 4 of the Market Rules, and include as appropriate to the Facility:
- a) designation of a Control Authority and the provision of communications facilities in accordance with sections 4.1.2 to 4.1.5 of the Market Rules;
 - b) compliance with the standards and codes referred to in section 4.2 of the Market Rules, as supplemented by Market Procedure MP-08;
 - c) compliance with the connection requirements set out in section 4.3 of the Market Rules and, if and when issued, in Market Procedure MP-09, once this obligation has come into force (see section 3.4.5);
 - d) fulfillment of the operational and reporting obligations described in section 4.4 of the Market Rules;
 - e) compliance with the revenue metering obligations imposed on Market Participants described in section 4.5 of the Market Rules; and
 - f) if applicable, fulfillment of the obligations in respect of Special Protection Systems as described in section 4.6 of the Market Rules.
- 3.6.4 It is not the intention of the SO to independently determine whether a Facility complies with the technical requirements of the Market Rules. Rather, Market Participants are required to self-certify as to such compliance. To that end, each Market Participant that is seeking to register a Facility must certify to the matters listed in section 2.6.7 of the Market Rules.
- 3.6.5 The SO may require that a Facility undergo specified tests to confirm that the Facility complies with one or more of the technical requirements of the Market Rules. Where testing is required, the specified test must be successfully completed by the Facility prior to registration of the Facility. The testing obligations for Facilities that are provisionally registered are dealt with in section 3.8.
- 3.6.6 Where a Facility does not comply with a requirement of the Market Rules, it is the responsibility of the Market Participant for that Facility to obtain an appropriate Waiver from the SO. The process by which Waivers may be applied for and granted is set out in Market Procedure MP-07.
- 3.6.7 Where the registration of a Facility triggers the need for the applying Market Participant to provide additional Credit Support, the SO will notify the Market Participant of the amount of additional Credit Support to be provided.

3.7 Registration of a Facility (other than provisional registration)

- 3.7.1 The SO shall make its decision on each application for registration in a timely manner and, in any event, within twenty Business Days of the later of:
- a) the receipt of the application for registration;

- b) the receipt of any additional information or clarification requested by the SO;
or
- c) the successful completion of any tests referred to in section 3.6.5.

The SO and the applying Market Participant may agree to extend this deadline.

- 3.7.2 Where the SO is satisfied that the Facility is eligible for registration and the SO has received any additional Credit Support referred to in section 3.6.7, the SO shall complete registration of the Facility and shall so notify the applying Market Participant. The notification will indicate any conditions of registration with which the Facility must comply on an on-going basis. Such conditions will typically be imposed by the SO where the SO considers that the conditions are required to (a) enable the SO to perform its obligations under the Market Rules, its Licence or the Act; (b) address concerns that the SO may have with respect to the operation of the Facility; or (c) reflect undertakings given during the Connection Assessment process.
- 3.7.3 Where the SO registers a Facility, the SO shall also advise the applying Market Participant, the applicable Transmitter and the Market Participant for any applicable Delivery Point of the descriptions and codes to be used in reference to the Facility and its associated Delivery Point.
- 3.7.4 Where the SO considers that there are grounds for refusing to register a Facility, the SO will notify the applicant as soon as possible. The applicant will be given a reasonable period within which to respond to the SO's concerns.
- 3.7.5 Where the SO remains of the view that the Facility is not eligible for registration, it may do one of the following, as it considers appropriate:
- a) deny the Market Participant's application to register the Facility; or
 - b) during the two years following the Market Commencement Date, register the Facility on an interim basis, with or without conditions.
- 3.7.6 Interim registration is intended to facilitate the transition immediately before and immediately following the Market Commencement Date. For this reason, the SO can only grant interim registration for a period of two years after the Market Commencement Date. Interim registration is valid for six months only, unless extended by the SO for one further period of six months. Where the SO registers a Facility on an interim basis, it will so notify the applying Market Participant. The notification will indicate any conditions of registration with which the Facility must comply during the interim registration period.
- 3.7.7 While an interim registration is in effect, the Market Participant for the Facility must either bring the Facility into compliance with the Market Rules or ensure that Waivers are obtained for all instances of continued non-compliance. The Market Participant must then also apply to the SO for a change in registration status using the procedure described in section 3.9. Failing a change in registration status prior to expiry of the interim registration, the SO may issue a Disconnection Order directing

the disconnection of the Facility from the SO-controlled Grid in accordance with section 2.8 of the Market Rules.

- 3.7.8 Where the SO denies an application for registration, it will so notify the applying Market Participant and provide reasons for its decision.

3.8 Provisional Registration

- 3.8.1 This section describes the process by which Facilities can be registered on a provisional basis for commissioning purposes. This process applies both to new Facilities and to Facilities that are undergoing re-commissioning.
- 3.8.2 Where a new Facility is to be commissioned, the SO may register that Facility on a provisional basis to permit synchronization to the SO-controlled Grid for purposes of testing and commissioning. Applications for provisional registration should be identified as such in section 6 of application form PF-03-01. The application for registration must be accompanied by the materials referred to in sections 3.4.2, 3.4.3, 3.4.4, 3.4.6 and 3.4.9, as well as by the design and testing information required by section 4.7 of the Market Rules.
- 3.8.3 Where an existing registered Facility is to be re-commissioned, the Market Participant must apply to the SO for a change in the registration status of the Facility using the procedure described in section 3.9. The SO will re-register the Facility on a provisional basis for re-commissioning and associated testing purposes.
- 3.8.4 Provisional registration will typically include conditions governing the operation of the Facility during the testing and commissioning processes. In addition, a Facility that is provisionally registered is subject to the special rules described in section 4.7.6 of the Market Rules, which limit some of its activities.
- 3.8.5 Testing and commissioning activities in relation to a provisionally registered Facility must be conducted in accordance with section 4.7 of the Market Rules.
- 3.8.6 Promptly following the completion of all required testing and commissioning activities, the Market Participant for a provisionally registered Facility must apply for a change to the Facility's registration status using the process described in section 3.9. Provisional registration will typically be granted for a defined period of time ending either on a specified or identifiable date or upon the happening of a given event. For example, provisional registration may be stated as expiring ten Business Days from the date of completion of the last testing or commissioning activity. It is the responsibility of the Market Participant for the Facility to ensure that it obtains a change in the Facility's registration status prior to expiry of the provisional registration.

3.9 Changes to Facility Registration Status

3.9.1 A Market Participant may apply to change the registration status of a Facility as follows:

- from interim registration status to enduring registration status;
- from provisional registration status to enduring registration status;
- from enduring registration status to provisional registration status where the Facility will undergo re-commissioning;
- to change the aggregation of generation units;
- to eliminate or change conditions of registration; or
- to request designation as a Self-scheduling Facility or to seek the removal of designation as a Self-scheduling Facility.

3.9.2 The SO is developing more detailed processes to be used for change in registration status purposes. These processes will be Published and included in a future release of this Market Procedure in due course. In the interim, a Market Participant that wishes to apply for a change in registration status must submit a letter to that effect to the contact person identified in section 1.2 in accordance with the requirements of section 2.7. The letter must specify the nature of the change in status that is being requested and the grounds for the change. The letter must be accompanied by supporting information and documentation that justifies the change in registration status. For example, the supporting information and documentation would include the following:

- for a change from interim registration status to enduring registration status, the Market Participant must provide satisfactory evidence that the Facility complies with the requirements of the Market Rules or that Waivers have been obtained for all instances of non-compliance;
- for a change from provisional registration status to enduring registration status, the Market Participant must provide:
 - a) satisfactory evidence of the successful completion of all required testing and commissioning activities;
 - b) the certification referred to in section 3.6.4; and
 - c) any required updates to information in order to replace data based on design with newer data based on the results of testing and commissioning activities; and
- for a change from enduring registration status to provisional registration status where a Facility is being re-commissioned, the Market Participant must provide the design and testing information required by section 4.7 of the Market Rules.

- 3.9.3 The SO may request that the applying Market Participant provide clarification or additional information in support of the application to change registration status. This may include information that will allow the SO to determine if any change is required to be made to the Market Participant's Credit Support Obligation as a result of the change in status.

- 3.9.4 The SO will review each application for a change in registration status and notify the applying Market Participant of any additional information or clarification that may be required.
- 3.9.5 Where the SO determines that a change in registration status will result in the Facility or the Market Participant no longer being in compliance with the Market Rules, the SO will so notify the Market Participant. The Market Participant must take all such steps as may be required to comply with the Market Rules if it wishes to pursue its application for a change in registration status. This may include obtaining a Waiver or providing additional Credit Support. A change in registration of the Facility will not be completed until such time as the SO is satisfied that all such required steps have been taken.
- 3.9.6 The SO will approve or reject an application for a change in registration status within a reasonable period of time following:
- a) the receipt of the application;
 - b) receipt of any additional information or clarification requested by the SO; or
 - c) the successful completion of any applicable tests that may be required.
- 3.9.7 The SO will notify the applying Market Participant of its decision. Where the SO denies the application, the SO must provide reasons for its decision. Where the SO approves the application, the Market Participant shall provide any additional information and documentation that may be required to give effect to the change in registration status.
- 3.9.8 Where the SO receives notice under section 3.10 that a Facility will undergo testing, the SO will flag the Facility's registration status accordingly. While the Facility registration status is so flagged, the Facility will remain subject to the special rules referred to in section 4.7.6 of the Market Rules. Once the SO has received satisfactory evidence of the successful completion of the tests and of any consequential updates to the registration information for the Facility, the SO will remove the "under testing" flag provided that the testing has not revealed the need to change the registration status of the Facility.
- 3.9.9 Where the SO considers that a change in circumstances relating to a Facility requires that the Facility be re-registered with a different status or configuration, the SO will so notify the Market Participant for the Facility. The Market Participant will be given a reasonable opportunity to respond.
- 3.9.10 Where the SO remains of the view that re-registration is required under section 3.9.9, it will re-register the Facility and notify the Market Participant of its decision. Such re-registration may include conditions that must be met by the Facility on an on-going basis. The Market Participant must provide any additional information and documentation that may be required to give effect to the re-registration.

3.10 Changes to Facility Information

- 3.10.1 Under the Market Rules, each Market Participant is required to promptly notify the SO of any change in circumstances that affects the registration of a Facility. Market Participants are also required to promptly notify the SO of any material change in the information provided in support of an application to register a Facility, in any updates to that information or in any information provided by the SO and certified as accurate by the Market Participant under section 3.5.4. Market Participants are encouraged to notify the SO of any such change as early as possible and preferably prior to the change taking place.
- 3.10.2 Market Participants that intend to conduct any of the testing activities referred to in section 4.7 of the Market Rules in respect of a registered Facility are reminded that they are required to so notify the SO and comply with the requirements of that section of the Market Rules. In such cases, section 3.9.8 will apply.
- 3.10.3 The SO is developing more detailed processes to be used for change in registration information purposes. These processes will be Published and included in a future release of this Market Procedure in due course. In the interim, where a change or testing is required to be notified to the SO, the Market Participant must submit a letter to that effect to the contact person identified in section 1.2 in accordance with the requirements of section 2.7. The letter must specify in detail the nature of the change or testing, the date on which the change has taken or will take effect and, where applicable, the anticipated impact of the change on the registration of the Facility. Where the letter relates to testing under section 4.7 of the Market Rules, the letter must be accompanied by the testing information required by that section.
- 3.10.4 A Market Participant shall promptly provide any additional information or clarification that the SO may request in order for the SO to determine whether any action is required to address the change.
- 3.10.5 Where the SO determines that a change in registration information will result in the Facility or the Market Participant no longer being in compliance with the Market Rules, the SO will so notify the Market Participant. Similarly, the SO will notify the Market Participant if the results of testing reveal that the Facility is not in compliance with the Market Rules. The Market Participant must then take all such steps as may be required to comply with the Market Rules. This may include obtaining a Waiver or providing additional Credit Support.
- 3.10.6 The SO may from time to time request that the Market Participant for a Facility confirm the continued validity of registration data for that Facility or provide additional registration data pertaining to that Facility. The Market Participant shall provide such confirmation or additional data to the SO promptly upon being requested to do so.

3.11 Transfer of Registration

- 3.11.1 A Market Participant cannot transfer the registration of a Facility without the prior approval of the SO. In order to obtain such approval, the Market Participant and the intended transferee must jointly apply to the SO by completing, by hand or electronically, and filing an application to transfer in form PF-03-03 in accordance with the requirements of section 2.7. The application must be filed at least 30 days prior to the date of the proposed transfer.
- 3.11.2 Although the transfer application is required to be made jointly, the Market Participant for the Facility is the person with whom the SO will communicate for purposes of the application. It is the Market Participant's responsibility to ensure that the intended transferee is notified of all relevant communications from the SO and provides any information required by the SO.
- 3.11.3 Although the intended transferee need not be a Market Participant at the time of filing of the application, the transfer will not be approved by the SO until such time as the intended transferee is Accredited as a Market Participant. The process for Accreditation is described in Market Procedure MP-01.
- 3.11.4 The applying Market Participant must identify to the SO all changes that will be required to be made to information relating to the registration of the Facility if the proposed transfer is approved.
- 3.11.5 The SO will not approve the transfer of the registration of a Facility unless it has received:
- a) if the owner of the Facility is not the Market Participant for the Facility, satisfactory evidence that the owner has consented to the transfer;
 - b) where the Facility is an Embedded Facility, satisfactory evidence that the Market Participant for the Delivery Point behind which the Facility is embedded has consented to the transfer;
 - c) where the intended transferee will not be the owner of the Facility at the time of the proposed transfer, satisfactory evidence that the intended transferee has received from the owner all such authority, power and control over the Facility as may be required to enable the applicant to ensure that the Facility complies with the Market Rules and to enable the intended transferee to perform all of the obligations of a Market Participant in respect of the Facility (see section 3.4.2);
 - d) satisfactory evidence that the Facility will continue to be subject to the same Connection Agreement or that a new Connection Agreement will be in place by the date of the proposed transfer, subject to the Connection Agreement requirement being in force (see section 3.4.5);
 - e) not used; and

- f) any additional Credit Support that may be required from the intended transferee as a result of the proposed transfer.
- 3.11.6 If the Facility is the subject of a Waiver and the parties wish to transfer the Waiver to the intended transferee, an application for the transfer of the Waiver must be filed with the SO in accordance with Market Procedure MP-07.
- 3.11.7 If the Facility has been certified with respect to its Eligible Installed Capacity and Eligible Unforced Capacity and the parties wish to transfer the certification to the intended transferee, an application for transfer of the certification must be filed with the SO in accordance with Market Procedure MP-12.
- 3.11.8 If the Facility is the subject of an Ancillary Services contract or an Interruptible Load contract that will still be in effect on the date of the proposed transfer, the transfer of the registration of the Facility is conditional on the assignment of the contract to the intended transferee in accordance with the provisions of the contract. .
- 3.11.9 If the Facility is a Capacity Resource or has been proposed as such for a future Capability Period, the intended transferee must agree to assume all of the Facility's obligations as a Capacity Resource. The transfer of the registration of the Facility is conditional on the agreement of the SO to the assignment of the Facility's obligations as a Capacity Resource to the intended transferee.
- 3.11.10 The SO may request that the applicants provide clarification or additional information in support of the application to transfer the registration of a Facility.
- 3.11.11 The SO will review each application for the transfer of the registration of a Facility and will notify the applying Market Participant of any additional information or clarification that may be required.
- 3.11.12 The SO will not approve the transfer of the registration of a Facility if it considers that:
- a) such transfer will result in the Facility being in non-compliance with the Market Rules, subject to any applicable Waiver that may be in place or transferred (see section 3.11.6); or
 - b) the intended transferee is not capable of fulfilling the obligations of a Market Participant for a Facility or of ensuring that the Facility complies with all applicable requirements of the Market Rules.
- 3.11.13 The SO will approve or reject an application for the transfer of the registration of a Facility within a reasonable period of time following the later of:
- a) the receipt of the application;
 - b) the receipt of any additional information or clarification requested by the SO;
 - c) the receipt of all supporting information and documentation specified in this Market Procedure as being required;

- d) the completion of the assignments referred to in sections 3.11.8 and 3.11.9;
or
 - e) the completion of any transfers referred to in sections 3.11.6 and 3.11.7 that have been applied for.
- 3.11.14 The SO will notify the applying Market Participant of its decision. Where the SO denies the application, the SO must provide reasons for its decision. Where the SO approves the application, the applying Market Participant and the intended transferee shall provide any additional information or documentation that may be required to give effect to the transfer. The transfer will take effect on the date specified in the application or such later date as may be required as a result of the operation of section 3.11.13 or requested by the applying Market Participant.
- 3.11.15 The SO may impose new or different conditions on the registration of a Facility where the SO considers that such conditions are required as a result of the transfer of the registration.
- 3.11.16 Market Participants are reminded that any transfer of the registration of a Facility without the prior approval of the SO may result in the SO issuing a Disconnection Order directing the disconnection of the Facility from the SO-controlled Grid in accordance with section 2.8 of the Market Rules.

3.12 Facility De-Registration by Market Participant

- 3.12.1 A Market Participant may apply to the SO to de-register a Facility.
- 3.12.2 The SO is developing more detailed processes to be used for Facility de-registration purposes. These processes will be Published and included in a future release of this Market Procedure in due course. In the interim, where a Market Participant wishes to de-register a Facility, the Market Participant must submit a letter to that effect to the contact person identified in section 1.2 in accordance with the requirements of section 2.7. The letter must specify the proposed date of de-registration, which must be at least 60 days from the date of application.
- 3.12.3 The SO may request that the applicant provide clarification or additional information in support of the application to de-register a Facility in order for the SO to process that application or determine whether any action is required to address the de-registration.
- 3.12.4 The SO will review each application to de-register a Facility and will notify the applying Market Participant of any additional information or clarification that may be required.
- 3.12.5 The SO will not de-register a Facility if, at the proposed time of de-registration, the Facility will be subject to:
- a) any obligations as a Capacity Resource; or

- b) any obligations under an Interruptible Load contract or an Ancillary Services contract, including an Ancillary Services contract for self-supply described in section 6.2 of the Market Rules.
- 3.12.6 The SO will approve or reject an application to de-register a Facility within a reasonable period of time following the later of:
- a) the receipt of the application; or
 - c) the receipt of any additional information or clarification requested by the SO.
- 3.12.7 The SO will notify the applying Market Participant of its decision. Where the SO denies the application, the SO must provide reasons for its decision.
- 3.12.8 Where the SO approves the application, the applying Market Participant shall provide any additional information or documentation that may be required to give effect to the de-registration of the Facility. The de-registration will take effect on the date specified in the application or such later date as may be required as a result of the operation of section 3.12.6 or requested by the applying Market Participant.
- 3.12.9 Where the SO de-registers a Facility that is directly connected to the SO-controlled Grid, it will also issue a Disconnection Order directing the disconnection of the Facility from the SO-controlled Grid in accordance with section 2.8 of the Market Rules.
- 3.12.10 The SO cannot refuse to de-register a Facility except for the reasons noted in section 3.12.5. Where the SO determines that de-registration would have a material adverse impact on the Reliability of the Integrated Electricity System, it may so advise Market Participants and the PUB and seek means to mitigate those impacts.

3.13 Cancellation of Facility Registration by the SO

- 3.13.1 As noted in section 3.5.4, a Facility may have been registered without a Connection Agreement being in place prior to the coming into force of sections 4.3.1 and 4.3.3 of the Market Rules. Where this is the case, the Market Participant must provide to the SO evidence that a Connection Agreement has been entered into in respect of the Facility. This evidence must be provided within ten Business Days of the coming into force of sections 4.3.1 and 4.3.3 of the Market Rules. Where a Market Participant has failed to provide such evidence, the SO may cancel the registration of the Facility.
- 3.13.2 The SO may also cancel the registration of a Facility that is directly connected to the SO-controlled Grid where the SO has issued a Disconnection Order under any of sections 2.8.3, 2.8.4(e), 2.8.4(f) or 2.8.4(h) in respect of that Facility. The SO may also cancel the registration of an Embedded Facility where:
- the Embedded Facility has been disconnected from its Host by reason other than an Outage or emergency; or

- the Embedded Facility is not connected to a Transmission System or a Distribution System and its Host has been disconnected from the Transmission System or Distribution System to which it was connected by reason other than an Outage or emergency,
in circumstances where the Embedded Facility or Host, as the case may be, is not expected to be reconnected.

- 3.13.3 Where the SO intends to cancel the registration of a Facility, it will give notice to the Market Participant and will give the Market Participant a reasonable opportunity to respond. Where the SO cancels the registration of a Facility, it will notify the Market Participant for the Facility of its decision.
- 3.13.4 Where the SO cancels the registration of a Facility that is directly connected to the SO-controlled Grid under section 3.13.1, the SO may at the same time, or at any time thereafter until the matter is resolved, issue a Disconnection Order directing the disconnection of the Facility from the SO-controlled Grid in accordance with section 2.8 of the Market Rules.
- 3.13.5 Where the SO cancels the registration of an Embedded Facility, the SO shall also notify the Market Participant for the Delivery Point behind which the Embedded Facility is embedded.

3.14 Dispute Resolution

- 3.14.1 All disputes arising in connection with the processes described in this Market Procedure are to be resolved using the dispute resolution process described in section 3.6 of the Market Rules.
- 3.14.2 Users of this Market Procedure should consult section 63 of the Act for a description of any rights of appeal that may exist from decisions or orders of the SO made under this Market Procedure.

3.15 Publication

- 3.15.1 The SO shall Publish and update a list of all registered Facilities and the Market Participant, Delivery Point and location of each.

Part 4 Flow Charts

To Follow

Part 5 Forms

PF-03-01	Application for Facility Registration
PF-03-02	Not Used
PF-03-03	Application for Transfer of Facility Registration
PF-03-04	Certification for Transfer

Part 6 Appendices

Appendix MP-03-A	Generation Facilities and Joint Facilities, other than Distribution Systems, directly connected to the SO-controlled Grid – information requirements for registration
Appendix MP-03-B	Load Facilities, other than Distribution Systems, directly connected to the SO-controlled Grid – information requirements for registration
Appendix MP-03-C	Distribution Systems directly connected to the SO-controlled Grid – information requirements for registration
Appendix MP-03-D	Embedded Generation Facilities and Embedded Joint Facilities – information requirements for registration
Appendix MP-03-E	Embedded Load Facilities that are intended to be the subject of an Interruptible Load contract or an Ancillary Services contract – information requirements for registration