e-TRACE
Operational Instructions as per Article II of the Agreement on Transmission

Guidebook published by the eTrace operator for individuals authorized to use eTrace

e-Trace Operational Instructions

Version 0.0, effective from 1 January 2006

Section A. CONDITIONS FOR USING E-TRACE

A.1. General provisions

A.1.1 Definitions

Auction Rules – Rules for coordinated auction of transmission capacity at the common borders of CEPS, E.O-N, PSE-O, SEPS, a.s. and VE-T for the year 2006.

Agreement on Transmission – Agreement concerning the Accession to Trading Terms and Conditions for Cross-border Transmission through the Transmission System in the Czech Republic in 2006.

eTrace User – *Subject*'s representative authorized to perform operations via e-Trace.

All other terms used in this document shall have the meaning given to them in the section titled "Definitions" in the Auction Rules and/or as defined in the section titled "Terminology and Abbreviations" in the Agreement on Transmission.

A.2. Characteristics of e-Trace

e-Trace is an information system operated by CEPS, consisting of the following technology: servers connected to the Internet, e-Trace web application (ASP), e-Trace database, and the http://market.e-trace.biz active global domain.

e-Trace enables the collection and verification of technical-commercial data (e.g. data for the calculation of Offered Capacity, Daily Auction Bids and schedules), further processing, and other communication between the Auction Office, CEPS, participating Transmission System Operators and the Users of the e-Trace system as described by these Operational Instructions.

Unless specifically provided for otherwise, Users can send data to or receive data from e-Trace in two ways:

- Via an electronic web form (html),
- Through an XML file in accordance with the given definition

e-Trace Users also have access to an MS Excel-based client application containing sample spreadsheets with a macro that can be used to generate the XML file. The content of this file can be synchronized with e-Trace by means of web service standards – the platform supports automatic system-to-system communication. Users are advised to install the client application on their computers before “going live”. Sample spreadsheets may be required if the substitute data entry method is used. Such installation is the responsibility of Users.

All time data specified in connection with the use of e-Trace – especially gate closures for data transfer, announcement of results, etc. – are given in e-Trace system time. The system time is available in the User account environment. A data receipt is valid only if the data was accepted by the e-Trace server before gate closure and if the e-Portal has confirmed receipt via a message in the User account environment. Any data received after gate closure will be rejected due to expiration of the deadline, and the User will be informed of this fact via a message in the User account environment.

A.3. Accessing e-Trace

A.3.1. <u>Equipment necessary for accessing and using e-Trace</u>

The equipment required for accessing e-Trace is described in the standard User workstation designed for accessing e-Trace, as specified in Section C of these Operational Instructions. The User must meet the conditions of the Auction Rules regarding security measures (certificates etc.).

A.3.2. <u>User account set-up</u>

After being registered by the Auction Office in accordance with the Auction Rules, each User representing a Subject receives an e-Trace User account. The User account is an e-Trace User environment with certain read and write permissions assigned to a particular User. The User account is set up on the name of an e-Trace User (an individual) within 3 business days after the delivery of a completed application form for the set-up/modification of the contracting party’s (company/legal entity) e-Trace User account, signed by a person authorized to act under the Auction Rules – see Annex 11 of the Auction Rules.
An e-Trace User account can only be set up after the acquisition of a personal electronic certificate as per the requirements of Annex 12 of the Auction Rules. The application form shall provide information on said certificate – CEPS does not provide such certificates. CEPS is entitled to verify all information and to not set up a User account should it find any discrepancy from reality in the information provided. CEPS is entitled to prevent the User from accessing e-Trace, i.e. to block the User account, should it find any discrepancy in the information on the User or in the electronic certificate, if the certificate has expired, or in other cases within the meaning of the Auction Rules.

The User account environment includes, among other things:

- Information on system time,
- e-Trace messages or messages from e-Trace operators indicating the state of e-Trace or confirming operations performed,
- Information on newly installed functionalities and changes in procedures – current operating conditions,
- The set of commands available for performing the operations described by the Operational Instructions differs for individual Users depending on their User rights.

A.3.3. e-Trace System Tools

Each e-Trace User has access to the User account's "System Tools". In this area, Users can choose from the following options:

- Download Template: this command is used to download the current version of the client application
- Change Password: this command allows the User to change his/her password. The User is obliged to keep his/her password a secret and to change it regularly to prevent theft
- Download Certificate: this command downloads the certificate from the e-Trace server and registers it to the User's PC as trustworthy

A.3.4. e-Trace availability

eTrace availability is defined in Auction Rules.

A.4. Technical conditions of e-Trace usage

A.4.1. e-Trace help function

A description of the individual e-Trace elements can be found in the User Manual (e-Trace help) in the form of a hypertext document available through the "Help" icon in the User account environment.

A.4.3. e-Trace maintenance

CEPS is entitled to limit access to e-Trace for a period necessary for the repair of defects that affect or may affect trading. In such cases, Users are obliged to act in accordance with the instructions issued by the e-Trace operators and the provisions of Section A.5.3 of these Operational Instructions.

CEPS is also entitled to perform scheduled maintenance of e-Trace – the expected time for such scheduled maintenance is from 7 a.m. to 3 p.m. Users shall be advised of any limitations to operation scheduled outside of the regular shutdown interval no later than three (3) working days in advance.
e-Trace is regularly shut down every Tuesday from 5 to 7 p.m. Should this day be a non-business day, said shutdown shall take place on the nearest subsequent business day.
In case of limited accessibility caused by an emergency, Users shall be informed immediately upon the discovery of said emergency; they should then act in accordance with Section A.5.3.

A.5. e-Trace operator communication with Users

A.5.1. Communication in routine situations

The e-Trace operator is a CEPS employee in charge of communications between e-Trace and e-Trace Users within the framework of routine operations.
As regards communications specified in the Operational Instructions, Users are asked to use the following contacts to the e-Trace operators at the e-Trace system helpdesk:

	Working days	Non-working days
Available	7 a.m. – 5 p.m.	8 a.m. – 3 p.m.
e-mail	helpdesk.trade@ceps.cz	helpdesk.trade@ceps.cz
Phone number	+420 211 044 507	+420 724 601 301
Fax	+420 211 044 545	not available

The e-Trace operators issue instructions for specific procedures (for example, changes to the gate closure and/or data publishing times) in accordance with the Auction Rules or the Agreement on Transmission. The e-Trace operators issue these instructions via messages within e-Trace and/or via e-mail or telephone. All e-Trace Users must respect the instructions issued by e-Trace operators as well as the settings of the User account environment unless a different method has been previously agreed.

A.5.2. Communication in crisis situations, problem solving

The e-Trace operator shall inform the Users about any deviations from routine operation, and is authorized to issue instructions to e-Trace Users and to control the operating conditions resulting from the temporary system state (in particular, to take measures in case of loss of e-Trace availability, etc.). This is done via messages sent to e-Trace User accounts and/or via e-

mail if technically possible, or by telephone. The operator shall provide information on the nature of any modification as compared to routine operation and as to the period for which said modification will apply.
Users are obliged to immediately inform the e-Trace helpdesk about any observed problems or unusual conditions, including any potential related issues, via e-mail or fax. If the problem concerns the sending of data to e-Trace, the User should also send the set of submitted data. In case of a problem requiring immediate attention, Users should immediately contact the e-Trace helpdesk by telephone. CEPS is responsible for solving any reported problems.

A.5.3. <u>Substitute data entry method</u>

The e-Trace operator shall ensure that prospective data can be entered into the e-Trace system using a substitute method. This is done upon request from a User if the User cannot perform an operation because e-Trace is down.
Along with his/her request for data entry via substitute method the User shall provide the reasons for the request as well as the data related to the substitute entry. This is done via the following procedure, performed in the order described:

1. Electronically, via an electronically signed e-mail, or
2. If e-mail does not work, using a signed fax containing the sender's name and fax number

Data provided using a substitute method must be delivered in the form of an XML file or an MS Excel template that can generate the XML file (part of the client application) or, if sent by fax, as a printed version of the spreadsheet template. The e-Trace operator shall have the right to determine an e-Trace User's identity whenever the User provides the operator with operational or commercial data and requests the entry of data into the e-Portal on his or her behalf via a substitute method.
If the User or the person authorized by the User does not clearly identify himself/herself, the Auction Office's operator shall be entitled to not perform the substitute data entry. The User is also obliged to provide the e-Trace operator with a telephone number that may be used for communication if necessary, and to provide any cooperation required. The e-Trace operator subsequently enters the data into e-Trace on behalf of the User and informs the User without undue delay via telephone and/or e-mail that the data has been entered. The e-Trace User is liable for the validation of the data entered on his or her behalf by the e-Trace operator. The e-Trace operator bears no liability for any possible incorrectness of data generated and delivered by the User in the agreed manner, or for the rejection of incorrect data by e-Trace.

A.6. Terms and conditions of claims

Should the Subject come to believe that the Auction Rules and/or the Agreement on Transmission or these Operational Instructions have been breached by an incorrect calculation, incorrect output from data check, or incorrect evaluation of data by e-Trace, the Subject is entitled to file a claim through its representative, the e-Trace User. The claim must be delivered to the contact address of the e-Trace helpdesk by signed fax message, an electronically signed e-mail, or via registered mail delivered to the contact address of the e-Trace helpdesk, and must contain:

- date of filing the claim
- name of Subject
- name, e-mail address and telephone of contact person / e-Trace User
- brief description of the claim – i.e., the subject matter
- the data forming the subject of the claim
- detailed description of the situation, as well as causes and consequences
- means of proof (dumps from logs, communication records, etc.)

The e-Trace helpdesk will confirm the receipt of such a claim via e-mail.
Should a claim be assessed as unjustified and CEPS has spent financial resources on handling the claim, the subject will be presented with these costs along with the conclusions of the claim report.

Section B. OPERATIONAL PROCEDURES

B.1. Coordinated allocation procedure (CEPS in its role as Auction Office)

The individual functionalities are found under the "Coordinated Auction" command group in the menu of the e-Trace User account environment.

In accordance with the Auction Rules, e-Trace Users can participate in the daily reservation of transmission capacity on cross-border profiles in accordance with the Auction Rules (Daily Auction) and receive assessment data for the billing of transmission capacity reservation.

All Users can see their allocated capacity in the "Allocated Capacity" form under the "Coordinated Auction" command group.
Total allocated capacity rights are distinguished according to year, month, capacity transfer, and day.

B.1.2. Allocated capacity transfer

The transfer of allocated capacity from one Auction Participant to another can be performed using the "Allocated Capacity Transfer" command under the "Coordinated Auction" group. Users enter a new capacity transfer by completing and saving the "Allocated Capacity Transfer" form in e-Trace.

A capacity transfer becomes valid after confirmation by the transferee. Users confirm capacity transfers using the "Capacity Transfer Confirmation" function in the "Coordinated Auction" group within 4 hours after the proposal for such transfer was entered into e-Trace. If they fail to do so, the capacity transfer is not valid and the allocated capacity of both transferor and transferee remains unchanged and unaffected by the proposed capacity transfer.

B.1.3. Allocation of Daily transmission capacity

As per the Auction Rules, capacities are allocated on a daily basis on the corresponding profiles via e-Trace auction – daily coordinated auction of transmission capacities.
Every day at 9 a.m. the Auction Office publishes the "Offered Capacity" form (in the "Coordinated Auction" group) showing the Offered Capacity available for trading (ATC) for individual hours in both directions on the next business day at all cross-border profiles where it operates an Auction Office.
Users place their bids for the reservation of transmission capacity either by completing the "Daily Auction Bids" (under the "Coordinated Auction"

command group) or by sending an XML file (using the client application) for daily TC reservation, indicating:

- the period (on a business day) for which the transmission capacity is required
- the required transmission capacity (in MW) for every business hour of a business day as a non-negative whole number
- the bidding prices for the transmission capacity in EUR/MW for every business hour of a business day as a non-negative whole number

Immediately after being sent to e-Trace, the bid is validated in accordance with the Auction Rules for formal correctness, sufficient Credit Limit, and a 1:1 relation on a particular commercial profile. If any discrepancy is found, the bid is rejected and the User receives a message in the User account environment advising him/her of that fact. If the validation is successful, the bid is accepted for transmission capacity allocation and the User receives a message in the User account environment.

All bids received by e-Trace are assigned a transaction number as per the Auction Rules. This number is part of the receipt confirmation and must always be mentioned during communications with e-Trace operators.

Previously submitted bids may be modified before gate closure for receiving bids for daily capacity. Such changes may be performed by selecting a specific bid and then using the “Allocated Capacities” form, or by sending e-Trace an XML file containing the new (altered) bid with the same number as the bid that is to be corrected (overwritten).

The gate closure for sending bids for daily auction for the following business day is daily at 9:45 a.m.

After this gate closure the Auction Office allocates transmission capacity to individual profiles via auction in accordance with the Auction Rules.

The algorithm for allocating capacity is specified in the Auction Rules.

The Auction Office shall publish the results of daily allocations of transmission capacity for the following business day every day at 10:00 a.m.

Users may access the results of the daily allocation of transmission capacity through the “Allocated Capacities” form or by downloading the relevant XML file using the client application. All Users can access summary information on the daily auction results via the “Auction Results Summary” form, which is available to the public as well. This form shows total requested capacity, total allocated capacity, and Auction Price for each hour of the selected day. The Auction Price is the price for all satisfied bids on a given profile and direction in one hour.

B.1.4. Operational limitations

Although the Auction Office and the participating TSOs make all effort to ensure that the daily auction proceeds without interruption, there still exists the possibility of a serious technical problem leading to the daily auction not being held or being cancelled.

Should such a situation prevent the publishing of the offered capacities until 9:45 a.m., the daily auction is not held.

Should such a situation prevent the publishing of daily auction results until 10:15 a.m., the daily auction is cancelled and all sent bids are not honoured.

The Auction Office and/or CEPS (e-Trace operators) shall inform all Users of the occurrence of any such situation.

B.1.5. Evaluation of gained capacities, invoicing data, credit limit

The evaluation is a part of the Coordinated Auction module. It enables the exchange of assessment data associated with billing for gained transmission capacity.
The evaluation of daily reservations of transmission capacity (TC) is based on the total transmission capacity allocated during a daily auction and the auction price valid for individual business hours.
Users can use the "Daily Auction Settlement" form, which contains a daily overview of data resulting from the settlement of transmission capacity for individual profiles and business hours. This overview contains data concerning the profiles on which auctions are realized through e-Trace, as well as the total amount in EUR to be paid by the User. The data becomes available at 2 p.m. on auction days.

Users can see their respective supporting data for invoicing related to all their gained capacity under the "Invoicing" command group. The same set of commands contains the "Credit Limit Overview" function, which can be used to see credit limit available to cover their expected liabilities for participation in daily auctions in a given month.

B.2. Nomination validation (CEPS in its role as TSO)

Nomination validation – (=schedules validation) negotiation concerning the transmission operated by the e-Trace system.

- Scheduling procedure – optional for particular profiles

The following sections apply only for Users who are legally bound by the Agreement on Transmission or if their local regulations define the CEPS e-Trace system as a collector of transmission schedules.

B.2.1. <u>Agreement on transmission using yearly and monthly reserved capacity</u>

Users shall submit their request for negotiation of transmission using the yearly and monthly reserved transmission capacities from auctions by sending a Schedule of Transmission for the subsequent business day no later than the nearest preceding business day.

The Schedule of Transmission contains the following information:

- Identification of the User
- Determination of the trading interval – i.e. the period (dates) for which the Schedule is valid and effective
- Determination of cross-border profile and direction
- Set of 24-hour values (or 23-hour/25-hour values when transitioning to/from daylight savings time) – positive whole numbers indicating transmission in MW to which the automatic validations are applied

Users send their Schedules to e-Trace as follows:

- Either by completing the "Schedule Form" (menu item in the "Coordinated Auction" group),
- Or by sending an XML file containing the Schedule

Validations are performed after the schedule is received by e-Trace. Should the validation find any discrepancy, the schedule is rejected by e-Trace and the User is informed of this without delay via a message in the User account environment specifying the detected problems.
If the validation is successful, the schedule is accepted and the User receives a message to this effect in the e-Trace User account environment.
Each accepted schedule is assigned a number by e-Trace, this number being the transaction number for the transmission arrangement within the sense of the Agreement on Transmission. The number forms part of the receipt confirmation and must be provided during all communications with e-Trace operators.
A previously filed schedule may be modified before gate closure (until D-1 8 a.m.). Such modifications may be performed by selecting a specific schedule and then using the "Overview of Schedules" form or by sending e-Trace a schedule with a previously existing number.

The gate closure for sending schedules is daily at 8 a.m. for the subsequent business day. Following gate closure and if no errors are encountered, all received schedules are saved as arranged transmissions in e-Trace, as per the Agreement on Transmission.

In case of e-Trace outage or any other serious problem preventing the sending of data, Users shall proceed in accordance with Sections A.5.3 and A.5.4

B.2.2. Arrangement for transmission using daily reserved transmission capacity

If a User participated in the reservation of daily transmission capacity and wishes to arrange the transmission utilizing the daily capacity allocated in the daily auction, he/she must send a request for transmission in the form of a Schedule of Transmission in the manner specified in Section B.2.1. The values contained in the request are validated in accordance with the Agreement on Transmission.
The gate closure for sending a transmission schedule for using the daily reserved transmission capacity for the subsequent business day is daily at 1 p.m.
In case of e-Trace outage or any other serious problem preventing the sending of data, Users shall proceed in accordance with Sections A.5.3 and A.5.4. If sending data by fax, it is necessary to use the table format of the schedule.

B.2.3. Matching procedure

e-Trace supports the matching of received transmission schedules to the values of the neighbouring TSOs in accordance with the ESS process. The availability of this function depends on the establishment of an automatic data exchange with the neighbouring TSO. The matching procedure is applied in accordance with the Agreement on Transmission.
The arranged transmissions may be viewed in the "Schedules Confirmation" form showing the state of confirmation following the matching procedure with the neighbouring TSO. In case of mismatch, a local rule is applied on the mismatched schedule in compliance with the Agreement on Transmission.
If this functionality is available on their profile, Users are obliged to check the result of the matching of their schedules. The results of the matching procedure are available in e-Trace after the appropriate matching procedure has been performed.

B.3. User manual

Users have access to e-Trace User documentation describing all system components in detail.

B.4. Summary of regular important events in e-Trace operation

Transmission services		
Time	Day	Description
14:00	D-2	Gate closure for entry of capacity transfers (including the confirmation of transferee)
08:00	D-1	Gate closure for delivery of long-term schedules – defined by the Agreement on Transmission
09:00	D-1	Publishing of offered transmission capacities
09:45	D-1	Gate closure for receipt of bids for daily transmission capacity allocation
10:00	D-1	Publishing of results of the daily transmission capacity allocation procedure
13:00	D-1	Gate closure for delivery of schedules – defined by the Agreement on Transmission (at the time of issue of this version, for CEPS/VE-T, CEPS/PSE-O profiles)
14:00	D-1P	Publishing of daily transmission capacity evaluation

(-) dash = mathematical "minus" sign
Note: D-1P or D+1P means one (1) day before (-) or after (+) a business day (D), where that day is a business day (P). If that day is not a business day, the event will take place on the nearest business day before (-) or after (+) that non-business day.
Individual times of events may be modified as necessary on the basis of an announcement issued by the e-Trace operator according to operating conditions.

Section C. Recommended client workstation configuration for users of e-Trace IS

System requirements for a client computer are as follows:

- Operating system NT 4.0 Workstation/Server + SP6+, 2000 Professional/Server + SP2, XP
- Operating memory 64 MB RAM (Windows NT, 2000, and XP)
- Sufficient space on hard drive: at least 20 MB in Windows 98 and 200 MB in Windows NT/2000/XP
- Microsoft Internet Explorer, version 6.0, open communication ports for http and https protocols
- Microsoft Excel 2000 and installed Client Application
- PDF reader (Adobe Acrobat reader)
- MS XML parser 4.0, Capicom component (in e-Trace/News)
- Installed certificate in the MS Internet Explorer environment