

XBID_JOINT_FAL_01: Incident Management

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Version	Date	Name	Function	Signature

Previous versions

Version	Date	Author	Summary of changes
0.1	27/05/2016		First draft
0.2	20/06/2016	Joint	Review and Clean-up
0.3	17/08/2016	EPEX	HLA draft
0.4	29/09/2016	Joint	
0.5	01/12/2016	Joint	
0.6	15/02/2016	Joint	Flow chart added
0.7	16/06/2017	Auke/Lennart	Overview, flowchart, detailed description updated
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1.1	11/10/2017	O TF	NEMO Emergency closure request added
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1.21	24/02/2019	O TF	Marking of non-regular participants of the IC

1.22	07/03/2019	O TF	Update Annex 4 concerning IC report
1.3	27/03/2019	O TF Chair	Minor textual changes Added task for OPSCOM Chair to share downtimes
1.4	30/05/2019	O TF Chair	Added IC SPOC task to keep track of timings of incident and incident solving
1.4.1	01/07/2019	EPEX/PWG	Added Project Place CC as back up if Join me is not working for IC calls
1.4.2	21/07/2019	O TF Chair	Clean up of tools Added backup for unavailability of IMT
1.4.3.	29/10/2019	O TF Chair	Added task for OPSCOM Chair to inform ID SC on halt of trading Added check in step 13 for scheduled activities missed due to XBID System unavailability
1.5	10/11/2019	O TF Chair	Inclusion of 2 nd wave in annex 3
1.5.1	14/11/2019	O TF Chair	Added IC trigger for Transit Shipping Agent incidents (section 2.2)
1.5.2	17/11/2019	O TF Chair	Added IC trigger for Transit Shipping Agent default (section 2.3)
1.5.3	19/11/2019	O TF Chair	Removed closure of markets from section 2.2.
1.6.1.	16/12/2019	O TF Chair	Described the conditions to trigger an IC and the use of IMT. Extended table for time line of the incident Amended transit shipping agent system incident BSP was added to IC SPOC rotation schema
1.6.2.	17/12/2019	O TF Chair	Aligning wording and abbreviations
1.6.3	27/01/2020	O TF Chair	Adjustment of table for registration of time line of the incident Added sending of XBID_JOINT_12 by IC SPOC on request of Shipping Agent
1.6.4	24/02/2020	O TF Chair	Extension of annex 7 with overview of incident per incident classification
1.6.5	06/04/2020	O TF Chair	Added initial check in section 2.1
1.6.6	22/04/2020	O TF Chair	Update of annex 7 with respect to naming convention of IMT tickets
1.6.7	11/05/2020	O TF Chair	Added provision of evidence of settlement agreement termination to IC SPOC at procedure for Shipping Agent default.
1.6.8	18/05/2020	O TF	Included indication NEMO/TSO in naming convention of IMT tickets (annex 7)
1.6.9	13/07/2020	PWG	Updated section 2.2 to be more coherent with other NEMO procedures

1.7	10/09/2020	OTF Chair	Addressing escalation of Minor tickets in annex 7 Small textual enhancements in section 2.2
1.8	04/10/2020	OTF Chair	Added registration of ICCC participants Added reminder to join for ICCC
1.9	10/12/2020	OTF Chair	Included rules for severity change of tickets in step 8 of section 3.2
1.9.1.	07/03/2021	OTF Chair	Rewriting of step 8 of section 3.2 and inclusion of table with Service Resolution Time for criticality assessment. Unification of reference to Contact List
1.9.2	26/03/2021	OTF Chair	Added annex 8 with relevant 3 rd parties to incidents
1.9.3	25/04/2021	OTF Chair	Extended annex 7 NEMO minor issues with Comtrader unavailability and annex 8 with action holder to contact 3 rd parties
1.9.4	XX/XX/2021	OTF Chair	Clarifications added regarding TSOs participation
	17/06/2021	OTF Chair	Changed primary IC conference call
	23/06/2021	OTF Chair	Clarification regarding TSO participation extended to NEMOs and TSOs (section 2.7) Extension procedure step 6.
1.9.5	16/07/2021	OTF Chair	Included in step 16 the sending of XBID_JOINT_18 to inform parties on the end of the ICCC.
1.9.6	21/10/2021	OTF Chair	Reflected that [REDACTED] also can be the Incident Reporter and accordingly some steps will not be relevant.
1.9.7	16/12/2021	OTF Chair	Correction of Annex 3, adding missing parties GME and TERNA.
1.9.8	09/05/2022	PWG	Correction of chapter 1.3 regarding the conference tools

Remarks

As a general principle, this fallback procedure describes the handling of incidents, which includes the operation of the Incident Committee (IC), the fallback solution to be applied following the procedures, e.g. Closing and re-opening of Interconnectors (XBID_JOINT_EXC_01), Closing and restarting of market or delivery area(s) or trading service (XBID_NEMO_EXC_03) and corresponding local procedures.

Please note:

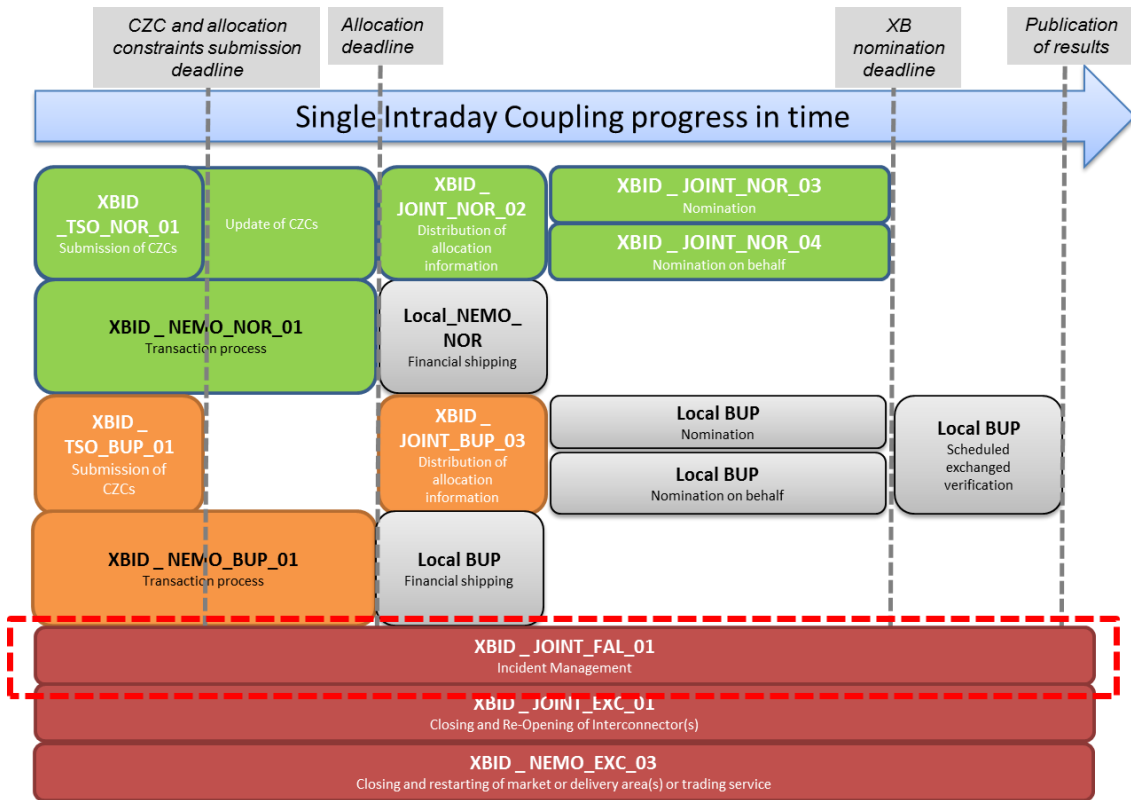
An incident that requires triggering an IC call has the following characteristics: *The issue(s) causing the incident cannot be solved through a (Local) Backup procedure and can thereby breach a deadline (e.g. gate closure or gate opening) of the Single Intraday Market Coupling.*

This procedure assumes that communication to relevant 3rd parties (e.g. CCP, Shipping Agent, Explicit Participants, etc.) is done by the involved TSOs and NEMOs by following their local procedures.

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1. Introduction



In this document the word “incident” refers to an unwanted event in the XBID system, local NEMO or TSO systems connected to XBID or the communications channels connecting them.

In this document:

- the word “issue” refers to the cause, or assumed cause, of an incident.
- the terms NEMOs and TSOs refers to Operational Parties.
- the term “incident reporter” refers to a NEMO, a TSO [REDACTED].

As soon as an incident occurs that impacts any of the Single Intraday Market Coupling processes, an Incident Committee (IC) needs to be started, which will be convened by the IC SPOC. Reasons for starting an IC are when there is an issue in the XBID or local systems that impact the Single Intraday Market Coupling. Examples of reasons to start an IC are listed in Annex 1: Incident List (not exhaustive).

Participants to the IC identify the issue(s), assess and agree on potential solutions.

Please note: Capitalized terms used in the operational XBID procedures have the meaning set forth in Exhibit 1 of the Intraday Operations Agreement (IDOA).

1.1 Purpose

This document provides clear and unambiguous guidelines when an IC may be triggered and guidelines to the IC participants for an efficiently functioning IC through a clear explanation of the IC participants’ roles and responsibilities and the sequence of actions during the IC.

1.2 Governed / Regulated by

- Intra-Day Operational Agreement (IDOA)
- █████ Service Level Agreement (XBID-DSA Hosting, XBID-DSA Maintenance)
- XBID High Level Functional Architecture (HLA) (Exhibit 6 to the IDOA)
- XBID B2B Agreement

1.3 Tools and Communication Protocols

- Email/ Phone/ Internet
- Incident Management Tool (IMT) █████
- GoToMeeting (primary IC conference call)
- Zoom meeting via Project place (backup IC conference call)
- Any other incident management tools used by other service providers

1.4 Associated Procedures and Documents

- Backup procedures:
 - XBID_TSO_BUP_01: Submission of Cross-Zonal Capacities
 - XBID_JOINT_BUP_02: Distribution of allocation information
- Exceptional procedure:
 - XBID_JOINT_EXC_01: Closing and re-opening of Interconnector(s)
 - XBID_NEMO_EXC_03: Closing and restarting of Market Area or Delivery Area(s) or trading service
- Other associated procedures and documents:
 - XBID_NEMO_EXC_01: Trade Recall
 - XBID_JOINT_OTH_02: Internal and External Communications
 - Contact List in Annex of XBID_JOINT_OTH_02
- Possible local procedures for closing of interconnectors/areas and operation of decoupled areas

2. Incident Committee

The IC is only to be triggered for the management of a critical or major incident of the XBID system (described in 2.1), critical or major incident of a Transit Shipping Agent Systems (described in 2.2) and Shipping Agent default (described in 2.3). Any other incident only can trigger the IC when the incident fulfils the criteria described in 2.4.

Depending on the root cause of the incident, there are two triggers to start an IC:

- XBID System related incidents and other incidents for which █████ attendance in the IC is required. When in doubt, please assume █████ needs to attend.
- Other incidents.

2.1. XBID System related Incidents

Initial check

In order to minimize the risk of an IC triggered for local issues any Operational Party experiencing an issue with the XBID System shall first of all (before raising the issue) and as soon as possible:

1. Examine that the issue is not a local issue by local expert and/or IT support
2. Cross check with another party if the issue is local or not, i.e.
 - a. a NEMO contacts the IC SPOC to check if the IC SPOC experiences the same issue and
 - b. a TSO contacts one of its neighbouring TSOs or another TSO using the same configuration
3. Determine the severity of the issue as agreed with [REDACTED], using the tables in Annex 7
4. Check if operations remains disturbed. When operations is no longer disturbed the severity of the issue is to be reduced to minor.

In case [REDACTED] is experiencing an issue with the XBID System initial checks are performed in line with internal [REDACTED] procedures.

Trigger IC

In order to request the triggering of an IC, an incident reporter must first determine the criticality of the incident.

- In case of critical and major incidents experienced by a NEMO or a TSO:
 - The incident reporter calls [REDACTED] and [REDACTED] reports the ticket in the IMT,
 - OR**
 - The incident reporter reports the ticket in the IMT
- In case of critical and major incidents detected by [REDACTED] reports the ticket in the IMT

All defined receivers of NEMOs and TSOs and the IC SPOC automatically receive an invitation for the IC from the IMT (i.e. no need for issuing a separate [REDACTED] message)

- In case of minor incidents
 - The incident reporter reports a ticket in the IMT, but no IC will be started.

For critical and major incidents, the IC SPOC opens and initiates the IC conference call including screen sharing.

NOTE:

- *The screen sharing is only for information purposes, without any responsibility to the IC SPOC.*
- *Please be aware that everybody will receive a notification by e-mail of the reported issue in IMT. Only the initiator of the ticket will receive update notification on the ticket, as well as anybody registered as "watcher" of the ticket.*

Please see Annex 2 which Alarm Tilt messages will trigger an IC and which direct actions have to be taken.

Back up when primary IC conference call is unavailable

If the primary IC conference call is not available, the conference call system from Project Place is to be used.

The call information cannot be distributed via the IMT, so these details need to be distributed by using a separate [REDACTED] message.

Back up when IMT is unavailable

If the IMT is not available

- The incident reporter calls [REDACTED] to report the incident, except where [REDACTED] is the incident reporter;
- The incident reporter calls the IC SPOC to trigger an IC;
- The IC SPOC distributes the [REDACTED] message to all involved parties based on the Contact List of Annex in XBID_JOINT_OTH_02.

Severity of XBID System incidents

There are three levels of severity defined for incidents related to XBID System issues:

Critical: This is the highest level of severity. In case of a critical incident there is a severe functional, non-functional and/or performance impact to the XBID System, such as:

- Inability of users to access functionality or services required to perform a critical business process
- Critical processes, please refer to Annex 6, are not running correctly

An IC is started and [REDACTED] needs to join the IC. [REDACTED] needs to solve issues as soon as possible, at least give a first feedback within 30 minutes (60 minutes for out of office hours¹) after the issue is raised in the IMT (or after the Incident Notification email has been sent to [REDACTED], in case the IMT is not available).

Major: Major Incidents have significant functional and/or non-functional impact, such as:

- Inability of users to access functionality or services required to perform a non-critical business process
- Non-critical processes are not running. The incident cannot be by-passed by users with reasonable effort
- Execution of critical business processes lead to stop or severe errors in non-critical business process

An IC is started and [REDACTED] needs to join the IC. [REDACTED] needs to solve issues as soon as possible, at least gives a first feedback within 60 minutes (2 hours for out of office hours) after the issue is raised in the IMT (or after the Incident Notification email has been sent to [REDACTED], in case the IMT is not available).

Minor: Minor incidents have moderate functional and/or non-functional impact, such as:

- Moderate impact on performance of a none-critical business process, or
- Defect that does not have any impact on a critical business process
- The issue can be by-passed by users with low or reasonable effort without affecting critical business process

¹ Office hours are from 09:00 until 17:00 on business days. Hours outside this time window are 'out of office hours' (the German Bank Holidays are applicable).

- Minor loss of functionality of a non-critical business process where easy workaround is present

The remainder of this procedure focuses mainly on the critical and major XBID System incidents.

2.2. Transit shipping agent system incidents

In case a transit shipping agent² system is having an unexpected outage and the transit shipping agent can no longer fulfil its obligations for timely nomination the transit shipping agent may request for closure of interconnectors.

- The transit shipping agent contacts the IC SPOC by phone. If the IC SPOC on duty cannot be reached the backup IC SPOC is contacted by phone. In the event that both the IC SPOC and the backup IC SPOC cannot be reached by phone, the transit shipping agent sends the request by e-mail to IC SPOC and the backup IC SPOC.
- The IC SPOC (or its backup) requests as soon as possible the relevant TSOs to close the relevant interconnectors, by sending message [REDACTED].
- Next to the request to close the relevant interconnectors the IC SPOC (or its backup) invites as soon as possible all NEMOs and all TSOs for the IC, by sending message XBID_JOINT_01.³
- In case not all relevant borders are closed after 5 minutes since the IC invitation was sent all IC participants should agree on if and when the XBID System trading service will be set to halt until all relevant borders are closed. If XBID System trading service is to be halted, then follow the process described in the case 1: *Setting the service to halt* in the procedure XBID_NEMO_EXC_03.
- Each relevant TSO confirm in the IC the closing of relevant interconnectors and sending message [REDACTED] (ex post info about Interconnector closure)
- Each relevant TSO may inform explicit participants and all NEMO may inform implicit participants by forwarding the message [REDACTED]
- If the XBID System trading service was halted, then as soon as it is confirmed in the IC that all relevant borders were closed by relevant TSOs, IC participants should agree on when the XBID System service is set to trading, following the process described in the case 2: *Setting the service to trading* in the procedure XBID_NEMO_EXC_03.
- If the IC is still ongoing and the issue is solved in the transit shipping agent² system the transit shipping agent informs the IC. The IC SPOC (or its backup) requests as soon as possible the relevant TSOs to re-open the relevant interconnectors, by sending message [REDACTED].
- If the IC has been closed and after the issue is solved in the transit shipping agent² system the transit shipping agent contacts the IC SPOC by phone. If the IC SPOC on duty cannot be reached the backup IC SPOC is contacted by phone. In the event that both the IC SPOC and the backup IC SPOC cannot be reached by phone, the transit shipping agent sends the request by e-mail to IC SPOC and the backup IC SPOC. The IC SPOC (or its backup) requests as soon as possible the TSOs to re-open the relevant interconnectors, by sending message [REDACTED].
- The relevant TSOs apply the process of reopening of interconnectors according to XBID_JOINT_EXC_01 case 2.3.

² A Shipping Agent performing activities in the transit shipping process

³ Transit shipping agent may contact TSOs in parallel.

2.3. Shipping Agent default

In case of default of a Shipping Agent any party affected by this default may request for an IC.

- The affected party (incident reporter) contacts the IC SPOC by phone. If the IC SPOC on duty cannot be reached the backup IC SPOC is contacted by phone. The incident reporter is required to provide a copy of the relevant termination notice to the IC SPOC (or its backup).
- The IC SPOC (or its backup) invites as soon as possible all NEMOs and all TSOs for the IC, by sending message [REDACTED].
- The TSOs will be requested to take immediate actions to effectively isolate the defaulting party by closing relevant borders following XBID_JOINT_EXC_01.
- In case not all relevant borders are closed after 5 minutes since the IC invitation was sent all IC participants should agree on if and when the XBID System trading service will be set to halt until all relevant borders are closed. NEMO CA will then set the service on halt at time agreed by IC participants.
- Each relevant TSO confirm in the IC the closing of relevant interconnectors and sending message [REDACTED] (ex post info about interconnector closure)
- Each relevant TSO may inform explicit participants and all NEMO may inform implicit participants by forwarding the message [REDACTED]
- If the XBID System trading service was halted, then as soon as it is confirmed in the IC that all relevant borders were closed by relevant TSOs, IC participants should agree on when the XBID System service is set to trading. NEMO CA will then set the service to trading at time agreed by IC participants.
- After the issue is solved the IC participants apply the process of reopening of interconnectors according to XBID_JOINT_EXC_01 case 2.3.

2.4. Other Incidents

Other incidents only can trigger the IC when the incident fulfils the criteria:

- concerns one of the critical business processes of trading, capacity allocation or shipping and
- cannot be handled by local or joint backup procedures and
- requires an urgent solution to reach deadlines in the aforementioned processes or consecutive processes depended on the aforementioned processes and
- requires coordination between the parties executing the aforementioned processes.

In order to request the triggering of an IC, an incident reporter contacts the IC SPOC and the IC SPOC invites all NEMOs and TSOs for the IC, by sending the XBID_JOINT_01 message.

The other service providers are [REDACTED] MPLS connection NEMO systems and [REDACTED] MPLS connection TSO systems.

2.5. Responsibilities of the IC SPOC

The IC SPOC opens the IC call and initiates the IC including screen sharing.

During the call, the IC SPOC has the following tasks:

- Convene the IC
- Coordinate the invitation of missing necessary parties (on a Best Effort basis).
 - **Necessary Party/Parties:** Their presence and active cooperation is required during the IC in order to find the solution to the issue(s). This can be a NEMO or TSO or service provider.

- **Affected Party/Parties:** NEMO(s) and/or TSO(s) which is/are affected by the reported issue(s).
- Keep track of the time of the incident and incident solving in the Incident Report.
- Register the parties participating in the IC (multiple times to catch also late attenders)
- Write minutes to be incorporated in the Incident Report and register IC call outcomes in the IMT, unless otherwise agreed in the call.

2.6. Incident Committee timeline

- Invitation to be sent out as soon as possible after request for an IC (by the IC SPOC or IMT).
- Start of the IC within 5 minutes after the invitation has been sent. Subject to the clarification in 2.7 below, it is the responsibility of all individual parties to join the IC.
- Minutes of the IC call to be distributed by the IC SPOC as soon as possible after the IC has ended (typically within two hours).
- Summary and the agreed solution registered in the IMT for [REDACTED] incidents and subsequently the XBID Incident Log, based on the IC minutes.
- Completion of the entry in the XBID Incident Log during the next XBID OPSCOM call.

2.7. Incident Committee Participants

- The invitation shall be sent to all NEMOs and TSOs as soon as an IC is requested.
- In case NEMOs or TSOs deem it necessary to invite other parties (e.g. Shipping Agents, service providers), they can forward the invitation and they will inform in the IC call about it. (see also Annex 8: Relevant 3rd parties to incidents)
- In case of an XBID related incident, a pre-defined [REDACTED] representative will join the call after entering an Incident Record in the IMT.
- As a general rule, NEMOs and TSOs are not obliged to participate to IC but are expected to do so whenever possible. NEMOs and TSOs are obliged to participate to IC on a best efforts basis when they are expressly asked to do so or when their border(s) is (are) concerned. Operational parties are liable regardless they attend the IC or not. The decisions taken and agreed during the IC should be accepted and followed by the parties not present in the IC.
- If it is concluded during the call that the issue is not global or having a severity lower than major, the not affected participants can leave the IC.

3. Procedure

The IC is requested by a NEMO, a TSO or [REDACTED].

3.1. General overview

The table below lists all the required steps and associated deadlines necessary to hold an IC.

#	Process	Deadline	From	To	Tool & Communicati on Protocols	Condition to switch to next step (besides deadline reached)
-	Party check if service provider is involved and contact them if needed	ASAP	Incident reporter	Service provider(s)	Phone/E-mail/ Ticket System	-
-	Before reporting the incident, immediate actions should be taken by operators (see Incident list Annex 1)	ASAP	Incident reporter	-	-	-
-	Party determines criticality (Critical / major / Minor)	ASAP	Incident reporter	-	-	-
1	The Incident Management process starts when there is a major or critical global incident.	-	Incident reporter	Service provider / [REDACTED] helpdesk	Ticket System/Phone	It is clear that it is a major or critical global incident
2	IC SPOC to be informed to start IC	ASAP	Incident reporter	IC SPOC	Ticket System/ Phone	IC SPOC is informed
3	The IC SPOC invites all IC participants and initiates the IC incl. screen sharing.	ASAP	IC SPOC	All Parties	Ticket System and/or Email	[REDACTED] Message has been sent.
4	Start the IC call	max 5 min after step 3	-	-	Phone and Screen Sharing Tool	-
5	IC SPOC checks who is in the call.	ASAP	IC SPOC	-	Phone	-
6	Description of the incident, possible issues and actions already initiated.	-	Incident reporter/ affected Parties	All Parties	Phone	It is clear what the issue(s) is/are and who are impacted.
7	Coordinate immediate actions to be taken (e.g. close a bidding area/ interconnector)	-	Depending on the issue(s)	NEMOs TSOs,CAs or [REDACTED]	Phone Email	Message has been sent.
8	Criticality reclassification	-	Affected parties	-	Phone Ticket System	-
9	Analyze possible solution(s) or service provider investigates how to solve the issue(s)	ASAP	Affected Parties or Service provider	-	Phone	-
10	Agreement on the solution to apply.	-	-	-	Phone	All Parties present in the call agree
11	Apply agreed solution	-	Depending on the issue(s)	-	Relevant system(s)	Agreement by all
12	Reopen IC if this was temporarily closed	ASAP	IC SPOC	All Parties	Email	[REDACTED] Message has been sent. IC call is opened

#	Process	Deadline	From	To	Tool & Communication Protocols	Condition to switch to next step (besides deadline reached)
13	Solution applied successfully	-	Service provider / affected Parties	All Parties	Phone	-
14	Communication towards Market Participants	-	All Parties	Market participants	-	Agree on common communication towards Market Participants
15	End the IC	-	-	-	Phone	Previous step completed.
16	Create, send and upload IC report	Within typically 2 hour after closing IC	IC SPOC	NEMOs and TSOs	Email/Cloud Storage	IC is completed

Table 1: Steps for the Incident Committee

3.2. Process Clarification

A graphical description of the process is provided below.

Before the IC is requested, the affected Party checks if a service provider is involved in the incident. If so, the affected party needs to contact them and if applicable, their ticket system needs to be updated. There are three service providers for central systems involved in XBID [REDACTED]

It could be the case that the affected party doesn't know if a service provider is involved, or how many. In this situation it will be further investigated in the IC.

In case of a [REDACTED] issue, the issue reporter calls [REDACTED] and [REDACTED] reports the ticket in the IMT or the issue reporter reports the ticket in the IMT. To fill the summary of the incident in the IMT ticket, the incident reporter can use the standard message templates which are described for several incidents in the Annex 1: Incident List.

As soon as the ticket is registered in the IMT and the severity is critical or major, all Parties receive an e-mail with an invitation to the IC in line with JOINT_OTH_02, initiated by the IC SPOC.

Before reporting the incident to IMT and/or the IC SPOC, immediate actions should be taken by Operators to prevent further impact (e.g. closing an interconnector(s) or Market Area(s)). See Annex 1 for the incidents list on what action to take. These steps are coloured grey in Table 1 because these are pre-steps of this Incident Management procedure.

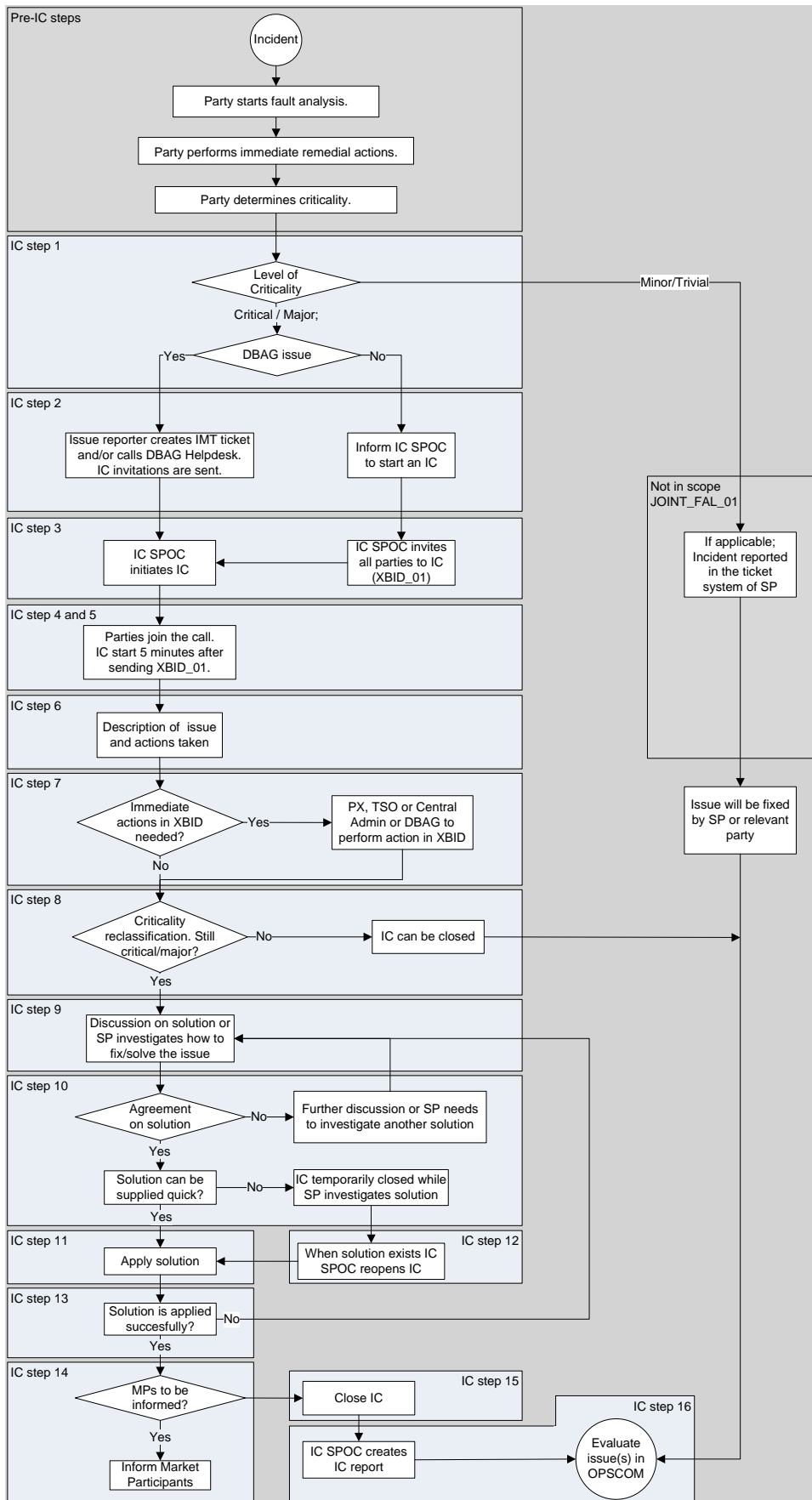


Figure 1 Incident Management flow chart

1. The Incident Committee process starts when there is a major or critical global incident.

Only a major or critical incident will trigger the Incident Committee process.

In case of minor or trivial incidents, if applicable, raise an incident ticket in the ticket system* of the service provider. The respective incident reporters will follow up minor incidents and communicate with the service provider about the solution of the issue(s). The minor incidents will further be evaluated in the OPSCOM.

Phone numbers to reach the respective service providers' help desks:

[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]

[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]
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[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]

*In case the ticket system [REDACTED] is not available, in addition to the call [REDACTED], an incident notification e-mail needs to be sent to [REDACTED] and all involved parties based on the Contact List in Annex of XBID_JOINT_OTH_02. For critical and major incidents, when receiving the e-mail, the IC SPOC opens and initiates the IC conference call including screen sharing.

2. IC SPOC to be informed to start IC

- **██████ incident:** the NEMO/TSO having an incident, calls the IC SPOC to start the IC. The Party who reports the incident, is also referred to as the incident reporter.
- **XBID System issue⁴:** the IC SPOC, NEMOs and TSOs will be informed ██████ via the IMT. In case IMT is not working, ██████ will send an e-mail to the IC SPOC.
 - In case the Minor issue has been escalated to the Major or Critical, the IMT will not inform the parties about a need to start IC, instead ██████ will contact IC SPOC directly.
- **Service provider involvement:** the incident reporter informs the IC SPOC if a service provider needs to be invited and, if yes, whom of the service providers to invite (it could be multiple service providers). It could be that a ticket needs to be created by the related service provider or its contracting party, in adherence to the procedures agreed with the respective service providers.

3. The IC SPOC invites all IC participants and initiates the IC incl. screen sharing

The IC SPOC invites all Parties to the IC by sending the XBID_JOINT_01 message and initiates the IC. In case ██████ is involved, the IC SPOC will not send an invitation to all the parties directly, but the invitation will be sent automatically by e-mail from the IMT. For critical and major issues the IC details will be provided in this message from the IMT.

In parallel the screen sharing is initiated by the IC SPOC. The screen sharing is only for information purposes, without any responsibility to the IC SPOC.

If ██████ is not directly involved to the incident, but still are needed, they are also invited to the IC. This needs to be done by registering an incident in the IMT and calling ██████. This will be organized by the IC SPOC, meaning the IC SPOC will do this or the IC SPOC will ask another party (e.g. the affected party) to do this.

If **another service provider** needs to be invited, this can be done by the party that thinks this is relevant, after notifying the IC SPOC.

4. Start the IC

At the latest 5 minutes after sending of the invitation, the IC will be started by the IC SPOC. Anyone who joins the IC after 5 minutes, will join silently in order not to disturb the IC.

5. IC SPOC checks who is in the call.

IC SPOC registers who joined the IC. Later-joining participants are registered by the IC SPOC at its earliest convenience. Subject to the clarification in 2.7 above, it is the individual responsibility of all Parties to join the IC and to stay in the call and make their attendance known.

At any time the IC SPOC may remind parties to join the IC by sending the ██████ message, e.g. after 10 minutes when parties are still missing or when a particular party is needed in the call.

6. Description of the incident and actions already initiated

The incident reporter/affected Parties and/or service provider provide information about the issue. If more Parties are impacted, they need to describe the issues they are experiencing. Furthermore, the actions that already were initiated are presented.

The Incident Reporter/affected parties update/s the IMT ticket when additional information is available. The objective is that the ticket should contain all up to date information that is relevant to the incident.

IC SPOC captures the Incident Reporter/affected parties and the IMT ticket for inclusion in the IC Report and XBID Incident Log.

The provided information relevant to the incident allows each Party to consider the need of its participation in the IC. Any Party not needed in the IC may leave the IC silently at any time in order not to disturb the IC.

7. Immediate actions to be taken

Any immediate actions deemed necessary (e.g. close a Bidding Zone/ interconnector) can be taken by the appropriate Party as decided in the IC (e.g. by applying the respective procedures XBID_JOINT_EXC_01 and NEMO_EXC_03). Please see Annex 2 for which Alarm Tilt messages will trigger an IC and some guidance on which direct actions are to be taken.

NEMO’s request: The emergency closure of an interconnector by a NEMO’s request is considered as a major/critical issue and will trigger an IC, unless agreed differently by the involved parties when it concerns a local issue. The closure of the interconnector should be performed as part of the immediate actions.

8. Criticality Reclassification

Correct classification of the incident is a main driver for the time to follow up on the incident and the delivery of a solution. Incorrect criticality may delay the Service Provider's investigation. Doubtless incorrect incident classification shall be corrected during IC.

Any party affected by the incident shall consider the consequences of the incident and the timeframe within the fix needs to be delivered by the Service Provider.

Incident severity	Service period	Service Resolution Time (SRT)
██████	Prime Time ⁵	██████
	Non Prime Time ⁶	██████
██████	Prime Time ⁵	██████
	Non Prime Time ⁶	██████████████
██████	Prime Time ⁵	██

⁵ Prime Time is defined as the hours between 9:00h and 17:00h on Business Days

⁶ Non Prime Time is defined as any time outside of Prime Time

	Non Prime Time ⁶	■
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In case the parties in the IC are not sure about criticality assessment, the request for re-classification is to be submitted to the OPSCOM for validation. The course of the validation is to be recorded in IC report.

The IC SPOC is responsible for steering the validation process from SIDC side during the IC, especially upon a criticality re-classification request from the Service Provider, taking into account CBPs assessment and expectation of affected parties on Service Resolution Time.

Any disagreement on correctness of the classification is to be handled outside the IC. In this case the IC SPOC shall inform OPSCOM members listed in OPSCOM Tab of Contact List in Annex of XBID_JOINT_OTH_02 and ask to evaluate and potentially reconsider the classification of the incident within one Business Day.

In case the criticality is re-classified to minor or trivial, the IC will be closed.

9. Analyse possible solution(s) or service provider investigates how to solve the issue

The service provider investigates how the issue(s) can be fixed. If it is not a service provider related issue, the parties analyse how to solve the issue.

10. Agreement on the solution to apply

Issue(s) related to a service provider

The service provider presents a solution, and if the Parties agree with the solution, the service provider can start applying the solution. The service provider will give an estimate how quick the solution can be implemented. If the solution can't be implemented quickly, the IC will be temporarily closed for the estimated time to solve the issue(s).

The proposed solution needs to be unanimously accepted by all affected Parties. If the solution is not accepted, the service provider needs to continue investigating a solution for the issue(s). The Party/ies that does not accept the solution has to explain very clearly their reasons. If the Parties still cannot agree to a solution in the IC, the IC SPOC has to escalate the issue(s) to an **ad hoc OPSCOM** in adherence to article 7.2 of the IDOA. Please note that organizing an ad hoc OPSCOM call might not be possible until the next business day.

If the service provider cannot support in solving the issue(s), then the Parties need to come to an agreement on an alternative solution.

Issue(s) not related to a service provider

After finishing analysing possible solutions, affected Parties will agree on a solution. If the agreed solution cannot be implemented quickly, the IC will be temporarily closed for the estimated time to solve the issue.

The agreed solution needs to be unanimously accepted by all affected Parties. If the suggested solution is not accepted, new solution(s) needs to be analysed for solving the issue(s).

The Party/ies that does not accept a solution has to explain very clearly their reasons. If the Party/ies still cannot agree on a solution in the IC, the IC SPOC has to escalate the issue(s) to an

ad hoc OPSCOM in adherence to article 7.2 of the IDOA. The party/ies still not accepting the solution has (have) to assume the responsibility of the delay due not applying the solution, in case this is judged as unreasonable⁷.

11. Apply agreed solution

The agreed solution will be applied by the service provider or by (a) party/ies (NEMO/TSOs).

12. Reopen IC if this was temporarily closed

When in step 10 it was decided that the IC could be temporarily closed, it can be reopened when the solution is applied. To re-open the IC, the IC SPOC sends a new [REDACTED] message.

The IC SPOC resends the IC invitation; the parties join as soon as possible the IC.

13. Solution applied successfully

The service provider or the party/ies (NEMO/TSOs) has/have successfully applied the solution. Any immediate actions taken due to the incident (e.g. closing of a bidding area/ interconnector) can be deactivated (e.g. by applying the respective procedures XBID_JOINT_EXC_01 and NEMO_EXC_03). Please note that the timings of certain actions (e.g. re-opening of markets) need to be coordinated as part of the IC.

If XBID System components have been down the service provider and the parties (NEMOs/TSOs) have to check whether automated activities scheduled during unavailability of the system components have been completed or not.

If the solution has not been successfully applied, the process will go back to step 9 and the service provider needs to investigate another solution or the parties need to discuss another solution following the procedures.

14. Communication towards Market Participants

If the issue(s) had impact on the Market, a message needs to be sent to the Market Participants (see XBID_JOINT_OTH_02: Internal and External Communications).

15. End the IC

The Incident Committee will be closed as soon as there is no coordinated action needed anymore between the parties and it is jointly agreed to close the IC.

Before closing, the NEMOs and/or TSOs decide if an ad-hoc OPSCOM is needed, e.g. if there is a need for a change request in order to close an incident.

If needed, the issue will be further discussed in the **(ad-hoc) OPSCOM**, where finally the closure of an incident will be decided on. Please note that in case changes have to be introduced as a result of an incident, these have to follow the Change Control Procedure as described in XBID_JOINT_OTH_03.

⁷ Please note that in the end, the ID SC decides what should be considered (un)reasonable.

On best effort basis, at the end of the ICCC the IC SPOC sends message [REDACTED] to inform all parties on the end of the ICCC in order to ensure that parties will not follow up anymore on the invitation to join ICCC and to avoid that parties will unnecessarily wait for the ICCC to start.

16. Create, send and upload IC report by IC SPOC

The IC SPOC will create the IC report and after finalizing will send the report to all NEMOs and TSOs. The IC SPOC will also upload the IC report to ProjectPlace here:

[REDACTED] Both actions need to be done within typically 2 hours after closing the call (See Annex 3 for the template). The involved parties need to review, and if applicable, update the report (on ProjectPlace).

The IC SPOC will include the incident in the XBID Incident Log to ProjectPlace here:

[REDACTED], which subsequently needs to be updated by the Incident Reporter.

If [REDACTED] was involved in the incident, the IMT needs to be updated by [REDACTED] and/or the Incident Reporter with the relevant information discussed in the IC.

The OPSCOM Secretary will download the report as a pdf from the IMT when the incident record is completed, and will store it to ProjectPlace here:

[REDACTED] where also the centralized XBID Incident Log is located.

4. IC SPOC Calendar

Rotation schema

IC SPOC role is rotated in the alphabetical order between the NEMOs providing the service:

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

[REDACTED] The party acting in the role provides the service 24 hours a day and 7 days in a week. Bank holidays and weekends are treated as standard business days.

Role shift during ongoing IC conference call

Party acting as IC SPOC at the moment of receiving the IMT invitation information is responsible for supporting the whole IC conference call and actions related to the incident that has been raised until the call is closed even if the time when the IC SPOC role is shifted to other party is reached.

Back-up IC SPOC

In case the party acting as IC SPOC cannot support the IC process, the back-up IC SPOC will temporary act in the IC SPOC role. The back-up IC SPOC role is passed to the next party every [REDACTED]. The party acting in the role has to be ready to provide the back-up service 24 hours a day and 7 days in a week. Bank holidays and weekends are treated as standard business days.

Annex 1: Incident list (possible scenarios)

Please note that this list containing possible incidents is not exhaustive and is only meant to provide background information that can help operator prepare for incident management.



Annex 3: IC report template

INCIDENT COMMITTEE REPORT			
Written by			
Conf. Call Number			
IC Date & Time	Date		
	Start time		
	(Suspension time)		
	End time		
List of Attendees	IC SPOC	Name	
NEMOs	NEMO CA	Name	
	BSP		
	CROPEX		
	EPEX		
	GME		
	HUPX		
	IBEX		
	Nord Pool/EMCO		
	OMIE		
	OPCOM		
	OTE		
	TGE		
	TSOs		
		50Hertz	
Amprion			
APG			
AST			
	CEPS		

<i>Other</i>	Elering	
	ELES	
	Elia	
	Energinet	
	ESO	
	Fingrid	
	HOPS	
	LitGrid	
	MAVIR	
	PSE	
	TEL	
	REE	
	REN	
	RTE	
	Statnett	
	SVK	
	TenneT NL	
	TenneT DE	
	TERNA	
	Transnet BW	
	

	
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TIME LINE OF THE INCIDENT

System failure	yyyy/mm/dd hh:mm
Triggering of IC	yyyy/mm/dd hh:mm
System recovered	yyyy/mm/dd hh:mm
Green light from [REDACTED]	yyyy/mm/dd hh:mm
Green light from all parties to start trading	yyyy/mm/dd hh:mm
Restart of trading	yyyy/mm/dd hh:mm

INCIDENT DESCRIPTION & ANALYSIS

Describe the incident step by step and include the timings of each step. The description starts ASAP and ends when the IC is closed.

Describe the issue, based on an analysis.

PROPOSED SOLUTION(S)

Describe the proposed solution(s), based on analysis.

DECISION

Register:

- *solution chosen*
- *the party(ies) responsible for applying it*
- *time at which decision is made*
- *need for ad hoc OPSCOM?*

OTHER ISSUES

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REPORT APPROVAL DATE	
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Annex 4: Rules of Internal Order

Mission

Tasks of the Incident Committee

The Incident Committee (IC) is responsible for performing the tasks described hereafter with the explicit intent to manage Incidents that form a risk for the operation of the Single Intraday Coupling (SIDC).

The IC is entitled to take all measures necessary, including closing (parts of) the SIDC by closing of:

- Interconnectors,
- Market Areas,
- Delivery Areas, and
- Trading Services.

The IC only has the power to apply the XBID operational procedures. The IC is entitled to take decisions on measures to take if a procedure does not foresee such a particular incident. For such a situation, it will be considered whether the procedures have to be updated.

Reporting and external communication

The IC reports to the OPSCOM on incidents by means of the IC report (meeting minutes).

As there are no regular or planned meetings and the IC meets only when incident committee conference call is triggered, no other reports or external communications are expected.

The IC report is created by the IC SPOC during the IC using the IC report template in Annex 3: IC report template. After the IC the IC reported is completed by the IC SPOC.

The IC report is made available by the IC SPOC in the [IC reports folder](#). The naming convention for the IC report is "Incident Report YYYYMMDD_HHMM.docx".

Organization and functioning rules

Incident Committee composition and functioning

In the IC, the following roles are distinguished:

- Member
 - representatives of Operational Parties (TSOs members, NEMOs members) with voting rights (subject to the clarification in 2.7 of the main text of procedure XBID_JOINT_FAL_01: Incident Management)
- Incident Committee Single Point of Contact (IC SPOC)
 - The IC SPOC role is provided by several NEMOs on a rotational basis as described in XBID_JOINT_FAL_01, Chapter 4
 - Note:

- The IC SPOC role does not have voting rights, however the person taking the IC SPOC role can also participate as Member
 - The system provider [REDACTED] refers to this role as “Hosting Service Coordinator”
- Invited Participants with no voting rights: in case considered of added value, the invitation for joining an Incident Committee call shall be extended to:
 - Service provider [REDACTED]
 - Other third parties
- Parties having notified to the ID SC their intention of going live in the subsequent LIP Go-Live
 - representatives of Parties having notified to the ID SC their intention of going live in the subsequent LIP Go-Live, without voting rights. As indicated in the main body of IDOA (Article 12.4):

“Only Operational Parties and the Parties having notified to the ID SC their intention of going live in the subsequent LIP Go-Live may attend the Incident Committee in accordance with the Joint XBID Procedures. The latter Parties are allowed to follow the discussions, but without the possibility to participate in the discussion and the voting. Should it appear that the participation of the latter Parties leads to disruptions in the Incident Committee calls, their participation will be re-evaluated by the ID SC.”

All participants are invited to attend the Incident Committee, either as members or as invited participants. Observers have to remain silent during the IC.

The list of IC members is held by the OPSCOM Secretary and stored in the cloud.

Each Party has to ensure that their voting representative in the IC has all necessary powers and authority to take decisions binding upon their company for the items for which the IC is held. Each Party has the right to give a power of attorney to another Party to represent it at such in an IC.

There are no regular planned meetings for the IC. The IC meets only when critical and major incidents occur. Each member commits to be present or represented at any IC meeting, when affected. Each member has to join the IC within 5 minutes after the session invitation has been sent.

Decisions are taken through unanimity.

The decisions of the IC are recorded in minutes which are circulated to the members of the IC as soon as possible i.e. typically within 2 hours, but not sooner than the IC concludes and is closed. The decisions and minutes of an IC cannot be objected by a Party/Parties not participating in that IC. Party/Parties participating in that IC can only object the minutes if they do not reflect the decisions taken or discussions conducted.

The IC SPOC will:

- prepare the IC report (meeting minutes) (cf. XBID_JOINT_FAL_01, Annex 3.) from the IC and
- upload the IC report [REDACTED]
- update the Incident Log with the IC information
- send it to all IC members and the OPSCOM.

The OPSCOM chair will:

- register any downtime of the XBID solution in the XBID Incident log (see Annex 5: XBID Incident Log).
- Inform the ID SC on incidents leading to halt of trading via informative e-mail.

The OPSCOM is entitled to propose to the ID SC changes in the XBID Incident Committee Rules of Internal Order.

Rules for participants of the Incident Committee conference call

- Attend as soon as possible;
- Participants shall announce themselves by stating both their company name and personal name;
- When feasible use the screen sharing to get a view on the status of the incident;
- Late attenders (after the requested 5 minutes) to indicate their attendance at an appropriate moment to avoid disturbance of the incident handling;
- Participants shall put themselves on mute when not actively contributing to the discussion/ incident handling;
- Nobody may put the conference call on hold;
- When a party is temporarily leaving the call for local incident handling and the incident committee is waiting for their return, it must be indicated by when the return is expected;
- When a party is leaving the call for local incident handling and it is expected that the call cannot proceed for a while, the IC SPOC may decide to end the call. All participants are expected to follow up on the invitation for a new call later on;
- All participants shall focus to find a solution for the incident and a swift termination of the incident committee.

Annex 5: XBID Incident Log



Annex 6: Critical Business Processes



Annex 7: Guidelines for registration of tickets in IMT

The Incident Management Tool (IMT) is only to be used to address incidents which are caused or expected to be caused by the XBID System and to address other incidents which require direct involvement ██████ in finding a temporarily or final solution for the incident.

- Incident Classification (see tables below for agreed classification of incident)
Any ticket raised via the options *Critical Incident* or *Major Incident* will automatically trigger the Incident Committee. Any *Critical* or *Major* incident which is not supposed to trigger the Incident Committee is to be created via the "Report a problem or a bug" option in IMT.
- Any ticket raised via the options *Critical Incident* or *Major Incident* may only refer to incidents in the production environment.
- Any ticket raised via the options *Critical Incident* or *Major Incident* must be shared with XBID-ALL. The sharing with XBID-ALL is also required for Minor Incident which are escalated to *Critical Incident* or *Major Incident*.
Note: In case a private Minor Incident is to be escalated which holds confidential information the private Minor Incident itself is not to be escalated but a new ticket is to be raised via the options *Critical Incident* or *Major Incident* which is to be shared with XBID-ALL.
- In order to provide all parties a good understanding of the incident and the relevance of the incident for their own operations the following elements have to be reflected in the title of the ticket:
 - Kind of the issue/ticket type
 - XBID-component/module
 - Name of the Critical Business Process or interface
 - Reporting Party, including an indication "NEMO" or "TSO"
 - Issue encountered

For readability it is recommended to use a separator between the elements, e.g. dash or slash.

Kind of issue	Module	Critical Business Process or Interface	Reporting Party
Minor Incident	SOB	WebGUI	EPEX (NEMO)
Major Incident	SM	PMI	EMCO (NEMO)
Critical Incident	CMM/CMI	SFTP	OMIE (NEMO)
Bug/Problem	Alarm Tilt	Mailing	APG (TSO)
Service Request		Webservice	CEPS (TSO)
		Pre-Allocation	...
		ATC Calculation	
		Implicit/Explicit Allocation	
		Netting	
		Matching	
		Post-allocation	
		NTC Calculation	
		Capacity update	

		Trade Cancellation	
		Trade Recall	
		Local View Update	
		LTS Issue	
		Trade Report	
		Other Report	
		ComTrader	
		Inbound/Outbound Files Distribution	

Examples of the IMT ticket title according to the convention:

- Major / CMM / Post-allocation / Statnett (TSO) / NSF files not available in SFTP
- Critical / ComTrader, SOB / Matching / OMIE (NEMO) / ComTrader down
- Critical / SOB / Trade Recall / EMCO (NEMO) / Capacity is not updated

Agreed classification of incidents

Critical issues	
NEMOs	TSOs
Capacity not released to/updated in SOB	CMM communication channels down
Connection SOB – CMM down	Incorrect ATC calculation or ramping restriction not included
Order status update not sent by SOB	Netting not correctly applied in ATC calculation or Net Positions
Trade confirmation not sent by SOB	Incorrect content of CMM outbound file
Trade Status Update is not sent	Generation of allocation files is not taking place
Recall request can't be sent for one specific trade or party	A single triggering event doesn't trigger subsequent actions
Capacity update not sent by SOB	Incorrect or incomplete content of Shipping Module file
Local view update not send by SOB	Shipping Module communication channels down
Incorrect or incomplete content of Shipping Module file	
Shipping Module communication channels down	

Major issues	
NEMOs	TSOs
Order with a particular attribute or value can't be submitted or modified	Content of NTC files is corrupted by CMM
A single communication channel for Shipping Module is not working.	Content of CAS/CBS files is corrupted by CMM
	Border doesn't open at predefined opening time
	Upload of all file types in CMM is not possible
	A single communication channel for CMM is not working.
	A single communication channel for Shipping Module is not working.

Minor issues	
NEMOs	TSOs
SM receives no Acknowledgements	Missing Acknowledgement from CMM
Comtrader is unavailable	Download via WebGUI is not possible
	PMI-CMM is down
	Upload of single file type is not possible
	WebGUI Request is not possible
	PMI requests/responses are unavailable
	Generation of ATCs file is not possible
	SM receives no Acknowledgements

Annex 8: Relevant 3rd parties to incidents

A part of the incidents potentially at hand during the IC have their root cause at a 3rd party (e.g. service providers). The overview below indicates the issues which can have their root cause at a 3rd party. This may require the 3rd party to join the IC or to be contacted in parallel of the IC by the action holder mentioned in the table.

	Potential issue	Action holder
	<ul style="list-style-type: none"> • Loss of NEMO's MPLS connection 	<ul style="list-style-type: none"> • Affected NEMO
	<ul style="list-style-type: none"> • Loss of TSO's MPLS connection 	<ul style="list-style-type: none"> • Affected TSO
	<ul style="list-style-type: none"> • Disconnection of LTS from SOB • Malfunctioning of the LTS 	<ul style="list-style-type: none"> • Affected NEMO
	<ul style="list-style-type: none"> • ECP node unavailable • Local ECP End Points disconnected from ECP node 	<ul style="list-style-type: none"> • Affected TSO
	<ul style="list-style-type: none"> • Malfunctioning of the ECP node • Connectivity issues of the ECP node 	<ul style="list-style-type: none"> • Affected TSO
	<ul style="list-style-type: none"> • High load of OCC-ACK files from ETP to XBID where not caused by ENTSO-E (ETP) 	<ul style="list-style-type: none"> • TSOs
	<ul style="list-style-type: none"> • High load of OCC-ACK files from ETP to XBID • Negative Acknowledgments on OCC files due to mismatch in configuration 	<ul style="list-style-type: none"> • TSO
	<ul style="list-style-type: none"> • Delivery of incorrect AAC or NTC files • High load of AAC or NTC files • High load of ACK files on outbound XBID files 	<ul style="list-style-type: none"> • Involved TSO
	<ul style="list-style-type: none"> • High load of Allocation Requests • High load of connections affecting performance • High load of GUI requests to CMM 	<ul style="list-style-type: none"> • TSO operating the affected border