

**Code Subsidiary Document
No. 0004:
Interim Supplier Allocation
Process**



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Change History

| Version Number | Date of Issue | Reason For Change | Change Control Reference | Sections Affected |
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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.

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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 the Interim Supplier Allocation Process in accordance with Section 4.3.9 of the Market Terms.

1.1.2 This CSD should be followed where the Authority:

- (a) notifies the Market Operator that it intends to make a direction pursuant to section 63AC(3) and/or section 110L(3) of the Water Industry Act 1991 and requests that the Market Operator carries out the Interim Supplier Allocation Process; and/or
- (b) notifies the Market Operator that it has made a direction pursuant to section 63AC(3) and/or section 110L(3) of the Water Industry Act 1991 and requests that the Market Operator gives effect to that direction.

1.2 Scope

1.2.1 The processes described in this CSD include the following:

- (a) the process for a Retailer to confirm to the Market Operator that it wishes to become an Opted In Retailer for the purposes of Interim Duty Supply Points;
- (b) the process for the Market Operator to undertake an Interim Supplier Allocation Process as required by the Authority and to notify affected Trading Parties of the outcome of each such process;
- (c) the methodology that the Market Operator shall use to allocate Interim Duty Supply Points to Opted In Retailers as part of each Interim Supplier Allocation Process; and
- (d) the process to Register allocated Interim Duty Supply Points to an Opted In Retailer.

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2. Opt in, opt out and temporary suspension process

2.1 Electing to be an Opted In Retailer

- 2.1.1 A Retailer that is to be an Opted In Retailer for the purposes of the Interim Supplier Allocation Process should send a notification to the Market Operator in accordance with CSD 0006 (Trading Party Administration and Notification Processes).
- 2.1.2 A Retailer shall be entitled to send such a notification and thereby opt in for the purposes of the Interim Supplier Allocation Process at any time.
- 2.1.3 The notification shall include:
- (a) the Area or Areas in relation to which it is to be an Opted In Retailer;
 - (b) in respect of each such Area whether it is to be an Opted In Retailer in relation to Water Services or Sewerage Services or both; and
 - (c) confirmation that the notification has been authorised by the Retailer's current Contract Manager.
- 2.1.4 On receipt of the notification, the Market Operator shall confirm receipt to the Retailer and shall add the Retailer to the List of Opted In Retailers by Area for the purposes of the Interim Supplier Allocation Process.

2.2 List of Opted In Retailers

- 2.2.1 The Market Operator shall maintain and publish a List of Opted In Retailers by Area for the purposes of the Interim Supplier Allocation Process. The Market Operator shall update and re-publish the list within one (1) Business Day of any amendment to the Opted In Retailer status of any Retailer.
- 2.2.2 The Market Operator shall provide the List of Opted In Retailers by Area to the Authority upon request and following any amendment to the Opted In Retailer status of any Retailer.

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2.3 Opting out

- 2.3.1 An Opted In Retailer that no longer wishes to be an Opted In Retailer for the purposes of the Interim Supplier Allocation Process shall be entitled to amend its opted in status in respect of one or more Service Categories and/or Areas, to the extent it is entitled to do so in accordance with the Interim Supply Code.
- 2.3.2 In order to opt out, an Opted in Retailer shall send a notification to the Market Operator in accordance with CSD 0006 (Trading Party Administration and Notification Processes).
- 2.3.3 The notification shall include:
- (a) the Area or Areas in relation to which its Opted In Retailer status is to be amended;
 - (b) in respect of each such Area whether it wishes to opt out in relation to Water Services and/or Sewerage Services or both; and
 - (c) confirmation that the notification has been authorised by the Retailer's current Contract Manager.
- 2.3.4 On receipt of the notification, the Market Operator shall confirm receipt to the Retailer and shall update and re-publish the List of Opted In Retailers by Area accordingly within one (1) Business Day.

2.4 Temporary suspension of Opted In Retailer status

Voluntary temporary suspension

- 2.4.1 A Retailer may elect temporarily to suspend its status as an Opted In Retailer (to the extent it is entitled to do so in accordance with the Interim Supply Code).
- 2.4.2 As described in Section 3 of this CSD, the Market Operator shall notify all relevant Trading Parties (every Retailer that is an Opted In Retailer for the relevant Area(s) and every relevant Wholesaler) each time it is requested to carry out the Interim Supplier Allocation Process by the Authority. This prior notice shall specify a deadline by which any Opted In Retailer entitled to

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temporarily suspend its Opted In Retailer status in respect of the relevant allocation exercise must send notice to this effect to the Market Operator. In setting this deadline the Market Operator shall be mindful of any direction as to urgency and timetable received from the Authority.

2.4.3 Any Retailer wishing temporarily to suspend its Opted In Retailer status subsequent to the Market Operator giving prior notice of a planned allocation exercise shall send a notification to the Market Operator in accordance with CSD 0006 (Trading Party Administration and Notification Processes). Subject to any direction by the Authority that the notification be received any notification that is received after the deadline specified in the Market Operator's prior notice shall be rejected and shall not be implemented and the Retailer shall remain as an Opted In Retailer in respect of the relevant allocation exercise.

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2.4.4 For urgent cases, where it is necessary for temporary suspension to occur on the same Business Day as the Retailer sends the notification to the Market Operator in accordance with CSD 0006 (Trading Party Administration and Notification Processes), the Market Operator shall be entitled to take whatever steps it considers reasonable in the circumstances to implement the temporary suspension process. In such cases, the Market Operator shall inform the parties of this approach at the same time as specifying the deadline in accordance with Section 2.4.2 above.

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2.4.5 The details that the Retailer shall be required to provide in its request for temporary suspension shall include:

- (a) confirmation that it wishes to suspend its Opted In Retailer status in relation to the specified allocation exercise;
- (b) the Area(s) in respect of which it wishes to suspend its Opted In Retailer status;
- (c) whether it wishes to suspend its Opted In Retailer status in relation to Water Services or Sewerage Services or both in each relevant Area; and

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(d) confirmation that the suspension notification has been authorised by the Retailer's current Contract Manager and the Authority (if required in accordance with the Interim Supply Code).

2.4.6 On receipt of such a request from a Retailer, the Market Operator shall confirm receipt and shall exclude that Retailer from the specified allocation exercise.

2.4.7 For the avoidance of doubt, each temporary suspension shall only apply in relation to a single specified allocation exercise. A Retailer wishing to suspend its Opted In Retailer status must do so in relation to each individual instance of the Interim Supplier Allocation Process being carried out.

Suspension due to Alternative Action for Insolvency

2.4.8 In the event that the Market Operator is informed by a Wholesaler that the Wholesaler has notified an Opted In Retailer, pursuant to Section 11.3 of the Business Terms, that the Opted In Retailer may not obtain any more Eligible Premises or Non-Household Customers in the Wholesaler's Area, the Market Operator shall remove the Retailer from the List of Opted In Retailers by Area for the purposes of the Interim Supplier Allocation Process in respect of the relevant Area from the date notified by the Wholesaler in its notice to the Market Operator.

2.4.9 The relevant Retailer shall not be allocated any Interim Duty Supply Points in the relevant Area until such time as the Market Operator is notified by the relevant Wholesaler that the restriction placed on the relevant Retailer pursuant to Section 11.3 of the Business Terms is no longer in effect, and shall take steps in accordance with Section 11.3.1 of the Business Terms to cancel any pending or future Transfer Registration Applications which it has submitted.

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3. Interim Supplier Allocation Process

3.1 Allocation and Registration to relevant Undertaker

3.1.1 Where section 63AC(2) or section 110L(2) of the 1991 Act applies and the Authority notifies the Market Operator that no direction is to be made under section 63AC(3) or section 110L(3) of the 1991 Act, the Market Operator shall allocate the Interim Duty Supply Points to the relevant Undertaker for the Area in which the Eligible Premises are located.

3.1.2 The process to be followed for registration of Interim Duty Supply Points is detailed in Section 5 of this CSD.

3.2 Process description

Step a: Authority triggers process

3.2.1 The following steps should be followed where the Authority notifies the Market Operator that it intends to make a direction pursuant to section 63AC(3) and/or section 110L(3) of the Water Industry Act 1991 and requests that the Market Operator carries out the Interim Supplier Allocation Process.

Step b: Market Operator notifies Opted In Retailers and affected Wholesalers

3.2.2 Promptly upon receiving a notice from the Authority (step a above) requesting that an Interim Supplier Allocation Process should be carried out, the Market Operator shall send a notice to the Contract Manager of every Retailer that is an Opted In Retailer for the relevant Area(s), as well as to the Contract Manager of each relevant Wholesaler. This notice shall include:

- (a) the identity of the current Retailer in respect of the Interim Duty Supply Points to be allocated;
- (b) the number of water and/or sewerage Interim Duty Supply Points to be allocated in each Area;

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(c) the date from which the Interim Duty Supply Points shall be registered to any Opted In Retailer, allocated in accordance with the allocation methodology (which may be a date in the past); and

(d) the deadline for any Opted In Retailer to temporarily suspend its Opted In Retailer status in respect of the relevant allocation exercise.

3.2.3 In setting the expected timetable for the allocation exercise and the deadline for temporary suspension, the Market Operator shall be mindful of any direction as to urgency and timetable received from the Authority.

Step c: Market Operator confirms Opted In Retailers to be included in allocation exercise

3.2.4 Promptly following the deadline for receipt of temporary suspension requests specified in the notice issued under step b above, the Market Operator shall establish which Opted In Retailers are to be included in the allocation exercise, having excluded any Retailers that have temporarily suspended their Opted In Retailer status in accordance with the process described in Section 2 of this CSD. The Market Operator shall publish the resulting list of the Opted In Retailers that are to be included in the allocation exercise and provide a copy to the Authority.

Step d: Authority approves timetable and directs Market Operator to undertake allocation exercise

3.2.5 Following provision to the Authority of the list of the Opted In Retailers that are to be included in the allocation exercise (step c above), the Market Operator shall propose the overall timetable and approach to apply to the allocation exercise to the Authority. Upon receipt of confirmation from the Authority that the proposed timetable and approach is satisfactory, the Market Operator shall proceed to step e below.

Step e: Cancel pending Transfers in

3.2.6 Prior to carrying out the relevant allocation exercise (step f below), the Market Operator shall cancel any Transfer that is pending to the current Retailer in

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respect of the Interim Duty Supply Points to be allocated. The Market Operator shall send a Data Transaction T111.M (Notify Registration Cancellation) to the current Retailer in respect of the Interim Duty Supply Points to be allocated and to the pending Outgoing Retailer in respect of each such pending Transfer.

Step f: Market Operator undertakes allocation exercise

- 3.2.7 In accordance with the Authority's direction and any approved timetable (step d above), the Market Operator shall undertake the allocation exercise in accordance with the allocation methodology described in Section 4 of this CSD.

Step g: Market Operator provides allocation results to Authority

- 3.2.8 Within one (1) Business Day of completing the allocation exercise, the Market Operator shall provide a report to the Authority detailing the outcome of the exercise, identifying which Interim Duty Supply Points have been allocated to which Opted In Retailers as a result of the application of the allocation methodology, the proposed timetable for implementing the Transfers within the Central Systems, as well as any other information that the Authority has requested.

Step h: Authority direction

- 3.2.9 If the Authority makes a direction under section 63AC(3) or section 110L(3) of the Water Industry Act 1991 (whether following an Interim Supplier Allocation Process or some other process), the Market Operator shall proceed with steps i and j below.

Step i: Market Operator notifies outcome of allocation exercise

- 3.2.10 Within one (1) Business Day of the Authority's direction (step h above) the Market Operator shall send a Report in accordance with CSD 0302 (Standing Reports and Data Extracts) to each Retailer that has had one or more Interim Duty Supply Points allocated or directed to it. The notification shall include confirmation of when the Registrations of the Interim Duty Supply Points that have been allocated or directed to the relevant Retailer shall be implemented

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(i.e. the Designated Date to be used by the Market Operator in Registration and the timeline for implementing the Transfer).

3.2.11 In addition, prior to commencing the Registration process in respect of the relevant Interim Duty Supply Points, the Market Operator shall prepare and provide a document to all Trading Parties setting out:

- (a) the relevant Interim Duty Supply Points affected;
- (b) the relevant Opted In Retailers to be Registered to those Supply Points;
- (c) the Registration Start Date (being the Designated Date) for each Opted in Retailer; and
- (d) details of the timetable and process to be followed to implement the relevant Transfers.

Step j: Registration of Interim Duty Supply Points

3.2.12 After receiving notice of the direction from the Authority (step h above), the Market Operator shall Register the Interim Duty Supply Points allocated to the relevant Incoming Retailer(s) with effect from the Designated Date.

3.2.13 The process to be followed for registration of Interim Duty Supply Points is detailed in Section 5 of this CSD.

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4. Interim Supplier Allocation methodology

4.1.1 The Market Operator shall develop and maintain systems and processes to support the implementation of the Interim Supplier Allocation Process. This should include an appropriate means to access relevant data held within the Central Systems to ensure that each allocation exercise includes all relevant Interim Duty Supply Points.

Interim Duty Supply Points

4.1.2 The Interim Duty Supply Points to be included in the allocation exercise shall include:

- (a) New Supply Points in the process of being Registered to the relevant Retailer; and
- (b) Supply Points Registered to the relevant Retailer, including those in the process of being Deregistered or Disconnected.

Pending Transfers out

4.1.3 If there are any Supply Points currently Registered to the relevant Retailer which are in the process of being Transferred to an Incoming Retailer, the Market Operator shall take steps to complete the relevant Transfers by the Designated Date (in accordance with Section 5.1 of this CSD), and these Supply Points shall therefore be excluded from the Interim Duty Supply Points to be included in the allocation exercise.

Allocation principles

4.1.4 The particular Interim Duty Supply Points to be allocated to each Opted In Retailer shall be allocated by the Market Operator by Area and, within each Area, on a random basis, subject to the following principles:

4.1.5 In respect of each Area:

- (a) each Opted In Retailer for Water Services within an Area shall be allocated an equal number of Interim Duty Supply Points for Water

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Services and each Opted In Retailer for Sewerage Services within an Area shall be allocated an equal number of Interim Duty Supply Points for Sewerage Services subject, in each case, to any rounding up or down required in order to allocate a whole number of Supply Points;

- (b) where a Water Services Supply Point and an associated Sewerage Services Supply Point exist at an Eligible Premises, they shall, so far as practical, be allocated to one Opted in Retailer; and
- (c) where the Customer Names for a number of Supply Points are determined by the Market Operator to be sufficiently similar, all such Supply Points shall be allocated to one Opted In Retailer, so far as is practical.

High level methodology

4.1.6 In order to implement the allocation principles set out above, the Market Operator shall include the following steps in its allocation methodology:

4.1.7 In respect of each Area or combination of Areas as appropriate, the Market Operator shall divide the Interim Duty Supply Points into a number of different groups, as follows:

- (a) Water Services Supply Points where there is an associated Sewerage Services Supply Point already registered to an Opted In Retailer which supplies both Water and Sewerage Services;
- (b) Sewerage Services Supply Points where there is an associated Water Services Supply Point already registered to an Opted In Retailer which supplies both Water and Sewerage Services;
- (c) Groups of associated Water and Sewerage Supply Point pairs, where all such Supply Points are currently registered to the relevant Retailer and where the Customer Name is sufficiently similar in all cases;
- (d) Water and Sewerage Supply Points at the same Eligible Premises, where both are registered to the relevant Retailer, and where the Customer

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Name is not sufficiently similar to that of any other such Supply Point pairs;

- (e) Water Services Supply Points where no associated Sewerage Services Supply Point is already registered to an Opted In Retailer which supplies both Water and Sewerage Services (or is not currently registered at all); and
- (f) Sewerage Services Supply Points where no associated Water Services Supply Point is already registered to an Opted In Retailer which supplies both Water and Sewerage Services (or is not currently registered at all).

4.1.8 As far as possible, the Market Operator shall do the following:

- (a) Allocate each Supply Point in groups (a) and (b) to the Opted In Retailer that is already responsible for the other Service Category at the same Eligible Premises;
- (b) Allocate each group of Supply Point pairs in group (c) that have a sufficiently similar Customer Name to a single Retailer, selected at random from among only those relevant Opted In Retailers which have opted in in respect of both Water and Sewerage Services in the relevant Area or combination(s) of relevant Areas;
- (c) Allocate each pair of associated Supply Points in group (c) at random from among only those relevant Opted In Retailers which have opted in in respect of both Water and Sewerage Services in the relevant Area combination(s) of relevant Areas;
- (d) Allocate Water Supply Points in group (e) at random from among only those relevant Opted In Retailers which have opted in in respect of both Water and Sewerage Services or Water Services only in the relevant Area; and
- (e) Allocate Sewerage Supply points in group (f) at random from among only those relevant Opted In Retailers which have opted in in respect of both

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Water and Sewerage Services or Sewerage Services only in the relevant Area.

4.1.9 However, it should be noted that where the above allocation approach would not result in each Opted In Retailer for Water Services within an Area being allocated an equal number of Interim Duty Supply Points for Water Services and each Opted In Retailer for Sewerage Services within an Area being allocated an equal number of Interim Duty Supply Points for Sewerage Services (subject, in each case, to any rounding up or down required in order to allocate a whole number of Supply Points) then the Market Operator shall adjust the number of Supply Points included in each group to ensure as equal a distribution as possible can be achieved.

4.1.10 The Market Operator shall also seek to achieve an equitable distribution of larger (by consumption) Supply Points within each group, such that no Retailer is allocated a disproportionate number of larger Supply Points.

Detailed methodology

4.1.11 The Market Operator shall develop, document and maintain a detailed description of its allocation methodology (consistent with the principles set out above and the relevant provisions of the Market Terms). This may include the detailed procedures and algorithms to be applied.

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5. Registration of Interim Duty Supply Points

5.1 Process description

Overview

- 5.1.1 The Interim Duty Supply Points shall be Transferred by the Market Operator to the allocated Opted In Retailers by way of an update to the Registration data held within the Central Systems.
- 5.1.2 The Market Operator shall implement the relevant Transfers such that each allocated Opted In Retailer shall be the Registered Retailer for all Supply Point(s) allocated to it with effect from the Designated Date.

Step a: Pending Transfers out

- 5.1.3 If there is any Supply Point currently Registered to the relevant Retailer which is in the process of being Transferred to an Incoming Retailer, and where the Registration Start Date for the pending Transfer is later than the Designated Date, the Market Operator shall ensure that every such Transfer proceeds with a Registration Start Date that is equal to the Designated Date.

Step b: Data update by Market Operator

- 5.1.4 The Market Operator shall ensure that the Central Systems have the functionality to apply a high volume change of data to implement the outcome of each allocation exercise, based on the results generated by the application of the allocation methodology.
- 5.1.5 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 allocation exercise. The reports should also provide confirmation that following the data update there are no Supply Points remaining Registered to the relevant Retailer.

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Step c: Notifications and data provision to relevant Trading Parties

- 5.1.6 Following the Registration of Interim Duty Supply Points to the relevant Retailer (step b above), the Market Operator shall send the same set of Data Transactions to the Retailer and other relevant Trading Parties as would be sent in respect of a standard Transfer undertaken in accordance with CSD 0102 (Registration: Transfers). The relevant Retailer is therefore referred to hereafter as the Incoming Retailer.
- 5.1.7 It is expected that the Market Operator shall provide or make available these notifications as close as reasonably practical to the standard timescales and the standard method set out in CSD 0102 (Registration: Transfers). However, it is acknowledged that in relation to Transfers implemented pursuant to this CSD, it may be appropriate for the Market Operator to apply a different schedule and/or method for these notifications in view of the potentially significant volume of data, and in order to avoid any adverse impact on the performance of the Central Systems or Trading Parties' systems. If the Market Operator proposes to deviate from the normal notification timetable and/or method in this way then it shall inform all the affected parties in advance, in order that they are aware of the amended timetable and/or method for receipt of the relevant notifications.

Step d Submit Transfer Reads

- 5.1.8 For all Interim Duty Supply Point(s) that are Metered, the Incoming Retailer shall make arrangements for the submission of a Transfer Read to the Market Operator in relation to all meters Registered at each such Supply Point in accordance with CSD 0102 (Registration: Transfers) and CSD 0202 (Meter Read Submission: Process), unless the Market Operator is informed of an alternative timetable by the Retailer.
- 5.1.9 As far as reasonably practicable, Retailers should endeavour to meet the standard timetable for submission of Transfer Reads. However, it is acknowledged that it may not be reasonably practicable to provide or procure Transfer Reads for all Interim Duty Supply Points within the normal target timescales set out in CSD 0102 (Registration: Transfers) and CSD 0202 (Meter Read Submission: Process), particularly where a large number of Interim Duty

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Supply Points have been Transferred to a Retailer at the same time under the Interim Supplier Allocation Process.

5.1.10 A Retailer shall therefore be permitted to agree an alternative timetable with the Market Operator for the submission of Transfer Reads in respect of the Interim Duty Supply Points that have been Transferred to it. However, in any case:

- (a) all relevant Transfer Reads in respect of Twice-yearly Read Meters must be submitted within three (3) Months of the Designated Date; and
- (b) all relevant Transfer Reads in respect of Monthly Read Meters must be submitted within one (1) Month of the Designated Date.

5.1.11 In calculating Market Performance Standard Charges in accordance with CSD 0002 (Market Performance Framework) in relation to Transfer Reads, the Market Operator shall take account of any agreed alternative timetable for submission of Transfer Reads in these circumstances.

5.1.12 Where the Transfer relates to a Main Meter in a Meter Network then the Data Owner for any associated Sub Meter at the level below the Main Meter is also required to provide a Transfer Read. The Incoming Retailer is responsible for notifying the relevant Data Owner for the Sub Meter not less than ten (10) Business Days prior to the agreed date by which such read is required (taking account of any agreed alternative timetable for submission of Transfer Reads pursuant to this CSD).

Step e New Supply Points - provide data and make Supply Point Tradable

5.1.13 Where a New Supply Point has been allocated to an Incoming Retailer (i.e. a Supply Point for which a New Supply Point request has been submitted to the Market Operator, but the relevant Retailer had not yet submitted the Partial Registration Application), such Supply Point shall be registered to that Incoming Retailer as if the Incoming Retailer had submitted the Partial Registration Application, and data shall then be provided by the relevant Incoming Retailer to make the Supply Point Tradable, in accordance with CSD 0101 (Registration: New Supply Points).

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