

Market Code Schedule 13

Code Subsidiary Document No. 0105

Error Rectification &  
Retrospective Amendments

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## Change History

Version Number	Date of Issue	Reason For Change	Change Control Reference	Sections Affected
1.0	12/05/2007			
1.0	August 2007	Errata and Clarifications		
1.0a	09/09/2009	Standardise layout of the first two pages		Pages 1 and 2
1.2	28/06/2010	Customer Names on Database	MCCP041	Sections 2.1, 2.2 and 2.3
<u>1.3</u>	<u>20120330</u>	<u>Introduction of Deregistration Vacant Site Charging Admin Scheme</u>	<u>MCCP052-079</u> <u>MCCP091-CC</u>	<u>Sections 1 and 2</u>

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# 1. Purpose and Scope

Under Section 5.5.1 of the Market Code, Data Owners have a general duty to ensure that the SPID Data for which they are the Data Owner is up to date and accurately reflects the circumstances at the Supply Point. Section 5.5.2 provides that where the CMA identifies errors in SPID Data, it will request the submission of modified SPID Data from the Data Owner. Where the Data Owner itself identifies such an error, it is under an obligation to submit modified SPID Data as soon as it becomes aware of the error. In the particular circumstances where Scottish Water identifies a potential error in the vacancy status of a Supply Point, it may pursue an application to change the vacancy status of that Supply Point; provided that the Supply Point is marked as vacant in the Central Systems, and that the Supply Point is tradable or Temporarily Disconnected.

This CSD sets out the controlled process for handling errors in SPID Data held in the Central Systems.

The rules for updating SPID Data are set out in CSD0101 (Registration New Connections and New Supply Points), CSD0102 (Registration: Transfers), CSD0103 (Registration: Cancellations), CSD0104 (Maintain SPID Data), CSD0202 (Meter Read Submission: Process) and CSD0206 (Trade Effluent: Process).

Where an update to SPID Data has not been provided within the requisite timescale, or is being submitted to correct an error made in the original submission, the process set out in this CSD should be followed. The treatment of such updates by the CMA will depend upon the Data Item that is to be modified and the effective date of that change.

This CSD considers the general principles of SPID Data correction only and is not intended to provide a step-by-step guide for all examples of late/corrective SPID Data corrections.

## 2. Process description

### 2.1 Description of the Process Diagram Steps

This Section should be read in conjunction with the Process Diagrams in Section 2.2 and the Timetable and Interface Requirements in Section 2.3. The 'step' and 'decision' references appear to the bottom left of each step or decision symbol in the Process Diagram. References shown thus [T012.0] relate to the associated Data Transaction, as set out in CSD 0301 (Data Transaction Catalogue).

#### **Steps a and b: Identify and classify Data Items requiring amendment**

If a Code Party other than the Data Owner becomes aware of an error or missing data:

- i. in the case of a Trading Party they should contact the CMA. In particular, where the Trading Party is Scottish Water and the error pertains to the vacancy status of a Supply Point, Scottish Water may make an application to change the vacancy status of the Supply Point; provided that the Supply Point is marked as vacant in the Central Systems, and that the Supply Point is tradable or Temporarily Disconnected.-
- ii. in the case of the CMA, they will contact the Contract Manager for the Data Owner.

Where a Data Owner identifies, or is informed by the CMA, that SPID Data is incorrect or requires a late update in the Central Systems, the Data Owner will initially determine whether the change requires a Retrospective Amendment or an Error Rectification by reference to CSD0301 (Data Transaction Catalogue), wherein each item of SPID Data is shown as either capable of late submission or correction by Error Rectification or Retrospective Amendment..

#### **Step c Error Rectification [T012.0, T013.0, T32.0]**

Where an Error Rectification is required, the Data Owner will notify the CMA of the late/corrective SPID Data Item using Data Transaction T012.0 (Update Misc SPID Data), T013.0 (Update Meter Details) or T032.0 (Create Update Customer Name) as appropriate. In submitting the relevant Data Transactions for Error Rectification, the Data Owner shall ensure that only those items of SPID Data that can be amended using Error Rectification are modified. Items of SPID Data contained within those Data Transactions which are subject to Retrospective Amendment only shall not be modified, unless the Data Owner has been permitted to use a Data Transaction by the CMA under the Retrospective Amendment process (step d onwards) under this CSD.

The modified SPID Data will be effective in the Central Systems on the day it is received.

#### Step d: Retrospective Amendment

Where a Retrospective Amendment is required, the Data Owner should complete the Retrospective Amendment Request (contained in Appendix 1 of this document) and submit this to the CMA.

#### Step e: CMA determines the impact and cost

The CMA will complete an assessment of the proposed Retrospective Amendment. Such assessment will include consideration of the following:

- (1) Whether it is viable to implement the change in the Central Systems. Some changes may not be feasible, for example due to the length of time that has passed since the effective date of the SPID Data being modified by Retrospective Amendment. The CMA may also determine that the materiality of the proposed Retrospective Amendment is not significant; and
- (2) Whether the proposed Retrospective Amendment impacts SPID Data during the Registration of another Licensed Provider(s). A request for a Retrospective Amendment can only be initiated by a Licensed Provider in respect of the period of Registration during which it is the Data Owner at that Supply Point. Scottish Water are a Data Owner at a Supply Point until it is Permanently Disconnected or Deregistered. The CMA shall have regard to the effect that the proposed Retrospective Amendment may have on other Licensed Providers who have been or are a Data Owner at the Supply Point, and any associated Water Services or Sewerage Services Supply Point; If appropriate, the CMA will contact another Licensed Provider(s) affected by the proposed Retrospective Amendment in order to request that they initiate a Retrospective Amendment; and
- (3) Whether the proposed Retrospective Amendment is capable of being processed via an existing Data Transaction or whether it shall be processed manually by the CMA; and
- (4) Whether a Self Supply Licensed Provider has initiated the request for Retrospective Amendment under Section 5.7.3 of the Market Code. In this case, where the Supply Point(s) is Metered, the Self Supply Licensed Provider shall include a Meter Read in the Retrospective Amendment Request. The CMA shall contact the Licensed Provider who is to be Registered to the Supply Point following the Allocation Process or at the CMA's discretion and confirm that the Retrospective Amendment will be implemented.
- (5) If the proposed Retrospective Amendment is feasible then a cost may be associated with its implementation. The CMA will assess the cost of implementing the proposed Retrospective Amendment and such cost will be raised as an Additional Service Charge.

#### **Decision f: CMA reviews request**

Within 10 Business Days of receipt of the Retrospective Amendment request the CMA will accept or reject the proposed Retrospective Amendment, based on the criteria above.

During this review, the CMA shall also contact any other Data Owner(s) impacted by the proposed Retrospective Amendment by an email to the Contract Manager(s). If CMA has identified that it will be necessary for that Data Owner to implement a Retrospective Amendment, this will be included in the notification.

#### **Step g: Notification of rejection**

Where the CMA decides that a Retrospective Amendment should not be implemented, it will notify the Data Owner of its decision, including the reason(s), by an email to the Contract Manager. This will end the process.

#### **Step h: Notification of acceptance**

Where the CMA determines that a Retrospective Amendment shall be implemented, it will notify the Data Owner of that decision, by an email to the Contract Manager, which shall confirm the Additional Service Charge, if any, and the method and date when the Retrospective Amendment will be implemented in Central Systems.

#### **Step i: Implement change**

The Retrospective Amendment shall be implemented in the Central Systems by the method and on the date notified by the CMA.

The CMA shall confirm that the Retrospective Amendment has been implemented. This confirmation will depend on the SPID Data modified by the Retrospective Amendment.

In the case of a Registration effected by the CMA as a requirement of Section 5.7.3 of the Market Code, the Incoming Licensed Provider will be sent a T019.0 (Notify all WS SPID Data) or T020.0 (Notify all SS SPID Data), as appropriate.

#### **Step j: Vacancy Scheme Application [T034.0].**

To initiate an application to change the vacancy flag of a Supply Point from 'vacant' to 'occupied', SW must submit Data Transaction T034.0 (Vac Scheme: Application )transaction within 20 business days of any site visit pertaining to the occupancy of a site. The T034.0 will need to include:

1. The Effective From Date for the change of status (the Date of Occupancy, defined as being the day from which a continuous period of occupancy is claimed by Scottish Water)
2. The Date of Evidence, the day of the required site visit

3. A cryptographic hash which will identify the compiled evidence and will serve to provide a fingerprint for that evidence so that any party looking at such evidence (at any time) can confirm that it is exactly the same version of evidence as was originally created. Every file making up the evidence must be combined into a single archive file, and it is the hash of this archive file that must be provided. The archive file must be in a non-proprietary and widely implemented format.
4. The name of the cryptographic hash algorithm used to create the cryptographic hash itself. Valid cryptographic hash algorithms shall be specified by the CMA and will be revised only if the algorithm ceases to be fit for purpose.

Such an application can only be made for a WS Supply Point (and would automatically include any related Supply Point), or a stand-alone SS Supply Point. Once an application has been accepted by the CMA, no further applications may be made until that application has been rejected, has lapsed, or has been given effect.

The application can only be made for Supply Points with a status of tradable or Temporarily Disconnected.

#### **Step k: Acceptance/Rejection of the Vacancy Scheme Application [T009.1, T034.1]**

If any of the requirements identified in Step j have not been adhered to, the CMA will send a T009.1 to SW, with the appropriate error code, as identified in CSD0301 (Data Transfer Catalogue). Otherwise, the CMA will confirm acceptance of the vacancy change application, by sending Data Transaction T034.1 (Vac Scheme: Grace Period Notification) to SW. The T034.1 transaction will also notify SW of the grace period which must elapse before the CMA can notify the affected LP(s) of the vacancy change application and before SW can provide evidence to the relevant LP(s). The grace period will be determined on the basis of the largest chargeable meter associated with the Supply Point, as follows:

- If the largest chargeable meter at the Supply Point is 30mm, or larger, the grace period will end 22 business days after the Date of Evidence
- If the largest chargeable meter at the Supply Point is 25mm, the grace period will end 45 business days after the Date of Evidence
- If the largest chargeable meter is 20mm or less, or if the Supply Point is unmetered, the grace period will end 65 business days after the Date of Evidence

The CMA will confirm or reject the vacancy change application within 1 business day of receiving the application using Data Transaction T009.1.

#### **Step l: Notification of a Vacancy Scheme Application [T034.2, T034.3]**

For an accepted application, on the first business day on or after the end of the grace period, the CMA will re-confirm that the application adheres to the requirements in step j. If this is no longer the case, the CMA will provide Data Transaction T034.2 (Vac Scheme: Grace End Notification) to SW, with the appropriate error code, and the application will be rejected. If the application remains consistent with the requirements in step j, the CMA will notify SW of the relevant LP(s) via a T034.2 transaction with an "OK" code; additionally, the CMA will also notify the LP responsible for the Supply Point and the LP responsible for any related Supply



Point, if different, of the application, using a Data Transaction T034.3 (Vac Scheme: Application Notification). The notification to the LP(s) will contain the Date of Evidence, the Effective From Date, the identity of all relevant LPs, the cryptographic hash, and the cryptographic hash algorithm.

#### **Step m: Confirmation or Cancellation of a Vacancy Scheme Application [T009.1, T034.4, T034.5]**

Once a conclusion has been reached, or if Scottish Water becomes aware of a change of status of the Supply Point or to any related Supply Point, Scottish Water will submit Data transaction T034.4 (Vac Scheme: Application Confirmation or Cancellation), either confirming the need to change the vacancy status of the Supply Point (and any related Supply Point) to occupied, or that the application should be cancelled. This notification must also contain a flag identifying whether the LP responsible for the SPID, or the LP responsible for any related SPID, if different, had raised a challenge to the Scottish Water vacancy change application.

In any event, if there has been no challenge from the responsible LP(s), this submission must be made within 22 business days of the end of the grace period. If there has been a challenge by the responsible LP(s), the notification must be made within 82 business days of the end of the grace period. If no notification has been received by this latter timescale, the application will lapse. SW may, however, submit an explicit T034.4 to cancel the application after the application lapse deadline; this may be necessary before SW can pursue a new T034.0 Vacancy Scheme Application for the same Supply Point.

If a T034.4 submission is made prior to the application lapsing, the CMA will re-confirm that the application continues to adhere to the requirements of step j and will check whether the application is confirmed or is cancelled by SW:

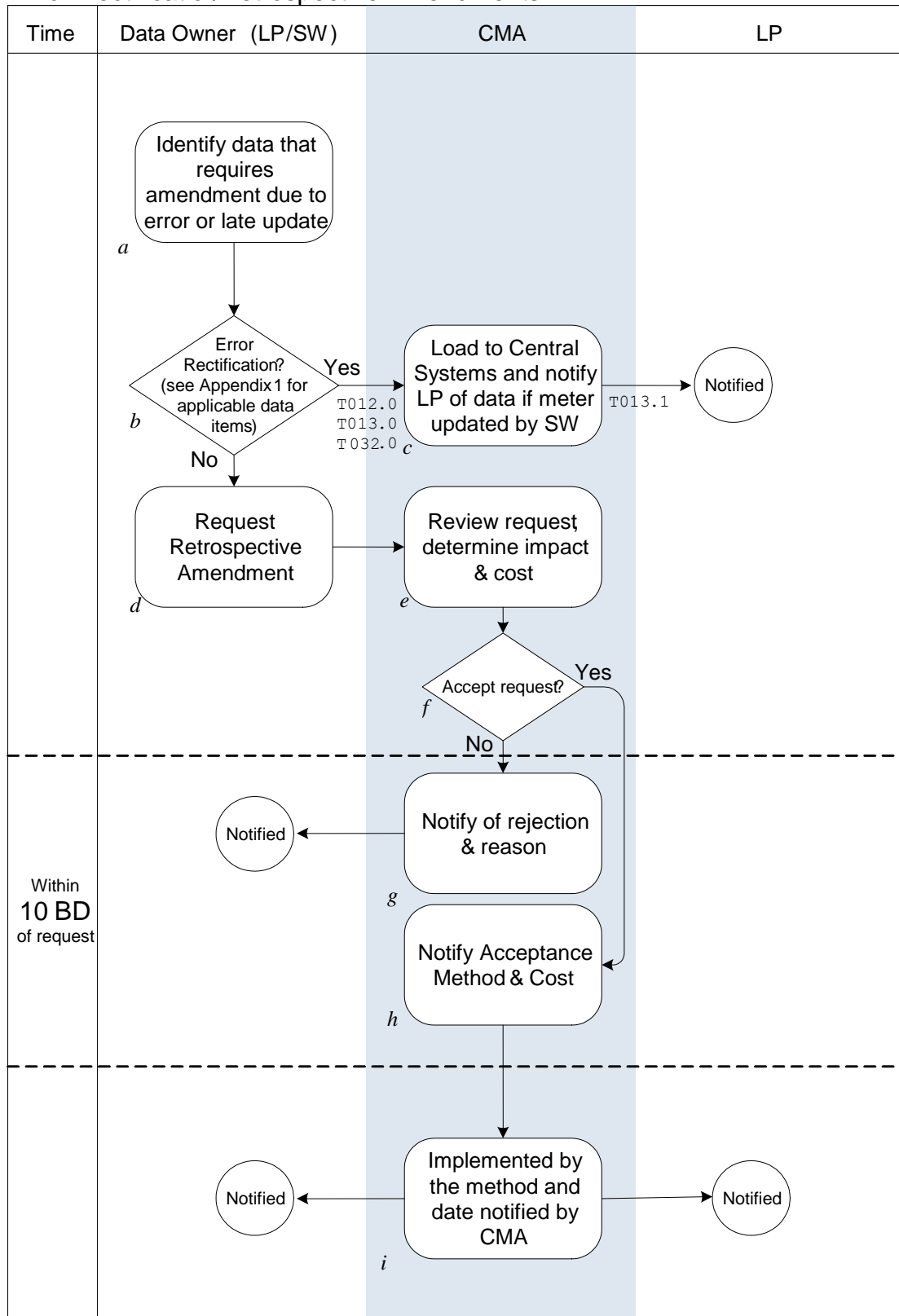
- If the application is no longer consistent with the requirements of step j or is cancelled by SW, then the CMA will notify this to the responsible LP and to the LP responsible for any related Supply Point, if different, via Data Transaction T034.5 (Confirmation or Cancellation Notification). A T009.1 will be sent to Scottish Water, with an error code or the code 'OK', as appropriate.
- If the T034.4 does conform to the requirements in step j and SW have identified that the application is confirmed, the CMA will effect a change to the SPID vacancy flag (and to that of any related SPID) from vacant to occupied, as of the Effective From Date. Additionally, the CMA will notify the relevant LP(s) of this, via a T034.5 transaction. A T009.1 transaction will also be sent to SW.

If a T034.4 submission is made after the application lapse deadline, or prior to the end of the grace period, it will be rejected unless SW is explicitly cancelling the application. For any T034.4 submission after the deadline, a T009.1 shall be sent to SW. Additionally, the relevant LP(s) shall be notified that the application has lapsed or has been cancelled, by a T034.5.

## 2.2 Process Diagram

### Error Rectification/Retrospective Amendments

Updated June 2010



## 2.3 Interface and Timetable Requirements

step ID	Action/ Decision	Process Step	From	To	Time parameter	comments	Mkt code Ref	Clause	(indicative) Data Txn ID
a	S	Identify Data Item(s) that require a late/corrective change in Central Systems.	Data Owner	internal					
b	D	Is the change a Retrospective Amendment or Error Rectification?	Data Owner	internal		Refer to CSD0301 for SPID Data items that can be submitted as Error Rectification, and those that are subject to Retrospective Amendment only			
c	S	If Error Rectification: Receive Update and notify change to other parties (if necessary).	CMA	Data Owner/ Other LPs,/SW	Within 1 BD of receipt of update	Other parties may include other LPs, SW, LP for SS if a WS change etc			T012.0 T013.0 T032.0
d	S	If Retrospective Amendment: Request Retrospective Amendment using Form A CSD0105	Data Owner	CMA					Form A
e	S	Review request to determine impact and cost.	CMA	internal	Within 10 BD from the receipt				
f	D	Request accepted?	CMA	internal					
g	S	If rejected, notify rejection & reason	CMA	Data Owner	Within 10 BD from the receipt	Email to Contract Manager			Form B
h	S	If accepted, notify acceptance & cost	CMA	Data Owner	Within 10 BD from the receipt	Email to Contract Manager(s)			Form B
i	S	Implement Retrospective Amendment by the method determined by the CMA. Notify requester and any other Trading Parties affected by the change.	CMA	All affected parties		The notification will depend on what Data Item(s) were subject to Retrospective Amendment			
j		<u>If a change from vacant to occupied is thought to be required</u>	<u>SW</u>	<u>CMA</u>	<u>Within 20 BD of a site visit</u>				<u>T034.0</u>

<u>k</u>		<u>Vacancy change application accepted or rejected</u>	<u>CMA</u>	<u>SW</u>	<u>Within 1 BD of application</u>			<u>T034.1</u> <u>T009.1</u>
<u>l</u>		<u>Notification of a vacancy change application</u>	<u>CMA</u>	<u>LP</u>	<u>After identified grace period</u>	<u>SW is also notified of the LP</u>		<u>T034.2</u> <u>T034.3</u>
<u>m</u>		<u>Confirmation/Cancellation of a vacancy change application</u>	<u>SW</u>	<u>CMA</u>	<u>If there has been no challenge to SW from the LP, then within 22 BD from the end of the grace period.</u> <u>If there has been a challenge from the LP, then within 82 BD from the end of the grace period</u>	<u>After 82 BD from the grace period, the application lapses.</u>		<u>T034.4</u> <u>T034.5</u>

# Appendix 1 Retrospective Amendment Pro Forma

## Retrospective Amendment Request

The following information should be completed for each Data Item that is to be amended. The Data Owner should email the completed pro forma to the CMA. A response will be give within 10 Business Days of receipt.

- 1) Data Owner Org ID .....
- 2) SPID .....
- 3) Reason for the request .....
  - a) late submission of SPID Data /
  - b) correction of SPID Data previously submitted incorrectly /
  - c) Self Supply Licensed Provider submission per Section 5.7.3 of the Market Code
- 4) Data Item Number.....
- 5) Data Item Name.....
- 6) Data Item Value .....  
(in the format and valid values as set out in the DTC)
- 7) Effective from date (of the change).....

If reason is 3c) above,

- 8) Registration End Date.....
  - 9) Meter Read(s) .....
- If more than one Data Item or SPID, please repeat lines 2-6 as required.

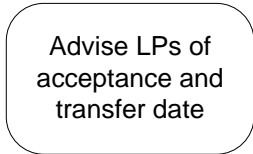
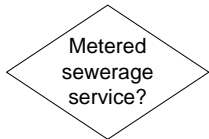
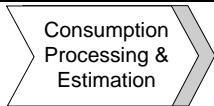

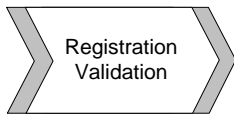
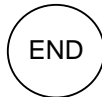
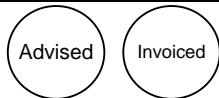
Contract Manager's Name and email details .....

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Contract Manager's signature.....

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## Appendix 2 – Process Diagram Symbols

Symbol	Name	Details
	Step	An action step. It appears in the “swimlane” of the party responsible for performing the action.
	Decision	A decisive question rather than an action. Followed by Yes or No, or occasionally WS (Water Service) or SS (Sewerage Service) the process splits depending on the answer to the question in the decision diamond.
	To another process	A flow in, or input to, another documented process
	From another process	A flow in, or output from another documented process.
	To and from another process	Used where a process is embedded within another. At this point, go to the embedded process chart before returning to the one in which it is embedded.
	End	Used after a decision diamond, generally to mean “do nothing” as it is the end of the process.
	Advised/Invoiced	Used after a process step to show “passive” action on the part of a data flow receiver e.g. to represent “Advised” or “Invoiced”
<i>g</i>	Step/Decision reference	An alphabetic reference beside each step and decision. This reference appears on the table in each section to facilitate reading the table against the process flowcharts.
T005.2	Transaction reference	Reference to the Data Transaction occurring as an output from the step it appears next to.