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# Code Subsidiary Document No. 0003:

## Volume Transfer and Volume Data Update



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Version Number

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## Definitions

Unless expressly stated otherwise, for the purposes of this CSD:

- (a) terms defined in the Wholesale-Retail Code Part 1 (Objectives, Principles and Definitions) shall apply; and
- (b) capitalised terms relating to the titles of Data Items or Data Transactions described in CSD 0301 (Data Catalogue) shall have the meaning attributed therein.

For the purposes of this CSD only, the following capitalised terms shall have the following meaning:

Definitions	
Term	Definition
"Volume Transfer Plan"	a documented plan, agreed between the Market Operator, a Transferor and a Transferee, that details the method by which the Volume Transfer which is the subject of the plan is to be undertaken and that specifies the agreed Transfer Date.

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# 1 Purpose and scope

## 1.1 Purpose

1.1.1 This document describes the processes and other arrangements required to support a Volume Transfer in the circumstances set out in Section 4.3.5 of the Market Terms, or a Volume Data Update in the circumstances set out in Section 4.3.7 of the Market Terms.

## 1.2 Scope

1.2.1 The processes set out in this CSD include the following:

- (a) the process to be followed for the Volume Transfer of Supply Points between Retailers where:
  - (i) a Retailer intends to sell or otherwise transfer ownership of all or part of its business and assets (including following an Insolvency Event where the relevant transfer is being carried out in an orderly manner); or
  - (ii) where a Wholesaler is to cease to hold an Appointment in relation to all or part of its Area; or
  - (iii) a Transferor applies to the Secretary of State for permission to withdraw from an Area in the non-household retail market in accordance with the Exit Regulations and that application is approved;
- (b) the process to be followed to undertake a Volume Data Update upon a Wholesaler change of ownership; and
- (c) the process to be followed if a Retailer or Wholesaler intends to change the name of its business.

1.2.2 For the avoidance of doubt, the processes set out in this CSD shall not be used to manage the Transfer of multiple Supply Points where such Transfer is the result of a Non-Household Customer with multiple Eligible Premises changing its Retailer voluntarily. Any such Transfer should instead be implemented using the processes set out in CSD 0102 (Registration: Transfers).

## 2. Volume Transfer of Affected Supply Points between Retailers

### 2.1 Process description

2.1.1 The following process shall apply where a Transferor wishes to instigate a Volume Transfer of Affected Supply Points in any of the circumstances described in Section 4.3.5 of the Market Terms.

#### Step a: Transferor notifies proposed Volume Transfer

2.1.2 The Transferor shall provide written notice to the Market Operator of the proposed Volume Transfer. The notice must include:

- (a) the identity of the proposed Transferee;
- (b) the proposed date or dates on which the Volume Transfer is to take effect;
- (c) whether the Volume Transfer is the result of an application to the Secretary of State for permission to withdraw from an Area in the non-household retail market in accordance with the Exit Regulations and that application having been approved, and, if so, any relevant requirements or conditions of that approval which must be taken into account in giving effect to the Volume Transfer.

#### Step b: Transferee(s) notifies proposed Volume Transfer

2.1.3 The Transferee(s) shall also give written notice of the proposed Volume Transfer to the Market Operator. The notification must include the identity of the Transferor.

2.1.4 If, after two (2) Business Days of receiving a notice from a Transferor under step a, the Market Operator has not yet received a related notice from the proposed Transferee identified in the Transferor's notice then the Market Operator shall contact the Contract Manager of the Transferee to discuss this matter.

#### Step c: Agree Volume Transfer Plan(s)

2.1.5 Promptly upon having received both a notice from a Transferor (Step a) and the related notice from the Transferee identified in the Transferor's notice, the Market Operator shall make arrangements with both parties to discuss the proposed



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Volume Transfer and to develop a document, the Volume Transfer Plan, which shall address the following matters as a minimum:

- (a) the method by which a list of the Affected Supply Points to be Registered to the Transferee shall be provided to the Market Operator;
- (b) the Transfer Date(s). The Transferor, the Transferee(s) and the Market Operator shall agree the "Transfer Date(s)" noting that the Transferor, the Transferee(s) and the Market Operator may agree to set a single Transfer Date for all Affected Supply Points or may wish to set more than one Transfer Date if they wish the Volume Transfer to take effect for different Affected Supply Points at different dates or over a period of time. For the avoidance of doubt, where the Volume Transfer is the result of an application to the Secretary of State for permission to withdraw from an Area in the non-household retail market in accordance with the Exit Regulations, there can be only a single Transfer Date and this must be the same as the Exit Date;
- (c) the way in which any Affected Supply Points that have the status of a pending Transfer at the Transfer Date should be handled, where:
  - (i) the Transferor and the Transferee are the Outgoing Retailer and Incoming Retailer respectively;
  - (ii) the Transferor and the Transferee are the Incoming and Outgoing Retailer respectively;
- (d) where the Transferor is undertaking related Volume Transfers to more than one (1) Transferee, whether any Supply Points not currently Registered to the Transferor but which become Registered to the Transferor prior to the Transfer Date should be allocated to this Transferee or another Transferee;
- (e) the method by which all relevant Data Items (including historic Data Items where relevant) relating to the Affected Supply Points shall be notified or otherwise made available to the Transferee; or

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(f) if the Transferee is not yet a Trading Party for all relevant Areas, a plan for carrying out all of the activities required to meet the Trading Conditions in respect of all Areas in which there are Affected Supply Points.

2.1.6 The Market Operator, Transferor and Transferee shall confirm their approval of the Volume Transfer Plan in writing.

2.1.7 The Market Operator shall facilitate and monitor progress against the Volume Transfer Plan. If any issue arises that requires a revision to the Transfer Date or any other matter set out in the Volume Transfer Plan, the Market Operator, the Transferor and the Transferee shall discuss and agree any such revision, and all subsequent steps in this process shall be carried out in accordance with the revised Volume Transfer Plan.

2.1.8 For the avoidance of doubt, a separate Volume Transfer Plan shall be developed and agreed for each Transferor/Transferee pairing. However the Market Operator shall seek to ensure sufficient coordination between all Volume Transfer Plans relating to the same Transferor, in order to ensure that any overall programme of related Volume Transfers is conducted in as efficient a manner as possible.

#### **Step d: Confirmation of Affected Supply Points**

2.1.9 In accordance with the timetable and method agreed in the relevant Volume Transfer Plan, the Transferor shall provide confirmation of the Affected Supply Points to the Market Operator.

2.1.10 The Market Operator shall validate the list of Affected Supply Points with reference to data held in the Central Systems and resolve any errors/queries, in consultation with the Transferor and Transferee.

2.1.11 For the avoidance of doubt Affected Supply Points shall include:

- (a) Supply Points in the process of being Registered to the Transferor;
- (b) Supply Points Registered to the Transferor;
- (c) Supply Points in the process of being Deregistered or Disconnected; and



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- (d) Supply Points which have at any time been registered to the Transferor, but which have been Deregistered, Disconnected or Transferred on or before the Transfer Date.

but shall exclude Supply Points Registered as a result of a Non-Household Customer exercising customer choice to Transfer to a Retailer other than the Transferee on or prior to the Transfer Date.

- 2.1.12 For the avoidance of doubt, where there are any Outstanding Service Requests in respect of any Affected Supply Point on the Transfer Date, the Market Operator, the Transferor, the relevant Wholesalers and the Transferee(s) shall work together to ensure the orderly handover of all such matters.

#### Step e: Final allocation of Affected Supply Points

- 2.1.13 Prior to the start of the Business Day on the Transfer Date, the Market Operator shall confirm the Affected Supply Points for which the Transferor is currently the Retailer or Incoming Retailer.

- 2.1.14 In so doing the Market Operator shall follow any relevant approach set out in the relevant Volume Transfer Plan.

- 2.1.15 The Market Operator shall exclude any Supply Points from the list of Affected Supply Points::

- (a) that have Transferred from the Transferor (and not to the Transferee) in the period between the date of confirmation of Affected Supply Points (step d above) and the Transfer Date; or
- (b) for which there is a pending Transfer Registration Application at the Transfer Date as a result of a Non-Household Customer exercising customer choice to transfer to a Retailer other than the Transferor or Transferee.

- 2.1.16 Should such a pending Transfer Registration Application (as described in 2.1.15(b) of this CSD) be subject to a Cancellation, the relevant Supply Point shall be treated as an Affected Supply Point and shall be Registered to the Transferee with effect from the Transfer Date. For the avoidance of doubt the Registration of



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such an Affected Supply Point to the Transferee in these circumstances may take place later than the Transfer Date, as a result of the timing of the Cancellation.

- 2.1.17 In the event that more than one Transfer Date has been agreed in any Volume Transfer Plan, the Market Operator shall repeat this final confirmation exercise in relation to each such Transfer Date.

**Step f: Registration of Affected Supply Points and historic data**

- 2.1.18 In respect of the Transfer Date or each Transfer Date (if more than one (1) has been agreed in the Volume Transfer Plan) the Market Operator shall by way of an update to the Registration data held within the Central Systems.

- (a) Register all Affected Supply Points for which the Transferor is the Retailer or Incoming Retailer immediately prior to the Transfer Date, to the Transferee, with effect from the Transfer Date; and
- (b) Register all historic data in relation to all Affected Supply Points, in respect of every period during which the Affected Supply Points were Registered to the Transferor, to the Transferee.

- 2.1.19 For the avoidance of doubt, where a Volume Transfer is being undertaken as a result of either:

- (a) the Transferor selling or otherwise transferring ownership of all of its business and assets; or
- (b) a Transferor (in its capacity as the Undertaker) having applied to the Secretary of State for permission to withdraw from an Area in the non-household retail market in accordance with the Exit Regulations and that application having been approved, then all historic data in respect of all Affected Supply Points must be included in the relevant Volume Transfer(s) and no historic data shall remain Registered to the Transferor from the Transfer Date.

- 2.1.20 In implementing the above Registrations, the Market Operator shall ensure that all Affected Supply Points are appropriately identified in the Central Systems to enable settlement reporting correctly to identify the Transferor as the Retailer in relation to any periods of Registration prior to the Transfer Date.



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2.1.21 For the avoidance of doubt, with effect from the Transfer Date, the Transferee shall be responsible for submitting Meter Reads in respect of all Affected Supply Points in accordance with the meter reading requirements set out in CSD 0202 (Meter Read Submission: Process) in relation to Meter Read Types and Meter Read frequency. Neither the date by which the next Meter Read in respect of an Affected Supply Point is required, nor the date upon which any related Market Performance Standard Charge shall be incurred shall be affected by a Volume Transfer having taken place.

2.1.22 The Market Operator shall have discretion as to the timing of when and over what period of hours or days it shall process the Registration of the Affected Supply Points in the Central Systems and the timing of such processing shall not impact the agreed Transfer Date.

2.1.23 The Market Operator shall ensure that the Central Systems have the functionality to apply a high volume change of Data Items to implement the outcome of each Volume Transfer. This functionality shall include the provision of appropriate reports to confirm that the relevant data updates have been successful and to flag any exceptions. The Market Operator will deal with any exceptions as appropriate in order to give full effect to the Volume Transfer.

**Step g: Confirmation of Registration**

2.1.24 Within one (1) Business Day of completion of the Registration of the Affected Supply Points (step f above) the Market Operator shall provide confirmation that such Transfer has been effected to the Transferee, the Transferor and the relevant Wholesaler(s).

**Step h: Notifications and data provision to relevant Trading Parties**

2.1.25 Following the Registration of the Affected Supply Points, for which the Transferor was the Retailer or Incoming Retailer immediately prior to the Transfer Date and in accordance with the approach and timetable agreed in the Volume Transfer Plan, the Market Operator shall make available the same set of Data Items to the Transferee as would be confirmed to an Incoming Retailer upon a Confirmation Notice having been issued in accordance with CSD 0102 (Registration: Transfers).



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2.1.26 It is acknowledged that in relation to Volume Transfers implemented pursuant to this CSD, it may be appropriate for the Market Operator to apply a different data transfer method and/or schedule for the notifications and Data Items (specified in step g and step h) than the normal Data Transaction process in view of the potentially significant volume of data, and in order to avoid adversely impacting the performance of the Central Systems or Trading Parties' systems. For example, it may be appropriate for the data to be made available by providing a method for the relevant Trading Party to receive the data on request via a structured interface (rather than via the standard Data Transactions), within a specified period and with volume limits as appropriate.

2.1.27 If the Market Operator proposes to deviate from the normal Data Transaction approach and/or timetable in this way, then it shall include details of this in the Volume Transfer Plan and inform all the affected parties in advance, in order that they are aware of when they can expect to receive the relevant Data Items.

**Step i: New Supply Points - provide data and make SPID Tradable**

2.1.28 Where a New Supply Point has been allocated to a Transferee (i.e. a SPID for which a new SPID request has been submitted to the Market Operator) any outstanding Partial Registration Application and/or data should be provided by the relevant Transferee to make the SPID Tradable, in accordance with CSD 0101 (Registration: New Supply Points).

**Step j: Final invoice for Market Operator charges**

2.1.29 Promptly upon completion of a Volume Transfer, the Market Operator shall provide the Transferor with confirmation of any amount due to the Market Operator and outstanding by the Transferor and shall invoice the Transferor for any such amount in the normal way.

**Step k: Further Registration of Affected Supply Points**

2.1.30 To the extent required, the Market Operator shall Register any Supply Points to the Transferee that were excluded from the list of Affected Supply Points at the Transfer Date, but which have subsequently become Affected Supply Points (for example as a result of a Cancellation taking effect after the Transfer Date).



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### 3. Volume Data Update upon Wholesaler change of ownership

#### 3.1 Process description

3.1.1 The following process shall apply where the Wholesaler wishes to participate in the volume updating of Wholesaler owned data for Supply Points in its Area as an Outgoing Wholesaler or as an Incoming Wholesaler in any of the circumstances described in above-mentioned section of the Market Terms.

##### Step a: Outgoing Wholesaler notifies relevant parties

3.1.2 The Outgoing Wholesaler shall provide written notice of the proposed change to the Market Operator and all relevant Retailers. The notice must include:

- (a) the identity of the Incoming Wholesaler that will become responsible for the Wholesaler's business or the relevant part of that business in the case of a part disposal; and
- (b) the proposed date on which the Volume Data Update is to take effect, the Update Date.

##### Step b: Incoming Wholesaler confirms proposed Volume Data Update

3.1.3 The Incoming Wholesaler shall also give written notice of the proposed Volume Data Update to the Market Operator. The notification must include the identity of the Outgoing Wholesaler.

3.1.4 If, after two (2) Business Days of receiving a notice from the Outgoing Wholesaler under step a, the Market Operator has not yet received a related notice from the proposed Incoming Wholesaler identified in the Outgoing Wholesaler notice, then the Market Operator shall contact the Incoming Wholesaler to discuss this matter.

##### Step c: Develop and agree Volume Data Update Plan

3.1.5 Promptly upon having received both a notice from the Outgoing Wholesaler (Step a) and the related notice from the Incoming Wholesaler

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identified in the Outgoing Wholesaler's notice, the Market Operator shall make arrangements with both parties to discuss the proposed Volume Data Update and to develop a document, the Volume Data Update Plan, which shall address the following matters as a minimum:

- (a) the method by which a list of all Supply Points in the relevant Area (or part Area) in respect of which the relevant data is to be updated to refer to the Incoming Wholesaler shall be provided to the Market Operator;
- (b) the date on which the Volume Data Update shall be regarded as taking effect ("Update Date");
- (c) the method and timetable by which all relevant Data Items relating to the Supply Points shall be notified or otherwise made available to the Incoming Wholesaler and all relevant Retailers;
- (d) how all relevant Wholesaler Tariff Data will be updated, including creation of any new Tariffs for the Incoming Wholesaler which match the existing Tariffs of the Outgoing Wholesaler and/or renaming of Tariffs and/or amendment of Supply Point data to refer to any renamed Tariffs;
- (e) if the Incoming Wholesaler is not yet a Trading Party for all relevant Areas, a plan for carrying out all of the activities required to meet the Trading Conditions, including the Incoming Wholesaler providing confirmation to the Market Operator of the Wholesale Contracts that the Incoming Wholesaler has entered into with all relevant Retailers Registered or due to be Registered to Supply Points in the relevant Area.

3.1.6 The Market Operator, Outgoing Wholesaler and Incoming Wholesaler shall confirm their approval of the Volume Data Update Plan in writing.

3.1.7 The Market Operator shall promptly send a copy of the proposed Volume Data Update Plan to all relevant Retailers.

3.1.8 The Market Operator shall facilitate and monitor progress against the Volume Data Update Plan. If any issue arises that requires a revision to

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the Update Date or any other matter set out in the Volume Data Update Plan, the Market Operator, the Outgoing Wholesaler and the Incoming Wholesaler shall discuss and agree any such revision, and all subsequent steps in this process shall be carried out in accordance with the revised Volume Data Update Plan.

- 3.1.9 For avoidance of doubt, a separate Volume Data Update Plan shall be developed and agreed for each Outgoing Wholesaler/Incoming Wholesaler pairing (e.g. where the Outgoing Wholesaler is disposing of different parts of its business to more than one (1) Incoming Wholesaler). However the Market Operator shall seek to ensure sufficient coordination between all Volume Data Update Plans relating to the same Outgoing Wholesaler, in order to ensure that any overall programme of related Volume Data Updates is conducted as efficiently as possible.

#### **Step d: Confirmation of Supply Points**

- 3.1.10 In accordance with the timetable and method agreed in the relevant Volume Data Update Plan, the Outgoing Wholesaler shall provide confirmation to the Market Operator of the Supply Points in the relevant Area (or part Area) in respect of which the relevant data is to be updated to refer to the Incoming Wholesaler.
- 3.1.11 The Market Operator shall validate the list of Affected Supply Points with reference to data held in the Central Systems and resolve any errors/queries in consultation with the Outgoing Wholesaler and Incoming Wholesaler and relevant Retailer(s) as appropriate.

#### **Step e: Market Operator implements Volume Data Update**

- 3.1.12 Prior to the start of the Business Day on the Update Date, the Market Operator shall update the relevant data for all Supply Points in the relevant Area (or part Area) to refer to the Incoming Wholesaler with effect on, from and after the Update Date.
- 3.1.13 In so doing the Market Operator shall follow any relevant approach set out in the relevant Volume Data Update plan.

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3.1.14 The Market Operator shall have discretion as to the timing of when and over what period of hours or days it shall process the Volume Update in the Central Systems, and the timing of such processing shall not impact the relevant Update Date.

3.1.15 The Market Operator shall ensure that the Central Systems have the functionality to apply a high volume change of Data Items to implement the outcome of each Volume Data Update. This functionality shall include the provision of appropriate reports to confirm that the relevant data updates have been successful and to flag any exceptions. The Market Operator shall deal with any exceptions as appropriate in order to give full effect to the Volume Data Update.

#### **Step g: Confirmation of Volume Data Update**

3.1.16 Within one (1) Business Day of completion of the Volume Data Update, the Market Operator shall provide confirmation that the Volume Data Update has been effected to the Outgoing Wholesaler and the Incoming Wholesaler.

3.1.17 In the same timescale the Market Operator shall also provide a notice to all Trading Parties confirming that the Volume Data Update has been completed.

3.1.18 Within one (1) Business Day, the Market Operator shall also provide or make available a T164.M (Notify Wholesaler to SPID relationship) to each relevant Retailer, to any Incoming Retailer and to the Other Wholesaler, notifying each such Trading Party of each Supply Point to which they are Registered, and in respect of which the Incoming Wholesaler is now the Wholesaler.

#### **Step h: Data provision to relevant Trading Parties**

3.1.19 Following the completion of the Volume Data Update, and in accordance with the approach and timetable agreed in the Volume Data Update Plan, the Market Operator shall make available all relevant Wholesaler Data Items to the Incoming Wholesaler and other relevant Trading Parties.

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3.1.20 It is acknowledged that in relation to Volume Data Updates implemented pursuant to this CSD, it may be appropriate for the Market Operator to apply a different data transfer method and/or schedule for these Data Items than the normal Data Transaction process in view of the potentially significant volume of data, and in order to avoid adversely impacting the performance of the Central Systems or Trading Parties' systems. For example, it may be appropriate for the data to be made available by providing a method for the relevant Trading Party to receive the data on request via a structured interface (rather than via the standard Data Transactions), within a specified period and with volume limits as appropriate.

3.1.21 If the Market Operator proposes to deviate from the normal Data Transaction approach and/or timetable in this way then it shall include details of this in the Volume Data Update plan and inform all the affected parties in advance, in order that they are aware of when and how they can expect to receive the relevant Data Items.

**Step i: Final invoice for Market Operator charges**

3.1.22 Promptly upon completion of a Volume Data Update, the Market Operator shall provide the Outgoing Wholesaler with confirmation of any amount due to it and outstanding by the Outgoing Wholesaler and shall invoice the Outgoing Wholesaler for any such amount in the normal way.

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## 4. Retailer or Wholesaler change of business name

### 4.1 Process description

- 4.1.1 If either a Retailer or a Wholesaler intends to change the name of its business, the Market Operator may deal with the volume updating of Supply Point data affected by the change of name as if it is a Volume Data Update (i.e. using the process set out in Section 3 of this CSD).
- 4.1.2 The Market Operator and the relevant Retailer or Wholesaler shall agree and follow a Volume Update Plan that addresses all relevant matters for an orderly change of name process in each case.
- 4.1.3 The scope of the Volume Update Plan may be different to that required in the circumstances described in Section 3 of this CSD (for example in the event of a Wholesaler change of name it shall not be necessary to define any approach to manage updating of Wholesaler Tariff Data and in the event of a Retailer change of name it shall not be necessary to define any approach to manage pending Transfers) as a change of name will be a more straightforward process than a transfer of a Wholesaler or Retailer's business to a separate entity.
- 4.1.4 In the event of a Retailer or Wholesaler change of business name, the Market Operator shall work to ensure that all relevant records (in addition to any data held in Central Systems) are updated accordingly.

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