
SCHEDULE XX

Prepayment Arrangements

Version: 0.1

Effective Date: N/A

Domestic Suppliers	Mandatory
Non-Domestic Suppliers	Mandatory
Gas Transporters	N/A
Distribution Network Operators	N/A
DCC	N/A

Change History

Version Number	Implementation Date	Reason for Change
0.1	TBC	Draft agreed for consultation June 2019

Contents

1	Introduction	4
2	Associated Documents.....	4
3	Consumer Principles and Outcomes	4
4	Energy Supplier Requirements	5
5	Smart Prepayment Switch Process	7
6	Fixed Balance UTRNs.....	7
7	Issue New Prepayment Device.....	9
8	Update Prepayment Device	10
9	Prepayment Transaction Reporting and Issue Resolution.....	14
10	Distribution of Unallocated Transactions	17
11	Standard Prepayment Meter Transaction Data	20
12	Issue New Prepayment Device.....	21
13	Consumer Switch Event	22
14	Meter Dump Request.....	23
15	Updating Tariff, Credit or Debt Information on a Prepayment Meter	25
16	Replacement Prepayment Device.....	28
17	Ad Hoc Supplier Queries	29
18	Change of Values.....	30
19	Removal of a Prepayment Meter.....	30
20	Distribution of Unallocated Transactions	31

Section A: General Obligations

1 Introduction

- 1.1 This REC Schedule sets out rules and operational procedures to be followed by Energy Suppliers when managing Consumers with Prepayment Meters, including Smart Meters operating in prepayment mode. The rules and operational procedures in this REC Schedule apply when supplying Domestic Premises and Non-Domestic Premises, unless otherwise stated.
- 1.2 The scope of this REC Schedule covers:
- (a) requirements relating to the provision of Prepayment Devices following a Switch, Change of Occupier or Change of Metering Equipment;
 - (b) requirements and operational procedures for updating information held on and about Prepayment Meters;
 - (c) requirements for managing Switches where neither the Gaining Supplier nor the Losing Supplier can communicate with the Smart Meter;
 - (d) requirements relating to the resolution of Unallocated Transactions; and
 - (e) minimum standards for ensuring business continuity for services provided by Prepayment Meter Infrastructure Providers (PPMIPs).
- 1.3 The objectives of this REC Schedule are to ensure Consumers with Prepayment Meters are billed correctly and able to maintain continuous supply, and to ensure the prepayment infrastructure is operated and utilised efficiently and in the interests of Consumers.

2 Associated Documents

- 2.1 This REC Schedule should be read in conjunction with:
- (a) the Technical Specification¹;
 - (b) the Resolution of Consumer-Facing Switching and Billing Problems Schedule;
 - (c) the Smart Metering Equipment Technical Specifications; and
 - (d) [Relevant metering codes of practices and technical documents].

3 Consumer Principles and Outcomes

- 3.1 Each Energy Supplier shall ensure that the Consumers it supplies can top-up their Prepayment Meter using an up-to-date Prepayment Device, charging the correct tariff and agreed debt recovery rate.
- 3.2 Each Energy Supplier shall ensure that the Consumers it supplies have access to an emergency top-up device or service, if their individual circumstances mean that they should not need to wait for a new Prepayment Device to be issued by the PPMIP or Energy Supplier.

¹ This document is intended to set out the data flows and data items that are to be used in conjunction with this Schedule, including the format of the different prepayment transaction reports that are to be provided by the PPMIPs.

- 3.3 Each Energy Supplier shall ensure that the Consumers it supplies shall only pay for energy supplied to their premises, and that it only keeps payments to which it is entitled under an Energy Contract. Top-up payments received by an Energy Supplier on or after the Switch Effective Date must not be used by the Losing Supplier to reduce outstanding debts.
- 3.4 Where the Registered Supplier for an RMP with a Prepayment Meter identifies an issue relating to the Prepayment Meter or software type, the Registered Supplier shall arrange for a resolution in a suitable timescale, being particularly aware of the affected Consumer's individual circumstances. This may include replacing the meter, performing a decommission / recommission or updating the Prepayment Meter's software as appropriate.

4 Energy Supplier Requirements

PPMIP Contractual Requirements

- 4.1 For Prepayment Meters that are not Smart Meters, each Registered Supplier shall ensure it assigns a PPMIP that acts in accordance with, and adheres to, the relevant provisions of this REC Schedule. All communications between the Energy Supplier and the PPMIP will be in accordance with this REC Schedule unless agreed bilaterally between the Energy Supplier and the PPMIP.
- 4.2 To minimise Consumer detriment, each Energy Supplier shall maintain appropriate business continuity and/or disaster recovery procedures with its PPMIP in the event that a PPMIP's site becomes non-operational.

Preventing Misdirected Payments and Unallocated Transactions

- 4.3 Each Energy Supplier must take all reasonable steps to prevent Unallocated Transactions.
- 4.4 Each Energy Supplier shall monitor the Prepayment Transaction Reports provided to it by its PPMIP and investigate and resolve in a timely manner any identified errors.
- 4.5 Following receipt of notification that a Registration has a Registration Status of Confirmed, the Gaining Supplier shall ensure a new Prepayment Device is issued to the Consumer in advance of (and reasonably close to) the Supply Effective From Date.
- 4.6 The Gaining Supplier shall clearly explain to the Consumer which Prepayment Device they should use before and after the Switch, to avoid Misdirected Payments and double billing. The Gaining Supplier shall impress upon Consumers the need to use the correct Prepayment Device to ensure that payments are allocated correctly and shall endeavour to obtain the old Prepayment Device from the Consumer.
- 4.7 Where an Energy Supplier suspects that Misdirected Payments are occurring, it shall initiate the Misdirected Payments resolution process, set out in the Consumer-Facing Switching and Billing Problems Schedule.

Prepayment Meter Data

- 4.8 Each Registered Supplier shall take all reasonable steps to ensure that the data held on the Consumer's Prepayment Meter is up-to-date and accurate.
- 4.9 Where a discrepancy is identified between the information held on a Consumer's Prepayment Meter and the information held by the Registered Supplier, the Registered Supplier shall

correct the information as soon as is reasonably practicable, being particularly conscious of any potential impact on the affected Consumer.

Assurance Reporting

- 4.10 For Prepayment Meters that are not Smart Meters, each Energy Supplier shall ensure that its PPMIP contracts establish a methodology for the generation of assurance reports to be provided to the Energy Supplier.

Operational Contacts

- 4.11 Each Energy Supplier shall provide to the Code Manager contact details (role(s)/name(s), email address(es) and telephone number(s)) for the matters governed by this REC Schedule, including receipt of transaction reports, issuing Fixed Balance UTRNs, and resolution of Unallocated Transactions, and shall ensure that such contact details remain up-to-date.
- 4.12 The Code Manager shall make the notified contact details available to all PPMIPs and Energy Suppliers.

Section B: Smart Prepayment Arrangements

The provisions in this Section B relate to Smart Meters operating in Prepayment Mode. References to Prepayment Meters in this section shall be interpreted accordingly.

5 Smart Prepayment Switch Process

5.1 This is an exception process which shall be followed where neither the Gaining Supplier nor Losing Supplier can communicate with the Smart Meter. The following conditions must be met, in order for the process to be utilised:

- (a) a Consumer Switch has taken place for the RMP to which the Smart Meter relates; and
- (b) the Losing Supplier operated the Smart Meter as a Prepayment Meter.

5.2 As part of the standard Switch process set out in the Registration Services Schedule, the Losing Supplier shall instruct the change of mode on a Smart Meter from prepayment to credit in advance of the Gaining Supplier's Registration becoming Active. For DCC Enrolled Smart Meters, this will be carried out by sending a service request command in accordance with the Smart Energy Code via the DCC.

5.3 Following the end of its Supply Effective Through Date, the Losing Supplier shall reject attempted payments which are intended to top-up the balance of a DCC Enrolled Smart Meter. In these circumstances, the Losing Supplier shall provide guidance to the Consumer regarding how to identify its Energy Supplier.

5.4 The exceptions process detailed in this Paragraph 5 specifically relates to DCC Enrolled Smart Meters. For non-DCC Enrolled Smart Meters the relevant Energy Supplier can choose one of the below options in order to mitigate the risk of a Consumer losing supply due to an exception described in Paragraph 5.1:

- (a) replace the non-DCC Enrolled Smart Meter with a DCC Enrolled Smart Meter; or
- (b) have in place a bilateral agreement with the relevant Losing Supplier.

6 Fixed Balance UTRNs

6.1 Where the mode on a Smart Meter has not been changed from prepayment to credit in advance of the Gaining Supplier's Registration becoming Active, the Losing Supplier shall provide a Fixed Balance UTRN in accordance with this Paragraph 6.

6.2 The Losing Supplier shall not receive a payment from the Gaining Supplier (or be obliged to make a payment to the Gaining Supplier) for the value of the Fixed Balance UTRN.

6.3 Only one Fixed Balance UTRN will be provided per request per RMP, unless otherwise agreed bilaterally between the relevant Energy Suppliers.

6.4 The Losing Supplier may provide Fixed Balance UTRNs to the Gaining Supplier on a Switch, without a request being received from the Gaining Supplier.

6.5 In instances where the provision of a Fixed Balance UTRN to the Consumer does not work, the Losing Supplier is unable to provide a Fixed Balance UTRN or the Consumer is unable to input

the Fixed Balance UTRN, the Gaining Supplier shall take alternative steps to ensure continued supply to the Consumer.

6.6 The following process steps apply to Fixed Balance UTRN:

Ref	When	Action	From	To	Information Required	Method
6.6.1	As required.	Undertake all reasonable steps to remotely apply configuration settings on a Smart Meter.	Gaining Supplier		Not Defined	N/A
6.6.2	If the activities set out in 6.6.1 are not successful, but only for the first request in respect of that Switch and only if requested within 28 days of the Losing Supplier's Supply Effective Through Date.	Request a Fixed Balance UTRN	Gaining Supplier	Losing Supplier	Proforma in Appendix 4	[Email]
6.6.3	Within 3 Working Hours of receipt of the request in accordance with 6.6.2.	Provide Fixed Balance UTRN	Losing Supplier	Gaining Supplier	Proforma in Appendix 4	[Email]
6.6.4	Where the Losing Supplier is unable to provide the Fixed Balance UTRN within the timescales specified in 6.6.3.	Provide notification that the Fixed Balance UTRN cannot be provided within the required timeframe, but provide the Fixed Balance UTRN as soon as reasonably practicable.	Losing Supplier	Gaining Supplier	Proforma in Appendix 4 including reason why the request could not be completed	[Email]
6.6.5	Following 6.6.2.	Continue to provide Fixed Balance UTRNs for up to 90 calendar days following the Losing Supplier's Effective Through Date, where requested by the Gaining Supplier and in accordance with 6.6.3/6.6.4.	Losing Supplier	Gaining Supplier	Proforma in Appendix 4	[Email]

Section C: Electricity Prepayment Arrangements (Legacy)

The provisions in this Section C apply only to electricity RMPs and to Prepayment Meters that are not Smart Meters. References to Prepayment Meters in this section shall be interpreted accordingly.

7 Issue New Prepayment Device

- 7.1 An Energy Supplier shall issue a new Prepayment Device in the following circumstances (where supply is, or is to be, subject to a Prepayment Meter):
- first Registration for a new supply;
 - following notification that a Registration has a Registration Status of Confirmed (unless Payment Device can be updated instead, see Paragraph 8);
 - Change of Occupier (unless the Prepayment Device can be updated instead, see Paragraph 8);
 - Change of Metering Equipment (unless the Prepayment Device can be updated instead, see Paragraph 8); or
 - loss of or damage to previous Prepayment Device.
- 7.2 The Energy Supplier may choose to issue the Prepayment Device itself or ensure that a PPMIP, MEM or other service provider issues the Prepayment Device on the Energy Supplier's behalf².
- 7.3 Where the Prepayment Device is not issued by the PPMIP (on the Energy Supplier's behalf), then the Energy Supplier shall ensure the PPMIP is promptly informed of all relevant data to enable accurate processing of prepayment transactions and to avoid Misdirected Payments.
- 7.4 For Related Metering Points, the Energy Supplier shall send a data flow for each electricity RMP to the PPMIP, only one of which can be for the purpose of issuing a Prepayment Device.
- 7.5 The following process steps apply to issuing new Prepayment Devices. The table is written by reference to a Switch, but the same rules would apply for the other events listed in Paragraph 7.1:

Ref	When	Action	From	To	Information required	Method
7.5.1	Following confirmation that a Registration has a Registration Status of Confirmed.	<u>Scenario A</u> Send instruction to issue Prepayment Device	Gaining Supplier	PPMIP/ MEM / other device issuer	<p><u>For Customer Key</u> DTC Flow D0190 with Data Item; <ul style="list-style-type: none"> J0590 set to 'ROK'. </p> <p><u>For Customer Token</u> DTC Flow D0174 with Data Item; <ul style="list-style-type: none"> J1701 set to 'N'. </p> <p><u>For Customer Smartcard</u> DTC Flow D0183 with Data Item;</p>	DTN

² Where the PPMIP does not send the Prepayment Device on behalf of the Energy Supplier, the Energy Supplier will need to update the PPMIP Database. This is referred to as Scenario B in the interface timetables.

					<ul style="list-style-type: none"> J1701 set to 'N'. 	
		<u>Scenario B</u> Send instruction to update PPMIP database	Gaining Supplier	PPMIP	<u>For Customer Key</u> DTC Flow D0190 with Data Item; <ul style="list-style-type: none"> J0590 set to 'UPD'. <u>For Customer Token</u> DTC Flow D0174 with Data Item; <ul style="list-style-type: none"> J1701 set to 'Y'. <u>For Customer Smartcard</u> DTC Flow D0183 with Data Item; <ul style="list-style-type: none"> J1701 set to 'Y'. 	DTN

8 Update Prepayment Device

8.1 Unless a new Prepayment Device is issued, each Energy Supplier shall ensure that it updates the existing Payment Device and updates its PPMIP with relevant data in the following circumstances (where supply is, or is to be, subject to a Prepayment Meter):

- (a) a Switch;
- (b) a Change of Occupier; or
- (c) a Change of Metering Equipment.

8.2 If a PPMIP receives multiple data flows for the same electricity RMP with the same date from an Energy Supplier, all data flows shall be accepted but only the last data flow received shall be actioned by the PPMIP.

8.3 The following process steps apply to updating a Prepayment Device on a Switch:

Ref	When	Action	From	To	Information required	Method
8.3.1	Within [5] Working Days of a Switch	<u>Scenario (A)</u> Send instruction to update the Prepayment Device and to update the PPMIP Database.	Energy Supplier	PPMIP/ MEM / other device issuer	<u>For Customer Key</u> DTC Flow D0190 with Data Items; <ul style="list-style-type: none"> J0590 set to ['COS']; and J0049 set to SSD date as referenced in D0217 receipt. <u>For Customer Token</u> DTC Flow D0174 with Data Items; <ul style="list-style-type: none"> J1701 set to 'N'; and J0049 set to SSD date as referenced in D0217 receipt. <u>For Customer Smartcard</u> DTC Flow D0183 with Data Items; <ul style="list-style-type: none"> J1701 set to 'N'; and J0049 set to SSD date as referenced in D0217 receipt. 	DTN

		<u>Scenario (B)</u> Send instruction to update PPMIP Database.	Energy Supplier	PPMIP	<p><u>For Customer Key</u> DTC Flow D0190 with Data Items;</p> <ul style="list-style-type: none"> • J0590 set to 'UPD'; and • J0049 set to SSD date as referenced in D0217 receipt. <p><u>For Customer Token</u> DTC Flow D0174 with Data Items;</p> <ul style="list-style-type: none"> • J1701 set to 'Y'; and • J0049 set to SSD date as referenced in D0217 receipt. <p><u>For Customer Smartcard</u> DTC Flow D0183 with Data Items;</p> <ul style="list-style-type: none"> • J1701 set to 'Y'; and • J0049 set to SSD date as referenced in D0217 receipt. 	DTN
--	--	---	-----------------	-------	--	-----

8.4 The following process steps apply to updating a Prepayment Device on a Change of Occupier:

Ref	When	Action	From	To	Information required	Method
8.4.1	Within 5 Working Days of a Change of Occupier	<u>Scenario (A)</u> Send instruction to update the Prepayment Device and to update PPMIP Database.	Energy Supplier	PPMIP/ MEM	<p><u>For Customer Key</u> DTC Flow D0190 with Data Items;</p> <ul style="list-style-type: none"> • J0590 set to ['COT']; and • J0049 set to ['COT' date] as defined in internal systems. <p><u>For Token</u> DTC Flow D0174 with Data Items;</p> <ul style="list-style-type: none"> • J1701 set to 'N'; and • J0049 set to ['COT' date] as defined in internal systems <p><u>For Smartcard</u> DTC Flow D0183 with Data Items;</p> <ul style="list-style-type: none"> • J1701 set to 'N'; and • J0049 set to ['COT' date] as defined in internal systems. 	DTN
		<u>Scenario (B)</u> Send instruction to update PPMIP Database.	Energy Supplier	PPMIP	<p><u>For Customer Key</u> DTC Flow D0190 with Data Items;</p> <ul style="list-style-type: none"> • J0590 set to 'UPD'; and • J0049 set to ['COT' date] as defined in internal systems. <p><u>For Customer Token</u> DTC Flow D0174 with Data Items;</p> <ul style="list-style-type: none"> • J1701 set to 'Y'; and 	DTN

					<ul style="list-style-type: none"> • J0049 set to ['COT' date] as defined in internal systems. <p><u>For Customer Smartcard</u> DTC D0183 with Data Items;</p> <ul style="list-style-type: none"> • J1701 set to 'Y'; and • J0049 set to ['COT' date] as defined in internal systems. 	
--	--	--	--	--	---	--

8.5 The following process steps apply to updating a Prepayment Device on a Change of Metering Equipment:

Ref	When	Action	From	To	Information required	Method
8.5.1	Within 5 Working Days of change of Metering Equipment	<u>Scenario (A)</u> Send instruction to update the Prepayment Device and to update PPMIP Database.	Energy Supplier	PPMIP/ MEM	<p><u>For Customer Key</u> DTC Flow D0190 with Data Items;</p> <ul style="list-style-type: none"> • J0590 set to 'COM'; and • J0049 set to Meter Exchange Date. <p><u>For Token</u> DTC Flow D0174 with Data Items;</p> <ul style="list-style-type: none"> • J1701 set to 'N'; and • J0049 set to Meter Exchange Date. <p><u>For Smartcard</u> DTC Flow D0183 with Data Items;</p> <ul style="list-style-type: none"> • J1701 set to 'N'; and • J0049 set to Meter Exchange Date. 	DTN
		<u>Scenario (B)</u> Send instruction to update PPMIP Database.	Energy Supplier	PPMIP	<p><u>For Customer Key</u> DTC Flow D0190 with Data Items;</p> <ul style="list-style-type: none"> • J0590 set to 'UPD'; and • J0049 set to Meter Exchange Date. <p><u>For Customer Token</u> DTC Flow D0174 with Data Items;</p> <ul style="list-style-type: none"> • J1701 set to 'Y', and • J0049 set to Meter Exchange Date <p><u>For Customer Smartcard</u></p>	DTN

					DTC Flow D0183 with Data Items; <ul style="list-style-type: none"> • J1701 set to 'Y' • J0049 set to Meter Exchange Date 	
--	--	--	--	--	--	--

8.6 The following process steps apply to updating a Prepayment Device due to tariff and/or debt management:

Ref	When	Action	From	To	Information required	Method
8.6.1	Within [...] Working Days following a tariff update	<u>Scenario (A)</u> Send instruction to update the Prepayment Device and to update PPMIP Database.	Energy Supplier	PPMIP/MEM	<u>For Customer Key</u> DTC Flow D0190 with Data Items; <ul style="list-style-type: none"> • J0590 set to 'ROK'; and • J0591 set as applicable. <u>For Customer Token</u> DTC Flow D0174 with Data Items; <ul style="list-style-type: none"> • J1701 set to 'N', and • J0591 set as applicable. <u>For Customer Smartcard</u> DTC Flow D0183 with Data Items; <ul style="list-style-type: none"> • J1701 set to 'N'; and • J0591 set as applicable. 	DTN
		<u>Scenario (B)</u> Send instruction to update PPMIP Database.	Energy Supplier	PPMIP	<u>For Customer Key</u> DTC Flow D0190 with Data Items; <ul style="list-style-type: none"> • J0590 set to 'UPD'; and • J0591 set as applicable. <u>For Customer Token</u> DTC Flow D0174 with Data Items; <ul style="list-style-type: none"> • J1701 set to 'Y'; and • J0591 set as applicable. <u>For Customer Smartcard</u> DTC Flow D0183 with Data Items; <ul style="list-style-type: none"> • J1701 set to 'Y'; and • J0591 set as applicable. 	DTN
8.6.2	Within [...] Working Days following a	<u>Scenario (A)</u> Send instruction to update the Prepayment Device	Energy Supplier	PPMIP/MEM	<u>For Customer Key</u> DTC Flow D0190 with Data Items; <ul style="list-style-type: none"> • J0590 set to 'ROK'; 	DTN

	debt management update	and to update PPMIP Database.			<ul style="list-style-type: none"> • J0554 for debt recovery rate; and/or • J0547 set to Total Debt <p><u>For Customer Token</u> DTC Flow D0174 with Data Items;</p> <ul style="list-style-type: none"> • J1701 set to 'N'; • J0554 for debt recovery rate; and/or • J0547 set to Total Debt <p><u>For Customer Smartcard</u> DTC Flow D0183 with Data Items;</p> <ul style="list-style-type: none"> • J1701 set to 'N'; • J0554 for debt recovery rate; and/or • J0547 set to Total Debt. 	
		<u>Scenario (B)</u> Send instruction to update the Prepayment Device and to update PPMIP Database.	Energy Supplier	PPMIP	<p><u>For Customer Key</u> DTC Flow D0190 with Data Items;</p> <ul style="list-style-type: none"> • J0590 set to 'UPD'; • J0554 for debt recovery rate; and/or • J0547 set to Total Debt. <p><u>For Customer Token</u> DTC Flow D0174 with Data Items;</p> <ul style="list-style-type: none"> • J1701 set to 'Y'; • J0554 for debt recovery rate; and/or • J0547 set to Total Debt. <p><u>For Customer Smartcard</u> DTC Flow D0183 with Data Items;</p> <ul style="list-style-type: none"> • J1701 set to 'Y'; • J0554 for debt recovery rate; and/or • J0547 set to Total Debt. 	DTN

9 Prepayment Transaction Reporting and Issue Resolution

9.1 The table below provides a list of Prepayment Transaction Reports which PPMIPs shall provide to Energy Suppliers. The format of each report is described in the Technical Specification.

Report	Description	Frequency
--------	-------------	-----------

<p>Unallocated Report</p>	<p>The PPMIP will produce an Unallocated Report where it has not been able to allocate PPM Transactions to the correct Energy Supplier.</p> <p>The PPMIP will produce a separate report for each prepayment technology that they support.</p> <p>If a transaction becomes unallocated due to the EES providing multiple Energy Supplier IDs, the PPMIP will produce a bespoke report that will be sent to each affected Energy Supplier to resolve the issue.</p>	<p>7 Calendar Days</p>
<p>Multiple Supplier Report</p>	<p>The report is provided to an Energy Supplier where an instance of duplicate Meters in Electricity Enquiry Service have been identified.</p> <p>A PPMIP will produce daily Multiple Supplier Reports, which will be sent by the next Working Day to the relevant Suppliers by MPID where instances of multiple Energy Suppliers have been identified.</p>	<p>Within 1 Working Day</p>
<p>Redirection Transaction Reports</p>	<p>Redirection reports are based on all transactions a PPMIP has processed within the last Calendar Day. The report shall detail each transaction that has been classified as redirected during transaction processing.</p> <p>Each PPMIP will provide each affected Energy Supplier with a copy of the reports below;</p> <p>a) <u>Redirected To Transaction Report</u> – PPMIPs will send this report to the Energy Supplier indicated by new PAN Number (as defined in the DTC), Customer Descriptor or Key Meter Supplier/ Customer ID; and</p> <p>b) <u>Redirected Away Transaction Report</u> – PPMIPs will send this report to the Energy Supplier indicated by original PAN Number, Customer Descriptor or Key Meter Supplier/ Customer ID.</p>	<p>Within 1 Working Day</p>
<p>Routing Method Reports</p>	<p>These reports will detail all transactions a PPMIP has sent to an Energy Supplier based on the Electricity Enquiry Service only returning an electricity RMP match. Each PPMIP shall provide each Energy Supplier with weekly reports in the format set out in the Technical Specification.</p>	<p>Weekly</p>

Unallocated Report

9.2 On receipt of an Unallocated Transaction Report, the Energy Supplier shall check to see if any of the transactions belong to it. For Customer Token and Smartcard technologies, the Energy Supplier shall also check those transactions whose Transaction Reference indicates that they would have requested a device to be sent, to confirm that the requested device is being used. When an Energy Supplier identifies such transactions, they shall issue the appropriate data flow to the PPMIP with the relevant settings, including for [Effective From Settlement Date]. If an Energy Supplier is aware of potential problems with a transaction, they shall contact the PPMIP by telephone/email before sending the appropriate data flow.

9.3 Energy Suppliers shall take reasonable steps to initiate action to resolve entries on the Unallocated Transaction Report within 20 Working Days. PPMIPs shall respond within 20

Working Days to any queries arising from the non-release of transactions after Energy Suppliers have sent appropriate data flows. The queries shall be sent to designated mailbox addresses. Where an Energy Supplier makes a claim against the Unallocated Report, the PPMIP shall ensure that data is inserted into their Database appropriately.

Multiple Supplier Report

- 9.4 On receipt of a Multiple Supplier Report, the affected Energy Suppliers shall investigate and resolve the error following the process described in Paragraph 9.6³.
- 9.5 The Energy Supplier associated with the most recent “Date of Meter Installation” shall initiate the resolution process (being the Initiating Supplier).
- 9.6 The following process steps shall apply:

Ref	When	Action	From	To	Information required	Method
9.6.1	Within [15] Working Days of receiving the Multiple Supplier Report.	Undertake an initial investigation to determine responsibility for the prepayment transaction.	Initiating Supplier	N/a		Internal Process
9.6.2	Where the Initiating Supplier determines responsibility for the prepayment transaction, within [15] Working Days.	Complete the resolution.	Initiating Supplier	PPMIP	[...]	[...]
9.6.3	Where the Initiating Supplier determines no responsibility for the prepayment transaction, within the timescales of 9.6.1]	Declare no responsibility and contact the Associated Supplier.	Initiating Supplier	Associated Supplier	<i>Set the Transaction Routing Flag to declare no responsibility for the prepayment transaction.</i>	

³ The table provides the resolution process. Only two Energy Suppliers are named on the [B records] of the Multiple Supplier Report as specified in the [Technical Specification]. For instances where there are more than two Energy Suppliers, the resolution process should be repeated through the subsequent Energy Suppliers until resolved or the last Energy Supplier in the sequence believes they are not responsible.

9.6.4	Within [15] Working Days of being notified by the Initiating Supplier.	Undertake investigation to determine responsibility for the prepayment transaction.	Associated Supplier	N/a		Internal Process
9.6.5	Where the Associated Supplier determines responsibility for the prepayment transaction, within [15] Working Days.	Complete the resolution.	Associated Supplier	PPMIP	[...]	[...]
9.6.6	Where the Associated Supplier determines no responsibility for the prepayment transaction.	Contact the Initiating Supplier to discuss the matter and come to an agreement on the resolution.	Associated Supplier	Initiating Supplier		[Telephone or email]

10 Distribution of Unallocated Transactions

- 10.1 In circumstances where a prepayment transaction received by a PPMIP cannot be allocated to the correct Energy Supplier, the prepayment transaction becomes an Unallocated Transaction. All Unallocated Transactions held by each PPMIP will be distributed to Energy Suppliers in a proportion determined according to the Energy Suppliers market share.
- 10.2 The [Code Manager / REC PAB] will determine whether a Prepayment Allocation Run is required. Subject to [Code Manager / REC PAB] decision, an independent audit will be carried out to validate the approach and calculations associated with the distribution of Unallocated Transactions. Where the [Code Manager / REC PAB] determines that an independent audit is required, it must run in parallel with the Prepayment Allocation Run.
- 10.3 The Code Manager shall calculate the market share based on a daily electricity RMP count from all GSP Groups by Meter Type and aggregate these to form a single value for market share for each Energy Supplier. The aggregation process will only factor in Energy Suppliers that are still trading as of the date the market share is calculated. The Code Manager shall provide separate market share figures for each prepayment technology. The CSS Provider shall provide the details required by the Code Manager to calculate these market share figures.
- 10.4 The following process steps shall apply to the distribution of Unallocated Transactions:

Ref	When	Action	From	To	Information required	Method
10.4.1	At least 10 Working Days prior to commencing the	Send notification on the commencement of the Prepayment Allocation Run	Code Manager	PPMIP	<i>This notification should include details of all significant dates in the Prepayment Allocation Run, including the provision of data by PPMIPs.</i>	Not specified

	Prepayment Allocation Run					
10.4.2	Within 10 Working Days of receiving the notification in 10.4.1.	Provide Unallocated Transaction Report	PPMIP	Code Manager	<p><i>The Code Manager should not use any data for a PPMIP previously provided to it unless specified to do so by the PPMIP.</i></p> <p><i>The data provided by the PPMIP should be in the format specified in the [Technical Specification].</i></p>	Not specified
10.4.3	On receipt of Unallocated Transactions data from all PPMIPs.	Produce the Consolidated Allocation Run Report to determine total value of transactions for each PPMIP.	Code Manager	N/a	<p><i>The value of the Unallocated Transactions will be divided, to the nearest penny, amongst Energy Suppliers in the proportion indicated by the market share analysis provided by the Code Manager in the Consolidated Allocation Run Report.</i></p>	Not specified
10.4.4	In accordance with the notified timetable.	<p>Inform each PPMIP of the Unallocated Transactions and percentage market shares resulting to be distribute to each Supplier.</p> <p><i>NB. This will include provision of zero values if that is determined to be the case.</i></p>	Code Manager	PPMIP	<p><i>PPMIPs will be given 5 Working Days to query results of Consolidation Allocation Run Report with the Code Manager. For the avoidance of doubt this 5 Working Days period will not extend their timelines to distribute monies. If any query results in charges to values a PPMIP are to distribute and/or each Supplier's cash to be expected then notice of such changes will be provided to both PPMIPs and Energy Suppliers.</i></p>	Not specified
10.4.5	In accordance with the notified timetable.	Inform each Energy Supplier of the cash value they should expect to receive from each PPMIP.	Code Manager	Energy Supplier		Not specified

10.4.6	Within 30 Working Days of receiving the notification in 10.4.4	Distribute monies per indicated Energy Supplier MPID.	PPMIP	Energy Supplier	<i>The indicated values should be distributed by PPMIPs to those Energy Supplier MPIDs provided by the Code Manager. The PPMIP should maintain confidentiality around the advised allocation percentages and values.</i>	Not specified
10.4.7	Following 10.4.6	Provide confirmation that the Unallocated Transactions have been credited.	PPMIP	Code Manager	<i>The PPMIP should maintain audit records of these activities.</i>	Not specified

Section D: Gas Prepayment Arrangements (Quantum Meters)

This Section D only applies in respect of RMPs for which gas Quantum Meters are installed. All references in this section to Prepayment Meters shall be interpreted as a reference to Quantum Meters.

11 Standard Prepayment Meter Transaction Data

11.1 Each Energy Supplier shall ensure that the Prepayment Meter at each RMP for which it is the Registered Supplier is capable of returning the below set of Standard Transaction Data Items⁴ to the Energy Supplier via the PPMIP:

- (a) active credit;
- (b) billing cycle;
- (c) CV code;
- (d) debt information;
- (e) emergency credit provision;
- (f) emergency credit threshold;
- (g) fault enable;
- (h) gas allocation rate;
- (i) prepaid credit;
- (j) Tariff Code and the page of that Tariff Code; and
- (k) Transaction value.

11.2 The Energy Supplier shall use the information returned to it in the Standard Transaction Data Items to ensure that the items are correct and correspond with its internal systems.

11.3 Discrepancies between the information returned in the Standard Transaction Data Items and the information in Energy Suppliers' internal systems can be corrected via the mechanisms set out in this section.

Calorific Value Code

11.4 Energy Suppliers shall ensure that the Calorific Value code used to calculate each of its Consumer's charges is the correct value for the Consumer's Local Distribution Zone (LDZ) and Energy Suppliers shall not be held responsible for Consumer vend patterns, the availability and accuracy of the daily Calorific Values provided by [National Grid].

⁴ The Standard Transaction Data Items listed above have been provided based on a separate industry change required by the PPMIP and Network Service Providers.

12 Issue New Prepayment Device

12.1 A Prepayment Device may be requested for the following events:

- (a) an initial installation;
- (b) an exchange from a Credit Meter;
- (c) an exchange from a Prepayment Meter;
- (d) a de-commission and re-commission event; or
- (e) a Change of Occupier (where either the Consumer or Energy Supplier requires the Prepayment Meter to remain in situ).

12.2 Where an Energy Supplier becomes aware of a Change of Occupier, the Energy Supplier shall issue a new Prepayment Device to the Consumer as soon as possible.

12.3 Where the PPMIP issues a Prepayment Device to the Consumer on the Energy Supplier’s behalf, this shall be done in accordance with the timescales set out below. The PPMIP will only issue a Prepayment Device ‘urgently’ (and send by next day delivery) if:

- (a) an engineer has installed a Prepayment Meter and the Consumer does not have a Prepayment Device; or
- (b) the engineer has exchanged a Prepayment Meter or performed a De-commission / Re-commission and the Consumer does not have a Prepayment Device.

12.4 In this scenario, the Prepayment Device will be issued the day the request is received, providing it is received before 16.30 on a Working Day and before 11.30 on a Saturday.

12.5 Unless agreed bilaterally between the Energy Supplier and the PPMIP, the following process shall be used:

Ref	When	Action	From	To	Information Required	Method
12.5.1	At least 3 Working Days before the Prepayment Device is required. ⁵	Advise PPMIP that a Prepayment Device is required.	Energy Supplier	PPMIP	PP01 – New Prepayment Customer	Not Defined
12.5.2	Following receipt of the notification in 12.5.1.	Programme the Prepayment Device.	PPMIP		The Prepayment Device should be programmed with the following data: <ul style="list-style-type: none"> • Prepayment Device Reference Number; • Regional data; 	Not Defined

⁵ A shorter notice period may be required for warrants, faults and emergency jobs.

					<ul style="list-style-type: none"> • Energy Supplier specific values (if provided); and • Gas debt information, if provided (including recovery rates). 	
12.5.3	Following 12.5.2	Issue Prepayment Device	PPMIP	Consumer	<ul style="list-style-type: none"> • Prepayment Device; • personalised device carrier, which includes a list of local Outlets; • user reference guide; and • pre-paid return envelope. 	Not Defined

13 Consumer Switch Event

13.1 Transmit cash, meter and debt files will be sent to the relevant Energy Supplier in a bilaterally agreed format every Working Day. Files shall be sent via a virtual private network or another secure format (zipped and password protected). The PPMIP shall inform the Energy Suppliers by 12.00 (noon) of any failure relating to this process and where possible, the estimated resolution timescales. Where the PPMIP sends these files for Consumers with In Home Vending Units then the PPMIP shall ensure settlement is made to the correct Energy Supplier.

13.2 Unless agreed bilaterally between the Energy Supplier and the PPMIP, the following process shall be used:

Ref	When	Action	From	To	Information Required	Method
13.2.1	Following receipt of the Confirmation notice from the CSS Provider.	Advise PPMIP that a Switch is taking place.	Gaining Supplier	PPMIP	PP01 – New Prepayment Customer	Not Defined
13.2.2	Following receipt of the notification in 13.2.1 and where a Prepayment Device is required to be issued. ⁶	Programme the Prepayment Device.	PPMIP		The Prepayment Device should be programmed with the following data: <ul style="list-style-type: none"> • Prepayment Device Reference Number; 	Not Defined

⁶ The Gaining Supplier may agree alternative arrangements with the PPMIP which do not require a Prepayment Device to be issued to the Consumer.

					<ul style="list-style-type: none"> • Regional data; • Energy Supplier specific values (if provided); and • Gas debt information, if provided (including recovery rates). 	
13.2.3	Following 13.2.2	Issue Prepayment Device	PPMIP	Consumer	<ul style="list-style-type: none"> • Prepayment Device; • personalised device carrier, which includes a list of local Outlets; • user reference guide; and • pre-paid return envelope. 	Not Defined

14 Meter Dump Request

14.1 Energy Suppliers may request additional information (a Meter Dump) from the Prepayment Meter. Unless agreed bilaterally between the Energy Supplier and the PPMIP, the process below shall be followed to obtain such information.

Ref	When	Action	From	To	Information Required	Method
14.1.1	As required.	Send request for a Meter Dump.	Energy Supplier	PPMIP	PP03 – Meter Dump Request	Not Defined
14.1.2	Within 3 Working Days of receipt of the request in 14.1.1 ⁷ .	Send request that a blank Prepayment Device is inserted into the Prepayment Meter and then returned to the PPMIP.	PPMIP	Consumer or an address provided by the Energy Supplier	<ul style="list-style-type: none"> • Blank Prepayment Device; • personalised device carrier, which includes a list of local Outlets; • user reference guide; and 	Not Defined

⁷ Provided the request is received before 14.00 on a Working Day.

					<ul style="list-style-type: none"> • pre-paid return envelope. 	
14.1.3	Following 14.1.2 and where a Prepayment Device is returned from the Consumer.	Attempt to obtain Meter Dump from the returned Prepayment Device. Where the Meter Dump is available, progress to 14.1.4 Where the Meter Dump is not available, progress to 14.1.5.	PPMIP		Internal Process	N/A
14.1.4	Following 14.1.3 and where the Meter Dump is available	Produce Meter Dump and send to the Energy Supplier.	PPMIP	Energy Supplier	<p>Meter Dump including as a minimum:</p> <ul style="list-style-type: none"> • Prepayment Device Reference Number; • Emergency Credit Status; • Meter Serial Number; • Gas debt register; • Tariff information • Non-gas debt register; • Change in data dates • Accounting totals • Credit for gas registers • Tamper; • Status. 	DTN
14.1.5	Following 14.1.3 and where the Meter Dump is not available.	Inform the Energy Supplier that a Meter Dump is not available.	PPMIP	Energy Supplier	Notification that Meter Dump is not available	Not Defined

14.1.6	Following 14.1.5 where the Energy Supplier is informed that the Meter Dump is not available.	Send a second request that a blank Prepayment Device is inserted into the Prepayment Meter and then returned to the PPMIP.	Energy Supplier	Consumer	<ul style="list-style-type: none"> • Blank Prepayment Device; • personalised device carrier, which includes a list of local Outlets; • user reference guide; and • pre-paid return envelope. 	Not Defined
14.1.7	Following 14.1.6 and where a Prepayment Device is returned from the Consumer.	Attempt to obtain Meter Dump from the returned Prepayment Device. Where the Meter Dump is available, progress to 14.1.4 Where the Meter Dump is not available, progress to 14.1.8.	PPMIP		Internal Process	N/A
14.1.8	14 Working Days after 14.1.6 and where a Meter Dump is still not available.	Inform the Energy Supplier that a Meter Dump is not available.	PPMIP	Energy Supplier	Notification that Meter Dump is not available	Not Defined

15 Updating Tariff, Credit or Debt Information on a Prepayment Meter

- 15.1 For non-urgent Customer Specific Messages, the Energy Supplier can either specify the Outlet ID they wish the message to be sent to or allow the PPMIP to allocate one or more Outlet ID(s) based upon the transaction history for the relevant Prepayment Device.
- 15.2 For urgent (one-hour) jobs, the Energy Supplier shall specify one Outlet Id. The PPMIP shall action this request to ensure that the message is delivered to the Point of Sale Unit within one hour of receipt. The successful delivery of a message is dependent on the assistance of the Outlet.
- 15.3 Where the request is received before 16.30 on a Working Day or before 11.30 on a Saturday for changed values via the issuing of a new Prepayment Device or 16.30 on a Saturday for changed values via a Customer Specific Message, the below service levels will apply:
- (a) all urgent job requests will be processed within one hour of receipt;
 - (b) all specific Outlet, credit adjustment or replacement Prepayment Device job requests will be processed within 1 Working Day;
 - (c) all specific Outlet, non-gas debt and gas debt or non-urgent CSM job requests will be processed within 2 Working Days; and

(d) all non-specific Outlet Id job requests will be processed within 2 Working Days.

15.4 Unless agreed bilaterally between the Energy Supplier and the PPMIP, the following process shall be used for sending messages to individual Consumers:

Ref	When	Action	From	To	Information Required	Method
15.4.1	As required.	Request that a Customer Specific Message is issued.	Energy Supplier	PPMIP	PP05 - Replacement Prepayment Device or Customer Specific Messages	Not Defined
15.4.2	Following receipt of the request in 15.4.1.	Either create a Customer Specific Message and send it to the PoS Unit that the Consumer users; or send a replacement Prepayment Device.	PPMIP	PoS Unit; or Consumer	<p>The following information may be sent:</p> <ul style="list-style-type: none"> • A Gas Debt Adjustment; • A non-gas debt adjustment; or • A credit adjustment. <p>Where a new Prepayment Device is sent, it should be programmed with the data specified in Paragraph [x] and sent with the required information specified in Paragraph [x].</p>	Not Defined

15.5 Where an Energy Supplier wishes to send a message to their entire portfolio of Consumers with a Prepayment Meter, they shall request that the PPMIP issues a Global Message. This triggers a Customer Specific Message for each Consumer with a Prepayment Meter within the Energy Supplier's portfolio.

15.6 Before creating a Global Message, the PPMIP shall check to ensure the increased volume of messages will not impact the business as usual messaging process. If the volume is too high the Global Message creation will be delayed.

15.7 Unless agreed bilaterally between the Energy Supplier and the PPMIP, the following process shall be used for sending Global Messages:

Ref	When	Action	From	To	Information Required	Method
15.7.1	As required.	Request that a Global Message is issued.	Energy Supplier	PPMIP	PP10 ⁸ – Change of Tariff Proforma specifying the period of time that the message will remain open (between 1 and 99 days) ⁹	Not Defined
15.7.2	Within 2 Working Days of receipt of the request in 15.7.1] ¹⁰	Create the required Customer Specific Messages and send it to the latest PoS Unit used by each Consumer.	PPMIP	PoS Unit	As specified in the request.	Not Defined
15.7.3	During the active period of a Customer Specific Message.	Record status of each message.	PPMIP		<p>The recorded status can be as follows:</p> <ul style="list-style-type: none"> • Received ok - The Consumer has purchased twice at the PoS Unit with the correct Prepayment Device Reference Number within the life of the message; or • Error acknowledged – The Consumer has purchased at the PoS Unit with the correct Prepayment Device Reference Number but the message has not been actioned. 	N/A

⁸ See Appendix 2

⁹ Where a period of time is not specified, a default setting will be used as per the bilateral agreement between the Energy Supplier and PPMIP.

¹⁰ Provided the request is received before 15.00 on a Working Day or a Saturday, the volume of additional messages will not adversely affect the file transfer

15.7.4	Following expiry of the Customer Specific Message period as specified by the Energy Supplier	Provide a report detailing the Consumer's message status.	PPMIP	Energy Supplier	<p>The reported status can be as follows:</p> <ul style="list-style-type: none"> • Unacknowledged - The Consumer has not purchased at the PoS Unit where the message was sent using the correct Prepayment Device Reference Number; or • Assumed pick up - The Consumer has purchased at the PoS Unit with the correct Prepayment Device Reference Number. However, the Consumer has not purchased again within the life of the message so that the 'received ok' message has not been sent back to the PPMIP. 	Not Defined
--------	--	---	-------	-----------------	--	-------------

16 Replacement Prepayment Device

16.1 A replacement Prepayment Device may be requested by an Energy Supplier for the following reasons:

- the Consumer loses their Prepayment Device;
- the Prepayment Device is stolen; or
- the Prepayment Device is damaged or faulty.

16.2 Unless agreed bilaterally between the Energy Supplier and the PPMIP, the following process shall be used:

Ref	When	Action	From	To	Information Required	Method
16.2.1	As required	Request that a replacement Prepayment Device is issued.	Energy Supplier	PPMIP	PP05 - Replacement Prepayment Device or Customer Specific Messages	Not Defined
16.2.2	Following receipt of the	Programme the Prepayment Device.	PPMIP	N/a	Prepayment Device with the following data:	Not Defined

	notification in 16.2.1				<ul style="list-style-type: none"> • Prepayment Device Reference Number; • Regional Data; • Customer Specific Messages; • Credit adjustment, gas debt, gas allocation rate and non-gas debt adjustments as requested; and • Calculated Calorific Value code. 	
16.2.3	Following 16.2.2	Issue Prepayment Device	PPMIP	Consumer	<ul style="list-style-type: none"> • Prepayment Device; • personalised device carrier, which includes a list of local Outlets; • user reference guide; and • pre-paid return envelope. 	Not Defined

17 Ad Hoc Supplier Queries

17.1 An Energy Supplier may request that the PPMIP performs the following ad-hoc activities:

- (a) update or amend the Consumer records on the PPMIP Customer Database;
- (b) request a personalised Outlet List for a Consumer;
- (c) provide an alternative Outlet Id for an existing CSM; or
- (d) any other option provided by the PPMIP.

17.2 Unless agreed bilaterally between the Energy Supplier and the PPMIP, the following process shall be used:

Ref	When	Action	From	To	Information Required	Method
17.2.1	As required.	Request the PPMIP perform an ad hoc activity.	Energy Supplier	PPMIP	PP06 – Supplier Query Form	Not Defined
17.2.2	Within 3 Working Days of receipt of the	Perform ad hoc activity and provide details to the Energy Supplier.	PPMIP	Energy Supplier	Dependent on the activity requested	Not Defined

	request in 17.2.1 ¹¹					
--	---------------------------------	--	--	--	--	--

18 Change of Values

18.1 Unless agreed bilaterally between the Energy Supplier and the PPMIP, the following process shall be used:

Ref	When	Action	From	To	Information Required	Method
18.1.1	As required.	Request that one or more of the specific values held on the Prepayment Meter are amended.	Energy Supplier	PPMIP	PP08 – Change of Values	Not Specified
18.1.2	Following 18.1.1	Either create a Customer Specific Message and send it to the PoS Unit that the Consumer users; or send a replacement Prepayment Device.	PPMIP	PoS Unit; or Consumer	The following information may be sent: <ul style="list-style-type: none"> • Algorithm code; • Budget amount • Tariff code; • Tariff; • Emergency credit threshold; • Emergency credit limit; • Budget incremental step size; • Gas allocation rate. 	Not Defined

19 Removal of a Prepayment Meter

19.1 Removal of a Prepayment Meter from an Energy Supplier’s portfolio may be requested for the following reasons:

- (a) there is no Prepayment Meter on site;
- (b) the Prepayment Meter has been removed; or
- (c) the Energy Supplier is no longer the Registered Supplier for the RMP.

19.2 With regards to Paragraph 19.1(c), the Energy Supplier shall not send the notification to the PPMIP until the Energy Supplier's Registration has a Registration Status of [Secure] Inactive.

¹¹ Provided the request is received before 16.00 on a Working Day and before 14.00 on a Saturday.

19.3 Unless agreed bilaterally between the Energy Supplier and the PPMIP, the following process shall be used:

Ref	When	Action	From	To	Information Required	Method
19.3.1	As required	Advise the PPMIP that the Meter Point should be removed from the Energy Suppliers portfolio.	Energy Supplier	PPMIP	PP09 – Removal of Prepayment Meter	Not Defined
19.3.2	Within 3 Working Days of receipt of the notification in 19.3.1. ¹²	Remove the Meter Point from the Energy Supplier’s portfolio within their database and cease to provide services to that Meter Point for that Energy Supplier.	PPMIP		Internal Process	N/A

20 Distribution of Unallocated Transactions

20.1 An Unallocated Transaction may arise where:

- (a) payments are continuing to be made where an Energy Supplier has submitted a PP09 to remove a Prepayment Meter from the Energy Supplier’s portfolio but no equivalent PP01 has been received by the PPMIP to add the Prepayment Meter to another Energy Supplier’s portfolio. This would give rise to RMPs appearing in the Closed Cash Report; or
- (b) payments were made in a period between the date specified in the PP09 for removal a Prepayment Meter from the Energy Supplier’s portfolio and the PP01 for the addition of the Prepayment Meter to another Energy Supplier’s portfolio. This would give rise to RMPs appearing in the Gap Cash Report.

20.2 Energy Suppliers shall use the Closed Cash Report and the Gap Cash Report to identify Consumers in their portfolio who have Unallocated Transactions. Where errors are identified, the relevant Energy Supplier(s) shall send a PP01 or PP09 (as appropriate) to the PPMIP in respect of these Consumers to ensure they are included in the correct portfolio.

20.3 Upon receipt of the PP01 and / or PP09 from an Energy Supplier, the PPMIP shall release all Unallocated Transactions to the Registered Supplier.

20.4 Where a PP01 or PP09 is not received and the PPMIP continues to hold Unallocated Transactions, the PPMIP shall securely retain the transaction information and money.

Annual Reconciliation

20.5 In July of each year, the [Code Manager] shall initiate the release of any Unallocated Transactions which became Unallocatable Transactions as a result of the Backstop Date automatically refreshing as described in the definition of Backstop Date. The Code Manager

¹² Provided the request is received before 16.30 on a Working Day or a Saturday.

shall also initiate the release of any Unallocated Transactions which became Unallocatable Transactions as a result of the Backstop Date being refreshed at the request of the [Code Manager] as described in the definition of Backstop Date.

20.6 Unallocated Transactions are due only to Energy Suppliers who have contracted with the PPMIP during the period prior to the refreshed Backstop Date and shall be apportioned to Energy Suppliers based on their market share during the relevant period as described in Paragraph [x].

20.7 Any PPMIP costs for managing this process will be determined and applied via the individual commercial agreements between Energy Suppliers and the PPMIP.

20.8 The following applies:

Ref	When	Action	From	To	Information Required	Method
20.8.1	July each year.	Send notification that the Unallocated Payment Allocation Process has begun	Code Manager	[REC PAB]; Energy Suppliers; PPMIP; Gas Retail Data Agent	Notification to include applicable Backstop Date	Not Defined
20.8.2	Within 5 Working Days of receiving the notification.	Provide the Supplier Report	PPMIP	Code Manager		Not Defined
20.8.3	On receipt of the Supplier Report.	Check whether all the Suppliers listed in the Supplier Report are live within the current version of Market Participant Data and resolve any discrepancies with the PPMIP.	Code Manager	PPMIP	Mismatches between the Supplier Report and Market Participant Data	Not Defined
20.8.4	Following 20.8.3 and within 5 Working Days of receipt of the report specified in 20.8.3	Issue the Supplier Report to the Gas Retail Data Agent.	Code Manager	Gas Retail Data Agent		Not Defined
20.8.5	Within 10 Working Days of receipt of	Calculate the total number of Prepayment Meters in accordance with	Gas Retail Data Agent	Code Manager	Market Share Report	Not Defined

	the report specified in 20.8.4	the Market Share Methodology and issue a Market Share Report.				
20.8.6	Within 10 Working Days of receiving the notification in 20.8.1.	Provide the Unallocated Transaction Report.	PPMIP	Code Manager	Unallocated Transaction Report.	Not Defined
20.8.7	Within 5 Working Days of the report specified in 20.8.6.	Calculate the individual Unallocated Values for each relevant Energy Supplier using the Unallocated Transaction Report and the Market Share Report and issue the Unallocated Values Report	Code Manager	PPMIP	Unallocated Values Report	Not Defined
20.8.8	Within 2 Working Days of 20.8.7.	Send notifications to: <ul style="list-style-type: none"> inform relevant Energy Suppliers of their individual Unallocated Value and market share; and inform all other Energy Suppliers that no funds will be returned to them within this Unallocated Payment Allocation Process run 	Code Manager	Energy Suppliers	As per 'Actions' column	Not Defined
20.8.9	Where required, within 5 Working Days of receipt of the notification in 20.8.8	Raise a dispute against the data provided within the notification in 20.8.8.	Energy Supplier	Code Manager	Rationale for dispute	Not Defined

20.8.10	Within 2 Working Days of 20.8.9, where a dispute is raised.	Send notification that a dispute has been raised against one or more individual Unallocated Value.	Code Manager	PPMIP, [REC PAB]; Relevant Energy Supplier	Details of dispute	Not Defined
20.8.11	Following 20.8.10	Suspend payment of the Unallocated Values until such time as the dispute has been resolved subject to such suspension not exceeding a maximum of 20 Working Days, following which time the PPMIP shall proceed with step 20.8.12	PPMIP		Internal Process	Not Defined
20.8.12	No earlier than 7 Working Days and no later than 15 Working Days of receipt of the report specified in 20.8.7	Pay the Unallocated Values to relevant Energy Suppliers, subject to no disputes being raised.	PPMIP	Energy Supplier	Payment of Unallocated Values	Not Defined
20.8.13	Following 20.8.19.	Issue notification confirming that all Unallocated Values have been credited to the relevant Energy Suppliers and that no Unallocated Transactions exist with reference to the relevant Backstop Date.	PPMIP	Code Manager	Payment confirmation	Not Defined
20.8.14	Within 5 Working Days of receipt of the notification in 20.8.13, if relevant	Highlight any discrepancy between the amount paid to the Energy Supplier and the amount notified to that Energy Supplier by the Code Manager.	Energy Supplier	Code Manager	Details of discrepancy	Not Defined

Draft for consultation – June 2019

20.8.15	Following 20.8.14	Liaise with the PPMIP to resolve and discrepancy.	Code Manager	PPMIP	As required	Not Defined
20.8.16	Within 3 months of the initial notification in 20.8.1, if required.	The REC PAB may determine that an independent assessment of the Unallocated Payment Allocation Process be undertaken by an external auditor to validate the calculations associated with the distribution of the Unallocated Transactions.	REC PAB	Code Manager	Direction to procure an independent assessment	Not Defined

Appendix 1 – Process for Managing Tariff Codes (Gas Only)

- 1.1 As there is a limit to the amount of Tariff Codes available, the Tariff Codes will be allocated by the PPMIP amongst the Energy Suppliers based on their portfolio size. The Energy Supplier is responsible for setting all values against their allocated Tariff Codes.
- 1.2 The PPMIP shall allocate Unallocated Tariff Pages to an Energy Supplier where directed to do so by the [Code Manager].
- 1.3 The PPMIP shall provide the Code Manager with a report on the first Working Day of each month setting out the following:
 - a) the number of Unused Tariff Pages and a breakdown of the Unused Tariff Pages by reference to which Energy Supplier they are allocated;
 - b) the number of Unallocated Tariff Pages;
 - c) the number of Consumers per Tariff Code; and
 - d) the number of Tariff Codes being used by each Energy Supplier.
- 1.4 If ever there are fewer than 10 Unallocated Tariff Pages, the PPMIP shall immediately notify the [Code Manager], who will notify the [REC PAB] and the REC Contract Managers. Another notification shall immediately be issued by the PPMIP to the Code Manager if the number of Unallocated Tariff Pages drops below five.
- 1.5 On the first Working Day of each month, the PPMIP shall provide the [Code Manager], with a report setting out anonymised reporting of the Tariff Page allocations.
- 1.6 Energy Suppliers in each [Supplier Group] shall be allocated a maximum of 12 Tariff Pages at any one time. However, Energy Suppliers in each Supplier Group will be permitted to be allocated up to 14 Tariff Pages, unless and until the PPMIP gives notice that there are fewer than 10 Unallocated Tariff Pages.
- 1.7 The Energy Suppliers in a [Supplier Group] that are allocated in excess of 12 Tariff Pages shall relinquish the excess Tariff Pages:
 - a) by no later than 30 days following the PPMIP's notice that there are fewer than 10 Unallocated Tariff Pages, to the extent the Suppliers hold unused Tariff Pages on the date of such notice; or
 - b) by no later than 150 days following the PPMIP's notice that there are fewer than 10 Unallocated Tariff Pages, to the extent the Supplier does not hold unused Tariff Pages on the date of such notice.
- 1.8 Each Energy Supplier, via their Contract Manager, shall be notified and comply with any direction to relinquish a Tariff Page that is given by the Authority in either of the following circumstances:

- a) when the total number of Unallocated Tariff Pages is fewer than five and an Energy Supplier in the Supplier Group holds one or more Unused Tariff Pages; or
 - b) when there are no Unallocated Tariff Pages and an Energy Supplier which is part of a Supplier Group which does not hold any Tariff Pages has informed the PPMIP that the Energy Supplier needs to acquire one Tariff Page in order to supply gas to one or more Domestic Consumer (as defined in the Gas Supply Licence).
- 1.9 The date by which an Energy Supplier must comply with a direction is:
- a) 30 days after receiving the direction in the circumstances set out in [1.7a of this Appendix]; and
 - b) 150 days after receiving the direction in the circumstances set out in [1.7b of this Appendix].
- 1.10 For the purposes of paragraphs [1.7 and 1.8], the Energy Suppliers in each Supplier Group will be deemed to hold one Unused Tariff Page for each combination of 11 Unused Tariff Codes they hold across different Tariff Pages. Where a Supplier is required to relinquish a Tariff Page, the Suppliers shall give appropriate instructions to the PPMIP to ensure that the Tariff Page to be relinquished contains only Unused Tariff Codes.
- 1.11 The following provisions apply where an Energy Supplier is required to relinquish a Tariff Page:
- a) the Energy Supplier shall notify the PPMIP as soon as practicable of the Energy Supplier's wish to relinquish the Tariff Page within a timeframe that allows the PPMIP to give effect to the relinquishment by the date required under this Paragraph [1.7 of this Appendix];
 - b) if the Supplier is required to relinquish a Tariff Page, the relevant time period for compliance set out in Paragraph [1.7 of this Appendix]; and
 - c) the Energy Supplier is entitled to a refund of the development fee associated with any Tariff Page it relinquishes.
- 1.12 If an obligation to relinquish a Tariff Page arises, then:
- a) the Supplier may apply to the Authority to request a direction concerning the compliance with this Paragraph [1.9 of this Appendix];
 - b) if the Authority considers, after consultation with the CMA and having had regard to the principle of proportionality, that relinquishing a Tariff Page may cause material consumer detriment for certain Consumers of the Energy Supplier, the Authority may give a direction requiring the Supplier to comply by releasing 11 Unused Tariff Codes in lieu of a Tariff Page;
 - c) if the Authority issues a direction to a Supplier, the Energy Supplier shall comply with such direction within 30 days from the date the direction was issued; and
 - d) in the circumstances where an Energy Supplier relinquishes 11 Unused Tariff Codes in lieu of a Tariff Page, the Energy Supplier undertakes not to modify any of the values associated with the Tariff Pages which relate to any such Tariff Codes without the consent of the Energy Supplier(s) which hold those Tariff Codes.

- 1.13 The [Code Manager] shall provide the CMA or the Authority with such information and documents as the CMA or the Authority may from time to time reasonably require for the purposes of monitoring compliance and the allocation of Tariff Pages.
- 1.14 Any Energy Supplier can use any Tariff Code regardless of which Energy Supplier the Tariff Code is allocated to, but only the Energy Supplier to which the Tariff Code is allocated can change the values within that Tariff Code.

Appendix 2 - Change of Tariff Proforma (Gas Only)

Change of Tariff Proforma

Company Name

Tariff Code

Proposed Name

Tariff Start Date:

New Tariff Values:

Daily Standing Charge:

Allows for £ & pence therefore ensure you complete correctly (i.e. 42p enter as 0.0420)

If you require a 2-block tariff complete blocks 4 & 5 (higher rate in block 4). If you require a 1 block tariff complete block 5 only.

Block	Price	Width
0		
1		
2		
3		
4		
5		XXXX

Provide kWh as a daily value

Price: pence to 3 decimal places

(example if tariff is 2.5/kWh enter 2.500). Width is number of kWh charged at the higher rate per day currently 12.56kWh per day.

(not applicable in block 5 or if using a 1 block tariff)

If you require more than a 2-block tariff, start entering values at a lower numbered block. (i.e. you want a 3-block tariff start by entering higher tariff values in block 3, next highest in block 4 lowest values in block 5 (remember to include number of

Remember to include VAT within the value of both the Tariff and Standing Charge to ensure that the meter charges correctly.

Authorised by

Date

For the Company

**Confirmed by
SMS**

SD Manager

Date

**Date change will be input
onto system**

Confirmation of Change

SD Manager

Date

**Confirmation of updating
current values to new and
start date to zero.**

SD Manager

Date

Appendix 3 – Fixed Balance UTRN Request / Rejection Pro-Forma

Date	New Supplier ID	Relevant Old Supplier ID	Meter Serial Number	GUID	MPAN/MPRN	UTRN	Value	Rejection Reason