

Market Code Schedule 8

Code Subsidiary Document No. 0003

Provider of Last Resort

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## Change History

Version Number	Date of Issue	Reason For Change	Change Control Reference	Sections Affected
1.0	14/05/2007	First Issue		
1.1	31/08/2007	Alignment with Market Code section 5.3.6		
1.1a	09/09/2009	Standardise layout of the first two pages		Pages 1 and 2
1.2	27/09/2010	POLR Process Removal of T031 Transaction	MCCP054 MCCP057	Section 3.1
1.3(b)	14/11/2011	POLR Process – Addition of Metered Building Water (T033.1)	MCCP081-CC	Section 3.1
1.4	1/03/2012	Opt out for POLR	MCCP099-CC	Section 2.1
2.0	2014-03-21	Meter Network Notifications	MCCP128	Section 3.1
3.0	2014-09-21	Automation of POLR	MCCP124 MCCP154-CC	
4.0	2016-05-05	Retrospective POLR	MCCP192	Section 3
5.0	2019-10-24	Transaction name updates	MCCP242	Various
6.0	2025-08-01	Addition of Customer Data Report	MCCP312	Section 4

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# 1. Purpose and Scope

This document describes the process that will be applied in the event that a Provider of Last Resort is appointed by the CMA under Section 5.3.6 of the Market Code.

This transfer will comprise two key procedures –

- i) an Allocation Process detailing how the Provider(s) of Last Resort shall be appointed and advised of the SPIDs allocated to it by the CMA; and
- ii) the process to Transfer the POLR Supply Points to the relevant Provider(s) of Last Resort.

## 2. Provider of Last Resort Allocation Process

### 2.1 Process Description

In the event that a Termination Notice is issued to a Licensed Provider, the CMA shall allocate POLR Supply Points in accordance with section 5.3.6(i) (c) of the Market Code.

## 3. Provider of Last Resort - Registration

### 3.1 Process Description

The POLR Supply Points shall be Transferred by the CMA to the relevant Providers of Last Resort as an amendment to the records held by the CMA.

The CMA will prepare a report setting out:

1. the relevant POLR Supply Points affected;
2. the relevant Provider(s) of Last Resort to be Registered to those SPIDs;
3. the Registration Start Date (being the Designated Time) for each Provider of Last Resort: and
4. the Designated Circumstances.

Prior to this Registration process the CMA will provide each Provider of Last Resort with confirmation of when the Registrations of the POLR Supply Points that have been transferred to it will be implemented. This will set out the Designated Time to be used by the CMA in Registration and the timeline for implementing the Transfer.

#### Step a

The CMA shall implement the Provider of Last Resort Registrations in the Supply Point Register in accordance with the timetable set out in the report above. The Designated Time will be the point at which the POLR Supply Points are registered.

#### Step b Transfers Pending at the Designated Time [T011.0, T011.1]

For Designated Times that are on or after the date of the POLR allocation process:

- Any Supply Points for which a transfer is pending, to the Licensed Provider who has been issued with the Termination Notice, with a Registration Start Date that is after the Designated Time will be cancelled and the CMA will send a T011.0 (Notify Cancellation (Incoming)) to that Licensed Provider and a T011.1 (Notify Cancellation (Outgoing)) to the Outgoing Licensed Provider.
- Any Supply Points for which a transfer is pending, from the Licensed Provider who has been issued with a Termination Notice, shall be proceed as normal, except where the Registration Start Date is after the Designated Time, in which case, the transfer shall proceed with a Registration Start Date that is equal to the Designated Time.

For Designated Times that are before the date of the POLR allocation process:

- Any Supply Points for which a transfer to the Licensed Provider who has been issued with a Termination Notice is pending will be cancelled and the CMA will send a T011.0 (Notify Cancellation (Incoming)) to that Licensed Provider and a T011.1 (Notify Cancellation (Outgoing)) to the Outgoing Licensed Provider.
- Any Supply Points for which a transfer to the Licensed Provider who has been issued with a Termination Notice has occurred with an RSD that is on or after the Designated Time should be re-allocated, as part of the PLR allocation process, albeit with an RSD set to the RSD of the original transfer to the Licensed Provider who has been issued with the Termination Notice.
- Any Supply Points for which a transfer is pending, from the Licensed Provider who has been issued with a Termination Notice, shall proceed with a Registration Start Date that is set to the Designated Time.

### **Step c Submit Transfer Meter Reads [T005.1]**

#### **Water Services Supply Point which is Metered**

For each Water Services Supply Point that is metered, the POLR Licensed Provider to whom the Supply Point is allocated will submit an Estimated Transfer Read to the CMA, using Data Transaction T005.1 (Submit Meter Read (LP)), in accordance with CSD0202.

#### **Sewerage Services Supply Point with a Related Water Supply Meter**

For each Sewerage Services Supply Point with a Related Water Services Supply Point that is metered, the POLR Licensed Provider to whom the Supply Point is allocated will request the LP responsible for the Related Water Services Supply Point to submit an Estimated Transfer Read to the CMA, using Data Transaction T005.1 (Submit Meter Read (LP)) and the Water Services LP will comply with any such request, in accordance with CSD0202.

### **Step d (T008.1, T008.2)**

Following the Registration of the POLR Supply Points to a Provider of Last Resort, the CMA will notify the Provider of Last Resort of the Registration for each POLR Supply Point transferred to it, using Data Transaction T008.1 (Notify RSD (Incoming LP)) and Scottish Water, using Data Transaction T008.2 (Notify RSD (SW)).

### **Step e (T019.0, T020.0)**

Following the notification in step d, the CMA will notify the Provider of Last Resort of the SPID Data for each POLR Supply Point transferred to it, using Data Transactions T019.0 (Notify WS SPID Data) and/or T020.0 (Notify SS SPID Data) as appropriate. In addition, the Data Transaction T004.1 (Notify Meter Details) will be sent.

The following Data Transactions will also be sent if the SPID Data is relevant to the POLR Supply Point:

- T036.1 (Notify Meter Network Association) - sent for SPIDs with meter network arrangements.
- T029.0 (Notify SPID Special Arrangements) – sent for SPIDs with special arrangements - see CSD0301 (Data Transaction Catalogue) for details of the type of arrangements included in that Data Transaction.
- Trade Effluent Services - in the event that any SPID Data relating to Trade Effluent Services is applicable at the Supply Point, this will be notified in accordance with CSD0206 Trade Effluent Services:
  - T021.1 Notify DPID
  - T023.1 Notify Meter Association

#### **Step f (T032.1, T033.1)**

The CMA will notify the Provider of Last Resort of the Customer Name associated with the SPID using Data Transaction T032.1 (Notify Customer Name). The CMA will also notify the Provider of Last Resort of the Metered Building Water status associated with the SPID using Data Transaction T033.1 (Notify Metered Building Water).

#### **Step g Provide Data and Make SPID Tradeable**

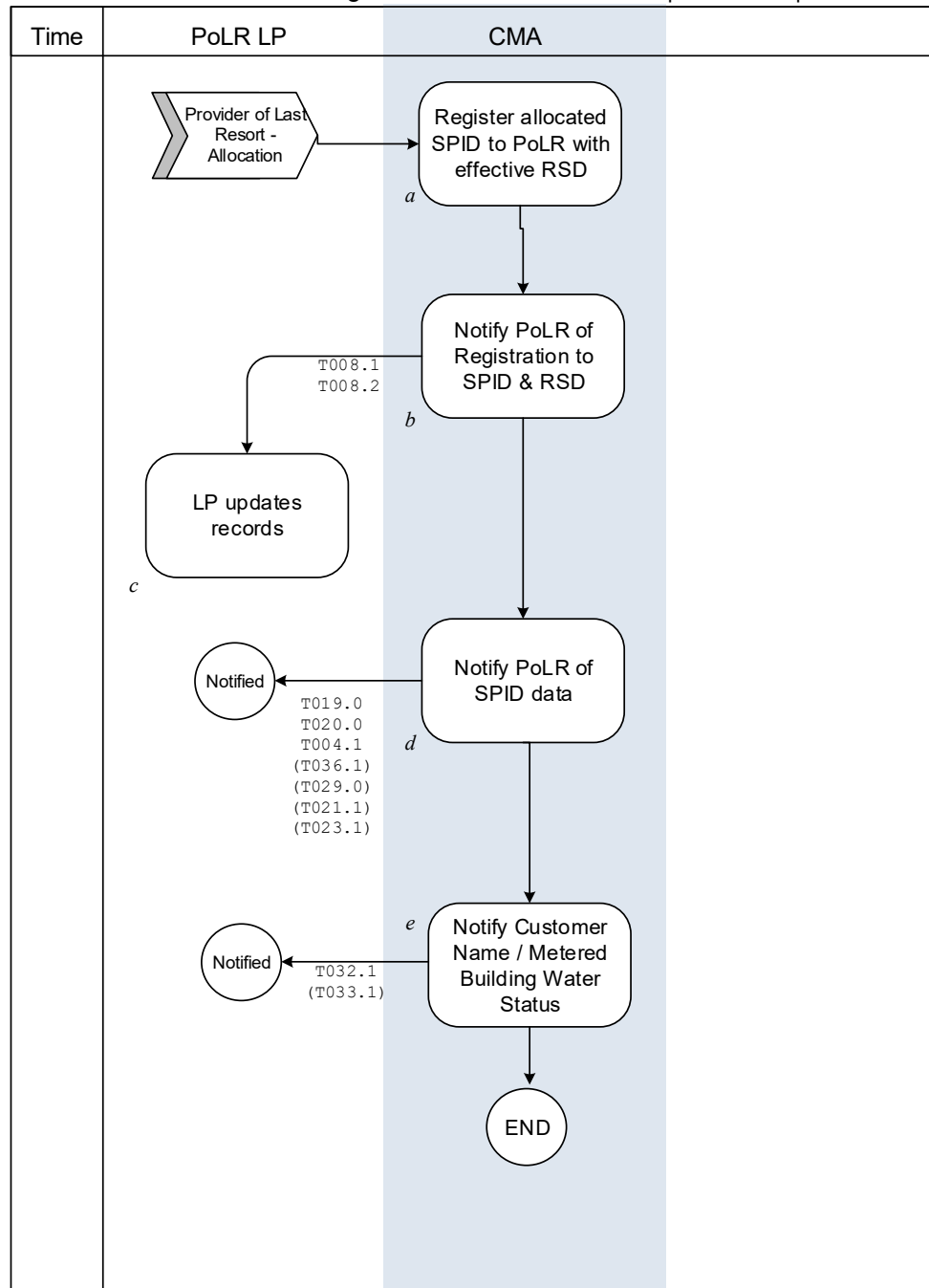
Where a New SPID has been allocated to an LP, such SPID will be registered to that LP and data should then be provided by the relevant Trading Party to make the SPID Tradeable, in accordance with CSD0101.



## 3.2 Process Diagram

### Provider of Last Resort – Registration

Updated 27 September 2010



### 3.3 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	Allocate and Register POLRs to POLR Supply Points			As allocation decision	Designated Time to be used by the CMA in Registration and the timeline for implementing the Transfer	5.3.6	(i) (b)	CMA report
b									
c									
d	S	Notify POLR of Registration to SPID & RSD	CMA	LP					T008.1 T008.2
e	S	POLR updates records				The Allocation Process may determine certain actions at this point for an LP			
f	S	Notify POLR of SPID data	CMA	LP		Any Meter Network arrangement will be notified. Any non-standard arrangements will also be notified Any SPID Data for TE Services (See CSD0206) will also be notified			T019.0 T020.0T004.1 (T036.1) (T029.0) (T021.1) (T023.1)
f	S	Notify POLR of Customer Name and Metered Building Water status	CMA	LP					T032.1 (T033.1)

## 4. Customer Data Report

### 4.1 Licensed Providers' Customer Data Report

Following the last Business Day of each month Licensed Providers shall extract data from their billing systems and submit this Customer Data Report to the CMA by the tenth Business Day of the following month.

Licensed Providers shall use reasonable endeavours to ensure that the information provided is accurate, up to date and complete.

### 4.2 Customer Data Report Format

The Customer Data Report shall be a CSV file containing the following data items. Where data items are not held by the Licensed Provider then those fields shall be populated with "NULL"

Data Item	Notes
SPID	
Customer Name	Name of the company or person legally responsible for paying for water and sewerage services
Billing Address Building Name	To be completed where the building has a name, not just a number
Billing Address Line 1	Includes building number
Billing Address Line 2	
Billing Address Post Town	Postal town as recorded by the Royal Mail
Billing Address County	
Billing Address Post Code	
Billing Contact	Primary person or role responsible for responding to billing enquiries
Billing Contact email address	Must be provided where held by the LP
Customer Contact	Primary person or role responsible for any queries in relation to customer service. May be the same person as the Billing Contact.
Customer Contact email address	Must be provided where held by the LP
Customer Contact telephone number	Must be provided where held by the LP
Vacancy Status	Must be OCCUPIED or VACANT

## 4.3 Upload and Storage

Licensed Providers shall authorise two users from their organisation to upload and access their own organisation's monthly Customer Data Reports. No other LP User shall be able to access these reports and no user from a different LP shall be able to access the reports.

To store Customer Data Reports, the CMA shall provide LPs with secure file storage that will not form part of the Central Systems. The CMA shall restrict access to these reports to CMA users who need to access them to carry out the CMA's obligations in relation to POLR.

The Customer Data Reports shall be treated as Market Personal Data.

## 4.4 Data validity checks

### Parity

The CMA will check that the total number of SPIDs in the Customer Data Report matches the number of SPIDs registered to that Licensed Provider on the final day of the month in question. The CMA will apply a tolerance of 1% to the number of SPIDs.

### Completeness

The CMA will make an assessment the number of null data items and check email addresses and telephone numbers for formatting errors and obvious data errors.

## 4.5 Data not provided or data quality concerns

Where the Customer Data Report has not been uploaded by a Licensed Provider by the end of the tenth Business Day of the month or where the CMA has concerns about the quality of the data provided, the CMA will raise these issues with the Licensed Provider's Contract Manager.

If the CMA is not satisfied with the response of the Licensed Provider and/or issues are not rectified in a reasonable time frame, then the CMA may report its concerns to the Commission.

## 4.6 Data retention

The CMA shall retain the two most recent Customer Data Reports for each Licensed Provider. Once a third Customer Data Report has been submitted and passed the data validity checks

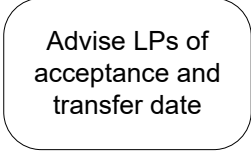
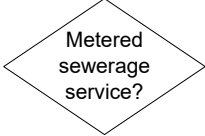
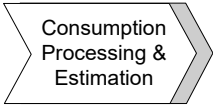


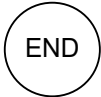
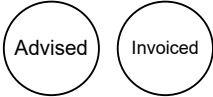


outlined in Section 4.4, the CMA shall delete the oldest Customer Data Report of that Licensed Provider.

## 4.7 Use of Customer Data Reports

The CMA shall only use the data within the Customer Data Reports:

- to carry out the data validity checks outlined in Section 4.4 of this CSD
- for audit purposes in accordance with Section 6.8 of the Market Code. This may include auditing the Customer Data Reports to ensure the data provided are accurate, up to date and complete as well as comparison of relevant fields against data held in the Central Systems,
- in the event of a PoLR SPID allocation, to identify, extract and share the Customer data associated with SPIDs with the Incoming Licensed Provider to whom the SPIDs have been allocated.

## Appendix 1 – 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”
	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.
	Transaction reference	Reference to the data transaction occurring as an output from the step it appears next to.