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## SCHEDULE [...]

### SPAA Transition Schedule

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Status: Draft

Version: 0.1

Effective Date: [TBC]

Domestic Suppliers	Mandatory <sup>1</sup>
Non-Domestic Suppliers	N/A
Gas Transporters	N/A
Distribution Network Operators	N/A
DCC	N/A
Meter Equipment Managers	N/A
Non-Party REC Service Users	N/A

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<sup>1</sup> Gas Suppliers only.

*Change History*

Version Number	Implementation Date	Reason for Change
0.1	[TBC]	Agreed draft for publication July 2020.

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## **1 Introduction**

- 1.1 This REC Schedule defines a number of processes previously included in the Supply Point Administration Agreement (SPAA).
- 1.2 With the termination of the SPAA with effect from [1 September 2021], a number of provisions have been included in this Code on a temporary basis, pending CSS Go Live. These provisions reflect processes that are due to be amended with the implementation of the Central Switching Service.
- 1.3 This REC Schedule will be removed from this Code at CSS Go Live, as part of the Switching Programme Significant Code Review.
- 1.4 Words beginning with a capital letter that are not otherwise defined in this Code shall have the meaning set out in Paragraph 12, and shall otherwise have the meaning that they were given in the SPAA.
- 1.5 Each Gas Supplier shall ensure, where Personal Data relating to a Consumer is exchanged in any operational or escalation communications referred to within this REC Schedule, and where another secure means (such as the Data Transfer Network) is not specified, that such personal data is sent using the Secure Data Exchange Service.

## **2 Process for Customer Requested Objections**

### **Background**

- 2.1 Condition 14 of the Gas Supply Licences provides for Gas Suppliers to use the facility of a 'Co-Operative' Objection where the Objection Deadline, has not expired and the New Supplier has agreed that their Supply Point Confirmation was an erroneous registration. In circumstances where the Objection Deadline has expired, the procedure for the resolution of Erroneous Transfers (as defined in Paragraph 4) provides for procedures to return the Consumer to the previous Gas Supplier.

### **Purpose**

- 2.2 This procedure provides for the raising of a Supply Point Objection by the Old Supplier, at the request of the Consumer, where the Consumer clearly states not to have entered into a contract with the New Supplier.

### **Scope and Objectives**

- 2.3 The objective of this procedure is to set out the Consumer expectations and the communication with Consumers and Gas Suppliers following a request from a Consumer to raise an objection where the Consumer clearly states not to have entered into a contract with the New Supplier.
- 2.4 The scope of this procedure is limited to Customer Requested Objections occurring in the domestic gas market of England, Wales and Scotland.
- 2.5 This procedure may only be initiated where the Objection Deadline, as defined in the Network Code, has not expired. Where the Objection Deadline has expired, the procedure for the Resolution of Erroneous Transfers as defined in Paragraph 4 shall be utilised.

- 2.6 The Customer Requested Objection process can only be used where the following reason is clearly outlined: the Consumer states not to have entered into a contract with the New Supplier.
- 2.7 Any further information given by the Consumer that is felt to be relevant may be outlined in the free-text field, in the S74 (Supplementary Information) Market Message.
- 2.8 Note: If the Old Supplier believes that the Consumer has been erroneously registered, but not within the remit of the reason given above, they may use the procedures set out in the procedure for the Resolution of Erroneous Transfers as defined in Paragraph 4, or request that the Consumer contacts the New Supplier to initiate a Co-operative Objection, in order to resolve the Consumer's concerns.

#### Status of the Procedure

- 2.9 This procedure has been developed to facilitate the requirements within Condition 14 of the Gas Supply Licences for initiating a Customer Requested Objection.

#### Conditions Precedent

- 2.10 This procedure shall only be applicable in relation to Supply Meter Points that relate to Consumers at Domestic Premises.
- 2.11 It is not expected that the Consumer will be aware of either the grounds for objection, the Switch process, or the potential for an objection to be raised. Responsibility for the correct application and administration of the process therefore resides with the Gas Suppliers.
- 2.12 The Customer Requested Objection process shall commence only where a Consumer states not to have entered into a contract with the New Supplier and raising a Supply Point Objection is possible within the Objection Deadline.
- 2.13 Furthermore, the Notice of Objection for a Customer Requested Objection may not be withdrawn.

#### Initial Consumer Contact

- 2.14 The commencement of the Customer Requested Objection Process requires that the Consumer notifies the Old Supplier of their concerns. Such contact by the Consumer may be in response to previous contact from either:
- (a) the New Supplier, notifying the Consumer of the impending Switch; or
  - (b) the Old Supplier, notifying the Consumer, upon receipt of the notice of a Supply Point Confirmation by another Gas Supplier, of the Switch in progress.
- 2.15 In either instance, the Consumer may inform the Old Supplier that they do not wish to proceed with the Switch process. In this situation, several possibilities exist but the Customer Requested Objection shall only be used in cases identified in Paragraphs 2.4 to 2.8, and the Consumer shall be informed of the nature of the process and their authorisation obtained.

#### Raising the Objection

- 2.16 Following the Consumer's authorisation, the Old Supplier shall raise an objection and identify the CRO in the free-text field using the code "02CRO" followed by the Supplier ID as an appropriate code for easy identification of a Customer Requested Objection. In addition, Gas

Suppliers must provide relevant contact information within each organisation for dealing with CRO enquiries.

2.17 The S40 (Objection to Withdrawal) Market Message shall be used along with the accompanying S74 (Supplementary Information) Market Message.

2.18 The Old Supplier must write to the Consumer confirming the reason for raising the objection even though the objection is being raised at the Consumer's request.

#### The New Supplier's Response

2.19 After the CDSP accepts the objection, the Objection Deadline shall apply. Having been made aware of the Customer Requested Objection by the Old Supplier, the New Supplier shall then determine:

- (a) whether to make contact with the Old Supplier in order to query the basis of the Customer Requested Objection; or
- (b) whether to make contact with the Consumer to query the basis of the Customer Requested Objection.

2.20 Once raised, it is not possible to remove a Customer Requested Objection.

2.21 Where the New Supplier receives notification of a Customer Requested Objection they shall ensure that another Supply Point Confirmation in respect of the relevant Supply Meter Point for that Consumer shall not be submitted unless the reason for the Customer Requested Objection has been resolved.

#### Retention of Information

2.22 Gas Suppliers are required to maintain an adequate audit trail, for example, by recorded call or Consumer signed correspondence and record of all such Consumer contact and ensuing objections.

2.23 Where the Old Supplier has issued a Customer Requested Objection they shall:

- (a) keep evidence of the Consumer's request and reasons for the request for at least 12 months; and
- (b) inform the New Supplier that the objection has been raised at the Consumer's request and of the reason given by the Consumer.

2.24 Where personal data relating to a Consumer is exchanged between Gas Suppliers for the purposes of the procedure under this Paragraph 2, this shall be sent via the Secure Data Exchange Portal.

### **3 Assignment of Debt in Relation to Prepayment Meters Agreed Procedure**

#### Background

3.1 The development of a process that allows outstanding Consumer charges owed to one Gas Supplier to be assigned to another follows an initiative by the Authority. This process would enable Consumers with outstanding charges to transfer to the Gas Supplier of their choice in

situations where such a transfer would otherwise have been prevented on the grounds of debt.

- 3.2 A sub-group comprising the major domestic retail Gas Suppliers, and supported by the Authority, undertook a trial for debt assignment between suppliers in the gas and electricity retail markets. This trial resulted in the development of benchmark processes for the domestic gas and electricity markets which suppliers would operate for each discrete market.
- 3.3 Following the experiences of the trial and the protocols developed for use in the trial, parallel changes were developed to modify the Gas Supply Licence and the Master Registration Agreement to introduce Debt Assignment Protocols (DAP), and to provide specific procedures to support it.
- 3.4 Introduction of Point of Acquisition (PoA) model: The Authority undertook a review of the DAP voluntary commitments it agreed with Gas Suppliers in September 2012. This included a commitment from Gas Suppliers to streamline and improve the existing DAP industry processes. Through workgroups held at Energy UK, the PoA model emerged as the main change to the DAP to meet this commitment. The PoA model meant that Gas Suppliers provided DAP Privacy Notices at the point of acquiring a new Consumer. The Consumer therefore no longer needed to 'restart' the switch by responding to a letter from the New Supplier asking whether DAP could progress.
- 3.5 The PoA model was introduced as a voluntary agreement in April 2015. All larger Gas Suppliers and several smaller Gas Suppliers implemented this process. The process was viewed to be a success inasmuch that the numbers of indebted Consumers switching using the DAP increased significantly. As such, it was implemented as the standard procedure for Debt Assignment into SPAA to ensure all Gas Suppliers follow the process and Consumers benefit accordingly.
- 3.6 In November 2016 a suite of changes were implemented which addressed a number of key areas:
- (a) mismatch of Consumer names;
  - (b) streamlining the current process;
  - (c) improving management of issues relating to Data Protection Legislation (DPL);
  - (d) Complex Debt; and
  - (e) identifying Prepayment Meters.
- 3.7 A new end-to-end DAP was agreed. A number of associated changes have been raised which reflect discussions on the end-to-end process and improvements to resolve the issues of mismatched Consumer addresses and stream lining the process.

#### Purpose

- 3.8 This procedure sets out the actions that Gas Suppliers are required to undertake in conjunction with the Switch process in order to assign outstanding charges owed by Domestic Supply Consumers who have a debt scheduled for repayment on a Prepayment Meter ("Debt Assignment").
- 3.9 The structure of the Market Messages associated to DAP are set out in the Data Specification.

## Document Scope & Objectives

3.10 The scope of this procedure is limited to Debt Assignment in relation to Domestic Premises between Gas Suppliers operating in England, Wales and Scotland and shall only be applicable in relation to Supply Points where:

- (a) the Consumer at that Supply Point has a debt, repayment of which is scheduled on a Prepayment Meter;
- (b) the Consumer has entered into a contract with the New Supplier;
- (c) the New Supplier has submitted an application for Registration for the Supply Point, by sending a S42 (Confirmation File) Market Message to the CDSP, and the Registration has been accepted by the CDSP;
- (d) the Old Supplier has issued a S40 (Notification of an Objection to Switch Made by the Old Supplier) Market Message to the New Supplier's Registration on the grounds of outstanding charges pursuant to Condition 14.4(a) of the Gas Supply Licence and this Objection has been accepted by the CDSP; and
- (e) the estimated value of the debt for assignment is between £20 and £500 (inclusive), including Value Added Tax (VAT).

3.11 The objectives of this Paragraph 3 are:

- (a) to ensure a DAP Privacy Notice is provided to the Consumer at the PoA; and
- (b) to document the procedure for agreeing to a Debt Assignment in the domestic gas market in parallel with the principles of the procedure in the domestic electricity market.

## Exclusions

3.12 The following are specifically excluded from the scope of this Paragraph 3:

- (a) Supply Points where a Consumer debt has been identified as Complex Debt;
- (b) Supply Points for I&C Supplies;
- (c) debt in relation to a Consumer account to which the applicable rate of VAT indicates that the Consumer is non-domestic (I&C Supply);
- (d) Supply Points in which the debt is not being recovered via a Prepayment Meter; and
- (e) assignment of estimated debt values below £20 or above £500 (inclusive of VAT).

3.13 Notwithstanding Paragraph 3.12 above, nothing in this Paragraph 3 shall preclude Gas Suppliers agreeing bilaterally to an assignment of:

- (a) Complex Debt; or
- (b) debt outside the thresholds defined in Paragraph 3.12(e).

3.14 Where a Consumer debt has been assigned, under a bi-lateral agreement according to Paragraph 3.13, the Gas Suppliers shall use the process set out within this Paragraph 3.

3.15



### Status of the Procedure

- 3.16 This procedure corresponds to the obligations contained in Condition 14 of the Gas Supply Licence to establish the procedures for the assignment of outstanding charges between Gas Suppliers to enable a Switch to take place.
- 3.17 Parties are reminded of the objective to maintain harmonised procedures for gas and electricity in relation to Debt Assignment, and it is recommended that any changes proposed to this procedure should also be considered as potential changes to the corresponding electricity provisions.

### Principles

- 3.18 Gas Suppliers, in undertaking these Debt Assignment procedures, shall ensure that:
- (a) the provisions of the relevant DPL are satisfied;
  - (b) the VAT requirements in respect of bad debt relief are satisfied;
  - (c) all rejected Market Messages are completed in accordance with this procedure;
  - (d) all reasonable steps shall be taken to ensure that the Consumer does not see any undue interruption or disruption to their repayment; and
  - (e) they are aware of the obligations regarding the issuing of communications to Consumers.

### Consumer initiates Switch

- 3.19 The New Supplier shall provide a DAP Privacy Notice to the Consumer at the PoA.
- 3.20 The New Supplier shall ensure that:
- (a) the Consumer is informed that initiating the Debt Assignment process is not a guarantee that Debt Assignment will be agreed;
  - (b) the Consumer is informed that Debt Assignment requires the exchange of account information, including debt information, between the Gas Suppliers concerned; and
  - (c) the Consumer is aware of the DPL obligations on the New Supplier under this Paragraph 3.

### Notifying the Consumer of the Objection to Switch

- 3.21 Where the Old Supplier has issued a Notice of Objection pursuant to Condition 14.4(a) of the Gas Supply Licence, that Gas Supplier shall:
- (a) advise the Consumer of the reason(s) for such Objection in accordance with Condition 14.9 of the Gas Supply Licence;
  - (b) inform the Consumer that Debt Assignment will progress if this has been agreed with the New Supplier; and
  - (c) provide a DAP Privacy Notice to the Consumer as part of the Objections process to support compliance with DPL and promoting the Consumer's understanding of the DAP.

### Notifying the Request for Debt Information

- 3.22 Within 4 Working Days (WD) of receipt of the notice of objection from the CDSP, the New Supplier shall contact the Old Supplier using the G0806 (Request for Debt Information) Market Message to notify a request for information in relation to Debt Assignment under this Paragraph 3.

### Responding to Debt Information Request

- 3.23 Within 4WD of receipt of the G0806 Market Message, the Old Supplier shall validate the Market Message and shall either:
- (a) send a G0806 Market Message where the inbound G0806 Market Message was rejected with one of the reasons as defined within the 'DAP Rejection Code' Data Item; or
  - (b) respond to such request with the appropriate information using the G0807 (Debt Information) Market Message.
- 3.24 Following receipt of G0806 Market Message rejection, the New Supplier shall send a corrected G0806 Market Message within 3WD where appropriate.
- 3.25 Where the Old Supplier identifies that the debt is not Complex Debt, the Old Supplier shall populate the 'Complex Debt Indicator' Data Item, in the G0807 Market Message, with F.
- 3.26 Where the Old Supplier identifies that the debt is Complex Debt, the Old Supplier shall:
- (a) populate the 'Complex Debt Indicator' Data Item, in the G0807 Market Message, with T;
  - (b) keep a record of the reasons why a Debt Assignment has been refused on the grounds of Complex Debt to support any follow up action by the Consumer; and
  - (c) populate the 'Additional Information' field, as this is Mandatory where the 'DAP Rejection Code' Data Item is populated with "Other".

### Processing the Information Regarding Outstanding Charges

- 3.27 Following receipt of the G0807 Market Message, the New Supplier shall within 3WD validate the Market Message, and:
- (a) send a G0807 Market Message where the inbound G0807 Market Message was rejected with one of the reasons as defined within the 'DAP Rejection Code' Data Item; or
  - (b) otherwise proceed to Paragraph 3.29 or 3.30 (as applicable).
- 3.28 On receipt of a G0807 Market Message rejection, the Old Supplier has 3WD to correct the G0807 Market Message and reissue to the New Supplier.
- 3.29 Upon receipt of a valid G0807 Market Message, where the 'Complex Debt Indicator' Data Item has been populated with T, the New Supplier shall:
- (a) assess whether it wishes to progress with Debt Assignment under this Paragraph 3; or
  - (b) inform the Consumer that there is an issue on the account; and
  - (c) advise the Consumer to contact their Registered Gas Supplier in relation to any resolution or dispute regarding Debt Assignment.

3.30 Upon receipt of a valid G0807 Market Message, where the 'Complex Debt Indicator' Data Item has been populated with F, the New Supplier shall:

- (a) review the information regarding the outstanding charges that have been provided by the Old Supplier in the G0807 Market Message; and
- (b) assess whether it wishes to progress with Debt Assignment under this Paragraph 3.

3.31 The setting of the Complex Debt flag may not exclude the Consumer's debt from being assigned under this procedure under Paragraph 3.13.

#### Declining to proceed with a Debt Assignment

3.32 Where the New Supplier declines to undertake the Debt Assignment of outstanding charges, it shall notify the Consumer accordingly. The New Supplier is not required to respond to the G0807 Market Message. Any such failure to respond within 5 WD of issuing a valid G0807 Market Message shall mean that no further action need be considered by the Old Supplier.

#### Confirming that the Debt Assignment is accepted – Gas Supplier to Gas Supplier

3.33 Where the New Supplier determines to proceed with Debt Assignment, it shall send the G0808 (Confirmation of Customer Debt Transfer) Market Message, within 5 WD of receiving a valid G0807 Market Message.

3.34 Following receipt of the G0808 Market Message, the Old Supplier shall within 4WD validate the Market Message, and:

- (a) send a G0808 Market Message where the inbound G0808 Market Message was rejected with one of the reasons as defined within the 'DAP Rejection Code' Data Item;
- (b) otherwise proceed to Paragraph 3.37.

3.35 On receipt of a G0808 Market Message rejection, the New Supplier has 5WD to correct the G0808 Market Message and reissue to the Old Supplier.

3.36 Upon receipt of a valid G0808 Market Message, the New Supplier shall;

- (a) populate the 'Earliest Resubmission Date' Data Item in the G0808 to indicate the earliest date during the resubmission window on which the New Supplier will send a S42 Market Message to the CDSP for the Supply Point; and
- (b) re-register the Consumer by submitting a S42 Market Message to the CDSP on, or no later than 2 WD after, the Earliest Resubmission Date as noted in the G0808 Market Message.

#### Accepting a Supply Point Confirmation Request

3.37 Where the application for Registration has been accepted by the CDSP, the Old Supplier shall ensure that, upon receipt of the S10 (Notice of Termination of Supply Registration) Market Message regarding the New Supplier that is engaged in the Debt Assignment:

- (a) a Notice of Objection is not issued in respect of the Registration of that New Supplier; or
- (b) the Notice of Objection for that New Supplier is withdrawn before the Objection Deadline.

### Rejection of a Supply Point Confirmation Request

3.38 Where an application for Registration has been rejected by the CDSP, the New Supplier shall:

- (a) take reasonable steps to resolve the reason for the rejection;
- (b) ensure that an application for Registration is re-submitted as soon as possible, but in any event no later than 2 Working Days after the Earliest Resubmission Date noted in the G0808 Market Message; and
- (c) inform the Consumer and the Old Supplier that the Switch cannot be completed, where the reason for rejection of the application for Registration cannot be resolved.

3.39 Where it is bi-laterally agreed that the resubmission timescale is to be extended, the New Supplier shall contact the Old Supplier and indicate the latest date that the resubmission will be sent. The Old Supplier shall continue to ensure that a Notice of Objection, in respect of that Registration, is not issued, or is withdrawn before the Objection Deadline.

### Finalising the Debt Assignment

3.40 Upon receipt of a M03 (Notice of Change of Supplier Readings) and the U04 Market Message the Old Supplier shall:

- (a) calculate the Total Debt Outstanding owed by the Consumer at the time of the Switch; and
- (b) send a G0809 (Confirmation of Debt Assigned) Market Message to the New Supplier within 3WD of issuing the final bill to the Consumer account, notifying them of the Total Debt Outstanding inclusive of VAT for each Consumer.

3.41 The G0809 Market Message shall include details of:

- (a) the Factored Total Payment, inclusive of VAT; and
- (b) the VAT component of that Factored Total Payment expected to be paid to the Old Supplier as a result of the agreed factoring mechanism detailed in Paragraph 3.47.

3.42 Upon receipt of the G0809 Market Message, the New Supplier shall:

- (a) validate the Market Message as soon as possible, but within 3WD after receipt; and
- (b) if valid, issue a G0809 Market Message acceptance to the Old Supplier; or
- (c) if invalid, issue a G0809 response flow with the relevant rejection data item in the DAP Response Code.

3.43 On receipt of a G0809 rejection, the Old Supplier must resend a corrected G0809 within 3WD.

3.44 Where the New Supplier issues a G0809 Market Message acceptance in respect of a Consumer in accordance with Paragraph 3.42, the Total Debt Outstanding shall be transferred from the Old Supplier to the New Supplier (such that it is owed by the Consumer to the New Supplier and not to the Old Supplier).

### The Old Supplier Invoices the New Supplier

- 3.45 The Old Supplier shall ensure that the New Supplier is invoiced based on the Total Debt Outstanding (inclusive of VAT) notified in the G0809 Market Message.
- 3.46 The invoice shall also contain details of the agreed mechanism of factorisation as detailed below, such that the actual payment due is made clear.
- 3.47 For each completed Debt Assignment, the amount paid by the New Supplier, known as the "Factored Total Payment", will be calculated as detailed below:

Factored Total Payment is equal to:

Total Debt Outstanding net of VAT \* 90% rounded to the nearest penny<sup>2</sup> PLUS VAT on Total Debt Outstanding@ 100%

- 3.48 On or after the 12th WD of each month, but no earlier than a period of at least 10 WD has elapsed since the issue of any given G0809 Market Message, the Old Supplier shall issue the following for each Gas Supplier with whom the Old Supplier has assignments for which the G0809 Market Message was issued in the previous month (issued via secure encrypted means):

- (a) a single invoice, showing the total amount due; and
- (b) a supporting electronic spreadsheet or CSV file in the format set out in Appendix B of this Paragraph 3, which shall detail:
  - (i) the relevant MPRN;
  - (ii) the Consumer's name;
  - (iii) the Total Debt Outstanding;
  - (iv) the Factored Total Payment; and
  - (v) the amount of VAT.

- 3.49 The New Supplier shall:

- (a) validate the invoice on receipt;
- (b) raise any query or dispute (in accordance with Paragraph 3.52) within 5 WD of that receipt; and
- (c) settle each invoice (to the extent not so disputed) within 28 days of receipt.

- 3.50 Where a dispute cannot be resolved immediately, the Old Supplier shall:

- (a) issue a new invoice (via secure encrypted means) excluding the disputed entries; and

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<sup>2</sup> Rounding is the act of reducing the digits in a numerical value. Rounding means reducing the number of decimals important in a number by "rounding" the number to the nearest value, either up or down. For example, 1.5p would become 2p, whereas 1.49p would become 1p

- (b) include the disputed items on a future invoice once resolved (to be issued via secure encrypted means).

- 3.51 The Old Supplier shall calculate late payments at LIBOR+2% and shall show the late payment charge as such on the succeeding invoice.

#### Escalation Procedure

- 3.52 Where a Gas Supplier identifies a need to resolve any issues related to the Debt Assignment process and associated timelines (other than invoicing queries), it may escalate to the relevant Gas Supplier according to the timescales and responsibility levels outlined in Table 1:

Process	Timescale	Responsibility Level of Contact(s)
Raise Initial Dispute	Day 0	Operational Staff
Initial follow up	Day +5	Supervisor/Manager of Operational Staff
Second follow up	Day +10	Nominated Debt Assignment Handling Contact
Final follow up	Day +15	Contract Manager

Table 1: General escalation procedure

- 3.53 All escalations relating to Table 1 shall be communicated via the Secure Data Exchange Portal.
- 3.54 Where a Gas Supplier identifies a need to resolve any invoicing queries in respect of Paragraph 3.49, it may escalate to the relevant Gas Supplier according to the timescales and responsibility levels outlined in Table 2:

Process	Timescale	Responsibility Level of Contact(s)
Raise Initial Dispute	Day 0	Invoicing Staff
Final follow up	Day +15	Contract Manager

Table 2: Invoicing escalation procedure

- 3.55 The Contract Manager shall ensure a response to the 'Final follow up' escalation is sent within 10 WD of receipt of 'Final follow up' (whether under Table 1 or Table 2).
- 3.56 Gas Suppliers shall provide to the Code Manager details (name, email address and phone number) for each of the escalation levels provided for in Table 1 and Table 2. These contacts will be made available to other Gas Suppliers via the REC Portal.
- 3.57 For the avoidance of doubt, escalations relating to Table 2 need not be communicated via the Secure Data Exchange Portal.

#### Market Messages

- 3.58 All Market Messages, initiations and responses sent between Gas Suppliers under this procedure shall, be structured and communicated in accordance with the Data Specification.

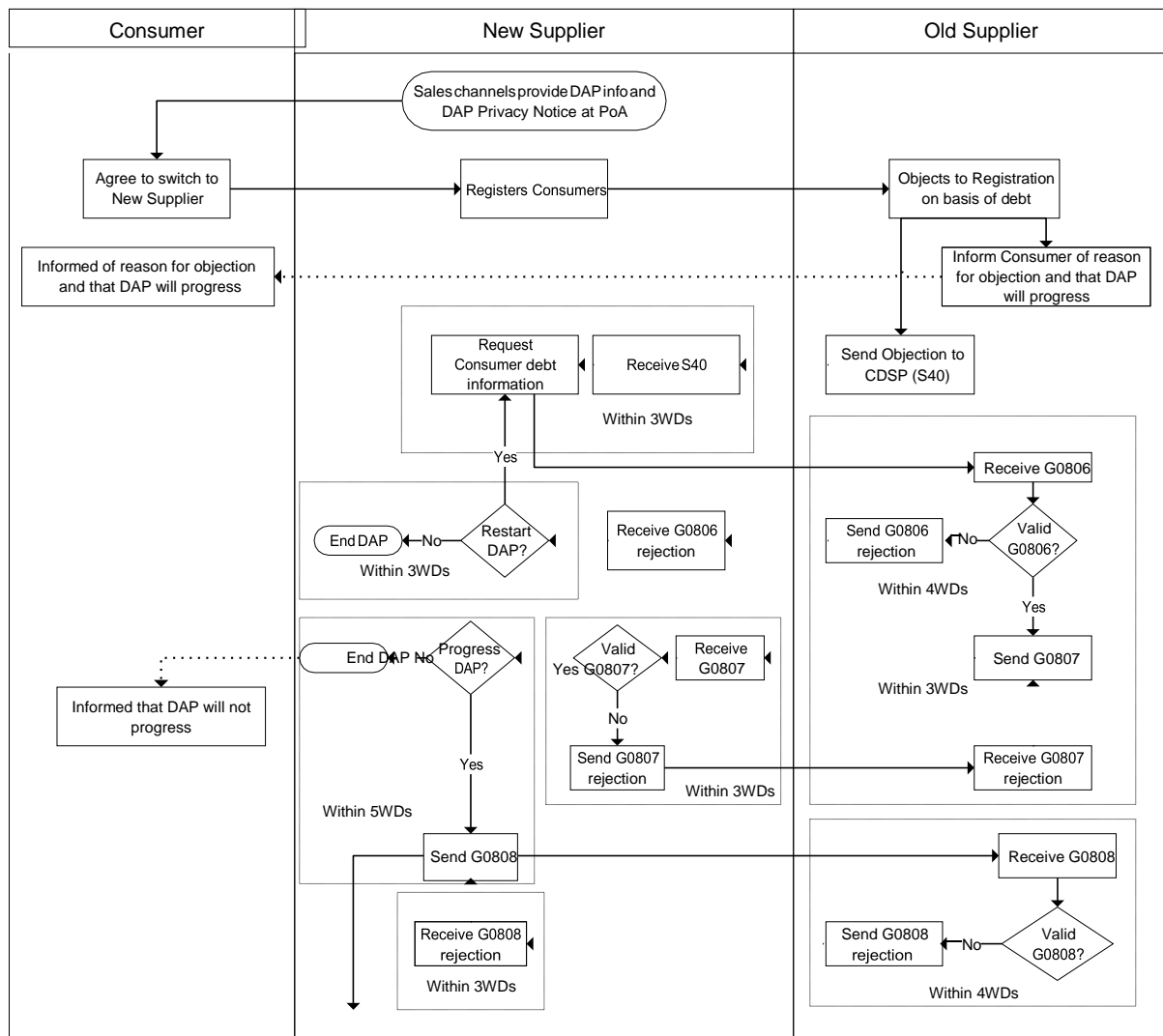
### Communication

- 3.59 Where the New Supplier wishes to request debt information from the Old Supplier at or after 00.00 hrs on 28 June 2019, the New Supplier shall use the G0806 Market Message, and the New Supplier and the Old Supplier shall complete the Debt Assignment process in accordance with this procedure.

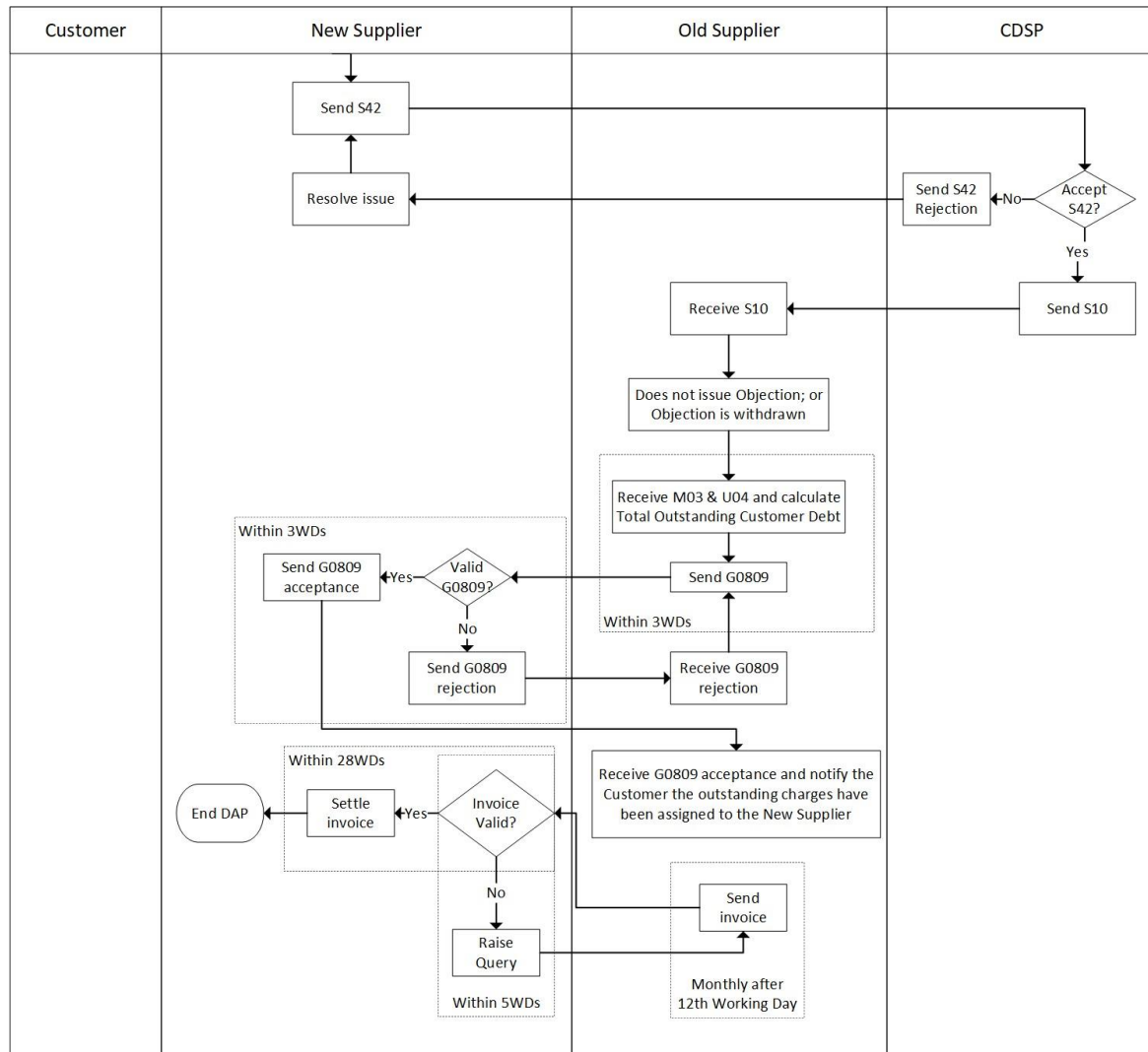
### Market Messages

- 3.60 The transfer mechanism for the exchange of each of the Market Messages is the Data Transfer Network (DTN). For DTN Encoding Rules, Principle of Transfer Relationship and Validation refer to the User File Design Specification.

## APPENDIX A: Process Flow Chart







## APPENDIX B: FORMAT OF SPREADSHEET TO SUPPORT INVOICE

2

DAP Invoice Reference	Invoice Month/Year	Supplier Name (who is being invoiced)						
XXXXXX	XX/XXXX	XXXXXX						
	MPAN/MPRN	Consumer Name	Total Debt Outstanding (£)	VAT element (£)	Total amount excluding VAT (£)	90% of excluded VAT element (£)	Factored Total Payment (90% of excluding VAT total plus VAT) (£)	Factored Total Payment entered manually (£)
Example:	1234567890	Mr John Smith	£ 20.00	£ 0.95	£ 19.05	£ 17.14	£ 18.10	
	<b>Totals</b>			£ 0.95	£ 19.05	£ 17.14	<b><u>£ 18.10</u></b>	

## **4 Resolution of Erroneous Transfers**

### **Background**

#### **Erroneous Transfer Consumer Charter**

- 4.1 The procedure in this Paragraph 4 is consistent with the Erroneous Transfer Customer Charter (ETCC).
- 4.2 The ETCC is as follows:
- (a) If a Consumer believes that they have been erroneously transferred then they can contact either their Old or New Supplier. The contacted Gas Supplier will liaise with the other Gas Supplier to resolve the matter.
  - (b) An appropriately trained representative of the contacted Gas Supplier shall explain to the Consumer:
    - (i) what action will be taken;
    - (ii) when they can reasonably expect to be transferred back to their original Gas Supplier;
    - (iii) that they will only pay once for the energy consumed and where possible, how their billing arrangements will be treated;
    - (iv) how they will be kept informed of progress towards resolution; and
    - (v) on request, how complaints will be resolved and, where appropriate, how compensation claims will be dealt with.
  - (c) The contacted Gas Supplier will send written confirmation of the details provided above within 5 Working Days of the Consumer contact. Where possible the Gas Supplier will include an explanation of why the ET took place.
  - (d) The Consumer will be provided with confirmation within 20 Working Days of their initial Consumer contact that they will be returned to their Old Supplier.

#### **Erroneous Transfer Categories**

- 4.3 The following categories have been approved for use in the gas market and will be used by Ofgem for monitoring Erroneous Transfers (ET).
- (a) Forgery – Proven
  - (b) Misleading information / Suspected Fraudulent Market practice and / or Training Issues
  - (c) Incorrect MPRN Selected (only valid reason for a non-domestic Erroneous Transfer unless agreed via a bilateral agreement)
  - (d) Cancelled contract not actioned
  - (e) Consumer Service Returners.
- 4.4 See Appendix 2 of this Paragraph 4 for further information on these categories and examples of some typical business scenarios for each.

#### Purpose

- 4.5 The procedure in this Paragraph 4 describes the actions Gas Suppliers are required to undertake to resolve an ET.

#### Scope and Objectives

- 4.6 The scope of the procedure is limited to ETs occurring in Domestic Premises in the gas market in England, Wales and Scotland and covers the following situations:
- (a) New Supplier identifies a potential ET;
  - (b) Consumer contacts New Supplier believing that they have been erroneously transferred; and
  - (c) Consumer contacts Old Supplier believing that they have been erroneously transferred.
- 4.7 This procedure may also be applied to the non-domestic market at Gas Suppliers' discretion.

#### Status of the Procedure

- 4.8 The flow structure of the Resolution of Erroneous Transfer (RET) Market Message is set out in the Data Specification.

#### Conditions precedent

- 4.9 Only the New Supplier is in a position to determine if there has been an ET and the reason why the transfer has taken place although the Consumer can contact either Gas Supplier to act on their behalf if they believe they have been erroneously transferred. However, if the Consumer's initial contact is with the Old Supplier, then the Consumer shall be encouraged to contact the New Supplier as they are in a better situation to resolve the claim.
- 4.10 Up to 24 months following the last registration of a given Supply Point, Gas Suppliers shall proceed with this procedure when a potential ET is identified. Beyond this point, New and Old Suppliers will discuss any ET on a case by case basis with the New Supplier having the discretion to decide how to treat the potential ET.
- 4.11 Once it has been established that an ET has occurred, the New Supplier shall not treat the circumstances as an opportunity to secure the Consumer and shall process the loss notification when received.

#### Erroneous Transfers identified within the Objection Raising Period or Confirmation Cancellation Period

- 4.12 Where an ET is identified within the Objection Raising Period then either:
- (a) the New Supplier shall make reasonable endeavours to resolve the ET by means of a confirmation cancellation request.
  - (b) If applicable, the Old Supplier shall raise an Objection on behalf of the Consumer by means of a Consumer Requested Objection.
- 4.13 The procedure described here is for use where the Objection Raising Period or confirmation withdrawal period has expired.

- 4.14 This procedure may also be used where the New Supplier agrees to return a Consumer to their Old Supplier on a goodwill basis, however, for the purposes of Ofgem reporting, this is not classified as an ET.

#### Procedure for Resolution of an Erroneous Transfer outside the Objection / Confirmation Cancellation Period

- 4.15 The procedure is made up of four phases:

- (a) Phase One – Determine Requirement and Initiate ET Procedure
- (b) Phase Two - Response from Associated Supplier to discuss course of action for ET resolution
- (c) Phase Three – Proposed course of action acceptable to both parties
- (d) Phase Four – Associated Supplier rejects ET Communication Flow.

#### Phase One – Determine Requirement and Initiate ET Procedure

- 4.16 Where the Consumer believes that they have been erroneously transferred they may contact either the New or Old Supplier. The contacted Gas Supplier will, after discussion with the Consumer, and if they believe it to be an ET, initiate the ET procedure on the Consumer's behalf.
- 4.17 The New Supplier may also initiate the ET Procedure on their own behalf where they recognise that they have erroneously registered a MPRN by sending the RET flow to the Old Supplier as soon as they identify the erroneously registered MPRN.
- 4.18 Where the contacted Gas Supplier is the Old Supplier, they shall make reasonable endeavours to initiate the ET Procedure by sending the RET flow to the New Supplier within 2 Working Days of receipt of notification of a potential ET.
- 4.19 Where the Initiating Supplier is the New Supplier, they shall make reasonable endeavours to initiate the ET Procedure by sending the RET flow to the Old Supplier within 8 Working Days of receipt of notification of a potential ET.
- 4.20 Prior to initiating an ET, the Gas Supplier will first check that they have not already received an ET initiation. If an ET has already been initiated the Associated Supplier will not initiate an ET so as to reduce the likelihood of a Dual Initiation occurring.
- 4.21 The New Supplier shall take reasonable steps to stop collecting data from the Meter once a potential ET has been identified.
- 4.22 The identity of the Associated Supplier may be determined from the Supplier ID facility or from information provided by the Consumer, or from other information from the Gas Transporter or CDSP. However, it is not necessary for the Consumer to provide information on the identity of either their New or Old Supplier. Alternatively, the identity of the Associated Supplier can also be obtained via the Data Enquiry Service.
- 4.23 In accordance with the ETCC, the contacted Gas Supplier shall provide the Consumer within 5 Working Days of initial Consumer contact, a letter informing them of the fact that they believe an ET has taken place and the actions they are taking to resolve it (see ETCC for further information).

**Phase Two – Response from Associated Supplier to discuss course of action for ET resolution**

- 4.24 Where the Associated Supplier is the Old Supplier, they shall make reasonable endeavours to respond to the initial request within 2 Working Days of receipt of the RET flow.
- 4.25 Where the Associated Supplier is the New Supplier, they shall make reasonable endeavours to respond to the initial request within 8 Working Days of receipt of the RET flow.
- 4.26 Disparity between the Old Supplier and New Supplier records for the Meter Serial Numbers shall not be a reason for rejecting an ET.
- 4.27 The Associated Supplier will respond to the initiating RET flow to confirm acceptance or rejection. If responding with a rejection the Associated Supplier will state the reason(s) for this. An Old Supplier can only reject an ET request if they are not the Old Supplier, if the Consumer has decided to cancel the ET or where a Dual Initiation has taken place. All rejections must be accompanied with a detailed rejection reason.
- 4.28 If the responding Gas Supplier is rejecting, the rejection reasons shall follow a logical approach. The following examples shall be considered when rejecting an ET:
- (a) a rejection based on an incorrect Consumer name should not be used, as an ET is initiated on the basis that the incorrect Consumer or occupier has undergone a change of Gas Supplier;
  - (b) a rejection based on missing flows should not occur. For example, if a flow has not been received which closes a Switch loss, Gas Supplier system architecture should not then block an ET taking place; and
  - (c) a rejection based on no valid contract should not occur, as the Consumer is entitled to return to their original Gas Supplier on the same rates from which they left and expect to see continuous billing.
- 4.29 Where the Initiating Supplier receives a request from the Associated Supplier to initiate an ET the following action shall be taken:
- (a) Where the Dual Initiation has taken place on the same working day, the new Gas Supplier shall default to the Initiating Supplier and reject the ET initiation from the Associated Supplier (the old Gas Supplier in this case) stating within the rejection reason that a Dual Initiation has occurred and it will take the Initiating Supplier Role.
  - (b) Where the Dual Initiation has not taken place on the same Working Day, the Initiating Supplier shall reject the Associated Supplier initiation. The Initiating Supplier initiation shall take precedence.
- 4.30 Once the Initial Request has been made one of the following options shall be taken:
- (a) both Gas Suppliers agree that the Consumer is to be returned to the Old Supplier (go to Phase 3 of this procedure); or
  - (b) the Associated Supplier believes that they have been contacted in error, because they were not the Associated Supplier on the specified Supply Start Date (go to Phase 4 of this procedure); or

- (c) after appropriate investigation (e.g. establishing whether a valid contract is in place), the Associated Supplier disagrees with the Initiating Supplier (go to Phase 4 of this procedure).

#### Escalation for initiation

- 4.31 To ensure the proper operation of the ET Procedure, Gas Suppliers must offer an effective telephone enquiry service for representatives of other Gas Suppliers on all Working Days between the hours of 9:00 to 12:00 and 13:00 to 17:00, UK time. This is a minimum service provision and does not prevent Gas Suppliers from offering a telephone enquiry service at other times as well. For the avoidance of doubt, this telephone enquiry service is intended only to assist with the resolution of escalations and outstanding queries and is not intended to replace the normal data exchange process detailed in Phases 1 and 2.
- 4.32 The table below summarises the escalation procedure that shall be taken when resolving any issues with the ET procedure. It is anticipated that initial and second follow ups will be made by phone or Via the Secure Data Exchange Portal. Final follow ups shall be made via the Secure Data Exchange Portal. The timings in the table below are the MAXIMUM recommended values after ET normal processing i.e. after Day + 10. All timings referred to in this table are Working Days.

#### Where the Initiating Supplier is the Old Supplier

Process	Timescale	Responsibility Level of Contact(s)
Send RET flow	Day 0	Operational Staff
Initial follow up	Day +5	Supervisor/Manager of Operational Staff
Second follow up	Day +10	Nominated ET Handling Contact
Final follow up	Day +15	Contract Manager

\* Contract Manager shall arrange for the Final follow up escalation to be responded to within 10 Working Days of receipt.

- 4.33 Escalations shall be sent as a standard format and include, at a minimum, the following items:
  - (a) MPRN
  - (b) Initial Consumer Contact Date (as per the ETCC) in format DDMMYYYY
  - (c) New Supplier Start Date in format DDMMYYYY
  - (d) RET Flow Sent Date in format DDMMYYYY
  - (e) Additional Comments.

#### Phase Three – Proposed course of action acceptable to both Parties

- 4.34 Where both Gas Suppliers agree that the Consumer is to be returned to the Old Supplier as per Phase 2 then:-
  - (a) Where the Associated Supplier is the Old Supplier, it shall:

- (i) within 2 Working Days of receipt of the Initial Request, return the RET Flow to the Initiating Supplier with an 'Accepted' status;
  - (ii) complete the re-registration of the Consumer within 21 calendar days of accepting the ET;
  - (iii) where such an application for a confirmation is invalid as there is another confirmation in the process of being confirmed as in Network Code (Section G) shall re-submit a valid application for confirmation as soon as possible thereafter.
- (b) Where the Associated Supplier is the New Supplier:
  - (i) it shall, within 8 Working Days of receipt of the Initial Request, return the RET flow to the Initiating Supplier, indicating that the request has been accepted.
  - (ii) then the Old Supplier shall, complete the re-registration of the Consumer, within 21 calendar days of receiving an accepted RET response.
- 4.35 Where the New Supplier agrees that an ET has taken place, the New Supplier shall take all reasonable steps to stop collecting data from the Meter. The New Supplier shall also delete any data that it may have collected from the Meter during the period of Erroneous Registration, where it does not have a lawful basis for processing this data in accordance with Data Protection Legislation.
- 4.36 If, within 3 Working Days of both Gas Suppliers having agreed that the New Suppliers registration has been made in error, the New Supplier has not received notification that the Old Supplier has commenced registration, then the New Supplier shall escalate as set out in table [6.31 below]. Where the New Supplier agrees that an Erroneous Transfer has taken place, the New Supplier shall not object to the re-confirmation of the relevant MPRN by the Old Supplier.
- 4.37 The Initiating Supplier shall (unless having already done so) provide the Consumer within 20 Working Days of their initial Consumer contact with confirmation that they will be returned to their Old Supplier via the ET Procedure.

#### Escalation for re-registration

- 4.38 The table below summarises the escalation procedure that must be followed where there are delays in the re-registration of the relevant MPRN.
- 4.39 At each stage of the escalation where the Old Supplier responds with a valid reason as to why they have been unable to re-register the relevant MPRN, the escalation stops. The New Supplier shall only escalate to the next level where;
  - (a) there has been no response to the initial escalation;
  - (b) the Old Supplier does not provide a satisfactory reason for failure to re-register the relevant MPRN; or
  - (c) it has been agreed on a bi-lateral basis between Gas Suppliers that the original reason for failure to re-register has been outstanding for an unanticipated period of time.
- 4.40 The initial and second follow-ups shall be made by phone or the Secure Data Exchange Portal. Final follow-ups shall be made via the Secure Data Exchange Portal.



- 4.41 In relation to the timescales in the table below, 'Day' is defined as the date on which both Gas Suppliers have agreed that the New Supplier's Registration has been made in error or the New Supplier's SSD, whichever is the later. NB. All timings referred to in this table are Working Days.

Process	Timescale	Responsibility Level of Contact(s)
Initial enquiry	Day +3	Supervisor/Manager of Operational Staff
follow up	Day +7	Nominated Erroneous Transfer Re-Registration Contact
Final follow up	Day +11	Contract Manager

\* Contract Manager shall arrange for the Final follow up escalation to be responded to within 10 Working Days of receipt.

#### Phase Four – Associated Supplier rejects Erroneous Transfer Request

- 4.42 Where the Associated Supplier believes that they have been contacted in error because they are not the correct Gas Supplier, they shall, within 2 Working Days of receipt of the RET flow, return the request to the Initiating Supplier. The Initiating Supplier shall then establish the identity of the correct Gas Supplier and re-send the Initiating Request accordingly.
- 4.43 Where the Associated Supplier disagrees with the Initiating Supplier:
- (a) they shall, within 2 Working Days (as the Old Supplier) and 8 Working Days (as the New Supplier) of receipt of the RET flow (or other method as agreed), return the request to the Initiating Supplier indicating that the request has been rejected; and
  - (b) the Associated Supplier shall provide Comments on the reason why they believe it is not an ET.
- 4.44 Where the Associated Supplier has received 3 transfer requests for the same MPRN and all requests are believed to be validly rejected, prior to sending the third rejection:
- (a) they shall telephone the Initiating Supplier to discuss the transfer and the reason for rejection;
  - (b) they shall come to a conclusion with the Initiating Supplier as to whether the transfer request is valid or invalid; and
    - (i) if valid, they shall allow the transfer request to continue as per the current process; or
    - (ii) if invalid, they will follow the current process in sending the rejection flow along with comments 'validly rejected 3 times as agreed';
  - (c) if a further transfer request is received, the request will be escalated to a team manager who will endeavour to reach a resolution with the Initiating Supplier; and
  - (d) if a further request is received after the previous step the requests will be referred to the appropriate Contract Manager to resolve.

- 4.45 The Initiating Supplier shall (unless having already done so) provide the Consumer, within 20 Working Days of their initial Consumer contact with a statement of the outcome of the investigation.
- 4.46 See Appendix 3 of this Paragraph 4 for further information on these categories and some typical business scenarios for each.

#### Billing Arrangements

- 4.47 This section refers to the circumstance where the New Supplier agrees that the Consumer has been erroneously transferred but the Old Supplier has either re-registered the Consumer or is currently carrying out the usual Switch re-registration and, hence, the SSD for the return of the Consumer to the Old Supplier has not yet been reached.
- 4.48 If the New Supplier identifies that an ET has occurred for a Consumer that the Old Supplier has already re-registered or is in the process of re-registering, the ET request takes precedence. To clarify, the Old Supplier cannot reject an ET request if they are already in the process of re-registering. In this situation, the Old Supplier must accept responsibility for billing during that period, although the actual billing of the Consumer will remain at the discretion of the Old Supplier.
- 4.49 Under normal circumstances, the billing of the Consumer shall be treated as an ET and the Old Supplier shall contact the Consumer to confirm billing arrangements. In accordance with the principles outlined in the ETCC whereby the Consumer 'will only pay once for the energy consumed', these arrangements establish billing continuity for the period of the ET where Switch re-registration has been followed.

#### Communication

- 4.50 All Market Messages, initiations and responses sent between Gas Suppliers under this procedure shall, be structured and communicated in accordance with the Data Specification.
- 4.51 The transfer mechanism for the exchange of the RET is the Data Transfer Network (DTN). For DTN encoding rules, principle of transfer relationship, validation and file name structure refer to the User File Design Specification.

**APPENDIX 1: PHASE TIMINGS****The Old Supplier is the Initiating Supplier**

Action	Phase	Timing**
Old Supplier sends Initial Request	Phase 1 - Determine Requirement and Raise ET	Within 2 Working Days of initial Consumer contact
Respond to Initial Request by Associated (New) Supplier	Phase 2 - Contact between involved parties to discuss course of action for ET resolution	Associated (New) Supplier to respond within 8 Working Days of Initial Request.
Consumer returns to Old Supplier	Phase 3 - If New Supplier informs the Old Supplier that ET request is accepted Consumer should be re-registered by Old Supplier	Within 21 calendar days of Acceptance by New Supplier
Associated Supplier contests suggested course of action	Phase 4 – If New Supplier informs the Old Supplier that ET request is rejected then either the Old Supplier re-registers the Consumer, or the registration stands	Within 10 Working Days of Response of Associated Supplier

**The New Supplier is the Initiating Supplier**

Action	Phase	Timing**
New Supplier sends Initial Request	Phase 1 – Determine Requirement and Raise ET	Within 8 Working Days of initial Consumer contact
Respond to Initial Request by Associated (Old) Supplier	Phase 2 - Contact between involved parties to discuss course of action for ET resolution	Associated (Old) Supplier to respond within 2 Working Days of Initial Request.
Consumer returns to Old Supplier	Phase 3 - If the Old Supplier accepts the ET request Consumer should be re-registered by Old Supplier	Within 21 calendar days of Acceptance by Old Supplier
Associated Supplier contests suggested course of action	Phase 4 – If Old Supplier informs the New Supplier that ET request is rejected, then either the Old Supplier re-registers the Consumer, or the registration stands	Within 10 Working Days of Response of Associated Supplier

\*\* NB: The timings in the table are the MAXIMUM recommended values

## APPENDIX 2: RECORDED REASONS FOR ERRONEOUS TRANSFERS

The following table sets out the four Recorded Reasons for an ET, as monitored by Ofgem, together with a definition and typical business scenario for each.

Recorded Reason for Erroneous Transfer	Definition	Typical Business Scenarios
Forgery – PROVEN	Where an ET is proven to be a result of the fraudulent marketing practices, by the gaining Gas Supplier or its salesmen / agents	<ul style="list-style-type: none"> <li>• Forgery of contract</li> <li>• Consumer was deceased at the point the contract was signed / agreed.</li> </ul>
Incorrect MPRN/MPAN Selected	Where an ET is recorded in circumstances where the Consumer being transferred has been incorrectly identified	<ul style="list-style-type: none"> <li>• A house is split into a number of flats where the MPRN/MPAN for the wrong flat is selected.</li> <li>• Consumer provided incorrect data.</li> <li>• Wrong number keyed in.</li> <li>• Industry data incomplete or out of date.</li> <li>• New estates where plots are converted to postal addresses.</li> <li>• Incorrect data provided via Price Comparison Website.</li> </ul>
Cancelled contract not actioned	Where an ET is recorded because the gaining Gas Supplier failed to act upon the cancellation of the contract by the Consumer	<ul style="list-style-type: none"> <li>• Clerical Error</li> <li>• If internal systems prove that the Consumer had previously contacted the Gas Supplier</li> </ul>
Misleading Information / Suspected Fraudulent Marketing Practice and / or Training Issues	Where an ET is recorded due the provision of misleading information by the gaining Gas Supplier or its salesmen/agents	<ul style="list-style-type: none"> <li>• Contract signed / agreed by a vulnerable Consumer who was unaware of the consequences of signing</li> <li>• Consumer felt coerced into signing the contract by the sales agent against their better judgement</li> <li>• Consumer unaware that they were signing / agreeing a contract and believed that they were signing for more information</li> </ul>
Consumer Service Returners	Where the ET process is used on a goodwill basis at the discretion of the New Supplier in order to avoid a Consumer complaint, despite the New Supplier holding a valid	<ul style="list-style-type: none"> <li>• Consumer claims not to have signed but the New Supplier has evidence to suggest otherwise. I.e. has a signed Direct Debit with the Consumer's bank details.</li> <li>• Consumer has changed mind</li> </ul>

	<p>contract.</p> <p>An ET with a reason of Consumer Service Returners should only ever be initiated by the New Supplier.</p> <p>Where a Consumer Service Returners ET is initiated by a New Supplier, the Old Supplier should endeavour to accept the request and re-register the Consumer.</p>	<p>and is adamant that they will not contact a supplier of their choice because it is too inconvenient.</p> <ul style="list-style-type: none"><li>• Consumer has changed mind after they spoke to a rude Consumer service agent.</li><li>• Consumer deceased after signing contract.</li><li>• Consumer states they phoned up (or wrote or returned a form) to cancel before but there is no note on the system. The account is at a stage of registration where it cannot be stopped.</li><li>• Consumer cancels one day after registration has commenced and insists that the supply letter was not received in time.</li><li>• Consumer claims that they only signed for more information but the New Supplier has evidence to suggest otherwise, i.e. it is found that the New Supplier has a record of the Consumer's DOB and bank details.</li></ul>
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**APPENDIX 3: ERRONEOUS TRANSFER REJECTION REASON GUIDANCE**

The following table sets out some additional guidance on the appropriate usage of ET Rejection Reasons including some typical business scenarios for both valid and invalid rejections.

Rejection Reason	What it means
Not the last Gas Supplier	The ET request has been sent to the wrong Gas Supplier Potentially a bilateral / multilateral ET if erroneous registration period crosses over more than one Gas Supplier
Incorrect REGI date	The Effective from Settlement Date {REGI} for the New Supplier has been populated with an incorrect date
Valid Contract	The New Supplier has investigated and determined that they hold a valid contract for the Consumer and that no ET has taken place.
Over 2 Years old	More than 2 years have passed since the Switch event in question. If an ET is still required Gas Suppliers should seek to agree this bilaterally
Address Mis-match	The Metering Point Address fields in the RET must be populated with the Metering Point Address recorded in centralised industry systems as opposed to the Consumer billing address.

**Invalid Rejections:**

Rejection Reason	Why is it invalid
No Consumer contact / If Consumer wants to come back they need to contact us	The ETCC states that the Consumer has to contact just one Gas Supplier in order to resolve an ET, either the Old or New Supplier. The contacted supplier will then liaise with the other supplier to resolve the matter.
Do not hold a valid contract	This should not prevent the ET from being progressed where the Gas Suppliers agree that an ET has occurred. The Consumer should be returned as a new Consumer on new contract terms if necessary. The important aspect is that the Consumer is switched away from the erroneous supplier.
ET rejected as the account is in an occupier name / name does not match our records	If an incorrect MPRN has been registered it is highly likely that the name populated in the RET will differ to the name held on the Gas Supplier's billing record.
MSN does not match our records	The MSN is provided purely as a reference if meter readings are being exchanged. It should not be a validation point.

## **5 Agreement of Switch Reading and the Resolution of Disputed Switch Readings**

### **Background**

- 5.1 During the Switch process, the New Supplier is required to provide a Meter Reading within a defined window via their Gas Shipper, to the CDSP in accordance with Uniform Network Code (UNC) requirements. Where the CDSP accepts that Meter Reading, this results in the CDSP sending both the Old Supplier and New Supplier, via their Gas Shippers, notification of the Meter Reading to use for settlement. If the New Supplier is unable to obtain and provide an Actual Reading or the CDSP rejects the Meter Reading provided, then the CDSP shall issue an estimated Switch Meter Reading.

### **Purpose**

- 5.2 This Paragraph 5 sets out the procedure for:
- (a) the agreement of a Meter Reading between Gas Suppliers in the event that the CDSP is unable or not obligated to send an estimated Meter Reading; and
  - (b) the resolution of a dispute where one or more of the Old Supplier, the New Supplier or the Consumer subsequently disputes the notified Meter Reading (whether that is an Actual Reading or CDSP Estimated Opening Read)
- 5.3 The procedure is for use by Gas Suppliers and is divided into six phases, however, it is recommended that the process is only taken through all six phases where absolutely necessary.

### **Scope & Objectives**

- 5.4 This procedure applies to the agreement, post transfer, of the Meter Reading to apply at the point of a Switch (a Switch Meter Reading), and the resolution of disputed Switch Meter Readings, for Domestic Premises in the England and Wales and Scottish markets and covers the following scenarios:
- (a) agreement of Switch Meter Readings:
    - (i) Old Supplier has not received a Switch Meter Reading within 15 Working Days of the New Supplier's Supply Start Date (SSD) and an estimated Meter Reading has not been generated by the CDSP; or
    - (ii) New Supplier has not received a Switch Meter Reading within 17 Working Days of its SSD and an estimated Meter Reading has not been generated by the CDSP;
  - (b) resolution of Disputed Meter Readings:
    - (i) Old Supplier disputes the Switch Meter Reading on receipt;
    - (ii) New Supplier disputes the Switch Meter Reading on receipt;
    - (iii) Consumer disputes their final account from the Old Supplier;
    - (iv) New Supplier disputes the Switch Meter Reading on receipt of the first Meter Reading (including Customer Own Reads) received after SSD

- (v) Consumer disputes their opening account from the New Supplier
- (vi) New Supplier is prevented from loading an actual or agreed Meter Reading taken for the purposes of Switch due to the previous Meter Reading history.

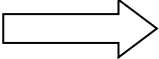
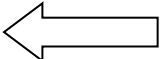
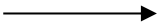
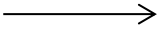
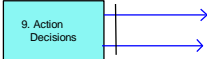
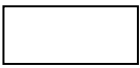
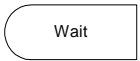
5.5 The process complies with all the obligations in the Uniform Network Code relevant to Switch Meter Readings.

5.6 The procedure is based on the following principles:

- (a) least inconvenience to the Consumer and minimising Consumer complaint; and
- (b) production of a timely and accurate final account by the Old Supplier.

#### Diagram Object Definitions

5.7 The following objects are used in the process diagrams:

Event		Something which happens to trigger a procedure to be executed;
Result		A tangible output from a procedure;
Mandatory Flow		An unconditional flow of control between two procedures, an event and a procedure, or a procedure and a result;
Optional Flow		A conditional flow of control between two procedures, an event and a procedure, or a procedure and a result;
Exclusivity		Only one of the optional flows crossed by the exclusivity symbol will be sent, depending on an internal condition in the procedure
Procedure		A discrete set of actions with at least one trigger, producing a result and/or transferring control to another procedure
Process Break		A break in the flow of processing requiring a trigger to restart

#### Status of the Procedure

5.8 The flow structure of the Shipper Agreed Read (SAR) Market Message is set out in the Data Specification.

#### Conditions precedent

5.9 The process of agreeing a Switch Meter Reading can be initiated where:

- (a) a Switch has occurred; and
- (b) no actual or estimated Meter Reading has been provided by the CDSP; and
- (c) twelve months have not passed since the SSD. Incidents greater than twelve months should be resolved by one to one agreements between Gas Suppliers.



5.10 A dispute over the Meter Reading used on a Switch; can only be raised when:

- (a) a Switch has occurred; and
- (b) the CDSP has generated an estimated Meter Reading to be used on Switch which is considered to be significantly inaccurate by any party; or
- (c) the Switch Meter Reading is considered to be significantly inaccurate by any party; and
- (d) Twelve months have not passed since the SSD for the disputed Switch Meter Reading. Disputes greater than twelve months should be resolved by one to one agreements between Gas Suppliers.

5.11 Gas Suppliers shall ensure appropriate validation and checks are carried out prior to submitting a Meter Reading.

**Escalation Procedure**

5.12 If, during this process, either Gas Supplier does not receive a timely response to a communication they shall follow the Escalation Process outlined in [Appendix 3] (Escalation Summary) of this Paragraph 5.

5.13 Gas Suppliers shall provide contacts for each of the respective responsibility levels.

**Dispute Resolution**

5.14 A dispute commences on receipt of the SAR flow, based on the date the Associated Supplier receives the initial flow. Gas Suppliers have 70 Working Days to resolve the dispute regardless of whether the 70 Working Days fall outside twelve months of SSD.

**Procedure**

**Phase One – Determine Requirement**

5.15 Agreement of Switch Meter Reading:

- (a) An Old Supplier may attempt to agree a Switch Meter Reading where no actual or estimated Switch Meter Reading has been received from the CDSP 15 Working Days after SSD, and shall take reasonable steps to initiate the process within 30 Working Days of SSD.
- (b) A New Supplier may attempt to agree a Switch Meter Reading where no actual or estimated Switch Meter Reading has been received from the CDSP 17 Working Days after SSD, and shall take reasonable steps to initiate the process within 30 Working Days of SSD.

5.16 Dispute of Switch Meter Reading:

- (a) A Gas Supplier may raise a dispute itself or at the request of a Consumer.
- (b) A Gas Supplier shall take reasonable steps to raise a dispute within 5 Working Days of recognising that the Switch Meter Reading shall be disputed pursuant to Paragraph 5.2.
- (c) Where the Consumer is disputing the Switch Meter Reading used on either or both of its final or initial accounts, the Gas Supplier(s) shall endeavour to reach an agreement with the Consumer without invoking this disputes process.

- (d) The Gas Supplier contacted by the Consumer, or wishing to raise a dispute itself, (in either case, the Initiating Supplier) shall consider the specific circumstances as detailed below:
  - (i) Where the difference between the Gas Supplier's view of consumption and that derived from the initial Switch Meter Reading is 1200 kWh or less, the Gas Supplier shall not dispute the Switch Meter Reading unless the Consumer specifically requests a new Switch Meter Reading but should attempt to resolve the dispute with an accommodation e.g. cash allowance to the Consumer, thus retaining the initial Meter Reading used for the Switch Meter Reading. No further action is then required.
  - (ii) Where the Consumer is unwilling to accept an accommodation, or the difference between the Gas Supplier's view of consumption and that derived from the Switch Meter Reading is more than 1200 kWh, then the Initiating Gas Supplier should initiate a dispute.

#### Phase Two – Initiate Process

- 5.17 The Initiating Supplier shall send an Initial Request to the Associated Supplier as determined by Phase 1, in order to:
  - (a) agree a Switch Meter Reading where no actual or estimated Switch Meter Reading has been received from the CDSP; or
  - (b) agree an alternative Switch Meter Reading if the Switch Meter Reading provided should be disputed.
- 5.18 The Initiating Supplier shall send the Initial Request to the Associated Supplier. The flow shall optionally include those Meter Readings to be agreed or disputed and provide a proposed Switch Meter Reading for each absent or disputed Meter Reading. The identity of the Associated Supplier may be determined from the Transfer of Ownership File or from information provided by the Consumer, or from the CDSP via their Gas Shipper. However, the Consumer is not obliged to provide information pertaining to the identity of either their New Supplier or Old Supplier.

#### Phase Three – Contact between involved parties to agree Switch Meter Reading

- 5.19 If, during either the Switch Meter Reading or the Resolution of Disputed Switch Meter Readings process, either Gas Supplier does not receive a timely response to a communication they shall follow the Escalation Process outlined in Appendix 3 (Escalation Summary) of this Paragraph 5.
- 5.20 The Associated Supplier shall use reasonable endeavours to respond to the Initial Request within 5 Working Days of receipt. If a response is not received to the Initial Request the Initiating Supplier shall escalate the problem to the 1st point of escalation as defined in Appendix 3 (Escalation Summary) of this Paragraph 5.
- 5.21 If a response is still not received 10 Working Days after the Initial Request the Initiating Supplier shall escalate the problem to the 2nd point of escalation as defined in Appendix 3 (Escalation Summary) of this Paragraph 5.
- 5.22 If a response is still not received 15\* Working Days after the Initial Request the Initiating Supplier shall escalate the problem to the final point of escalation as defined in Appendix 3 (Escalation Summary) of this Paragraph 5. \* Note: Where the New Supplier is obtaining an

Actual Reading or a Meter Asset Manager query has been raised, resolution of the original SAR request may take longer than 15 Working Days to resolve.

- 5.23 When responding to the Initial Request, the Associated Supplier shall consider the specific circumstances as detailed below:
- (a) Where the difference between the Associated Supplier's view of consumption and that derived from the Initiating Suppliers proposed Switch Meter Reading is 1200 kWh or less, the Associated Supplier shall attempt to resolve the dispute by accepting the proposed Meter Reading unless they specifically hold a Customer Own Read or Actual Reading taken during the Meter Reading Window. No further action is then required.
  - (b) Where the Associated Supplier holds a valid Customer Own Read or Actual Reading, or the difference between the Associated Supplier's view of consumption and that derived from the Initiating Suppliers proposed Meter Reading is more than 1200 kWh then the Associated Supplier shall respond with an alternative Switch Meter Reading.
- 5.24 Where the two Gas Suppliers are able to agree a Switch Meter Reading, the Initiating Supplier shall go to Phase 4 of this procedure.
- 5.25 If the Associated Supplier does not agree with the proposed Switch Meter Reading, it may propose an alternative. If the Initiating Supplier does not agree with this subsequent proposal, it shall contact the Associated Supplier by telephone to agree a Switch Meter Reading or determine that another Meter Reading needs to be obtained (as per Appendix 1 (step 3 and 4) of this Paragraph 5). This will avoid flows being passed back and forwards without resolution. To facilitate the resolution of telephone agreed Switch Meter Readings, Gas Suppliers must offer an effective telephone enquiry service to other Gas Suppliers between the hours of 9am to 12pm and 1pm to 5pm, UK time, on all Working Days. This is a minimum service provision, and does not prevent Gas Suppliers from offering a telephone enquiry service at other times as well.
- 5.26 Where the Initiating Supplier, Associated Supplier and Consumer cannot agree a mutually acceptable Meter Reading for the Switch Meter Reading, or no alternative Switch Meter Reading is available, the New Supplier shall ask the Consumer to provide a Customer Own Reading (if not already done so) or instruct their Meter Reading Agent to obtain an Actual Reading.
- 5.27 The request to the Meter Reading Agent shall contain explicit instructions detailing that the Meter Reading is required to settle a Switch Meter Reading dispute.
- 5.28 It is recommended that the New Supplier makes an appointment for the Meter Reading Agent with the Consumer and these appointment details shall be included in the request, unless the New Supplier and the Meter Reading Agent have made alternative contractual arrangements. The New Supplier shall use reasonable endeavours to ensure that the Meter Reading Agent obtains and returns a Meter Reading within 10 Working Days of request.

#### Phase Four – Submission of Agreed Switch Meter Reading

- 5.29 The New Supplier (regardless of which Gas Supplier initiated the process) will send the agreed Switch Meter Reading to the CDSP, via their Gas Shipper, via the U01 (Unbundled Meter Reading (\*UMR) flow defined in the UK Link Manual.
- 5.30 If the CDSP is satisfied that the Meter Reading is correct, they shall enter the Meter Reading into their systems.

- 5.31 Where the Meter Reading fails validation and the CDSP is not satisfied that the Meter Reading is correct the CDSP shall inform the New Supplier, via their Gas Shipper, in order that the New Supplier can review the Meter Reading. The New Supplier can attempt to agree another Meter Reading with the Old Supplier and Consumer and submit it to the CDSP via their Gas Shipper, as described in Phase 3. Where the Gas Suppliers and Consumer cannot agree, the New Supplier will need to obtain an Actual Reading. The New Supplier shall request a site visit to obtain an Actual Reading. The request must detail that the Meter Reading is required to settle a Switch Meter Reading dispute.
- 5.32 Once obtained, the Actual Reading can be used by the Gas Suppliers to agree a Switch Meter Reading between Gas Suppliers and Consumer.
- 5.33 In the event that the Gas Suppliers and Consumer are satisfied with the SAR but the CDSP remains unsatisfied, the Gas Suppliers will use the agreed Meter Reading regardless and the CDSP does not need to enter the Meter Reading into their systems.

#### Phase Five – Entry of Agreed Meter Reading to CDSP System

- 5.34 If the CDSP is satisfied that the Meter Reading provided is correct they shall enter the replacement Switch Meter Reading into the Gas Transporter Database.

#### Phase Six – Closure

- 5.35 It is expected that Gas Suppliers will normally enter the agreed Switch Meter Reading to their billing systems to reconcile Consumers' accounts.
- 5.36 The process will not be closed until the following criteria have been met:
- (a) both the New Supplier and Old Supplier have 'opened' and 'finalised' the Consumer's account details on the same Switch Meter Reading (or agreed otherwise); and
  - (b) where appropriate, the Consumer has received amended opening and/or final accounts.
- 5.37 If the Switch Meter Reading was disputed, where the Old Supplier presents the Consumer with an amended final account based on the agreed replacement Switch Meter Reading, it is recommended that the Old Supplier provides an explanation of how the Switch Meter Reading has been determined to avoid the Consumer querying the Meter Reading again.

#### Replacement of Meter Readings to Allow Acceptance of SAR

- 5.38 Where the CDSP notifies the New Supplier that a replacement Switch Meter Reading is prevented from loading in the Gas Transporter Database due to Meter Reading validation (including where the previous Meter Reading(s) prevents this replacement Meter Reading loading) replacement of such erroneous Meter Readings (to enable the acceptance of an agreed replacement Switch Meter Reading by the CDSP) should be resolved by bilateral agreement between Gas Suppliers.
- 5.39 Gas Suppliers shall provide the Code Manager with a nominated contact point for resolving issues in accordance with Paragraph 5.38.

#### Communication

- 5.40 All Market Messages, initiations and responses sent between Gas Suppliers under this procedure shall, be structured and communicated in accordance with the Data Specification.

- 5.41 The transfer mechanism for the exchange of the SAR flow is the Data Transfer Network (DTN). For DTN encoding rules, principle of transfer relationship, validation and file naming structure refer to the User File Design Specification.

## APPENDIX 1 - PROCESS DIAGRAMS

All the following terms are as defined in the Data Specification.

### Communication Process

The transfer mechanism for the exchange of the SAR flow is the DTN. The process diagrams, set out below, describe the communication processes that are expected to be used within Phase 3 to seek agreement to a replacement/new **Switch** Meter Reading and are included for guidance.

Negotiation and agreement of the replacement/new **Switch** Meter Reading is achieved by means of the 'Proposed Read' field and 'Status/Response' field (SAR). Although a status code may be syntactically correct, there must also be a logical progression throughout the communications between Gas Suppliers.

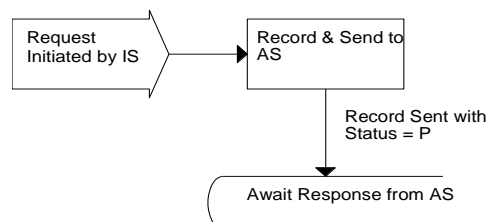
### **Status Code P – Proposed (see also Status Code P – Rejected)**

This code can be used by the Initiating Gas Supplier in the Initial Request for the following scenarios:

- Where there is no actual or estimated **Switch** Meter Reading available. In this circumstance, the 'Proposed Read' field must be populated with a value of 0 (a single zero).
- Where a dispute over the initial **Switch** Meter Reading has just been raised, and the Initiating Supplier wishes for the Meter Reading in the 'Proposed Read' field to replace the **Switch** Meter Reading they have been sent by the CDSP, shown in the 'Read' field.

Once the Initial Request has been sent to the Associated Supplier, the Initiating Supplier will await a response. (See figure 1)

Figure 1 – Initiation of a Proposed Read



Once initiated the Associated Supplier will receive this proposal and make a decision on how they will respond based on the value in the 'Proposed Read' field.

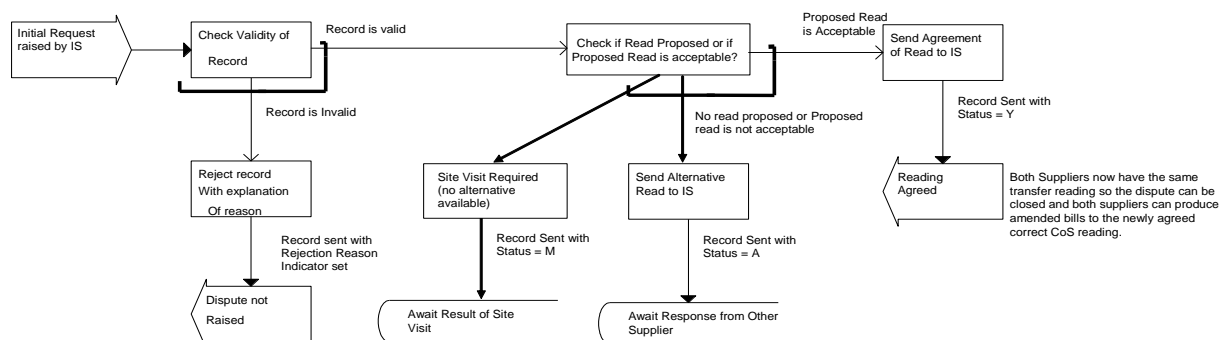
The Associated Supplier has five possibilities these are:

- **Negotiate:** the Associated Supplier feels they have a more suitable **Switch** Meter Reading (see Status Code A – Alternative)
- **Accept:** the Associated Supplier agrees with the 'Proposed Read' (see Status Code Y – Agreed). Please note that this code shall not be used when the Initiating Supplier has populated the 'Proposed Read' field with a value of 0 (a single 0) as this indicates that there is no actual or estimated **Switch** Meter Reading available.
- **Request Read:** the 'Proposed Read' is invalid and an Actual Reading should be obtained (see Status Code M)

- **Reject:** the details contained within the record are incomplete or invalid (see Status Code P (Rejected)) and 'Rejection Reason Indicator' field is also updated with the relevant rejection code.
- **Raise Meter Asset Manager Query:** the New Supplier can only use this where there is a mismatch between the details held by the New Supplier and Old Supplier and the CDSP or Meter Asset Manager. The New Supplier will request the Meter Asset Manager to validate the site details across the period relevant to the disputed **Switch** Meter Reading to ensure all parties have consistent records. (see Status Code C)

The Associated Supplier must provide one of these 5 responses for every new or replacement **Switch** Meter Reading included in an Initial Request received from the Initiating Supplier (see figure 2). Without a response the Initiating Supplier cannot take any further action, and will count any disputed **Switch** Meter Readings as outstanding with the Associated Supplier in their statistical reporting to the Authority. Further delays could result in the Associated Supplier receiving follow up messages from the Initiating Supplier.

Figure 2 – Responding to a Proposed Read



### Status Code A – Alternative

This code can be used by the Associated Supplier in the response to the Initial Request. It indicates that the Associated Supplier considers that the Meter Reading they have provided in the 'Proposed Read' field is a more suitable new or replacement **Switch** Meter Reading than the Meter Reading that the Initiating Supplier suggested in the Initial Request (which will now be shown as the 'Transporter Read').

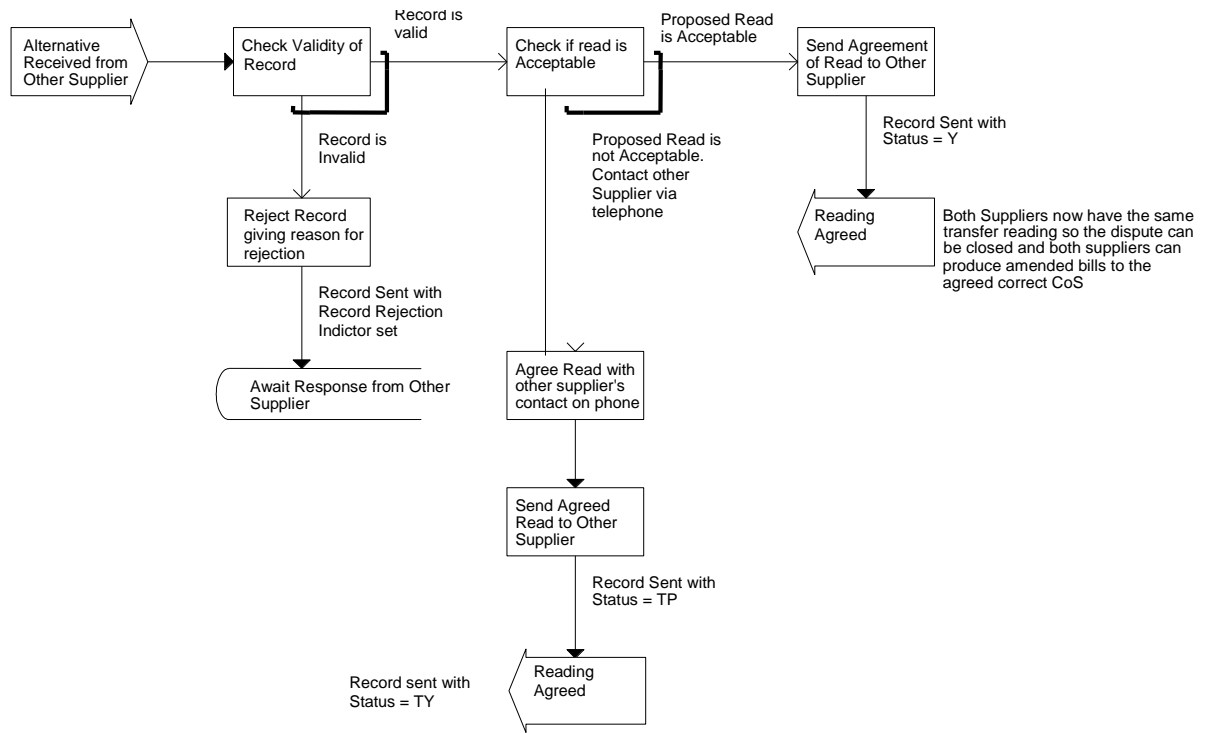
On receipt of this code the Initiating Supplier has 3 options:

**Negotiate:** The Initiating Supplier must contact the Associated Supplier by telephone to resolve the dispute (see Status Code TP – Telephone Proposed and Status Code TY – Telephone Agreed)

**Accept:** the Initiating Supplier agrees with the 'Proposed Read' (see Status Code Y – Agreed)

**Request Read:** the 'Proposed Read' is invalid and an Actual Reading should be obtained (see Status Code M)

Figure 3 – Responding to an alternative Meter Reading



### Status Code TP – Telephone Proposed and Status Code TY – Telephone Agreed

Where telephone communication is necessary, the Initiating Supplier will contact the Associated Supplier by phone to verbally agree a replacement Switch Meter Reading. The Meter Reading is then sent on the SAR flow, by the Initiating Supplier, using a Status/Response value of “TP” (Telephone Proposed). (See figure 3) In all instances where the Associated Supplier agrees that Meter Reading, the Associated Supplier returns the SAR flow using a Status/Response value of “TY” (Telephone Agreed). (See figure 4)

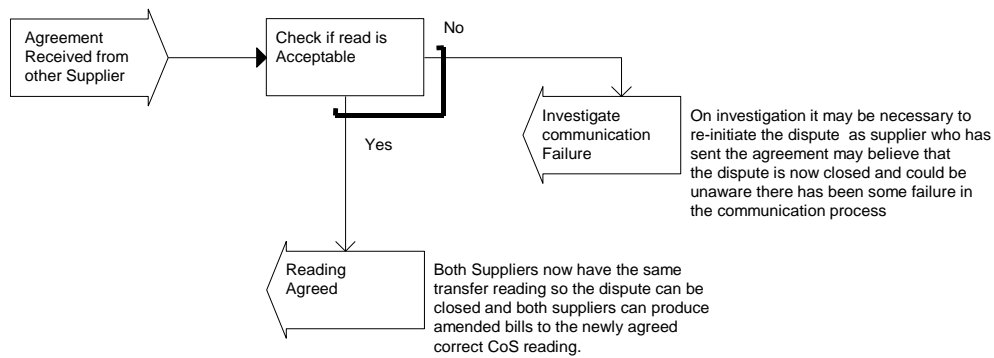
The Associated Supplier may reject the ‘TY’ Meter Reading if the ‘TP’ Meter Reading received is different from that what was agreed via the telephone.

### Status Code Y – Agreed

These codes can be used in the second and any subsequent communication by either the Initiating Supplier or the Associated Supplier. They indicate that the Supplier accepts the new or replacement Switch Meter Reading provided by the other Supplier Status code TY should only be used in response to a status code of TP. In all other instances status code Y should be used. (See figure 4).

Figure 4 – Validation and closure of agreed Switch Meter Reading





**IMPORTANT:** Before closing the dispute the Gas Supplier should ensure that the Meter Reading to which the other Gas Supplier has agreed, is the Meter Reading to which agreement was requested in the previous communication. Without this validation, there may be cases where Gas Suppliers close to different Meter Readings causing problems with billing / metering, confusion to Consumers and damage to the reputation of the Switch process. If the Meter Reading that has been agreed is not the Meter Reading to which agreement was requested in the last communication then, there must be an investigation into the security and robustness of communications between both Gas Suppliers.

**Status Code M – Meter Reading proposed is unacceptable. New Supplier is obtaining a further Meter Reading.**

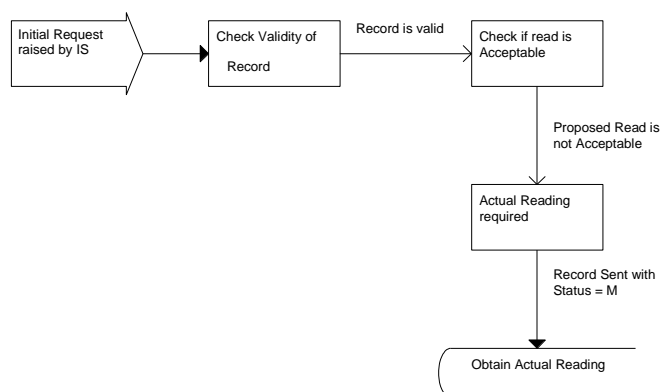
This code can be used in the second and any subsequent communication by either the Initiating Supplier or the Associated Supplier. It shall only be used where the Initiating Supplier, Associated Supplier and Consumer either cannot agree a mutually acceptable Meter Reading or where no alternative Meter Reading is available yet a party believes the 'Proposed Read' to be incorrect.

If sent by the New Supplier, the code indicates that the New Supplier is obtaining an Actual Reading and requires 20 Working Days extension before the Old Supplier sends a follow up.

If sent by the Old Supplier, the code indicates that the New Supplier should obtain an Actual Reading and again, a 20 Working Day extension will apply.

Once the New Supplier has obtained an Actual Reading, they shall contact the Old Supplier by telephone to verbally agree the Switch Meter Reading (see Status Code TP – Telephone Proposed and Status Code TY – Telephone Agreed).

Figure 5 – Proposed Read rejected, Actual Reading required.



**Status Code P – Rejected**

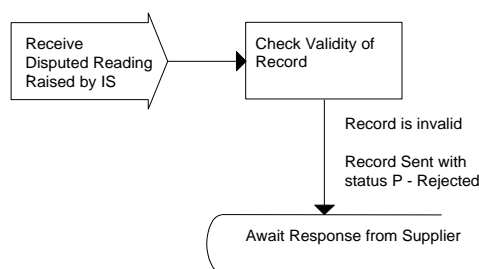
This code can be used in the second and any subsequent communication by either the Initiating Supplier or the Associated Supplier. It indicates that details contained within the record are incomplete or invalid and that these must be resolved before the record can be processed successfully. The Gas Supplier should return the record unchanged apart from the 'Rejection Reason' indicator, which should be populated with the relevant rejection indicating what the problem is. A list of valid rejection codes is contained in the Data Specification.

When rejecting using code 01 – unspecified error, the 'Additional Comments' field should always be populated. When rejecting using other rejection codes, the 'Additional Information' field should be populated as required.

Please note that a rejection should only occur where the data contained within the record is incomplete or invalid in accordance with the Data Specification. It is not appropriate for Gas Suppliers to reject a record on the basis that they don't agree with the 'Proposed Read'. Where a Gas Supplier doesn't agree with a Meter Reading they should refer to the process detailed in Section 3 rather than rejecting the record. For example, failure to provide "backup reads" is not an appropriate rejection reason.

Where the Initiating Supplier has raised an initial request as a result of a missing Meter Reading, the Associated Supplier may reject this if they have received a **Switch** Meter Reading from the CDSP. The **Switch** Meter Reading should be included in the 'Comments' field of the SAR response to the Initiating Supplier.

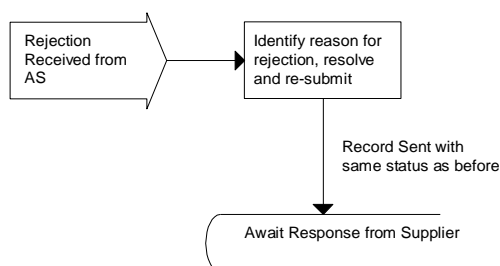
Figure 6 – handling record rejections



## Handling Record Rejections

On receipt of a rejection the Gas Supplier shall identify the cause of the problem, resolve, and resubmit the record with its original status code and information intact (where this was not the cause of the rejection) (see figure 7)

Figure 7 – Rejecting records



### **Status Code C – MAM Query Raised by New Supplier**

This is only to be used by the New Supplier when they are the Associated Supplier. The record initially sent contains inconsistent site details and there is doubt over the validity of the site details provided to the New Supplier by the CDSP or Meter Asset Manager when the New Supplier registered the site. The New Supplier has therefore questioned the validity of the site details with the Meter Asset Manager. The New Supplier requires 20 Working Days extension before the Initiating Supplier sends a follow up.

Once the New Supplier has resolved the query, they should contact the Old Supplier by telephone to verbally agree the **Switch** Meter Reading (see Status Code TP – Telephone Proposed and Status Code TY – Telephone Agreed).

## APPENDIX 2 RECOMMENDED PHASE TIMINGS

Action	Phase	Timing
Send Initial Request	Phases 1(i) & 2 – Determine Requirement and Raise	From 15 Working Days of SSD and with reasonable endeavours within 30 Working Days of SSD.
	Phases 1(ii) & 2 – Determine Requirement and Raise	Within 5 Working Days of determining requirement.
Respond to Initial Request	Phase 3 - Contact between involved parties to agree replacement Switch Meter Reading	Associated Supplier to respond within 5 Working Days of Initial Request.
Dealing with the Associated Suppliers Response	Phase 3 - Contact between involved parties to agree replacement Switch Meter Reading	Where appropriate, Initiating Supplier to respond within 5 Working Days
Obtain and return actual reading	Phase 3 - Contact between involved parties to agree replacement Switch Meter Reading	Within 10 Working Days of request
Amending initial Switch Meter Reading	Phase 4 - Amending the initial Switch Meter Reading	ASAP
Obtain and return actual reading	Phase 4 - Amending the initial Switch Meter Reading	Within 10 Working Days of request
Replacement Meter Reading by CDSP	Phase 5 - Withdrawing the initial Switch Meter Reading and replace with the agreed replacement Switch Meter Reading. Replacement of erroneous Meter Reading(s) preventing the loading of the agreed replacement Switch Meter Reading and notification to the New Supplier	Within 5 Working Days of receipt of valid Meter Reading  Bilateral agreement between Gas Suppliers
Closure	Phase 6	Within 5 Working Days

### APPENDIX 3 ESCALATION SUMMARY

The table below summarises the escalation procedure that shall be taken when resolving any issues with missing and disputed Switch Meter Readings. All timings referred to in this table are in Working Days. The escalation procedure shall be followed by both the Initiating Supplier and Associated Supplier in the event that a response is not received within the timescales detailed below.

Process	Timescale (Working Days)	Responsibility Level of Contact(s)
Raise Request	Day 0	Operational Staff
First escalation	Day +5	Supervisor/Manager of Operational Staff
Second escalation	Day +10	Senior Manager responsible for SAR process
Final escalation	Day +15	Contract Manager

\* Contract Manager shall ensure a response to the final follow up escalation is sent within 10 Working Days of receipt of final follow up.

#### Example 1:

Initiation is sent at Day 0

No response is received by Day + 5

Initiating Supplier would escalate at Day + 5 to the Supervisor/Manager of Operational Staff as they have received no response from the Associated Supplier

If no response received by Day + 10 then the Initiating Supplier would escalate to the Senior Manager responsible for SAR process

No response by Day + 15 then the Initiating Supplier would escalate to the Contract Manager

#### Example 2:

Initiation is sent at Day 0

The Associated Supplier responds with an alternative Switch Meter Reading at Day + 5

The Associated Supplier does not receive a response to their alternative Switch Meter Reading

Associated Supplier escalates at Day + 10 (D5+5) by escalating to the Supervisor/Manager of Operational Staff as they have received no response from the Initiating Supplier

If no response received by Day + 15 (D5+10) then the Associated Supplier would escalate to the Senior Manager responsible for SAR process

No response by Day + 20 (D5+15), Associated Supplier would escalate to the Contract Manager

**Example 3:**

Initiation is sent at Day 0

The Associated Supplier responds with an alternative Meter Reading at Day + 4

The Initiating Supplier contacts the Associated Supplier by telephone and a Switch Meter Reading is agreed.

The Initiating Supplier sends a Telephone Proposed Reading at Day + 13

The Initiating Supplier does not receive a response to their Telephone Proposed Reading

Initiating Supplier escalates at Day +18 (D13+5) by escalating to the Supervisor/Manager of Operational Staff as they have received no response from the Associated Supplier

If no response received by Day + 23 (D13+10) then the Associated Supplier would escalate to the Senior Manager responsible for SAR process.

No response by Day + 28 (D13+15), Associated Supplier would escalate to the Contract Manager.

A full list of Gas Supplier nominated escalation contacts can be found on the REC Portal.

**Escalation Summary**

It is anticipated that first and second escalations will be made by phone or email. Final follow ups should be made by email.

Emailed escalations should be sent as a standard format, using the template below. The subject header should state:

“URGENT - Response to missing Meter Readings or disputed Meter Readings on Switch (SAR) overdue – LLLL escalation – NNNN OOOO”

Where LLLL is the escalation level (First/Second/Final), NNN is the New Supplier Short Code and OOO is the Old Supplier Short Code. For example, the Subject would state:

MPRN	New Supplier Supply Start Date (SSD)	Initial SAR sent (ddmmyyyy)	Additional Comments

## **6 Notification of Old Supplier Information (NOSI)**

### **Purpose**

- 6.1 The Network Codes outline the circumstances in which a New Supplier, via their Gas Shipper, becomes registered to a Supply Point. The New Supplier will then begin to appoint Metering Agents and will start to build the billing record for that Consumer. This billing record will be based upon data received from the Consumer, CDSP and the Metering Agents.
- 6.2 The billing record of the Old Supplier will also have been based upon information held by the CDSP and Metering Agents, though during the time that the Consumer was registered with the Old Supplier, the views of the Old Supplier, Metering Agents and the CDSP may have drifted out of alignment.
- 6.3 Work carried out by the 'Customer Transfer Programme' has identified that a number of Consumer complaints are as a result of discrepancies between the information that the New Supplier and the Old Supplier use to bill the Consumer.
- 6.4 This procedure describes the introduction of a mandated Old Supplier to New Supplier flow (Notification of Old Supplier Information) which will:
  - (a) primarily enable the New Supplier to identify discrepancies between CDSP and Old Supplier views and to therefore proactively manage these to improve the Consumer experience;
  - (b) allow the New Supplier to build a billing record where data is not received in a timely manner from the CDSP; and
  - (c) provide a Meter Reading to the New Supplier so that, if an Actual Reading cannot be obtained, an estimated Meter Reading can be sent to the CDSP (subject to the information being available).

### **Scope**

- 6.5 The scope of the procedure set out in this Paragraph 6 is limited to Switch events occurring for Domestic Premises in the gas market in England, Wales and Scotland.

### **Status of the Procedure**

- 6.6 The procedure shall be used in conjunction with the Notification of Old Supplier Information (NOSI) file format set out in the Data Specification.

### **Conditions Precedent**

- 6.7 A NOSI flow shall only be sent where the Old Supplier:
  - (a) believes that the Supply Point is for a Domestic Premises; and
  - (b) has had confirmation from the CDSP that they are losing the site; and

(c) has the identity of the New Supplier.

#### Procedure

##### Old Supplier to Send Flow

- 6.8 The Old Supplier will send a NOSI flow to the New Supplier, containing the data items identified in the Data Specification and used in the Old Supplier's billing processes. Due to the time critical nature of the value of the information contained within the flow the Old Supplier must send the flow by D+1 Working Day (WD).

##### New Supplier Non Receipt of Flow

- 6.9 If on or after D+3 the New Supplier has not received the flow, the New Supplier may choose to contact the Old Supplier in all cases where the site fits the Gas Suppliers Licence definition of "Domestic Premises" and the above conditions precedent are met.

##### New Supplier Receives Flow

- 6.10 Due to the time critical nature of the value of the information contained within the flow, there are no defined acknowledgement or rejection processes.
- 6.11 However, if the flow received is invalid, the New Supplier may choose to contact the Old Supplier in all cases where the site fits the Licence Condition definition of "Domestic Premises" and the Conditions Precedent are met.

##### Meter Reading

- 6.12 [Where the meter reading to be provided is taken from a SMETS2+ Metering System, the reading shall contain five digits. Therefore, where data item A0085 = S2, set A0121 = 5 in MDD Meter Product Table. Guidance where such meter readings are not equal to five register digits is provided as Appendix 1 to REC Schedule 18 (Market Domain Data).]<sup>3</sup>

##### Communication

- 6.13 All Market Messages, initiations and responses sent between Gas Suppliers under this procedure shall, be structured and communicated in accordance with the Data Specification.
- 6.14 The transfer mechanism for the exchange of the NOSI flow is the Data Transfer Network (DTN). For DTN encoding rules, principle of transfer relationship, validation and file naming structure refer to the User File Design Specification.

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<sup>3</sup> To consider including this in the Data Specification.



## **7 Supplier submission of and early reading (POS) or old supplier estimated reading (OSER) during supply point registration**

### **Purpose**

- 7.1 During the Switch process, the New Supplier is required to provide a Meter Reading within a defined window via their Gas Shipper to the CDSP in accordance with Network Code requirements. Where the CDSP accepts that read, this results in the CDSP sending both the Old and New Supplier notification of the read to use for Switch billing. If the New Supplier is unable to obtain and provide an actual Meter Reading or the CDSP rejects the Meter Reading provided, then the CDSP may issue an estimated Switch Meter Reading.
- 7.2 Work carried out by the 'Customer Transfer Programme' industry project has identified an increased number of opportunities for Gas Suppliers to obtain Meter Readings during the Switch Process. This procedure describes the process that a New Supplier can follow if it has not been successful in obtaining an actual Meter Reading within the Meter Reading Window.

### **Scope**

- 7.3 The scope of the procedure set out in this Paragraph 7 is limited to Switch events occurring for Domestic Premises in England, Wales and Scotland.

### **Conditions Precedent**

- 7.4 This procedure shall only be invoked where:
- (a) a Switch has occurred;
  - (b) an actual Meter Reading has not been obtained within the Meter Reading Window;
  - (c) at least 5, but no more than 7, Working Days have passed since the Date of Transfer (SSD); and
  - (d) where using a POS read:
    - (i) the CDSP produces estimated Switch Meter Readings; and
    - (ii) the site is a Smaller Supply Point.

### **Guidance for Submission of Reads to the CDSP**

- 7.5 Gas Suppliers shall submit a Meter Reading based upon the following rules of precedence:
- (a) a Customer Own Read obtained prior to SSD (when this reading is outside the  $\pm 5$  days Meter Reading Window). This reading shall be identified as an "Early Reading (POS)" and captured as a "Customer Read".

- (b) an Old Supplier Estimated Switch Meter Reading (as provided in the “Notification of Old Supplier Information” Flow). This reading shall be identified as an “Opening Meter Reading” and captured as an “Estimate”.

## **8 Resolution Of Duplicate Supply Meter Points (RDM) For The Same Gas Supply**

### **Background**

- 8.1 It has been identified that there are several scenarios that can lead to the creation of a duplicate Supply Meter Point and ultimately the dual billing of the end user.
- 8.2 Although these scenarios have been evident for some time, it is now necessary to ensure a uniformed approach is taken to the resolution of these erroneous Supply Meter Points by Gas Suppliers to minimise the occurrence of multiple billing.

### **Purpose**

- 8.3 The purpose of the procedure set out in this Paragraph 8 is to formalise the process for dealing with situations where duplicate Supply Meter Points have been created for a single supply. In particular when this results in a Consumer being invoiced by more than one Gas Supplier.
- 8.4 This procedure will oblige Gas Suppliers to adhere to these processes which will ensure the duplicate situation is efficiently resolved for the Consumer involved.

### **Scope**

- 8.5 The scope of the procedure is limited to duplicate erroneous Supply Meter Points occurring for Domestic Premises in England, Scotland and Wales and covers the following situation: a Gas Supplier suspects a duplicate Supply Meter Point exists for an address in their supply, either by internal process or Consumer enquiry.
- 8.6 The procedure may also be applied to the non-domestic market at Gas Suppliers’ discretion.
- 8.7 Only the most commonly occurring scenarios have been documented.
- 8.8 The Gas Suppliers will follow the same process (as closely as practicable) if more than two Gas Suppliers are involved.

### **Procedure**

#### **8.9 Overview**

- (a) Gas Supplier/ Consumer suspects duplicate Supply Meter Point and the Gas Supplier investigates.
- (b) Affected Parties are informed and the Resolution of Duplicate Supply Meter Points (“RDM”) procedure is followed to determine which Gas Supplier has the valid Supply

Meter Point and is entitled to charge the Consumer for gas consumed by the Consumer at the property (the “Valid Supplier”).

- (c) Gas Supplier who is not the Valid Supplier (the “Duplicate Supplier”) will raise a Duplicate Query (“DUP query”) to remove Supply Meter Point and recover necessary costs (where possible).

#### **Gas Supplier suspects duplicate Supply Meter Point and investigates**

- 8.10 Where a Consumer believes that they are being billed by multiple Gas Suppliers for the same Premises, they may contact either Gas Supplier involved.
- 8.11 The contacted Gas Supplier will then start an investigation to determine if the Supply Meter Points being supplied are indeed duplicate Supply Meter Points of the same gas supply. This Gas Supplier may also initiate an investigation on their own behalf where daily activities highlight a potential duplicate.
- 8.12 The Consumer will need to be kept informed at all stages.

#### **Erroneous duplicate – distinct supplies confirmed.**

- 8.13 If following investigation, the Supply Meter Points are not deemed to be duplicate Supply Meter Points and are two separate properties or supplies, a data correction will need to be made in order to avoid future recurrences. These amendments shall follow standard criteria:
  - (a) Supply Meter Points should hold distinct address and asset data that clearly identifies them as separate supplies (in the event of multiple supplies, at a single dwelling, the asset data will be the distinct separator).
  - (b) Address data should be Post Code Address File (PAF) registered.
- 8.14 Crossed Meter issues shall be dealt with accordingly. These will likely involve Erroneous Transfers (ET) where the procedure in Paragraph 3 shall be followed.
- 8.15 Recognised industry explanations for duplicate Supply Meter Points held within DES
  - (a) Supply Meter Points with a status of dead
  - (b) New services
  - (c) Small Transporters Network
  - (d) Liquid Petroleum Gas (LPG) development
  - (e) Address errors (specifically plot to postal addresses)
  - (f) Consumer owned secondary meters (Not directly connected to a network)
  - (g) Unrecognised errors

- 8.16 Paragraph 8.20 onwards details the checks necessary to determine the Valid Supplier.

Affected Parties are informed and the RDM procedure is followed to determine the Gas Supplier with the valid contract.

- 8.17 The Initiating Supplier shall make contact with the Associated Supplier, via the Secure Data Exchange Portal, to inform the Associated Supplier that the RDM procedure is being followed. This contact must confirm when the RDM process commenced. Within 10 Working Days from the date of the initial contact, the Gas Suppliers shall have completed the processes set out in Paragraphs 8.20 to 8.43; and, where appropriate, the Duplicate Supplier will have raised a DUP query in accordance with Paragraph 8.67.

- 8.18 Details of the Supply Meter Point concerned and any suspected issues shall be shared via the Secure Data Exchange Portal. The Associated Supplier shall assist where possible in the investigations, providing all available information on the site, asset and Consumer in accordance with Data Protection Legislation.

- 8.19 The Associated Supplier shall make clear if a Consumer is being billed under the Supply Meter Point they hold and if these bills are being paid.

#### Checks to be made

- 8.20 The following checks will determine if there is a duplicate Supply Meter Point based on the explanations shown in Paragraph 8.15.

- 8.21 The Initiating Supplier shall carry out the following checks:

- (a) confirm the Consumers preferred Gas Supplier and if they have any contracts in place, specifically those with penalty clauses attached;
- (b) any Meter exchange information;
- (c) asset details;
- (d) MAM/MAP, identified from the Meter label;
- (e) location of the gas Meter;
- (f) current Actual Meter Reading;
- (g) has there been a new service installed or any changes to the service at the property; and
- (h) confirmation of the known address and any ambiguous mailing addresses.

- 8.22 The following additional Consumer checks shall (where relevant), be completed by the Initiating Supplier:

#### A. Supply Meter Points with a status of dead

- 8.23 Confirm the status of each Supply Meter Point on DES.

- 8.24 A status of dead may indicate historical activities by the network involving removal of supply.

**B. New Services (inc demolished/rebuilt or refurbished properties)**

- 8.25 Contact the Consumer and establish property history.
- 8.26 Confirm with the previous Gas Supplier (Address, Asset, Meter Readings, Consumer Name, Supply Meter Point Reference Number).
- 8.27 Confirm with the CDSP how the Supply Meter Point was loaded onto DES.
- 8.28 Check council tax websites ([http://www.voa.gov.uk/council\\_tax/](http://www.voa.gov.uk/council_tax/)) (<http://www.saa.gov.uk/>) (<http://ratinglists.vao.gov.uk/>) for evidence of ended or suspended payments.
- 8.29 Check if the new service is on a Small Transporter network.

**C. Small Transporters Network**

- 8.30 Check the Small Transporter MPRN ranges on the iGT UNC website (<http://www.igtunc.co.uk/>).
- 8.31 Confirm directly with the Small Transporter using available websites and Gas Supplier contacts.
- 8.32 Check DES.

**D. LPG development**

- 8.33 Confirm if the site resides within LPG area. These developments can be confirmed by the CDSP.
- 8.34 Contact the Consumer to confirm the gas supplies to neighbouring properties.
- 8.35 Check details of Consumer billing.

**E. Address errors**

- 8.36 Confirm with the CDSP if any address amendments have been carried out.
- 8.37 Check PAF to see what address is held and if this matches either of the Supply Meter Points in question.
- 8.38 Refer to Consumer; confirm any known mailing addresses for the site.

**F. Consumer owned secondary meters**

- 8.39 The following collection of checks will assist in determining the presence of a secondary meter but shall not be relied on individually.
- 8.40 Contact the Consumer /carry out site visit (confirm the following):

- (a) is the Meter a crimson colour?
- (b) is there a regulator/governor in place?
- (c) is the year of manufacture later than 2002?
- (d) does the Meter Serial Number (MSN) follow recognised configuration rules?  
(Confirm with manufacturer if unsure.)

#### **Additional checks**

- 8.41 Does the MSN relate to any other property on DES?
- 8.42 Confirm address and asset details held by the MAM for both Supply Meter Points.
- 8.43 Carry out a site visit to confirm any uncertain details.

#### **Results of investigations/Action to be taken**

- 8.44 Once the sufficient consideration has been given, the suspected duplicate situation should be clear. In the event that two distinct supplies exist refer to Paragraph 8.13, otherwise, refer to Paragraph 8.46 to determine the Valid Supplier.
- 8.45 Normally, irrespective of the findings, in the event of a duplicate scenario the resolution of the duplicate Supply Meter Point must favour the Gas Supplier with the valid contract. This will have been confirmed by the Consumer at the earliest opportunity.

#### **Guidance action for recognised explanations**

- 8.46 Although some of the scenarios in this Paragraph 8 are not strictly duplicated Supply Meter Points, the frequency with which they occur warranted specifying the process for resolution.

#### **Supply Meter Points with a status of dead**

- 8.47 The Gas Supplier to the live Supply Meter Point is the Valid Supplier.
- 8.48 The dead Supply Meter Point must be withdrawn from the portfolio of the Duplicate Supplier.
- 8.49 The New Supply Meter Point has been created out of necessity and would normally reside with the Gas Supplier with the valid contract. See Appendix 2 of this Paragraph 8.
- 8.50 The Duplicate Supplier with the dead Supply Meter Point can use the Switch process to apply for the new Supply Meter Point if necessary.

#### **B. New services (Inc demolished/rebuilt or refurbished properties)**

- 8.51 If a property has had a new service installed as a result of a refurbishment, conversion or a demolition/rebuild and the original Supply Meter Point has been removed but is still

held as live and on supply with a Gas Supplier, then the Gas Supplier to the old Supply Meter Point must isolate and withdraw. See Appendix 2 of this Paragraph 8.

- 8.52 The CDSP does not class this as a duplicate as the Supply Meter Points relate to different supplies.
- 8.53 The Gas Supplier to the new Supply Meter Point is the Valid Supplier to the property. The Duplicate Supplier with the dead Supply Meter Point can use the Change of Supply Process to apply for the new Supply Meter Point if necessary.

#### Small Transporters Network

- 8.54 If it is discovered that the supply to the site is on a Small Transporter Network, the Gas Supplier with the Small Transporter Supply Meter Point shall be deemed to be the Valid Supplier.
- 8.55 The Supply Meter Point with the Small Transporter is the valid gas supply to the property.
- 8.56 No duplicate can be raised as the Small Transporter is a new supply. The Supply Meter Point held by the CDSP shall have been isolated and withdrawn when the original supply was removed. The Duplicate Supplier to the now obsolete Supply Meter Point must isolate and withdraw. See Appendix 2 of this Paragraph 8.
- 8.57 Supply Meter Point was created after the Small Transporter Supply Meter Point was established.
- 8.58 Once it has been established who the Gas Supplier to the valid Supply Meter Point is, the Duplicate Supplier shall then precede with its obligations in Paragraph 8.67. If this is not in the ownership of the Gas Supplier with the valid contract, then this Gas Supplier must register the correct Supply Meter Point.

#### LPG Development

- 8.59 If it is discovered that the supply to the site is an LPG supply, there is no Valid Supplier and the resolution cannot be dealt with as a DUP query. The Gas Supplier(s) to the now obsolete Supply Meter Point(s) must isolate and withdraw. See Appendix 2 of this Paragraph 8.

#### Address errors (specifically plot to postal addresses)

- 8.60 When locating the correct Supply Meter Point to confirm, Gas Suppliers may be misled by the plot address held within DES for new developments. This may result in:
  - (a) the erroneous creation of a new Supply Meter Point to facilitate the confirmation of supply; and
  - (b) the confirmation of the Supply Meter Point associated to the MSN provided by the Consumer (which may or may not be the correct MSN).

8.61 When the UIP or Gas Supplier involved in the new development updates the plot address details to the Post Office assigned address, the duplicate Supply Meter Point in the initial scenario is more apparent. However, this may not become evident until the Consumer is billed by both Gas Suppliers. On recognising this, the Initiating Gas Supplier shall start the RDM procedure. The Gas Supplier who has entered into a contract with the Consumer (with the Consumer's knowledge and agreement) for the supply of gas to the property is the Valid Supplier. The Duplicate Supplier will proceed with its obligations in Paragraph 8.67.

8.62 In order to resolve the latter issue, an ET will need to be actioned back to the new connection company.

8.63 In the event of any Crossed Meter issues, these will be dealt with accordingly.

#### Consumer Owned Secondary Meters

8.64 In the event that the duplicate Supply Meter Point involves a secondary Meter. The Gas Supplier to the primary Meter is the Valid Supplier. The Duplicate Supplier shall proceed with their obligations in Paragraph 8.67.

#### Unrecognised errors

8.65 **Incorrect Address details held on DES.** In the event that a duplicate Supply Meter Point has been created as a result of incorrect or incomplete address details on DES, the Valid Supplier is the Gas Supplier who has entered into a contract with the Consumer (with the Consumer's knowledge and agreement) for the supply of gas to the property. The Duplicate Supplier will proceed with its obligations in Paragraph 8.67.

8.66 **Duplicate Supply Meter Point created for unknown reason.** In the event that a duplicate Supply Meter Point has been created with no known reason, the Valid Supplier is the Gas Supplier who has entered into a contract with the Consumer (with the Consumer's knowledge and agreement) for the supply of gas to the property. The Duplicate Supplier will proceed with its obligations in Paragraph 8.67.

#### Gas Supplier without a valid contract raises DUP query to remove Supply Meter Point and recover necessary costs (where possible).

8.67 Once it has been established that duplicate Supply Meter Points exist for a property and an agreement has been reached as to which Gas Supplier does not hold a valid contract, the Gas Supplier without the valid contact will:

- (a) Within 15 Working Days of initial contact from the Initiating Supplier, confirm, in writing to the Valid Supplier that they are the Duplicate Supplier and as a result of the RDM procedure, will now arrange to withdraw. Or that investigation into the query is still being actioned.
- (b) If there is an on-going investigation, after a further 10 Working Days confirm to the Valid Supplier the status of the query. Once the DUP query has been investigated, the CDSP will advise the Gas Supplier via a configuration change request, to remove



any assets and withdraw from the supply. The CDSP will reconcile the Supply Meter Point based on the provided information and correct all appropriate invoices.

8.68 Once the DUP query has been actioned by the CDSP, the Supply Meter Point details on DES will be set to extinct.

8.69 If the configuration change request has been actioned within the specified timescales, the CDSP will process the data through the 'invoicing 95' system and create the invoice for the appropriate Gas Shipper. This will be provided on the monthly release of Backup Documentation File (BCD) invoices, identified within the file by the adjustment Description "DUP [Month] [Year]".

#### Escalation procedure

##### Failure to reach agreement between Gas Suppliers

8.70 If the Gas Suppliers fail to reach an agreement on who is the Valid Supplier to withdraw, the case will need to be passed to the Contract Manager to liaise with their counterpart.

##### Agreed response time

8.71 Unless investigations are still being carried out subject to Paragraph 8.67, 15 Working Days shall be allowed from the date (D) of the initial contact, for the Duplicate Supplier to raise the DUP query, and advise the Valid Supplier of this. The following table sets out the escalation process in the event the Duplicate Supplier fails to raise the DUP query within the appropriate time period:

Process	Timescale	Responsibility Level
Stage One escalation	D + 15 working days	Operational contact
Second follow up	D + 20 working days	Supervisor/work manager
Final follow up	D + 30 working days	Contract Manager

#### Secure Data Exchange Portal

8.72 All escalations relating to the above table shall be communicated via the Secure Data Exchange Portal.

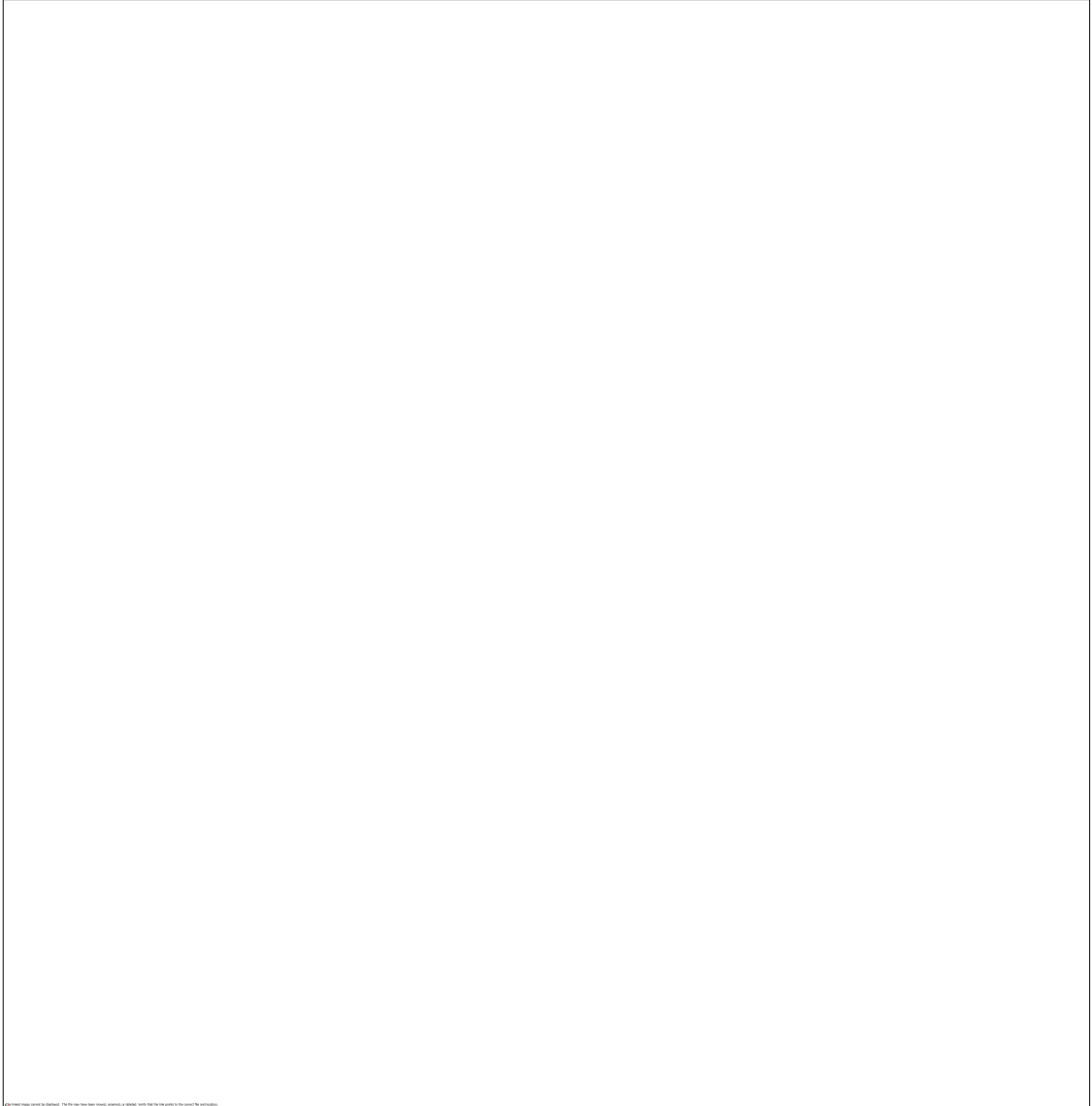
#### Consumer relationship

8.73 It is essential that both during the investigation and once the investigation has been concluded that the Consumer is kept informed of the relative timescales for resolution.

- (a) If a Consumer believes that they are being billed by more than one Gas Supplier, then they can contact any of the Gas Suppliers who are billing them. The contacted Gas Supplier will liaise with all other Gas Suppliers to resolve the matter.
- (b) An appropriately trained representative of the contacted Gas Supplier shall explain to the Consumer:
  - (i) What actions will be taken.

- (ii) When a resolution can reasonably be expected.
  - (iii) That they will continue to pay the preferred Gas Supplier for the energy consumed and where possible, how their billing arrangements with other Gas Suppliers will be treated.
  - (iv) How they will be kept informed of the progress towards resolution.
- (c) The Consumer will be advised within 10 Working Days of their initial contact, the progress of their query.
- (d) Both Gas Suppliers shall, where it is deemed appropriate, provide written confirmation to the Consumer once the query has been resolved. The query can only be classed as resolved, once the necessary updates with the CDSP have been made.

## APPENDIX 1 – Isolation and Withdrawal of Supply Meter Point<sup>4</sup>



## APPENDIX 2 - RDM Procedure<sup>5</sup>

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<sup>4</sup> Image to be updated.

<sup>5</sup> Image to be updated.



FIG. 1. (a) Schematic diagram of the experimental setup. The laser beam is focused on the sample by a lens. The scattered light is collected by a lens and detected by a photodetector. (b) Schematic diagram of the theoretical model. The laser beam is focused on the sample by a lens. The scattered light is collected by a lens and detected by a photodetector.

## **9 Resolution of Crossed Meters**

### **Background**

- 9.1 Where a Crossed Meter dispute is identified, it is important that Gas Suppliers are able to investigate and resolve all the premises affected. With market competition and the introduction of RGMA, the investigation and resolution can be complicated where there may be several premises involved with separate Gas Suppliers and Meter Asset Managers responsible for each site. The procedure in this Paragraph 9 provides a mechanism whereby Gas Suppliers and their agents can implement a uniform approach to dealing with Crossed Meter disputes.

### **Purpose**

- 9.2 The purpose of the procedure set out in this Paragraph 9 is to ensure that Gas Suppliers deal with Crossed Meter disputes in a uniform manner and that resolution is within indicative timescales.

### **Scope**

- 9.3 The scope of this procedure is limited to Crossed Meter events occurring in respect of Domestic Premises.

### **Overview**

- 9.4 Where a Crossed Meter is identified and two or more separate Gas Suppliers are involved, the Gas Suppliers shall resolve the situation by following the procedure detailed below.
- 9.5 Example circumstances which may indicate Crossed Meter scenarios:
- (a) Consumer says the Meter in their property has a different Meter Serial Number to the meter on their bill.
  - (b) The Consumer questions their consumption.
  - (c) The Meter Reading Agent reports that meters may be crossed.
  - (d) A third party informs of a possible Crossed Meter.
  - (e) The MAP may report that the Gas Supplier's records are wrong.

### **Procedure**

#### **Gas Supplier Contacts**

- 9.6 For the purposes of dealing with Crossed Meter disputes Gas Suppliers will provide telephone numbers and email addresses for their Crossed Supply Meter Points of contact in accordance with Clause 24 of the main body of this Code.
- 9.7 Gas Suppliers will ensure when changes occur that any new information is provided to enable the contact list to be updated within 5 Working Days.

#### **Process for resolving Crossed Meter disputes**

- 9.8 When a Gas Supplier discovers that it has been billing a Consumer to Meter Readings taken from another Consumer's Meter the Initiating Supplier shall:

- (a) Establish the identity of the Associated Supplier(s); and
  - (b) Take steps endeavours to contact the Associated Supplier within two Working Days (or three Working Days if more than two Gas Suppliers are involved) of establishing the Associated Supplier's identity (via the Secure Data Exchange Portal or by telephone) to advise them that a suspected Crossed Meter situation has occurred and to provide the information below (together with details of any other sites affected).
  - (c) The information to be so provided in respect of the affected property(ies) shall include:
    - (i) Address
    - (ii) Postcode
    - (iii) Meter Serial Number
    - (iv) Supply Meter Point Reference Number
    - (v) Access instructions
    - (vi) Meter location (if known)
    - (vii) Access details (if available)
    - (viii) MAM details
    - (ix) Smart Meter – Y/N
    - (x) SMSO ID if available and if applicable.
- 9.9 The Associated Supplier shall within two Working Days from being contacted by the Initiating Supplier acknowledge the suspected Crossed Meter via the Secure Data Exchange Portal.
- 9.10 The Associated Supplier shall take reasonable steps to investigate within five Working Days of the initial contact, the details provided and ascertain if they have any recorded details supporting/contradicting the details provided. The Associated Supplier shall contact the Initiating Supplier via the Secure Data Exchange Portal or by telephone to share this information and the meter details the Associated Supplier has on record relating to the site and agree the next course of action - which may include a site visit by either/both Gas Suppliers.
- 9.11 If a site visit is required, the results of the visit shall be exchanged within 5 Working Days of receipt of the job complete notification from the Gas Suppliers agent. If Gas Suppliers have any relevant read history this shall be sent at the same time. It is the responsibility of the current Gas Supplier of affected metering points to ensure that the metering asset data is corrected.
- Consumer Contact**
- 9.12 It is important that during the Crossed Meter investigation and once the investigation has been concluded that the Consumer is kept informed of the relative timescales for resolution.
- 9.13 An appropriately trained representative of the contacted Gas Supplier shall explain to the Consumer within 10 Working Days of the initial contact:
- (a) What actions will be taken?

- (b) When a resolution can reasonably be expected?
- (c) How they will be kept informed of the progress towards resolution.

9.14 Gas Suppliers shall, where it is deemed appropriate, provide written confirmation to the Consumer once the query has been resolved.

#### Escalation

9.15 The table below summarises the escalation procedure that shall be taken when resolving any issues with a Crossed Meter query. All timings referred to in this table are in Workings Days. The escalation procedure shall be followed by both the Initiating Supplier and the Associated Supplier in the event that a response is not received within the timescales detailed below.

9.16 The escalation process will not be followed if there is a site visit in progress or scheduled but not yet completed. All escalations relating to the table below shall be communicated via the Secure Data Exchange Portal.

Process	Timescale	Responsibility Level of Contact(s)
Initial follow up	Day +7	Operational
Second follow up	Day +15	Operational Manager
Final follow up	Day +25	Contract Manager

#### Supply Disconnected in Error

9.17 In the event that a Supply Point is disconnected in error and a Crossed Meter investigation is ongoing the Gas Supplier initiating the disconnection shall apply a non-contentious policy. Every effort shall be made to reconnect the Supply Point within 24 hours.

## 10 Misdirected Payments Procedure

### Introduction

- 10.1 Although following a Switch the New Supplier is required to send a new Prepayment Device to the Consumer, it is possible that the Consumer continues to use the Prepayment Device issued by the Old Supplier or that the New Supplier fails to send a new Prepayment Device.

### Principles

- 10.2 The payments for the purchase of credit made by the prepayment Consumer belong to the Gas Supplier registered to the Supply Point at the time of the credit purchase. The PPMIP will always allocate payments as per the latest Gas Supplier update (PP01); they must not hold on to any payment received unless it is unallocated.
- 10.3 Payments received for credit on or after the Supplier Start Date (SSD) of the New Supplier shall not be used by the Old Supplier to reduce outstanding debts.
- 10.4 The Old Supplier shall record and retain all payments received from a Consumer on or after the SSD of the New Supplier. The Old Supplier shall not automatically refund any payments received after SSD to the Consumer but shall instead allocate all related payments to the New Supplier once requested to do so and refer all enquiries to the New Supplier.
- 10.5 It is the New Supplier's responsibility to manage the income received from their Consumers and as such shall be able to identify when no or insufficient payments have been received from a prepayment Consumer. When the New Supplier believes that payments are missing, that Gas Supplier shall contact the Consumer and/or initiate the misdirected claims process as detailed below.
- 10.6 Where payments have been received by the Old Supplier due to the Consumer's use of the old Prepayment Device, the New Supplier shall remind the Consumer of the need to use the correct Prepayment Device to ensure that payments are allocated correctly. Attempts shall be made by the New Supplier to encourage the Consumer to use the correct Prepayment Device and to obtain the old Prepayment Device from the Consumer.
- 10.7 Where personal data relating to a Consumer is exchanged between Gas Suppliers for the purposes of this Misdirected Payments procedure, the data shall be sent via the Secure Data Exchange Portal.

### Misdirected Payments Claim Process

- 10.8 Gas Suppliers shall endeavour to make a claim for any period of Misdirected Payments within two months of:
- (a) the Consumer commencing to use the correct Prepayment Device;
  - (b) there being a change of Meter technology following which, the old Prepayment Device is no longer used;
  - (c) the New Supplier losing the Consumer via a subsequent Switch event;
  - (d) there being a Change of Tenancy;
  - (e) where an objection has been raised and a PP01 was sent prior to final confirmation of the Switch was received.



- 10.9 Gas Suppliers shall issue claims for Misdirected Payments on either a weekly or monthly basis; as determined by the Initiating Supplier and notified to the Associated Supplier.
- 10.10 If the Initiating Supplier determines that a claim is going to be issued later than the date required by Paragraph 10.8, the Initiating Supplier shall notify the Associated Supplier.
- 10.11 If the Initiating Supplier wishes to change the frequency of issuing claims (between weekly or monthly), the Initiating Supplier shall provide the Associated Supplier with 20 WDs' advance notice of the change.
- 10.12 If the Initiating Supplier is aware of a substantial increase in the volume of claims that will be made, it shall notify the Associated Supplier in advance.
- 10.13 A substantial increase is one where the number of claims in a period is expected to increase by more than 50% compared to the last period or if the total number of claims is to increase by more than 1000 in any given month (or 250 in any given week if claims are made on a weekly basis). Where there is a substantial increase, the two Gas Suppliers shall enter a bilateral agreement for the handling of the excess.
- 10.14 Under normal circumstances the Associated Supplier shall not charge for passing Misdirected Payments to the Initiating Supplier. However, where a subsequent claim is made for a Supply Point where there has already been a successful claim covering part of the same registration period, it is acceptable for the Associated Supplier to charge a reasonable fee for passing-on any further Misdirected Payments.
- 10.15 Claims for the reallocation of Misdirected Payments shall be submitted using the claim forms made available from time to time by the Code Manager on the REC Portal.
- 10.16 It is recommended that claims shall not be made for Misdirected Payments covering less than 14 calendar days' supply.
- 10.17 The backstop date for Misdirected Payment claims is described in Paragraph 10.18. No claims for Misdirected Payments can be made in respect of the period prior to such backstop date.
- 10.18 On 30th June each year, the Misdirected Payments backstop date will change to 30th June four years earlier than the current year.
- 10.19 The Associated Supplier may reject any claims where the 'Claim Request From Date' or the 'Claim Request To Date' is not included.
- 10.20 The Associated Supplier must return the claim form in the same format in which it was sent.
- 10.21 Provided that the 'Claim Request From Date' of the claim period contained in the claim form is after the Supply End Date of the Associated Supplier's registration, then the Associated Supplier shall process the claim form. The Initiating Supplier shall ensure that the claim form only includes claims for periods for which that Gas Supplier was registered for the Supply Points concerned.
- 10.22 Once the claim form has been processed and the Associated Supplier determines that Misdirected Payments shall be forwarded to the Initiating Supplier, this transfer shall be completed in a "one-off" transaction that includes the completed claim form. The claim form shall be returned with the following additional information:
- (a) amount to be returned; and

(b) any suitable comments.

- 10.23 If there is no payment to be returned or only part payment, the 'Previous Supplier ID' field shall be completed where possible. This information will enable the Initiating Supplier to contact the Historical Supplier, as the Consumer may be still using the Prepayment Device of that Gas Supplier. The Gas Supplier receiving the money can then correctly allocate it to the appropriate Consumer accounts.
- 10.24 The "one-off" claim of the Misdirected Payments shall be initiated when there is confidence that the Consumer is correctly using the new Prepayment Device.
- 10.25 In exceptional circumstances if required, the New Supplier can request an individual breakdown of payments, subsequent to the return of the claim form.
- 10.26 The processed claim form shall be returned to the Associated Supplier's Operational Contact, within 20 WD of receipt.
- 10.27 The Misdirected Payments shall be sent out to the Initiating Supplier within 10 WD of return of the claim form. When a claim form includes claims for payments where the 'Claim Request To Date' is more than twelve months prior to the date of the claim form, then it may not be possible to meet this 10 WD timescale. In such cases the Gas Suppliers shall reach agreement on the timescales for settling such claims.
- 10.28 Where the number of claims in a period has increased by more than 50% compared to the last period or if the total number of claims has increased by more than 1000 in any given month (or pro rata if claims are made on a weekly basis) then it may not be possible to meet these timescales. In such cases the initiating and receiving Gas Suppliers shall enter a bilateral agreement for the handling of the excess.
- 10.29 Where the Initiating Supplier receives a returned claim form indicating that no payment or only a partial payment has been made by the Consumer, this may be due to the payment being held by the Gas Supplier registered immediately prior to the Gas Supplier to whom the claim was originally sent (the 'previous, previous Gas Supplier'). The returned claim form shall include the ID of the previous, previous Gas Supplier where possible and in this circumstance, the Initiating Supplier shall issue a claim form to that Gas Supplier.
- 10.30 Where any disputes arise between an Initiating Supplier and an Associated Supplier regarding the issue or return of payment claim forms, the following table summarises the escalation procedure that shall be followed. Such escalations shall be communicated via the Secure Data Exchange Portal.

Process	Timescale	Responsibility Level of Contact(s)
Issue Claim Form	Day of Issue	Operational staff
Initial follow up	Day of Issue +20WD	Supervisor or operational staff
Second follow up	Day of Issue +25WD	Senior manager of operational staff
Final follow up	Day of Issue +30WD	Contract Manager

- 10.31 Escalations relating to the above table shall be communicated via the Secure Data Exchange Portal.

- 10.32 The Misdirected Payment claim forms and reason codes shall be made available by the Code Manager on the REC Portal.

## 11 Provision and Utilisation of Data Enquiry Service (DES) and other Supply Point Services

### Background

- 11.1 Under Standard Condition 31 and Standard Special Condition A31 of the Gas Transporter Licence, Gas Transporters are required to provide a supply point information service. The Data Enquiry Service (DES) was implemented as a national online Supply Meter Point enquiry service.
- 11.2 For the purpose of this REC Schedule, Large Gas Transporters are Gas Transporters that are a DN operator or a NTS operator with the meaning given in the Standard Special Condition A1 of the Gas Transporter licence. A Small Transporter is a holder of a Gas Transporter licence where it is not a DN operator or a NTS operator.

### Purpose

- 11.3 The requirement for DES is to implement, provide and utilise a national repository of all gas Supply Meter Points in Great Britain, covering all Gas Transporters. The purpose of this procedure is to define a means to deliver this in industry governance.
- 11.4 In accordance with Standard Special Condition 31 of the Gas Transporters Licence, the CDSP's services shall be charged for in accordance with the CDSP Annual Charging Statement. The CDSP Annual Charging Statement will set out the prices charged for such services.
- 11.5 The operation of DES requires regular data inputs from all Gas Transporters to make sure that the information is relevant and therefore an obligation is placed in this Paragraph **Error! Reference source not found.** on all Gas Transporters to provide this data.

### Document Scope and Objectives

- 11.6 The scope of this Paragraph 11 is limited to the retail gas market in England, Wales and Scotland.
- 11.7 DES is available to all Gas Transporters, Gas Shippers and Gas Suppliers, and some non-domestic Consumers, and it provides the primary route for accessing Gas Transporter data.
- 11.8 This Paragraph 11 requests Gas Suppliers to utilise DES to access Gas Transporter data held by the CDSP which Gas Suppliers are permitted to access.

### Exclusions

- 11.9 The procedure in this Paragraph 11 defines the data requirements for DES but not how that data is actually delivered to the CDSP (i.e. file formats and transmission method, which is out of scope).

### Conditions Precedent

- 11.10 The DES service is currently provided by the CDSP on behalf of Gas Transporters. Any new Gas Transporters wishing to make use of this service must first become signatories to the relevant service provider contract.
- 11.11 Gas Suppliers can access DES via the CDSP web portal. [Details of the web portal address can be found on the REC website under 'Operational Information'.]

### Principles

- 11.12 There is an obligation for Gas Transporters to provide DES. Subject to Paragraphs 11.3, 11.4 and 11.5, Transporters will implement, operate and maintain DES, as defined by this Paragraph 11.
- 11.13 There is an obligation for Gas Transporters to provide data for DES. All Transporters will provide data to the CDSP to support DES, as defined in this Paragraph 11.
- 11.14 Where a Gas Supplier wishes to access Gas Transporter data, it is requested that, subject to DES availability, Gas Suppliers use DES prior to contacting the CDSP by telephone or email.
- 11.15 All Gas Transporters to provide via the CDSP the following services to Gas Shippers and Gas Suppliers:
- (a) telephone services;
  - (b) email services; and
  - (c) periodic issue of storage media (e.g. DVD-Rom, etc.).

## Service Overview

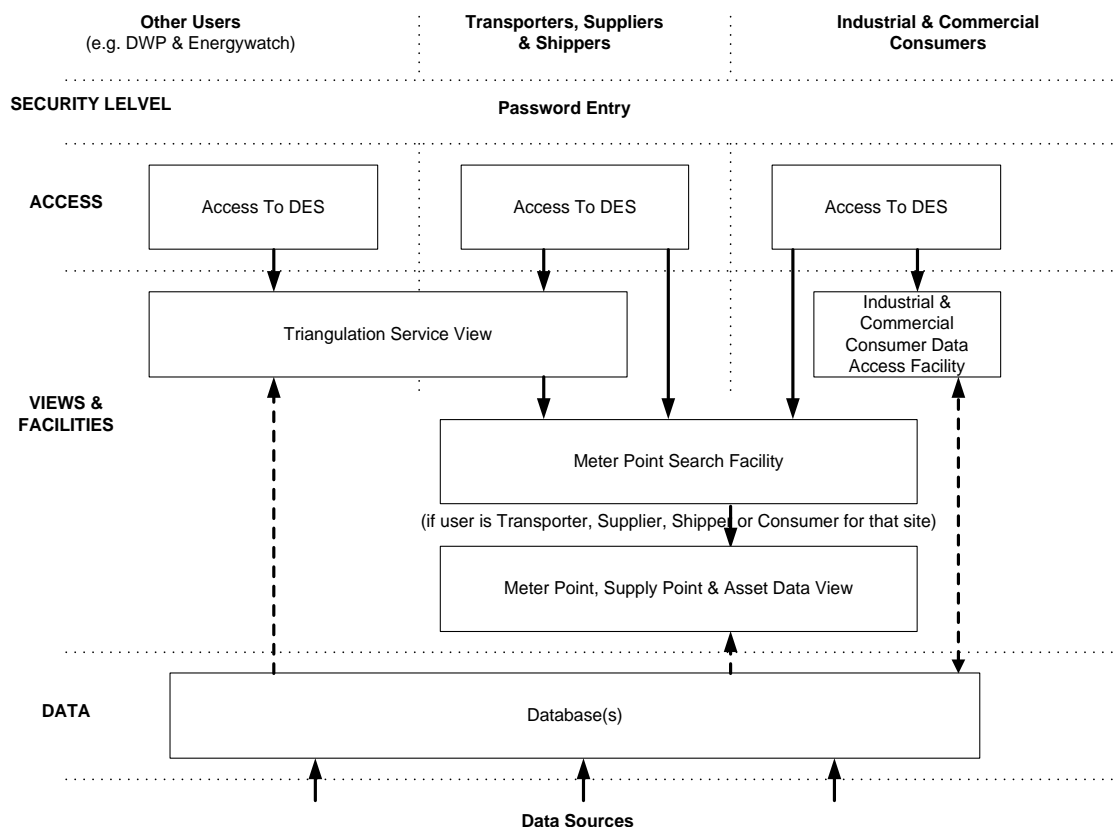


Figure 1 - Service Overview

## Views and Facilities

- 11.16 The service will provide a link between Meter Serial Number, Site Address and Postcode, using the MPRN as the key data item.

## DES Home Page

- 11.17 The options presented to the user when accessing DES will depend on the type of user logged into the system.

## 'Triangulation Service' View

- 11.18 Users are able to search the Triangulation Service using one or any combination of the following variables:
- (a) MPRN; or
  - (b) Site Address; or
  - (c) Postcode and House Number; or
  - (d) Meter Serial Number.
- 11.19 Users are presented with all records containing the data searched for. Users can then select the appropriate record or refine their search further.

- 11.20 Upon selection of a record, for sites connected to a Large Transporter network, if the user is not the Gas Transporter, registered Gas Supplier or Gas Shipper, the user is presented with an initial high level summary of the basic site data as defined in Paragraph 11.40. To view current and incoming Gas Supplier information, the user must confirm that it has permission from the Consumer to view that data.
- 11.21 If the user is a Gas Transporter, Gas Supplier or Gas Shipper, or Consumer, they may access further data items as detailed in Paragraph 11.41 for sites connected to a Large Transporter network.
- 11.22 Where the site is connected to a Small Transporter network, the user is presented with an initial high level summary of the basic site data as defined in Paragraph 11.40.

#### 'Supply Meter Point Search' Facility

- 11.23 This facility allows the user to access the 'Supply Meter Point & Asset Data' view for single MPRNs. If the user is the registered Gas Transporter, Gas Supplier, Gas Shipper or Consumer for that Supply Meter Point (determined from the user account details provided by the user to log on to the system) it is presented with the 'Supply Meter Point & Asset Data'.

#### 'Supply Meter Point & Asset Data' View

- 11.24 For sites connected to Large Transporter networks, where entitled to do so, users may view the additional data items as 'Supply Meter Point & Asset Data' described in Paragraph 11.41.
- 11.25 Only the 'Triangulation Service' view, as defined in Paragraph 11.40, is available for sites connected to Small Transporter networks.

#### 'Industrial and Commercial Consumer Data Access' Facility

- 11.26 Industrial and Commercial Consumers are provided with access to DES to view Supply Meter Point, Supply Point and Asset Data for their portfolio of Supply Meter Points.

#### Data Requirements

- 11.27 The data defined in Paragraphs 11.40 and 11.41 must be provided by Gas Transporters for users of DES to view where permissions to view this data exist.
- 11.28 The full data file specification, including field designation and valid value sets is defined by the CDSP. The CDSP will also define the transmission method for sending data files to it for upload to DES.

#### Data Sources

- 11.29 All data items defined in Paragraph 11.40 will be provided by all Gas Transporters where available.
- 11.30 Small Transporters are obliged to provide Triangulation view data only, on a weekly basis before the last business day of the week.
- 11.31 The data mapping shall be linked to the MPRN, and data providers shall ensure that the MPRN is a key data item in any upload to the DES service.
- 11.32 For future enhancements, data items should not be considered to be sourced from Gas Transporters only, but may be sourced from Gas Shippers, Gas Suppliers or their Agents.

### Data Quality

- 11.33 Where data is provided by the Small Transporters that is transmitted by the CDSP to other parties this data may be validated on receipt by the CDSP in order to meet such parties validation criteria. The DES service will not undertake validation of Data Items. It is expected that validation will be applied at source before data is submitted to the CDSP.
- 11.34 The DES service is not intended to replace any existing industry procedures and shall not be used as a 'shortcut' measure in place of sending Market Messages or following the correct procedure. Its purpose is to assist users in viewing data in a common repository. Users should note that if data online does not match the data that it holds, this should be a trigger for the user to investigate the inconsistency.

### Data Updates, Latency and Refresh

- 11.35 For Large Transporter data, the data displayed on the DES service must be no greater than 48 hours old. The Large Transporter data viewable on 'D' will be the data as held on the Gas Transporter's systems at 'D-1' (where 'D' is a Business Day). The Large Transporters receive Supply Meter Point, and asset data from Gas Shippers for update to UK Link System. This data is processed in accordance with UK Link performance standards. When data has been updated in the UK Link System, it will be populated on DES for view on the following Business Day.
- 11.36 Small Transporters must submit data to the CDSP on a daily basis, except if the submission would result in a null return. The Small Transporter needs to assure itself that should the data fail it has the time to correct and resubmit within the week.
- 11.37 For Small Transporter data, the CDSP will load data the Working Day after receipt subject to UK Link Performance Standards.
- 11.38 DES should be updated daily overnight. When users log into the service, the date of the last data refresh will be shown.

### Data Extract

- 11.39 The CDSP will make available a quarterly data extract to Gas Suppliers, in a loadable file on DVD-Rom, containing the following data items:

Data Item	Description & Notes	Requirement Priority
MPRN	Unique identifier for a point at which a meter is, has been, or, will be connected to the gas network	Mandatory
Supply Meter Point Address & Postcode	The address that relates to the Supply Meter Point	Mandatory
Meter Serial Number	Manufacturer's Serial Number for the meter	Conditional
LDZ ID	Reference code for the Local Distribution Zone	Mandatory

**'Triangulation Service' View**

11.40 Where relevant all data items defined in this Paragraph 11.40 and Paragraph 11.41 will be displayed on DES, however not all data fields will be populated.

**Triangulation Service Data**

Data Item	Description & Notes	Requirement Priority – Large Transporters	Requirement Priority – Small Transporters
MPRN	Unique identifier for a point at which a meter is, has been, or, will be connected to the gas network	Mandatory	Mandatory
Address & Postcode	The address that relates to the entered Supply Meter Point	Mandatory	Mandatory
Meter Serial Number	Manufacturer's Serial Number for the meter	Conditional	Conditional
LDZ ID	Reference code for the Local Distribution Zone, where within a Large Transporter network	Mandatory	Optional
Gas Act Owner	Indicating Gas Act Owner of the asset, provided within this view where site is connected to a Small Transporter network	Optional	Conditional
MAM ID	Identification of the Meter Asset Manager responsible, provided within this view where site is connected to a Small Transporter network	Optional	Conditional
MPAQ	Annual Quantity of the Supply Meter Point in kWh, provided within this view where site is connected to a Small Transporter network	Optional	Conditional
Market Sector Code	Identifies whether the site is domestic or industrial and commercial, as defined by the Gas Supplier	Mandatory	Mandatory
Network Name	Provides the name of the Small Transporter responsible for supplying the site	Optional	Mandatory
Network Owner Effective Date	The date on which the MPRN became associated with a current (active) Gas Transporter network.	Optional	Conditional
Smart Metering Equipment Technical	Provides the specification of the Advanced Domestic or Smart Meter.	Conditional	Conditional



Specification (SMETS)			
First SMETS Installation Date	The date when the first SMETS Compliant Gas Meter was installed at the Supply Meter Point. Installation of a Non SMETS Compliant Smart Meter denoted by a Meter_Mechanism_Code of NS shall not amend this date.	Conditional	Conditional
Smart Metering Equipment Installing Gas Supplier	Identity of the Gas Supplier notifying the CDSP of the installation of Smart metering equipment at site. Only provided for Smart meters.	Conditional	Conditional
Smart Metering System Operator (SMSO)	Identity of the organisation operating the Smart Metering equipment installed at site.	Conditional	Conditional
SMSO Effective Date	Effective From Date of the current SMSO as being effective at the Supply Meter Point.	Conditional	Conditional
Transition Supply Meter Point	Indicates whether this Supply Meter Point is currently in the process of transferring LDZ.	Conditional	Conditional
Supply Meter Point Status	The status of the Supply Meter Point, e.g. Live, Capped, etc. This data item is provided for sites connected to a Large Transporter network.	Mandatory	Conditional
Meter Type	The type of meter fitted at the Supply Meter Point, Rotary, Synthetic Diaphragm. This data item is provided for sites connected to a Large Transporter network.	Conditional	Optional
Meter Capacity	The maximum amount of gas that can be passed through the meter. This data item is provided for sites connected to a Large Transporter network.	Conditional	Optional
Number of Dials	The number of dials or digits present on the meter.	Conditional	Optional
Imperial Indicator	Indicates whether the meter measures the volume of gas in imperial or metric units. This data item is provided for sites connected to a Large Transporter network.	Conditional	Optional
Current Supplier	The identity of the current Gas Supplier for the Supply Meter Point, where applicable. This data item is	Conditional	Optional

	provided for sites connected to a Large Transporter network.		
Incoming Supplier	The identity of the incoming supplier for the Supply Meter Point, where applicable. This data item is provided for sites connected to a Large Transporter network.	Conditional	Optional
Interruption Contract Exists	Identifies whether there is an interruption contract in place. This data item is provided for sites connected to a Large Transporter network.	Conditional	Optional
Site Confirmed	Provides indication of whether the site is confirmed by a supplier. This data item is provided for sites connected to a Large Transporter network.	Conditional	Optional
UPRN	A Unique Property Reference Number (UPRN) is an attribute of a Basic Land and Property Unit (BLPU). It is a unique reference number that can be linked to further address information that is collated and provided by the Ordnance Survey Group. This field will not be populated until governance is agreed.	Optional	Optional
IHD Install Status	Status of In Home Display unit.	Conditional	Conditional
DCC Service Flag	Service flag provided by the DCC.	Conditional	Conditional
DCC Service Flag Effective Date	The date the DCC Service Flag (provided above) is effective from.	Conditional	Conditional

### ‘Supply Meter Point, Supply Point & Asset Data’ View

11.41 In addition to all Data Items from the ‘Triangulation Service’, the ‘Supply Meter Point, Supply Point & Asset Data’ Service will also contain the following Data Items for Larger Transporter Sites only.

Data Item	Description & Notes	Requirement Priority
MAM ID	Identification of the Meter Asset Manager responsible	Conditional
Gas Act Owner	Indicating Gas Act Owner of the asset.	Conditional
Aggregated Meter	Identifies if the Supply Meter Point forms part of a multiple Supply Meter Point Supply Point; aggregation	Mandatory
MPAQ	Annual Quantity of the Supply Meter Point in kWh	Mandatory

Data Item	Description & Notes	Requirement Priority
Link Code	Defines the functional relationship between meters, i.e. Prime, Sub, Freestanding	Mandatory
Gas Nomination Type	A code to indicate which portion of the Supply Point the Supply Meter Point belongs; DM or NDM	Mandatory
Reading Frequency	The Frequency that Gas Shippers define to read all the meters on Non Daily Metered (NDM) Supply Meter Points in the Supply Point	Mandatory
Bypass Fitted	Indicates whether a bypass is fitted to the Meter	Mandatory
Previous Supplier	Name of supplier who previously owned the Supply Point	Mandatory
Supply Point Number	A unique system generated number that identifies the Supply Meter Point configuration on UK-Link System	Mandatory
Confirmation Effective Date	Date on which Ownership of the Supply Point became effective	Mandatory
Confirmation Reference Number	A sequential number that uniquely identifies the Confirmation	Mandatory
Shipper	Name of the organisation responsible for the Supply Point	Mandatory
Annual Quantity – NDM	Annual Quantity for the NDM portion of the Supply Point	Mandatory
Annual Quantity - DM	Annual Quantity for the DM portion of the Supply Point	Conditional
End User Category	A unique reference for the End User Category (EUCs are used in the definition of the estimated peak daily load for NDM Supply Points)	Mandatory
Standard Offtake Quantity – NDM	The maximum rate of gas flow per day (measured in kWh), for the NDM portion of the Supply Point	Conditional
Standard Offtake Quantity – DM	The maximum rate of gas flow per day (measured in kWh), for the DM portion of the Supply Point	Mandatory
Standard Hourly Quantity	The maximum rate of gas flow per hour (measured in kWh), for the DM portion of the Supply Point	Conditional

Data Item	Description & Notes	Requirement Priority
Priority Consumer ID	Identifies whether this site is registered as a priority consumer i.e. Yes or No	Conditional
Exit Zone	The relevant code for the Exit Zone of the Supply Point	Conditional
Bottom_Stop_SOQ	The minimum acceptable rate of gas flow for the DM portion of the Supply Point on an individual gas day (kWh)	Mandatory
Device Type	The meter type, i.e. Rotary, Synthetic Diaphragm	Mandatory
Fitted Date	Date meter was physically fitted	Conditional
Manufacturer	Name of organisation who manufactured the meter	Conditional
Model	The model type of the meter	Conditional
Units	The units applicable to the meter read	Conditional
Correction Factor	The correction factor that needs to be applied to meter reads	Conditional
Year of Manufacture	The year of manufacture for the Meter	Mandatory
Device Status	The current status of the meter, i.e. Live, Removed	Conditional
Location	The location of the meter	Mandatory
Emergency Contact Information		
Title	Title of contact e.g. Mr, Mrs	Conditional
Forename	Name of contact	Conditional
Surname	Surname of contact	Conditional
Job Title	The contact job title	Conditional
Number	A phone number of the contact	Conditional
Type	The type of contact	Conditional

#### Meter Asset History

11.42 This is data relating to the previous meters that have been in place. Historic information is provided for a period of up to 3 years and is dependent on site being within the continuous ownership of the suppliers during that period.

Meter Serial number	Manufacturer's Serial Number for the meter	Conditional
Reason Code	Describes the event in the Meter Asset History e.g. Meter Fix or Removal	Conditional
Effective Date	Date the meter was effective	Conditional
Type	The type of meter fitted at the Supply Meter Point, Rotary, Synthetic Diaphragm	Conditional
Manufacturer	Name of organisation who manufactured the meter	Conditional
Model	The model type of the meter	Conditional
Year of Manufacturer	The year of manufacture for the Meter	Conditional
Number of dials	The number of dials or digits present on the meter	Conditional
Meter Capacity	The maximum amount of gas that can be passed through the meter	Conditional
Correction Factor	The correction factor that needs to be applied to meter reads	Conditional
Meter Mechanism	Indicates the mechanism of the meter e.g. Credit, prepayment	Conditional
Imperials Indicator	Indicates whether the meter measures the volume of gas in imperial or metric units	Conditional
Units	The units applicable to the meter read	Conditional
Location	The location of the meter	Conditional
Opening read	The opening read associated with the meter	Conditional
Opening read uncorrected	The opening reading from the converter	Conditional
Opening read corrected	The opening reading from the converter	Conditional
Opening read date	The date of the opening read	Conditional
Closing read	The closing read associated with the meter	Conditional
Closing read uncorrected	The closing reading from the converter	Conditional

Closing read corrected	The closing reading from the converter	Conditional
Closing read date	The date of the closing read	Conditional
Meter Read date	Date of the meter read	Conditional
Meter read type	Read type of the latest meter read i.e. Normal, Consumer	Conditional
Meter read	The read from the meter	Conditional
Through the zeros count	A count of the number of times the meter reads has passed through the zeros	Conditional
<b>Data Logger Asset Data</b>		
AIS Number	The serial number of the data logger	Conditional
Fitted Date	Date when data logger was installed	Conditional
Device Status	The current status of the data logger, e.g. Live, Removed, etc	Conditional
Model	The model type of the data logger	Conditional
Manufacturer	Name of organisation who manufactured the meter	Conditional
<b>Corrector Asset Data</b>		
Correction Factor	Pressure correction factor applied to such correctors	Conditional
Effective Date	Date when corrector was installed	Conditional
Serial Number	The serial number of the corrector	Conditional
Dials corrected	Number of dials or digits on the Corrector which are considered during Corrector reading.	Conditional
Manufacturer	Name of organisation who manufactured the corrector	Conditional
Year of Manufacturer	The year of manufacture for the corrector	Conditional
Model	The model type of the corrector	Conditional
Device Status	The current status of the corrector, e.g. Live, Removed, etc	Conditional

## Principles For Granting Access To DES

### Gas Transporter Access

- 11.43 Gas Transporters will have full access to all elements of the DES service for sites connected to their own transportation network. They will also have access to the Triangulation Service view for all sites on other transportation networks. This will enable the Gas Transporter to use the service to respond appropriately to any enquiries received from Consumers. The establishment of the DES service does not oblige the Gas Transporter to respond to any enquiries relating to another Gas Transporter's network, but will help to provide a better service to the caller by enabling the Gas Transporter to direct them to the appropriate Gas Transporter.

### Gas Supplier Access

- 11.44 Access will be granted by the CDSP by providing the Gas Supplier with a user account. The user account will provide access for the user to:
- (a) search for and view all the data in the Triangulation Service; and
  - (b) search for and view only those records currently registered to that user in the 'Supply Meter Point, Supply Point & Asset Data' level through the 'Supply Meter Point Search' facility (Large Transporter data only).
- 11.45 Gas Suppliers will be responsible for controlling their own security settings, with one user capable of controlling access to data by other users within the company.

### Industrial and Commercial Consumer Data Access

- 11.46 Industrial and Commercial Consumers are provided with access to DES to view Supply Meter Point, Supply Point and Asset Data for their portfolio of Supply Meter Points. Access is granted by use of MPRN and Confirmation Reference Number (provided by the Gas Supplier). The Industrial and Commercial Consumer enters its portfolio of MPRNs and manages changes to this through the 'Industrial and Commercial Consumer Data Access' facility.
- 11.47 Full access will be given for all sites either owned or occupied by the user where they are connected to a Large Transporter network and above the 73,200kWh per annum threshold. Consumers will only be able to view MPRNs that relate to premises they own or occupy and not others that may exist within the same building.
- 11.48 For the avoidance of doubt, this will not include sites connected to Small Transporter networks.
- 11.49 Access will be authorised by a Gas Supplier and granted by the CDSP, providing a password to be used by all its users. The password will provide access to the 'Consumer Portfolio Entry' facility to allocate and remove MPRNs from their portfolio. It is recognised that a user might have sites supplied by more than one Gas Supplier, authorisation however is only required from one current Gas Supplier.
- 11.50 Access to the 'Supply Meter Point, Supply Point & Asset Data' level is available via the 'Supply Meter Point Search' facility.
- 11.51 Searches will only be able to be conducted using the MPRN, and only for those sites that form part of the user's portfolio (as allocated by the user in the 'Consumer Portfolio Entry' facility).

An error message stating “Supply Meter Point not found” will be displayed should an invalid MPRN be used.

#### Service Availability

- 11.52 Normal operational hours are 06:00 to 22:00 Monday to Saturday (excluding bank and public holidays).
- 11.53 The DES service is required to be available to users between the core hours of 08:00 to 20:00 Monday to Friday (Working Days) and 08:00 to 12:00 Saturday (excluding Christmas Day, Boxing Day or New Year's Day where these dates fall on a Saturday) on a service availability of 97%.
- 11.54 Should the service be required to be taken down for planned maintenance, the CDSP shall provide all users with at least 5 Working Days' notice. The proposed downtime should be broken down into each planned task with the addition of a reasonable amount of contingency.
- 11.55 It is desirable that the number of planned outages should be limited to 6 per year.

#### Query Response Times

- 11.56 Query responses should be returned within 10 seconds, however, it is recognised that as query response speed is dependent on a variety of factors including the user's communications speed, this may be difficult to measure.

#### Service Reporting

- 11.57 Access to the service will be recorded at a suitable level to ensure misuse of the service can be reported.

## 12 Definitions

*[Definitions from SPAA to be added.]*