

## Market Participants – System Certification Guide

### Summary:

This document details the required checklists and steps for certification of Market Participants NEM client systems. These checklists apply both to EMC and PA.

**Prepared by** : Hamish McNeish Senior MS Analyst

**Version** : 0.1

### Revision History

Date	Version	Status	Author	Comments
29-May-02	0.1	DRAFT	HAM	Initial Version

---

## Table of Contents

<b>1</b>	<b>INTRODUCTION.....</b>	<b>3</b>
1.1	PURPOSE.....	3
1.2	SCOPE.....	3
1.3	REFERENCES.....	3
1.4	ABBREVIATIONS AND DEFINITIONS .....	3
<b>2</b>	<b>MARKET PARTICIPANT TESTS.....</b>	<b>4</b>
2.1	ENERGY TRADERS .....	4
2.2	MSSL.....	4
2.3	ACCESS TO PUBLIC WEBSITE.....	6
2.4	ACCESS TO TRADING WEBSITE .....	8
2.5	SYSTEM OFFER SUBMISSION .....	10
2.6	BACKUP OFFER SUBMISSION AND SECURE COMMUNICATION.....	12

## 1 Introduction

### 1.1 Purpose

The purpose of this document is to provide the tests and required checklists for certification of the Market Participants systems that interface with EMC's Market Systems.

### 1.2 Scope

This document covers the following tests:

Generators and Retailers

- Access to the Public Website
- Access to the Trading Website
- Ability to submit offers to the NEM System (primary and secondary mechanism)

MSSL

- Ability to supply Meter Reading files (primary and secondary mechanism)

### 1.3 References

---

Reference	Description and Location
[CERTS]	Market Participant - Certificates Guide

---

### 1.4 Abbreviations and Definitions

---

Abbreviation	Description
--------------	-------------

---

## 2 Market Participant Tests

The following tests must be carried out successfully for EMC to certify a Market Participants system. These tests will be carried out in conjunction with EMC based on the tests detailed in the associated Market Manual.

### 2.1 Energy Traders

Tests to be carried out:

- **Section 2.3** Access to Public Website - PUBLIC\_WEB
- **Section 2.4** Access to Trading Website - TRADING\_WEB
- **Section 2.5** System Offer Submission - SYSTEM\_OFFER
- **Section 2.6** Backup Offer Submission and Secure Communication - BACKUP\_OFFER

*Note – The SYSTM\_OFFER and BACKUP\_OFFER tests will only be carried out if the Market Participant will be offering at least one of: Energy, Reserve or Regulation.*

These tests will certify that:

- The Market Participant can access private and public Market Information provided by EMC. Where private information is specific to the Market Participant alone, and is not available to other Market Participants.
- The Market Participant is able to communicate securely with EMC.
- If the Market Participant will be offering energy, regulation or reserve in the new Market.  
The Market Participant is able to submit offers:
  - a) To EMC via EMC's electronic communications system
  - b) To EMC via the backup communication mechanism identified in the associated Market Manual
- The Market Participant is able to receive confirmation of receipt and validation of delivered offers from EMC

### 2.2 MSSL

Tests to be carried out:

- **Section 2.3** Access to Public Website - PUBLIC\_WEB
- **Section 2.4** Access to Trading Website - TRADING\_WEB
- **Section 2.7** Metering File Delivery - METERING\_DELIVERY
- **Section 2.8** Backup Metering File Delivery - BACKUP\_METERING

Note – Currently the Vesting Contract Interface is not scheduled to be tested as the functionality to produce this file has not yet been developed and will not be present at Market Start.

These tests will certify that:

- The MSSL can access private and public Market Information provided by EMC. Where private information is specific to the MSSL alone, and is not available to other Market Participants.
- The MSSL is able to communicate securely with EMC.
- The MSSL is able to provide Metering Data:
  - a) To EMC via EMC's electronic communications system
  - b) To EMC via the backup communication mechanism identified in the associated Market Manual
- If the MSSL will be providing Vesting Contracts to EMC:  
The MSSL is able to submit Vesting Contracts:
  - a) To EMC via EMC's electronic communications system
  - b) To EMC via the backup communication mechanism identified in the associated Market Manual
- The MSSL is able to receive confirmation of successful delivery of information to EMC
- The MSSL is able to confirm receipt of successful delivery of information from EMC

**2.3 Access to Public Website**

<b>Test Reference</b>	PUBLIC_WEB
<b>Version</b>	1.0
<b>Description</b>	The Market Participant is able to access any information that EMC has published on the EMC Public Website.
<b>Participant</b>	

<b>Checklist – EMC</b> All required tasks or actions to be completed by EMC prior to this test	<b>Y/N</b>

<b>Checklist - Market Participant</b> All required tasks or actions to be completed by the Market Participant prior to this test	<b>Y/N</b>

PC configured with internet access	

<b>Test Steps</b> The main steps making up this particular test	<b>Pass/Fail</b>
--	------------------

1	The user can access the EMC corporate website: <a href="http://www.emcsg.com">http://www.emcsg.com</a> from the configured PC.	
---	--	--

**Test Failures and/or General Comments**

Details around all Failed Tests should be listed here, and any other important comments

--	--

<b>Test Pass/Fail</b>	
<b>Date</b>	
<b>Tester</b>	
<b>Signature</b>	

**2.4 Access to Trading Website**

<b>Test Reference</b>	TRADING_WEB
<b>Version</b>	1.0
<b>Description</b>	The Market Participant is able to access information that is available on the EMC Trading Website.
<b>Participant</b>	

<b>Checklist – EMC</b>	<b>Y/N</b>
All required tasks or actions to be completed by EMC prior to this test	
<b>Firewall Configuration</b> Confirm MPs external IP addresses for those PCs that will access the Trading Website. Allow access via HTTPS (port 443) from Market Participants PCs to the Trading Website.	
Issued EMC CA to MP	
Issued Trader Digital Certificate to MP <i>NOTE – Prerequisite that MP's must have applied successfully for at least one Trader Certificate</i>	
<b>Checklist - Market Participant</b>	<b>Y/N</b>
All required tasks or actions to be completed by the Market Participant prior to this test	
PC configured with internet access	
Installed EMC CA certificate into IE Web Browser	
Installed Trader Digital Certificate issued by EMC	

<b>Test Steps</b>		<b>Pass/Fail</b>
The main steps making up this particular test		
1	The user can access the EMC trading website: <a href="https://www.nemsg.com">https://www.nemsg.com</a> .	
2	The user can access the Submission Batches screen	
3	The user can access example Settlement Reports for their company (if test data is available)	
4	The user can access the Market Clearing Reports	



<b>Test Failures and/or General Comments</b>	
Details around all Failed Tests should be listed here, and any other important comments	

<b>Test Pass/Fail</b>	
<b>Date</b>	
<b>Tester</b>	
<b>Signature</b>	

**2.5 System Offer Submission**

<b>Test Reference</b>	SYSTEM_OFFER
<b>Version</b>	1.0
<b>Description</b>	To confirm that Market Participants are able to submit offers to the NEM systems and view the validation of these offers, whether this is via PowerBid or another Offering System solution.
<b>Participant</b>	

<b>Checklist – EMC</b>	<b>Y/N</b>
All required tasks or actions to be completed by EMC prior to this test	
The EMC Checklist for <b>Section 2.4</b> must be completed	
Xchange Sonic Broker configured with a ppropriate routing Node	
Firewall configured to allow access from MPs MPS(s) to port 4500 on the Xchange Server (ensure this includes any MPS IP addresses for any DR sites)	
If MP is using PowerBid, EMC CA certificate issued to MP's PowerBid (as keystore file)	
Confirm that MPs are using DNS for Website and Xchange server address resolution	
<b>Checklist - Market Participant</b>	<b>Y/N</b>
All required tasks or actions to be completed by the Market Participant prior to this test	
The Market Participant Checklist for <b>Section 2.4</b> must be completed	
Installed PowerBid on Trading PC	
Installed and configured MPS software (as per MPS Installation Guide)	
Installed EMC CA in IE Web Browser	
Installed Trader Digital Certificate in IE Web Browser	
Update PowerBid Registry Entry and Submission Conf file to latest Trading Website Address	

<b>Test Steps</b>	<b>Pass/Fail</b>
The main steps making up this particular test	
1 If MP will supply Energy, Trader can: <ul style="list-style-type: none"> <li>- Generate and send an Energy Offer</li> <li>- Confirm receipt of Submission Batch Number</li> </ul>	

2	If MP will supply Reserve, Trader can: <ul style="list-style-type: none"> <li>- Generate and send a Reserve Offer</li> <li>- Confirm receipt of Submission Batch Number</li> </ul>	
3	If MP will supply Regulation, Trader can: <ul style="list-style-type: none"> <li>- Generate and send a Regulation Offer</li> <li>- Confirm receipt of Submission Batch Number</li> </ul>	
4	User can access the Trading Website and view validation of any submitted offers	

<p><b>Test Failures and/or General Comments</b>                  Details around all Failed Tests should be listed here, and any other important comments</p>
--

--	--

<b>Test Pass/Fail</b>	
<b>Date</b>	
<b>Tester</b>	
<b>Signature</b>	

**2.6 Backup Offer Submission and Secure Communication**

<b>Test Reference</b>	BACKUP_OFFER
<b>Version</b>	1.0
<b>Description</b>	To confirm that Market Participants are able to submit offers to the NEM systems via secure email.
<b>Participant</b>	

<b>Checklist – EMC</b>	<b>Y/N</b>
All required tasks or actions to be completed by EMC prior to this test	
Issued EMC CA certificate to MP	
Issued Trader Digital Certificate to MP	
EMC has issued the EMC Helpdesk Public Certificate (*.der file) to the MP. This certificate will be for the email address: <a href="mailto:helpdesk@emcsg.com">helpdesk@emcsg.com</a> .	
<b>Checklist - Market Participant</b>	<b>Y/N</b>
All required tasks or actions to be completed by the Market Participant prior to this test	
Installed EMC CA in IE Web Browser	
Installed Trader Digital Certificate in IE Web Browser	
The user has configured their Email Client for sending secure emails to <a href="mailto:helpdesk@emcsg.com">helpdesk@emcsg.com</a> (as per the installation instructions in the [CERTS] document).	

<b>Test Steps</b>		<b>Pass/Fail</b>
The main steps making up this particular test		
1	MP can send an encrypted and signed email to the EMC helpdesk (containing a correctly formatted offer file)	
2	EMC receive and load the file (reporting the Batch ID via email to the MP)	
3	The MP can then access the Trading Website and view the validation of the Submitted Offer	

**Test Failures and/or General Comments**  
Details around all Failed Tests should be listed here, and any other important comments

--	--

<b>Test Pass/Fail</b>	
<b>Date</b>	
<b>Tester</b>	
<b>Signature</b>	

## 2.7 Metering File Delivery

<b>Test Reference</b>	METERING_DELIVERY
<b>Version</b>	1.0
<b>Description</b>	The MSSL is able to deliver Metering Data to EMC via the automated mechanism, and a confirmation is received from EMC on successful delivery of this file.
<b>Participant</b>	

<b>Checklist – EMC</b>	<b>Y/N</b>
All required tasks or actions to be completed by EMC prior to this test	
<b>Xchange Broker</b> MSSL CA certificate loaded on broker Queue names and security is correctly configured A Connection Port is configured to 4501 using Certificates for authorisation MSSL Routing Node Name(s) configured, ensure DR is configured as well	
<b>Firewall</b> Allow connections from the MSSL's Sonic Server(s) to Port 4501 on the Xchange server	
<b>Checklist – MSSL</b>	<b>Y/N</b>
All required tasks or actions to be completed by the Market Participant prior to this test	
<b>Sonic Broker</b> EMC CA certificate loaded on broker Queue names and security is correctly configured A Connection Port is configured to 2506 using Certificates for authorisation EMC Routing Node Name(s) configured, ensure DR is configured as well	
<b>Firewall</b> Allow connections from the EMC's Sonic Server(s) to Port 2506 on the MSSL Sonic server	

<b>Test Steps</b>		<b>Pass/Fail</b>
The main steps making up this particular test		
1	MSSL can send a Metering File to EMC's systems	
2	EMC's systems provide a confirmation file on receiving the Metering file.	



<b>Test Failures and/or General Comments</b>	
Details around all Failed Tests should be listed here, and any other important comments	

<b>Test Pass/Fail</b>	
<b>Date</b>	
<b>Tester</b>	
<b>Signature</b>	

**2.8 Backup Metering File Delivery**

<b>Test Reference</b>	BACKUP_METERING
<b>Version</b>	1.0
<b>Description</b>	To confirm that the MSSL is able to submit metering files to EMC via secure email.
<b>Participant</b>	

<b>Checklist – EMC</b>	<b>Y/N</b>
All required tasks or actions to be completed by EMC prior to this test	
Issued EMC CA certificate to MSSL	
Issued Trader Digital Certificate to MSSL	
EMC has issued the EMC Settlement Data Public Certificate (*.der file) to the MSSL. This certificate will be for the email address: <a href="mailto:settdata@emcsg.com">settdata@emcsg.com</a>	
<b>Checklist - Market Participant</b>	<b>Y/N</b>
All required tasks or actions to be completed by the Market Participant prior to this test	
Installed EMC CA in IE Web Browser	
Installed Trader Digital Certificate in IE Web Browser	
The user has configured their Email Client for sending secure emails to <a href="mailto:settdata@emcsg.com">settdata@emcsg.com</a> (as per the installation instructions in the [CERTS] document.	

<b>Test Steps</b>		<b>Pass/Fail</b>
The main steps making up this particular test		
1	User can send an encrypted and signed email to the EMC Settlements Account containing the Metering File.	
2	EMC receive the Metering File and email confirmation of receipt to the MSSL.	
3	EMC load the Metering File into the Market Systems.	

**Test Failures and/or General Comments**

Details around all Failed Tests should be listed here, and any other important comments

--	--

<b>Test Pass/Fail</b>	
<b>Date</b>	
<b>Tester</b>	
<b>Signature</b>	