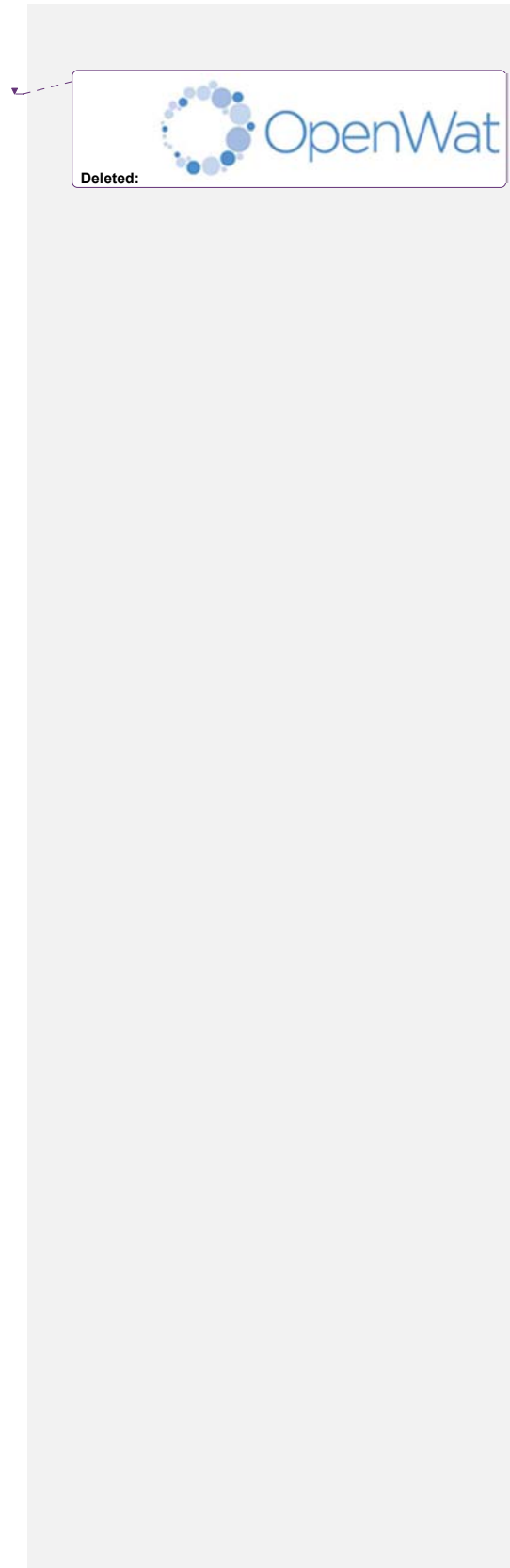


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**Code Subsidiary Document
No. 0103:**

**Registration: Cancellations and
Erroneous Transfers**



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Version Number

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Definitions

Unless expressly stated otherwise, for the purposes of this CSD:

- (a) terms defined in the Wholesale-Retail Code Part 1 (Objectives, Principles and Definitions) shall apply; and
- (b) capitalised terms relating to the titles of Data Items or Data Transactions described in CSD 0301 (Data Catalogue) shall have the meaning attributed therein.



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1. Introduction

1.1 Overview

- 1.1.1 The Market Terms provide for the Transfer of a Supply Point between an Outgoing Retailer and an Incoming Retailer. As part of that process, the Market Terms provide a Cancellation Window following the Registration Confirmation Date, during which either an Incoming Retailer or an Outgoing Retailer may cancel a Registration. The grounds for Cancellation are set out in Section 4.7 of the Market Terms.
- 1.1.2 For the avoidance of doubt, each Retailer shall be responsible for ensuring that it has appropriate grounds for issuing a Cancellation.
- 1.1.3 The Market Operator will issue Reports on the volumes of Cancellations in accordance with CSD 0302 (Standing Reports and Data Extracts) and Retailers may be requested to provide further information on their Cancellation activity to the Market Operator.
- 1.1.4 Section 4.6 of the Market Terms provides for the Erroneous Transfer process. In the event that a Supply Point has been erroneously Transferred by a Retailer, the Erroneous Transfer process can be used to return the Supply Point to the Outgoing Retailer, such that the Transfer is reversed and the Outgoing Retailer remains liable for all Primary Charges calculated by the Market Operator in relation to the whole of the affected period, as if there had been no Transfer.

1.2 Purpose

- 1.2.1 This CSD documents the process by which Cancellations and Erroneous Transfers are implemented in the Central Systems and the consequences arising from a Cancellation or Erroneous Transfer.

1.3 Scope

- 1.3.1 This CSD covers the Cancellations and Erroneous Transfers processes for an individual Supply Point. Retailers shall undertake all Cancellations and correction of Erroneous Transfers using the processes as described in this CSD, including where the Retailer wishes to cancel or correct the Erroneous Transfer of multiple Supply Points e.g. due to cancelling the transfer for a Non-Household Customer having multiple Eligible Premises.



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1.3.2 Amendment of data relating to Registration pursuant to Sections 4.5 and 4.6 of the Market Terms but outside the scope of the processes described in this CSD are, to the extent permitted, dealt with in CSD 0105 (Error Rectification and Retrospective Amendments).



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2. Registration Cancellation

2.1 Introduction

2.1.1 The Cancellation process shall be undertaken in the event that:

- (a) an Incoming Retailer wishes to prevent its Registration; or
- (b) an Outgoing Retailer wishes to prevent the Transfer to the Incoming Retailer; or
- (c) an Outgoing Retailer has submitted a Disconnection request, for example for the Supply Point to be Temporarily Disconnected in accordance with the Operational Terms, and such Disconnection request has not been cancelled and has not yet been executed and notified to the Market Operator. For the avoidance of doubt, this only applies where the Temporary Disconnection is due to Non-Household Customer non-payment; or
- (d) the Supply Point is a Water Services Supply Point and the Outgoing Retailer or Incoming Retailer has confirmed that the Supply Point may only Transfer to the Undertaker Retail Business, in accordance with the Eligibility Guidance, and the Incoming Retailer is not the Undertaker Retail Business.

2.2 Description of the process steps

2.2.1 This section should be read in conjunction with the process diagrams in Section 2.3 and interface and timetable requirements in Section 2.4. The step references appear beside each action or decision symbol in the process diagram. References shown thus TXXX.M relate to the associated Data Transaction, as set out in CSD 0301 (Data Catalogue).

2.2.2 The Market Operator responds to all Data Transactions submitted by Trading Parties with a T109.M (Accept or Reject). The T109.M notifies either rejection of the Data Transaction submitted or acceptance of the Data Transaction submitted. If the Data Transaction is rejected an appropriate error code is provided in the T109.M. If the Data Transaction is accepted and the Market Operator needs to provide additional information back to the Trading Party, it will send the relevant information in a different Data Transaction in addition to the T109.M sent to notify



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acceptance. For simplicity of presentation, the T109.M may not be identified explicitly in the process steps, process diagrams and interface and timetable requirements.

Step a: Retailer submits Cancellation Request

- 2.2.3 During the Cancellation Window, where any of the grounds set out in Section 4.7.1 of the Market Terms apply, an Incoming Retailer must submit a Cancellation Request using Data Transaction T110.R (Registration Cancellation).
- 2.2.4 Where the grounds set out in Section 4.7.2 of the Market Terms apply (for example a Temporary Disconnection request exists due to Non-Household Customer non-payment or a Permanent Disconnection) an Outgoing Retailer must submit a Cancellation Request using Data Transaction T110.R (Registration Cancellation).
- 2.2.5 Where any of the grounds set out in Section 4.7.3 of the Market Terms apply, an Outgoing Retailer or Incoming Retailer as relevant may submit a Cancellation Request using Data Transaction T110.R (Registration Cancellation).
- 2.2.6 The relevant Cancellation Code Data Item shall be included in all Cancellation Requests. Retailers should refer to CSD 0301 (Data Catalogue) for a full list of Cancellation Codes.
- 2.2.7 If the Cancellation reason is for an Outstanding Debt (which includes, for the avoidance of doubt, where a Temporary Disconnection request exists due to Non-Household Customer non-payment), the Cancellation Request must have been authorised by the Outgoing Retailer's Contract Manager, and the Outgoing Retailer is also required to provide a more detailed explanation. A standard summary set of information must be provided to the Market Operator by the Outgoing Retailer using Data Transaction T110.R. This includes the following additional information (refer to CSD 0301 (Data Catalogue) for the relevant data requirements):
- (a) reason for Transfer rejection;
 - (b) date of invoice in dispute;
 - (c) total outstanding amount on account;
 - (d) original due date of invoice;



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- (e) date reminder sent; and
- (f) new due date specified in reminder.

2.2.8 Any information submitted pertaining to Outstanding Debt will not be included in the Market Dataset or be visible in the Data Transaction history following any subsequent successful Transfer, but will be retained by the Market Operator for audit purposes.

Decision b: Market Operator validates Cancellation Request

2.2.9 The Market Operator shall ensure that the Cancellation Request:

- (a) has been submitted by the relevant Incoming Retailer or Outgoing Retailer;
- (b) is within the Cancellation Window; and
- (c) contains a valid Cancellation Code Data Item as set out in CSD 0301 (Data Catalogue).

Step c: Market Operator rejects an invalid Cancellation Request

2.2.10 If the Cancellation Request is not valid as described at decision b above, the Market Operator shall reject it and notify the Retailer who submitted the request, using Data Transaction T109.M (Accept or Reject). Such notifications will be issued within one (1) Business Day of receipt of the Cancellation Request by the Market Operator.

Step d: Market Operator accepts Cancellation Request and implements Cancellation

2.2.11 If the Cancellation Request is valid as described at decision b above, the Market Operator shall accept the Cancellation Request.

2.2.12 The Market Operator shall implement the Cancellation by ensuring that the Registration in respect of the Incoming Retailer is cancelled and the Outgoing Retailer's Registration is reinstated without interruption.



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Step e: Market Operator notifies the Retailers and Wholesaler of the Cancellation

- 2.2.13 Within one (1) Business Day of receipt of the valid Cancellation Request at step d above, the Market Operator shall notify the Incoming Retailer, the Outgoing Retailer and the Wholesaler using Data Transaction T111.M (Notify Registration Cancellation).
- 2.2.14 The relevant Retailers should be aware that the consequence of a Cancellation is that the Incoming Retailer's Registration will be cancelled and have no effect at the relevant Supply Point.
- 2.2.15 The Incoming Retailer and Outgoing Retailer shall take such steps as may be necessary to ensure that their internal records are updated accordingly as soon as practicable to reflect the Cancellation.

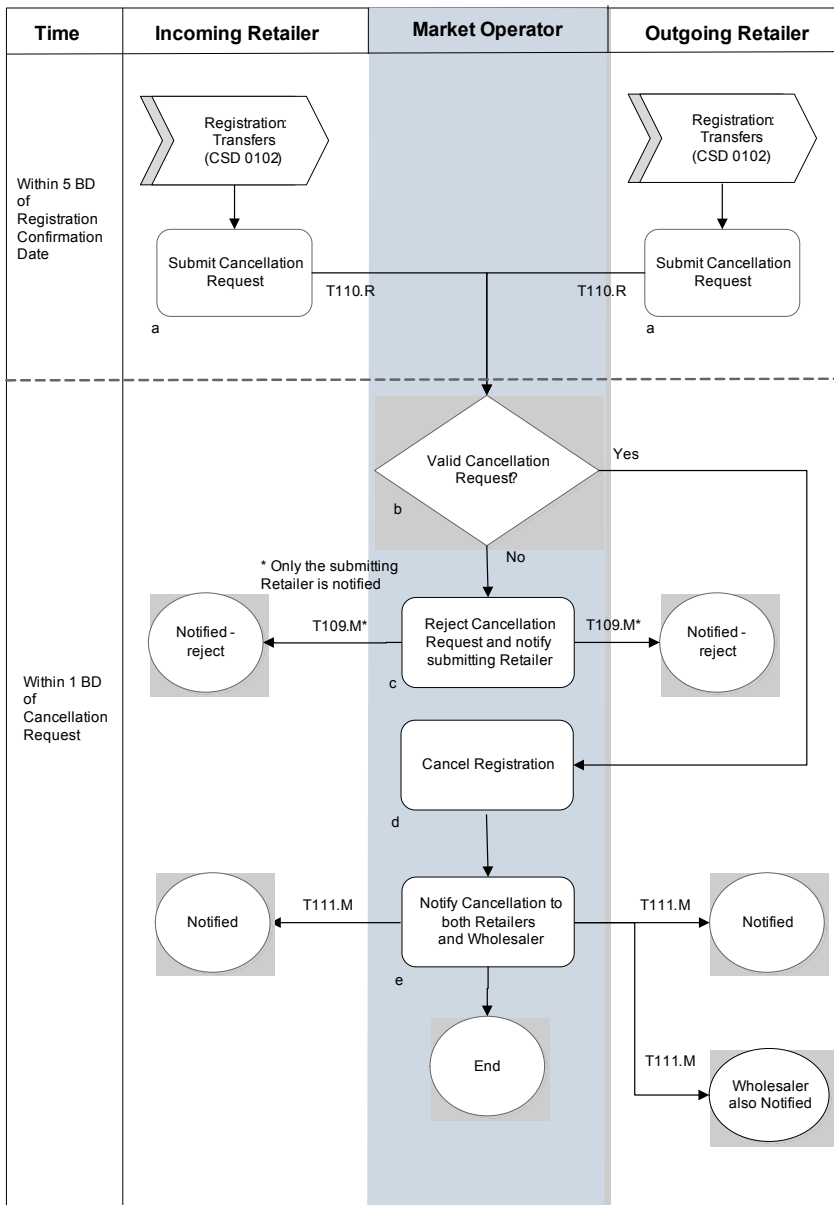


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2.3 Process diagram

Registration Cancellation



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2.4 Interface and timetable requirements

Step	Action/ Decision	Process Step	From	To	Time parameter	Comments	Data Transaction
a	A	Submit Cancellation Request	Incoming Retailer	Market Operator	Within Cancellation Window		T110.R
a	A	Submit Cancellation Request	Outgoing Retailer	Market Operator	Within Cancellation Window		T110.R
b	D	Within Cancellation Window, from relevant Retailer and valid Cancellation code?	Market Operator		Within 1 BD of receipt of Cancellation Request		
c	A	Reject Cancellation Request and notify submitting Retailer	Market Operator	Retailer	Within 1 BD of receipt of Cancellation Request	Only the Retailer that submitted the request will be informed of the rejection	T109.M
d	A	Cancel Registration	Market Operator		Within 1 BD of receipt of Cancellation Request		
e	A	Send Cancellation notification	Market Operator	Incoming Retailer	Within 1 BD of receipt of Cancellation Request		T111.M

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Step	Action/ Decision	Process Step	From	To	Time parameter	Comments	Data Transaction
e	A	Send Cancellation notification	Market Operator	Outgoing Retailer	Within 1 BD of receipt of Cancellation Request		T111.M
e	A	Send Cancellation notification	Market Operator	Wholesaler	Within 1 BD of receipt of Cancellation Request		T111.M

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3. Erroneous Transfer process

3.1 Introduction

3.1.1 In the event that a Supply Point has been Erroneously Transferred to a new Retailer (denoted the Incoming Retailer for simplicity, even though the Supply Point is Registered to them), the Erroneous Transfer process can be used to return the Supply Point to the old Retailer (denoted the Outgoing Retailer for simplicity, even though the Supply Point is no longer Registered to them). This process may only be instigated within three (3) months from the Registration Start Date for the relevant Supply Point. It is expected that the only reason for using the Erroneous Transfer process will be where the incorrect SPID has previously been identified and Transferred.

3.1.2 The Erroneous Transfer process can only be used to return the Supply Point to the old Retailer where the relevant Transfer:

- (a) was completed using the Transfer process according to CSD 0102 (Registration: Transfers);
- (b) was not a Transfer of an individual Interim Duty Supply Point where a Non-Household Customer served notice on an Undertaker within three (3) months of the Designated Date, as described in Section 4.3.9(l)(ii) of the Market Terms; and
- (c) was not a Transfer of an individual Affected Supply Point where a Non-Household Customer selected an alternative Retailer during a Volume Transfer pursuant to the Exit Regulations as set out in Section 4.3.6(f) of the Market Terms.

3.2 Description of the process steps

3.2.1 This section should be read in conjunction with the process diagrams in Section 3.3 and interface and timetable requirements in Section 3.4. The step references appear beside each action or decision symbol in the process diagram. References shown thus TXXX.M relate to the associated Data Transaction, as set out in CSD 0301 (Data Catalogue).

3.2.2 The Market Operator responds to all Data Transactions submitted by Trading Parties with a T109.M (Accept or Reject). The T109.M notifies either rejection of

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the Data Transaction submitted or acceptance of the Data Transaction submitted. If the Data Transaction is rejected an appropriate error code is provided in the T109.M. If the Data Transaction is accepted and the Market Operator needs to provide additional information back to the Trading Party, it will send the relevant information in a different Data Transaction in addition to the T109.M sent to notify acceptance. For simplicity of presentation, the T109.M may not be identified explicitly in the process steps, process diagrams and interface and timetable requirements.

Step a: Submit Erroneous Transfer application

- 3.2.3 Where the Incoming Retailer identifies that a Supply Point has been erroneously Registered to them, the Incoming Retailer shall notify the Market Operator of an Erroneous Transfer using Data Transaction T141.R (Erroneous Transfer Application). The Erroneous Transfer application will identify the Supply Point, the erroneous Registration Start Date and include the reason for the application.

Decision b: Market Operator validates Erroneous Transfer application

- 3.2.4 The Market Operator will review the Erroneous Transfer application to ensure that the information provided is complete and valid. The Market Operator will validate that the Erroneous Transfer application:

- (a) is for a Supply Point which is eligible for the Erroneous Transfer process as described in Section 3.1.2 of this CSD;
- (b) has been submitted by the relevant Retailer;
- (c) has been received within three (3) months of the relevant Registration Start Date;
- (d) contains all the Data Items required in Data Transaction T141.R. The Erroneous Transfer Application Reason Data Item must be populated; and
- (e) that the Outgoing Retailer satisfies the Trading Conditions in relation to the Supply Point.

If the Erroneous Transfer application is not valid, the Market Operator will notify the Incoming Retailer within one (1) Business Day of the Erroneous Transfer application request using the Data Transaction T109.M (Accept or Reject).

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Step c: Notify both Retailers and Wholesaler

- 3.2.5 If the Erroneous Transfer application is valid, the Market Operator will notify the Outgoing Retailer and the Wholesaler within one (1) Business Day of the Erroneous Transfer application request using the Data Transaction T141.M (Notify Erroneous Transfer Application).

Decision d: Outgoing Retailer accepts/rejects application

- 3.2.6 The Outgoing Retailer must within ten (10) Business Days either accept or reject the Erroneous Transfer application request using Data Transaction T142.R (Notify Erroneous Transfer Acceptance/Rejection).
- 3.2.7 Where the Erroneous Transfer application request is not accepted by the Outgoing Retailer, the Erroneous Transfer cannot proceed. The Outgoing Retailer must provide a reason for the rejection. For clarity, absence of acceptance by the Outgoing Retailer does not constitute acceptance.

Step e: application accepted by Outgoing Retailer

- 3.2.8 Where the Erroneous Transfer application request is accepted by the Outgoing Retailer, the Market Operator will update the Central Systems such that the Outgoing Retailer will be recorded as having continued to be the Retailer at the Supply Point continuously and without interruption during the period of Erroneous Transfer, and be liable for all Primary Charges calculated by the Market Operator in relation to that period. The Market Operator will maintain a record of the Erroneous Transfer in the Central Systems.
- 3.2.9 The Market Operator will within one (1) Business Day confirm the date on which the Registration was implemented to the Outgoing Retailer and all other Trading Parties in relation to the Supply Point using Data Transaction T142.M (Notify Erroneous Transfer Acceptance/Rejection).

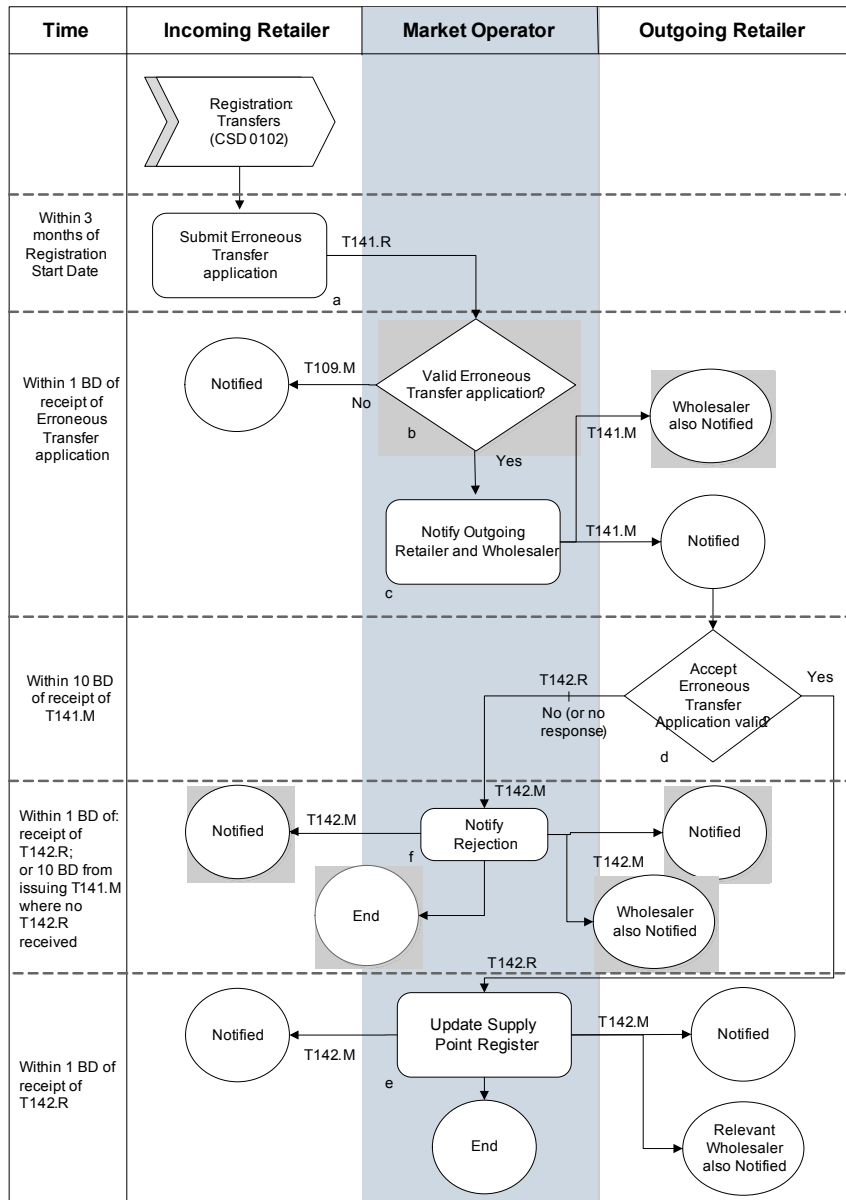
Step f: application not been accepted by Outgoing Retailer

- 3.2.10 The Market Operator will within one (1) Business Day confirm the rejection of the Erroneous Transfer application and also notify all other Trading Parties in relation to the Supply Point using Data Transaction T142.M (Notify Erroneous Transfer Acceptance/Rejection).

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3.3 Process diagram

Erroneous Transfer Correction





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3.4 Interface and timetable requirements

Step	Action/ Decision	Process Step	From	To	Time parameter	Comments	Data Transaction
a	A	Submit Erroneous Transfer application	Incoming Retailer	Market Operator	Within 3 months of Registration Start Date		T141.R
b	D	Validate Erroneous Transfer application and notify applicant Retailer if invalid	Market Operator	Incoming Retailer	Within 1 BD of receipt of Erroneous Transfer application		T109.M
c	A	Notify Outgoing Retailer and Wholesaler	Market Operator	Outgoing Retailer and Wholesaler	Within 1 BD of receipt of Erroneous Transfer application		T141.M
d	D	Accept or reject Erroneous Transfer application? If accept, go to step e. If reject, go to step f.	Outgoing Retailer	Market Operator	Within 10 BD of receipt of T141.M		T142.R
e	A	Update Central Systems and notify acceptance of Erroneous Transfer application to both Retailers and Wholesaler	Market Operator	Wholesaler, Retailer, Incoming Retailer	Within 1 BD of receipt of T142.R	Absence of acceptance by the Outgoing Retailer does not constitute acceptance	T142.M

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Step	Action/ Decision	Process Step	From	To	Time parameter	Comments	Data Transaction
f	A	Notify rejection of Erroneous Transfer application to both Retailers and Wholesaler	Market Operator	Wholesaler, Retailer, Incoming Retailer	Within 1 BD of either: receipt of T142.R; or 10 BD from issuing T141.M where no T142.R received		T142.M



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A Appendix – process flowchart symbols

Symbol	Name	Details
	Action	An action step. It appears in the “swimlane” of the party responsible for performing the action.
	Decision	A decisive question rather than an action. Followed by Yes or No, or occasionally Water Service or Sewerage Services, the process splits depending on the answer to the question in the decision diamond.
	To another process	A flow in, or input to, another documented process
	From another process	A flow in, or output from another documented process.
	To and from another process	Used where a process is embedded within another. At this point, go to the embedded process chart before returning to the one in which it is embedded.
	End	Used after a decision diamond, generally to mean “do nothing” as it is the end of the process.
	Advised/Invoiced	Used after a process step to show “passive” action on the part of a Data Transaction receiver e.g. to represent “Advised” or “Invoiced”
<i>g</i>	Action/Decision reference	An alphabetic reference beside each step and decision. This reference appears on the table in each section to facilitate reading the table against the process flowcharts.
T115.W	Transaction reference	Reference to the Data Transaction occurring as an output from the step it appears next to.

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Change History

Version Number	Date of Issue	Reason For Change	Change Control Reference	Sections Affected
Draft 20141107	07 Nov 2014	For industry workshops 12/13 Nov 2014		
Draft 20141211	11 Dec 2014	For industry consultation		
20150511	11 May 2015	For industry consultation		
20150714	14 July 2015	For pre-vendor MAP		
ICP Housekeeping	25 August 2015	Non-material housekeeping changes	ICP/WRC/CP001	All
ICP Quality Assurance	22 September 2015	Clarificatory and syntax changes following review of the texts	ICP/WRC009	2.1.1(c), 2.2.4, 2.2.7, 2.2.13, 3.1.2(a), 3.1.2(c), 3.2.3, 3.4 step b, Appendix A
ICP Cross Border	22 September 2015	Cross border matters	ICP/WRC007	2.1.1
20150930	30 September 2015	For post-vendor MAP		As per Quality Assurance and Cross Border versions.
ICP Draft Exit Regulations	12 July 2016	Alignment with Exit Regulations	ICP/WRC003	3.1.2
20160830	30 August 2016	Changes to reflect Change Proposal ICP/WRC003		As per ICP/WRC003,