A.1.a. **INDICATIVE USER REQUIREMENTS**

**UR 1 Trading Party List.** The following new data items should be created to reflect existing data held on the Trading Party List (under the Admin tab on the LVI) and this data should be held on the CS, along with the registration details for LPs:

- **D4013_TradingPartyName.** This should be a free text field, with up to 32 characters.
- **D4014_TradingPartyType.** This should be one of a valid data set, being one of:
  - Full LP
  - Self Supply LP
  - Specialist LP
  - Terminated LP
- **D4015_POLRStatus.** This should be one of a valid data set, being one of:
  - POLR
  - Opted Out
- **D4016_TradingPartyService.** This should be one of a valid set, being one of:
  - Water
  - Sewerage
  - Water and Sewerage

**UR 1.1** The above data items should be populated on the CS for each LP, with the data being drawn from the Trading Party List and with all existing Trading Party Types being logged as ‘Full LP’, by default.

**UR 1.2** CMAAdmin users only should have the capability to update the Trading Party List; either changing existing details or adding new LPs. When such a change is made, the CS should pick up any changes made to the D4013 or D4014, so long as an existing or new D4001_OrgID is also present in the List.

**UR 1.3** Validation. The D4015_POLRStatus may be either POLR or Opted Out, except in the following circumstances, where the POLR Status must be:

- POLR for any LP that has a D4014_TradingPartyType of Full LP and whose charges are 20% or greater than the total charge for all LPs, as calculated from the March R1 for the previous financial year.
- Opted Out for any LP with a D4014_TradingPartyType of Self Supply LP, Specialist Supply LP, or Terminated LP.

**UR 1.4 CMA Deliverable.** LWI 105 (Annual Updates) should be amended accordingly to reflect the need to update the Trading Party List with the POLR Opt Outs.

**UR 2 POLR Analysis Report.** The current POLR Analysis Report tab (under the Admin tab on the LVI) should be re-named as POLR and should provide an LVI screen for CMA users only, as follows:

**UR 2.1** Input requirements. The user should be able to request a POLR Analysis Report by selecting an LP from a drop-down box and identifying a Designated Time (being a potential Registration Start Date – RSD for a transfer of all SPIIDs from that LP to other LPs). The LP Analysis Report headers should be:

- The D4001_OrgID for the selected LP
- The D4013_TradingPartyName for the selected LP
- The D4014_TradingPartyType for the selected LP
- The selected Designated Time
- All D2001_SPIIDs with a status of New that have been allocated to the selected LP, via a T001.0
- All D2001_SPIIDs with a status of Partial that have been partially registered to the selected LP, via a T003.0.
All D2001_SPIDs with a status of Rejected that have been rejected by the selected LP

All D2001_SPIDs with a status of PDISC or De-Registered that are/were last registered to the selected LP

All D2001_SPIDs with a status of Tradable or TDISC that are registered to the selected LP at the date of the Designated Time, excluding those with a pending transfer.

All D2001_SPIDs with a status of Tradable or TDISC that are registered to the selected LP at the date of the Designated Time and that have a transfer pending, along with the RSDs,

All D2001_SPIDs with a status of Tradable or TDISC that are registered to another LP, but have a transfer to the selected LP pending, along with RSDs.

For each of the above SPIDs with a status of Tradable, TDISC, New or Partial, the following supporting information should also be provided, where it exists;

- Connection Date
- TDISC EFD
- Address/Location Data
- Customer Name
- Metered Building Water
- Service Elements and RV

The Provider of Last Resort to whom each SPID (with a status of New, Partial, Tradable and TDISC) would be allocated under the POLR allocation process. The above data should be grouped in POLR LP order.

UR 2.2 Process requirements. The following processing should be followed for the potential allocation of SPIDs to POLRs (but without any updates to the actual registration of SPIDs in the CS):

- Any SPID that has a status of Rejected, PDISC or De-Registered should be disregarded.

- For SPIDs that are being transferred to the selected LP, those that have an RSD that is later than the date of the Designated Time should be disregarded, as these would be cancelled if the incoming LP had exited the market in the meantime. Those that have an RSD that is on or before the date of the Designated Time should be added to the remaining SPIDs (since these should subsequently be allocated to POLR LPs).

- SPIDs that are being transferred from the selected LP should be disregarded. Those that are due to transfer out with an RSD prior to the date of the Designated Time will have transferred before the POLR process is executed. Those that have an RSD that is later than, or equal to, the date of the Designated Time should be transferred at the time, but to the identified incoming LP, rather than via allocation under POLR.

Following the above processing, those remaining SPIDs (i.e. those with a status of New, Partial, Tradable or TDISC, including those that are being transferred to the selected LP on or before the date of the Designated Time), the following report should be provided to the CMA user;

- POLR Transfers – Initial SPID/Customer Name Listing
  - The headers for this report should be in the following order; WS SPID and Associated SS SPID being transferred (for all WS SPID and SS SPID pairs), WS SPID (for all stand-alone WS SPIDs) and SS SPIDs (for all stand-alone SS SPIDs), Customer Name for each of the above.
  - A column should be provided, to allow the CMA user to insert a code, of the form X.Y, to uniquely identify groups of SPIDs with similar Customer Names.
  - A button should be provided to record the unique identifiers for similar Customer Names for all of the identified SPIDs.
Once the following allocations to groupings with similar Customer Names have been made, the following allocations of SPIDs to POLR LPs should be identified:

- An equal number of water and sewerage SPID pairs should be allocated to each LP with a D4015_POLRStatus of POLR and a D4016_TradingPartyService of water and sewerage, so far as is possible, on a random basis, subject to the proviso that SPIDs with similar Customer Names (i.e. with the same ‘similar name ID’, as identified by the CMA). Any additional numbers of SPID pairs that remain after such an equal allocation should be allocated in a similar fashion between a diminishing number of the above water and sewerage POLR LPs (selected in Market Entry date order), until the entire number of SPID pairs have been accounted for.

- An equal number of water SPIDs should then be allocated to each LP with a D4015_POLRStatus of POLR and a D4016_TradingPartyService of water, so far as is possible, on a random basis, subject to the proviso that SPIDs with similar Customer Names (i.e. with the same ‘similar name ID’, as identified by the CMA). Any additional numbers of water SPIDs that remain after such an equal allocation should be allocated in a similar fashion between a diminishing number of the above water POLR LPs (selected in Market Entry date order), until the entire number of water SPIDs have been accounted for.

- An equal number of sewerage SPIDs should then be allocated to each LP with a D4015_POLRStatus of POLR and a D4016_TradingPartyService of sewerage, so far as is possible, on a random basis subject to the proviso that SPIDs with similar Customer Names (i.e. with the same ‘similar name ID’, as identified by the CMA). Any additional numbers of sewerage SPIDs that remain after such an equal allocation should be allocated in a similar fashion between a diminishing number of the above sewerage POLR LPs (selected in Market Entry date order), until the entire number of sewerage SPIDs have been accounted for.

**UR 2.3** Output requirements. The report should appear on the LVI screen as shown in Annex X. There should also be a ‘Publish’ button which when pressed should create POLR Analysis Reports for each POLR LP, showing the same results as above, but only for the SPIDs allocated to the particular POLR LP and for SW (who will see all allocations). These reports should also be capable of being exported as csv files. When ‘Publish’ is selected, an e-mail should also be sent to the Delegated Authorities of all POLR LPs, with the following text:

- Please review the POLR Analysis Report for [selected LP] which indicates those Supply Points that may transfer to your organisation as of the [Designated Time], should a POLR transfer be required.

**UR 3 POLR Transfer.** A further button should be provided on the POLR Analysis Report page for ‘POLR Transfer’. When selected, the following should take place automatically:

- Cancel incoming transfers (i.e. to the selected LP) that have Registration Start Dates that are after the date of the Designated Time, with T011.0s and a T011.1s issued accordingly, with cancellation code N.

- Outgoing transfers should be effected, albeit with RSDs modified to match the date of the Designated Time where the RSD is after that time. Outgoing transfers with RSDs less than or equal to the date of the Designated Time can proceed as normal.

- Execute the transfer all allocated SPIDs to their respective POLR LPs, with a Registration Start Date of the date of the Designated Time and update the CS accordingly.

- Any SPIDs with a status of New that will have been transferred should be allocated a status of Partial, since they will be registered to the relevant POLR LP, as of the date of the Designated Time.
The following transactions should be issued to POLR LPs in respect of all SPIDs transferred to them:

- T008.1 (Notify RSD)
- T019.0 (Notify WS SPID Data) or T020.0 (Notify SS SPID Data), as appropriate.
- T004.1 (Notify Meter Details)
- T036.1 (Notify Meter Network Details)
- T029.0 (Notify SPID Special Arrangements), if appropriate.
- T032.1 (Customer Name Update), if a Customer Name exists for the SPID.
- T033.1 (Notify Metered Building Water), if appropriate.
- T021.1 (Notify DPID), if the SPID has TE
- T023.1 (DPID/Meter Association), if the SPID has TE.

An e-mail should be sent to the Delegated Authorities for each POLR, as follows:

- POLR transfers have now been executed for [selected LP] and these transfers have been given a Registration Start Date of [Designated Time]. The previously issued POLR Analysis Report provides details of the POLR transfers. It should be noted that the processes identified in CSD 0101 should be progressed for any SPIDs with a status of Partial (and these will include SPIDs that were New when registered to the [selected LP], but will now be Partial, having been transferred to your organisation).

**UR 5 CMA Deliverable.** LWI 103 (POLR Process) should be updated to reflect the above.