

**MARKET CODE / OPERATIONAL CODE
CHANGE PROPOSAL**

Form
version 2.1

Change Proposal reference (To be completed by the TP Sec.)	OCCP046	Version No.	A.1.2
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PART A — SUBMISSION

A.1. GENERAL DETAILS

A.1.a. TITLE	Amendment to the New Connections Processes to cater for queries of a technical nature to Scottish Water
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A.1.b. COMPANY	Scottish Water
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Change Proposals must be authorised by the person designated by the signatory to the Market Code Framework / Accession Agreement

A.1.c. AUTHORISED SIGNATURE	Jessie McLeman	NAME	Jessie McLeman
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A.1.d. CONTACT NAME	Jessie McLeman	CONTACT EMAIL; TEL./MOB.	Jessie.mcleman@scottishwater.co.uk 01383 848305
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A.1.e. ASSOCIATED MCCP / OCCP	No
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A.1.f. ASSOCIATED DOCS.	In attached annex
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A.1.g. PROPOSED URGENCY	URGENT / NON-URGENT NON URGENT
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A.1.h. REASONS FOR URGENCY	
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The CMA CEO will review this information and make a decision as to whether to take this MCCP / OCCP forward as urgent as defined under Market Code Part 8.9.1

A.2. MCCP / OCCP DETAILS
A.2.a. ISSUE OR DEFECT WHICH THIS MCCP / OCCP SEEKS TO ADDRESS Required under Market Code Parts 8.7.1 (ii) (b) and 8.8.1 (ii) (b)
<p>Within the New Connections processes, namely Processes 1-5 and Process 14, provision is made for Scottish Water to provide assistance of a technical nature. This is typically set out in the preamble to the process.</p> <p>The text from Process 1 refers; <i>At any time during the process, where a query is raised by Scottish Water deemed by a Licensed Provider to be of a technical nature, Scottish Water may liaise directly with the customer or their representatives. To allow Scottish Water to make customer contact, one of the following steps should be taken;</i></p> <ul style="list-style-type: none"> • <i>A Licensed Provider asks Scottish Water to liaise directly with their customer. In this case a Licensed Provider would ask Scottish Water and they would have to agree to this contact;</i> • <i>Scottish Water may only liaise with the customer about the technical issue in question; there will not be any further discussion on the application. Further discussion would include comments on the timescales of the application or any other commercial issues relating to the application or Licensed Provider.</i> <p>The issues with the current process are as follows;</p> <ul style="list-style-type: none"> • The process steps whereby Scottish Water receives and deals with enquiries of a technical nature are not spelled out in the Operational Code. A more explicit description of the steps would be more transparent for Licensed Providers and Scottish Water, setting out clearly the expectations of what is intended and how the process should be followed. It should be noted that Scottish Water's understanding of 'technical assistance' is technical assistance in relation to identifying the information required to support an application for connection to the network. It is not for example more detailed technical assistance which engineering consultancy firms can provide. • There have been a number of recent high-level complaints in relation to these processes. Analysis of the issues leading to the complaints suggest it would be helpful to have a more structured approach up front, defining the steps to be followed in the provision of such technical assistance, such that customers' queries can be resolved as speedily as possible to allow the application to be progressed. • The intention is, that by setting out the process in a transparent way in the Operational Code, Licensed Providers will be encouraged to use it where applicable, thus allowing for a better end-to-end customer experience in such cases. <p>Additionally, Scottish Water has been conducting a review of its internal processes in relation to water connections and has identified a number of changes it can implement, such that the time allowed under one of the Operational Code steps can be reduced.</p>

A.2.b. DESCRIPTION OF THE NATURE AND PURPOSE OF THE MCCP / OCCP AND HOW IT MEETS THE MARKET CODE / OPERATIONAL CODE OBJECTIVES AND PRINCIPLES FOR THE MARKET DOCUMENTS Required under Market Code Parts 8.7.1 (ii) (c) and 8.8.1 (ii) (c)

General Description

The proposed changes to the Operational Code are as follows.

Provision of Technical Assistance

With regard to processes 1, 2, 3, 4, 5 and 14, the proposal is to amplify the existing processes to allow for an additional step in cases where the Licensed Provider requests Scottish Water to provide such assistance. Taking as an example Process 1, the proposal is to introduce a new Step 2B which sets out the timescale within which Scottish Water will contact the non-household customer, if requested; the procedure for Scottish Water to confirm to the Licensed Provider all the technical information which will be used in the technical assessment; and the procedure for the Licensed Provider to complete the application process. The proposal also makes explicit the requirement for Scottish Water to copy the Licensed Provider in all correspondence with the customer, and to forward the final details to the Licensed Provider to seek final confirmation of the Application Form.

It is proposed that processes 1-5 and 14 are changed to reflect the above additional step and that the relevant section of the application forms is also amended to cater for the additional step where requested by the Licensed Provider, namely the relevant section of Forms A, B, C, D, E and J.

Provision of offer of connection from Scottish Water to the Licensed Provider

Currently processes 1 and 3 of the Operational Code allow 28 Business Days for Scottish Water to confirm to the Licensed Provider either that there is a need for a DIA; or that it accepts the design and makes a connection offer; or other, as set out. In the case of process 1, the relevant steps are Step 2 A and Step 3.

The proposal in this OCCP is to change the 28 Business Days to 20 Business Days in processes 1 and 3.

Principles and Objectives affected

PRINCIPLE	AFFECTED (Y/N)	DESCRIPTION
Proportionality		
Transparency	Y	Provides an option to Licensed Providers in a clear and transparent way, setting out the responsibilities of Scottish Water and Licensed Providers.
Simplicity, Cost-effectiveness, and Security		
Non-exclusivity		
Barriers to Entry	Y	This does not create barriers to entry but provides a means for Licensed Providers to ensure technical queries can be addressed as swiftly as possible and there is also a clear audit trail of the points which have been confirmed.

Customer Contact	Y	The focused nature of the contact in an area in which some customers have been experiencing difficulty should make for a speedier end-to-end service.
Non-discrimination	Y	The clarification of the steps will give transparency and timescales within which activities should be carried out.
Non-detrimental to SW Core Functions		
MC / OC OBJECTIVES		

A.2.c. IMPACT Required under Market Code Parts 8.7.1 (ii) (d), (f) and (g), and 8.8.1 (ii) (d) and (f)		
CONFIGURED ITEM	IMPACTED (Y/N)	DESCRIPTION
MC / OC		
CSDs		
Wholesale Services Agreements		
Licenses		
CMA Central Systems		
CMA business processes		
Trading Party systems		
Trading party business processes		

<p>A.2.d. DRAFT LEGAL TEXT Required under Market Code Parts 8.7.1 (ii) (d) and 8.8.1 (ii) (d)</p>
<p>The changes proposed are as set out in the attachment in tracked change mode. These are as follows;</p> <ul style="list-style-type: none"> • Process 1, steps 2 and 3 and similar steps in processes 2, 3, 4, 5 and 14; • Forms A, B, C, D, E and J; and • Process 1 and 3, to reduce the time for Scottish Water to make a connection offer or other as appropriate from the current 28 Business Days to 20 Business Days. <p><u>Following discussion at the meeting of the Technical Panel on 20 February 2014, the following further amendments are proposed:</u></p> <ul style="list-style-type: none"> - <u>Addition of paragraph to provide description of what is intended in respect of technical assistance. This description has been inserted to the preambles of processes 1, 2, 3, 4, 5 and 14;</u> — <u>In process 1, change to the penultimate paragraph of step 2B; and process 3, to the penultimate para of step 3B to read:</u> <ul style="list-style-type: none"> - <u>Within 20 Business Days of the date of the receipt of all the information needed to complete the technical assessment of the application.</u>
<p>A.3. IMPLEMENTATION DETAILS</p>
<p>A.3.a. PROPOSED IMPLEMENTATION DATE OR LEAD TIME Timescale must not overlap with the period of consultation with the Commission and should take account of the impacts identified in Section A.2.c. Any quoted lead time should commence from date of Approval.</p>
<p>Following Commission consultation and approval.</p>
<p>A.3.b. ANY LIMITATIONS OR DEPENDENCIES FOR IMPLEMENTATION</p>
<p>A.4. ANY OTHER COMMENTS</p>

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PART B — TP ASSESSMENT			
B.1. ASSESSMENT PROCESS			
B.1.a. ASSESSMENT START DATE	yyyy-mm-dd	ASSESSMENT END DATE	yyyy-mm-dd
B.1.b. IMPACT ASSESSMENT REQUIREMENT	IA REQUIRED / IA NOT REQUIRED		
B.1.c. CONSULTATION REQUIREMENT	TP CONSULTATION REQUIRED / TP CONSULTATION NOT REQUIRED		
B.1.d. ASSOCIATED DOCUMENTS (to this Part B)			
B.2. ASSESSMENT DETAILS			
B.2.a. CHANGE SPECIFICATION AND IMPACT (if different from that originally submitted)			
B.2.b. DRAFT LEGAL TEXT (if different from that originally submitted)			
B.2.c. TP ASSESSMENT Taking into account complexity, importance and urgency, and having regard to whether or not such proposal is within the relevant Objectives and Principles as required under Market Code Parts 8.7.1 (v) and 8.8.1 (iv)			
Impact on Principles and Objectives (if different from that originally submitted)			
Cost Estimate			
Benefit Estimate (L: < 10k, M: £10k to £100k, H: > £100k)			
B.3. TP DECISION	TP APPROVED / REJECTED		
B.4. FINAL TP VIEWS			
B.5. PLANNED IMPLEMENTATION DATE	yyyy-mm-dd		

WITHDRAWN BY PROPOSER?	YES / NO
COMMENTS	
DATE OF WITHDRAWAL	

PART C — COMMISSION APPROVAL	
C.1. DATE FINAL REPORT ISSUED TO COMMISSION	
C.2. APPROVAL STATUS	APPROVED CHANGE / REJECTED
C.3. DATE OF APPROVAL STATUS	yyyy-mm-dd
C.4. COMMISSION RESPONSE REFERENCE	

PART D — IMPLEMENTATION	
D.1. IMPLEMENTATION DATE	yyyy-mm-dd
D.2. IMPLEMENTATION DETAILS (MC version, CSD versions, CMA Central Systems release number, etc.)	