

TECHNICAL IMPLEMENTATION OF BUSINESS PROCESS

The Authorization to Post Imbalances is used to initiate the process of posting imbalances. It is sent from a service requester, or their agent, to the transportation service provider. This authorization instructs the transportation service provider to “post” the service requester’s imbalances. Posted imbalances can be viewed or, upon request, downloaded by other service requesters, or their agents. A transportation service provider will continue to post the service requester’s imbalances until the authorization to post imbalances is rescinded by the service requester.

SAMPLE PAPER TRANSACTION

The following example illustrates a paper transaction for the Authorization to Post Imbalances:

Authorization to Post Imbalances

Transportation Service Provider: General Pipeline (333222555)

Service Requester: Omega, Corp (222333444)
 Contact Name : Orville Omega
 Contact Phone: 999-555-4325

Authorization Effective Date: March 24, 2001
Authorization Indicator: Yes

Contract Holder Beta, Inc. (666555444)

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The Posted Imbalances Download is a listing of all posted imbalances on a transportation service provider's system that have been authorized for posting. It is sent from the transportation service provider to the data requester in response to an Upload of Request for Download of Posted Data Sets that requested the Posted Imbalances Download.

The **posted imbalance quantity** is expressed as a positive whole number. The **imbalance direction indicator** is used to designate whether the quantity is due to the service requester or due from the service requester.

SAMPLE PAPER TRANSACTION

The following example illustrates a paper transaction for the
Posted Imbalances Download:

Posted Imbalances Download

Transportation Service Provider: General Pipeline (333222555)

Imbalance Period: June 2001

Statement Date/Time: July 12, 2001 / 10:00 a.m.

Operational Impact Area: OA1

<u>Service Requester / Contract Holder</u>	<u>Imbalance Quantity</u>	<u>Imbalance Direction</u>
Alpha Services (999888777) / Alpha Services (999888777) Contact Name: Mary B. Service Contact Phone: 999-555-1212 *****	100	Due To Svc Req
Omega, Corp. (222333444) / Beta, Inc. (666555444) Contact Name: Orville Omega Contact Phone: 999-555-4325 *****	300	Due From Svc Req
Gamma Tech. (555444333) / Gamma Tech. (555444333) Contact Name: Gary Gamma Contact Phone: 999-555-2222 *****	500	Due From Svc Req
Delta Dist. (444333222) / Delta Dist. (444333222) Contact Name: Delta Burque Contact Phone: 999-555-3322	800	Due To Svc Req

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The Request for Imbalance Trade is used to initiate the process of trading imbalances. The party submitting the request to the transportation service provider is identified as the **initiating trader**. The initiating trader provides the specifics of the trade for both the initiating trader and the party with whom they are proposing to trade, the **confirming trader**.

The contract holder is the party to whom the imbalance has been assigned. In the situation where the transportation service provider has the business practice of netting imbalances across contract holders for a single agent, the agent becomes the party listed as the contract holder.

The **imbalance trade tracking id** originates in the Request for Imbalance Trade. It is line item specific and is used to tie the Request for Imbalance Trade to the Request for Imbalance Trade Quick Response, the Request for Confirmation of Imbalance Trade (a mutually agreed data set), the Imbalance Trade Confirmation and the Imbalance Trade Notification. It is neither validated by the receiver of the process, nor is it used as a key in the receiver of the process' data base.

The **trade quantity requested** is expressed as a positive whole number. The **imbalance trade direction indicator** is used to designate whether the quantity is being traded:

- TO the initiating trader FROM the confirming trader, or
- FROM the initiating trader TO the confirming trader.

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The Request for Imbalance Trade Quick Response is the response to the Request for Imbalance Trade. It is sent from the transportation service provider to the initiating trader. The quick response informs the initiating trader of any errors or warnings associated with the Request for Imbalance Trade.

The **transaction status code** informs the receiver of the status of the entire Request for Imbalance Trade transaction. It also indicates the presence or absence of warnings and/or errors. **Validation codes** specify any errors or warnings. All validation codes may have an associated **validation message**. The validation message is a free form text field used to further clarify the validation code.

The **imbalance trade tracking id** used in the quick response originates in the Request for Imbalance Trade. It is sent in the quick response when there is an error or warning that pertains to a specific imbalance trade. If there is no error or warning associated with an imbalance trade, then the tracking id for that trade is not sent in the quick response.

SAMPLE PAPER TRANSACTION

The following example illustrates a paper transaction for the Request for Imbalance Trade Quick Response:

Request for Imbalance Trade Quick Response

Transportation Service Provider: General Pipeline (333222555)

Transaction Status Code: Accepted

Initiating Trader

Confirming Trader

Delta Dist. (444333222)

Omega Corp. (222333444)

Contract Holder: Delta Dist.
(444333222)

Contract Holder: Beta, Inc.
(666555444)

Imbalance Period: June 2001

TECHNICAL IMPLEMENTATION OF BUSINESS PROCESS

The Withdrawal of Request for Imbalance Trade is used when the initiating trader decides to withdraw an imbalance trade. It is sent from the initiating trader to the transportation service provider.

An imbalance trade can be withdrawn only if the confirming trader has not confirmed the imbalance trade.

The **imbalance trade tracking id** used in the Withdrawal of Request for Imbalance Trade originates in the Request for Imbalance Trade. It identifies the specific trade being withdrawn.

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The sending of the Request for Confirmation of Imbalance Trade is optional. If the transportation service provider chooses to support it, then the request will be sent from the transportation service provider to the confirming trader. The Request for Confirmation of Imbalance Trade requests confirmation from the confirming trader of a valid Request for Imbalance Trade that has been received and processed by the transportation service provider.

The **imbalance trade tracking id** used in the Request for Confirmation of Imbalance Trade originates in the Request for Imbalance Trade. It identifies the specific trade for which confirmation is being requested.

The **trade quantity requested** is expressed as a positive whole number. The **imbalance trade direction indicator** is used to designate whether the quantity is being traded:

- TO the initiating trader FROM the confirming trader, or
- FROM the initiating trader TO the confirming trader.

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The Imbalance Trade Confirmation is used by the confirming trader to indicate whether the imbalance trade has been accepted or rejected. It is sent from the confirming trader to the transportation service provider.

The confirming trader may not change any of the terms of the imbalance trade. The Imbalance Trade Confirmation must be received by the transportation service provider prior to the closing of the transportation service provider's imbalance trading period, or the imbalance trade will not take place.

The **imbalance trade tracking id** used in the Imbalance Trade Confirmation originates in the Request for Imbalance Trade. It identifies the specific trade being confirmed.

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~~The Imbalance Trade Notification transaction set is the response to the Imbalance Trade Confirmation. If there are any errors in the Imbalance Trade Confirmation, this transaction set is sent from the transportation service provider to the initiating trader. Errors will be returned in the trade reduction reason, and the imbalance trade will not be considered as “confirmed”.~~

~~If there are no errors in the Imbalance Trade Confirmation, this transaction set is sent from the transportation service provider to the initiating trader and the confirming trader. The trade reduction reason would be used if the trade quantity requested was either rejected or reduced. Then, the transportation service provider will utilize the trade quantity (i.e. the unchanged, rejected, or reduced trade quantity requested) to update each service requester’s imbalance.~~

~~After receipt of an Imbalance Trade Confirmation, the transportation service provider should send this notification no later than Noon CCT, the next business day.~~

The Imbalance Trade Notification is sent to both the initiating trader and the confirming trader when the confirming trader confirms a Request for Imbalance Trade. Following the receipt of an Imbalance Trade Confirmation, the transportation service provider should send this notification no later than Noon CCT, the next business day. If a requested trade is not confirmed by the close of a transportation service provider’s trading period, the Imbalance Trade Notification is not sent.

If the Imbalance Trade Confirmation matches a Request for Imbalance Trade previously received by the transportation service provider, the Imbalance Trade Notification will notify both parties to the trade of the status of the trade. Reductions to the requested trade quantity, if any, are relayed via the **trade reduction reason**.

If the Imbalance Trade Confirmation does not match a Request for Imbalance Trade previously received by the transportation service provider, the Imbalance Trade Notification will notify the confirming trader via the trade reduction reason that no match exists.

SAMPLE PAPER TRANSACTION

The following example illustrates a paper transaction for the Imbalance Trade Notification:

Imbalance Trade Notification

Transportation Service Provider: General Pipeline (333222555)
Contact Name: Robert E. Lee
Contact Phone: 999-555-1865

Statement Date/Time: July 18, 2001 / 11:45 a.m.

Initiating Trader Data

Delta Dist. (444333222)
Contact Name: Delta Burque
Contact Phone: 999-555-3322

Contract Holder: Delta Dist.
(444333222)

Imbalance Period: June 2001

Confirming Trader Data

Omega Corp. (222333444)
Contact Name: Orville Omega
Contact Phone: 999-555-4325

Contract Holder: Beta, Inc.
(666555444)

Operational Impact Area – Initiating Trader: OA1

Imbalance Trade Tracking ID: T1
Trade Quantity Requested: 300
Trade Quantity: 300
Imbalance Trade Direction: FROM Initiating Trader