MCCP192 Attachment 3: Changes to POLR
User Requirements
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1 INTRODUCTION

This document is a description of User Requirements for the POLR process. These URs have been taken from those included in the September 2014 CMA CS Release.

It should be noted that these URs exclude requirements for the opt in and opt out arrangements for POLR, which are covered by CMA CS Release CURs and LVI URs.

The draft changes identified in red text below reflect the indicative changes required for MCCP192 (Effective Date of POLR Process). This MCCP seeks to set the Designated Time for a POLR process to the date of a Notification from SW under the WSA (this being a Default event under the Market Code).
2  POLR USER REQUIREMENTS

2.1  POLR Report

**UR 1 POLR Page.** The POLR page (under the Admin link on the LVI) should provide an LVI screen for relevant CMA users, as follows:

**UR 2 POLR Report Input requirements.** A CMA user should be able to request a POLR Report run by selecting a Designated LP from a drop-down box and identifying a Designated Time (being a potential Registration Start Date – RSD for a transfer of all SPIDs from that LP to other POLR LPs) and a Customer Name matching confidence level.

**UR 2.1** When the required information has been entered, the ‘Add Scheduled Run’ button can be pressed and if the validation rules are satisfied the POLR Report will be scheduled.

**UR 2.2** Existing POLR Reports that have been created will also be displayed on the POLR screen; a ‘View’ link will be provided to allow the user to view the PoLR Report details.

**UR 2.3** The POLR Report screen will provide buttons;

- To publish the outcome,
- To execute the transfers identified in the report, or
- To cancel the report (at any stage prior to actual transfers),

based on the current status of the POLR report.

**UR 2.4** The Designated Time must be on a day that is between $+1-10$ BDs and $+60$BDs from the current day.

**UR 3 POLR Report Run Status.**

- When a POLR Report is requested, it will be given a status of Analysis Pending.
- If there are no POLR Reports outstanding (i.e. with a status of; Unpublished Analysis, Published Analysis, or Transfers Pending), the report should be scheduled for an overnight run and executed accordingly.
- One exception to the above rule will be in respect of POLR Reports to deal with residual SPIDs, defined as being a POLR Report with the same Designated LP and with a Designated Time that is equal to the original Designated Time, in a POLR Report that has a status of Transfer Pending. Suitable error messages should be provided if the above tests are not passed.
- The resulting report should carry a status of Unpublished Analysis.
  - When the Report is first created (moving from a status of Analysis Pending to Analysis Unpublished), an e-mail should be provided to the CMA, with the following text;
  - The POLR Report for [selected LP], with a Designated Time of [Designated Time] has now run and is available for review.
- Once the user has pressed ‘Publish’, the report should have the status of Published Analysis and the Party specific reports should be made available, as described below.
- Once the user has pressed Transfer, the report should have the status of Transfers Pending and appropriate notifications issued, as described below.
On the date of the Designated Time, SPID transfers should be executed, as described below and the status should be ‘Transfers Completed’. If the user presses ‘Cancel’, the report should be given a status of Cancelled and no further processing should be undertaken. Cancellation cannot be applied to Reports with a status of ‘Transfers Pending’ or Transfers Completed’.

**UR 4 POLR Actions.** The POLR Report should identify one of the following actions against all relevant SPIDs, as defined below:

- POLR Action 0 - Ignore
- POLR Action 1 – Redistribute
- POLR Action 2 – Move the Future Transfer Date From the Designated LP to the Designated Time.
- POLR Action 3 – Cancel the Pending Transfer to the Designated LP.
- POLR Action 4 – Redistribute at the RSD.

**UR 5 Audit.** All POLR Reports should be retained indefinitely, but may be cached. In addition, there should be a comment box on the activity log to allow for actions to be described.

**UR 6 Legacy POLR Data.** All legacy POLR Data that predates the implementation of the new process described in this CP should be deleted from the database.

### 2.2 POLR Report Processing (Analysis Pending to Unpublished Analysis)

**UR 1 Processing.** When a report is requested, the following processing should be undertaken for SPIDs registered to the Designated LP, or for SPIDs for which the Designated LP is the active registered LP:

**UR 1.1** Any SPID that has a status of Rejected, PDISC or De-Registered should be disregarded for allocation purposes and given a POLR Action of ‘0 - Ignored’.

**UR 1.2** For a Designated Time in the future and for SPIDs that are being transferred to the Designated LP;

- Those that have an RSD that is later than the date of the Designated Time should be disregarded for allocation purposes, as these would be cancelled if the incoming LP had exited the market in the meantime. These SPIDs should be given a POLR Action of ‘3 – Cancel Pending Transfer to the Designated LP’.
- 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). These SPIDs should be given a POLR Action of ‘1 – Redistribute’

**UR 1.3** For a Designated Time in the past, for SPIDs that are or have been transferred to the Designated LP;

- Those that have an RSD that is later than the POLR run date should be disregarded for allocation purposes, as these should be cancelled if the incoming LP will have exited the market in the meantime. These SPIDs should be given a POLR Action of ‘3 – Cancel Pending Transfer to the Designated LP’.
• Those that have an RSD that is after the Designated Time, but on or before the POLR run date should be allocated to POLR LPs, albeit at the existing RSD for the transfer, since it is only at this date that the SPID became the responsibility of the Designated LP. These SPIDs should be given a POLR Action of ‘4 – Redistribute at the RSD’.

**UR 1.4** For a Designated Time in the future, SPIDs that are being transferred from the Designated LP should be disregarded for allocation purposes.

• Those that are due to transfer out with an RSD prior to, or equal to, the date of the Designated Time will have transferred before the POLR process is executed. These SPIDs should be given a POLR Action of ‘0 - Ignore’.

• Those that have an RSD that is later than the date of the Designated Time should be transferred at the Designated Time, but to the identified incoming LP, rather than via allocation under POLR. These SPIDs should be given a POLR Action of ‘2 – Move Future Transfer Date from the Designated LP to the Designated Time’.

**UR 1.5** For a Designated Time in the past, SPIDs that are, or have been transferred from the Designated LP after the Designated Time;

• Those with an RSD that is after the Designated Time and prior to the POLR run date should be disregarded for the purposes of reallocation and may be given a POLR Action of ‘0 – Ignore’.

• Those with an RSD that is after the POLR run date should have their transfers modified, such that the RSD is set to the Designated Time. These SPIDs should be given a POLR Action of ‘2 – Move the future transfer date from the Designated LP to the Designated Time’.

**UR 1.6** The Customer Name Group (a reference name against which actual Customer Names will be compared) and Customer Name Group ID should be created, depending on the Customer Name matching confidence level and allocated to all SPIDs with a POLR Action Status of ‘1 – Redistribute’. The CN Group ID will be a three digit number and will be allocated to all SPIDs with similar D2027_Customer Names, to the confidence level identified. The CMA user should be able to overwrite the CN Group ID, enabling the POLR Analysis Report to modify the SPID allocations accordingly, prior to transfers being executed.

**UR 1.7** 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 CN Group ID) should be allocated to a single LP. 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.

**UR 1.8** 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 or 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 CN Group ID) should be allocated to a single LP. 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 or 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 CN Group ID) should be allocated to a single LP. 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 Output Requirements.** The POLR Report should be downloadable via the LVI screen, with the following content:

- The D4001_OrgID for the Designated LP
- The D4013_TradingPartyName for the Designated LP
- The D4014_TradingPartyType for the Designated LP
- For each POLR LP. All SPIDs pertaining to that POLR LP, the POLR Action, the SPID Status, its status EFD, its Connection Date and the D2027_Customer Name. NOTE: SPIDs pertaining to the POLR LP means; SPIDs being transferred to the POLR LP either via the transfer process (POLR Actions 0 and 2), or via the redistribution (POLR Actions 1 and 4), and those SPIDs being left with the POLR LP under POLR Action 3, as part of the above processing.
- For each non POLR LP. As for POLR LPs (but these will exclude POLR Actions 1 and 4).
- For SW. As above, but for all LPs (POLR and Non-POLR).
- For the CMA. As for SW, but also including the CN Group ID, the CN Group and the CN ID.
- For the CMA. An additional tab should be provided; ‘Allocation Summary’, to include 3 columns – Assigned LP for redistributed SPIDs, Number of CN Groups allocated to each LP and Number of SPIDs redistributed to each LP. This table should be ordered from highest number of allocated SPIDs to lowest and should be capable of being exported as an Excel file.

**2.3 POLR Report Publication (Unpublished Analysis to Published Analysis)**

**UR 1** When the ‘Publish’ button is pressed, POLR Reports for each POLR LP (and non-POLR LPs, as appropriate) should be created and made available to those LPs under the Report tab, showing the same results as above, but only for the SPIDs allocated to the particular POLR LP and non POLR LP

**UR 2** In addition, the report showing all SPIDs should be provided for SW

**UR 3** These reports should also be capable of being exported as csv files

**UR 4** 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 Report (Published Analysis) 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.
For SW and CMA, an e-mail should be sent, as follows. Please note the POLR Report (Published Analysis) which indicates those Supply Points that may transfer to the identified LP organisations as of the [Designated Time], should a POLR transfer be required.

### 2.4 POLR Transfers (Published Analysis to Pending Transfers/Transfers Completed)

#### UR 1
If ‘POLR Transfer’ is selected, the following should take place automatically, based on the results of the POLR Report (Published Analysis) and the Report status should move to Pending Transfers:

**UR 1.1** Cancel incoming transfers (i.e. to the Designated LP) that have Registration Start Dates that are after the date of the Designated Time, with T011.0s and T011.1s issued accordingly, with cancellation code N.

**UR 1.2** Outgoing transfers should be executed, 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.

**UR 1.1** For all SPIDs for which POLR Action 1 has been identified, the transfers should be executed, with an RSD of the date of the Designated Time and the following transactions should be issued to POLR LPs (and SW where appropriate) in respect of all SPIDs transferred to them:

- T008.1, T008.2 (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.

**UR 1.2** For all SPIDs for which POLR Action 2 has been identified, the normal transfer processes should be executed and in addition, T008.1 and T008.2 transactions should be issued in respect of SPIDs that were being transferred under the normal transfer process, but whose Registration Start Date has been changed (POLR Action 2).

**UR 1.3** For all SPIDs for which POLR Action 3 has been identified, cancel the pending transfer and issue T011.0s and T011.1s, as appropriate, with Cancellation Code N.

**UR 1.6** For all SPIDs for which POLR Action 4 has been identified, the transfers should be executed, with an RSD as specified in the associated T003.1 and transactions as given in UR 1.1 should be issued.

**UR 1.7** 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.

**UR 1.8** An e-mail should be sent to the Delegated Authorities for each POLR LP, as follows:

- POLR transfers will be executed for [selected LP] and these transfers have been given a Registration Start Date of [Designated Time], where applicable
  The previously issued POLR Report (Published Analysis) provides details of the POLR transfers.

**UR 1.9** An e-mail should be sent to SW and CMA, as follows;
POLR transfers will be executed and these transfers have been given a Registration Start Date of [Designated Time], where applicable. The previously issued POLR Report (Published Analysis) provides details of the POLR transfers.

If ‘POLR Cancel’ is selected, the following e-mail should be sent to all Trading Parties, as follows;

- The recently issued POLR Report (Published Analysis) should be disregarded, as this allocation of Supply Points has not been executed. Should a new POLR allocation be required, the CMA will schedule a new POLR Report Run.

### 2.5 Residual SPIDs

Following the change of status to Transfers Pending, a Residual SPIDs Report should be available for the CMA, identifying any SPIDs registered to the Designated LP, or for which the Designated LP is the active registered LP as at the Residual SPID Report request date, but were not identified as such by the Pending Transfer POLR Report, or for any SPIDs whose status has changed from that identified in the POLR Report.

A further POLR Report, with the same Designated LP and the same Designated Date can then be initiated to cover these Residual SPIDs.

This process may be repeated, as required.