

Wholesale Charge Deferral Scheme – Application and File Submission Procedural Notes

V6.0

Document Contents:

- 1. Introduction**
 - 2. Application templates, filenames and submitting email applications to Scottish Water**
 - 3. Application field formats and data requirements/validation**
 - 4. Additional application specific data requirements**
 - 5. Business rule applied to applications**
 - 6. LP Responses (acknowledgments and application outcomes)**
 - 7. Challenging a rejected application**
 - 8. Exiting the scheme (prior to the official end date)**
 - 9. SPID Transfers (exiting the Scheme to enable transfer)**
 - 10. Removing SPID(s) from the Volumetric Scheme (COVID Vacancy) once 2 meter reads have been received**
 - 11. Exception Process – COVID Vacancy (UNM). Applications for volumetric (charge) removal for unmeasured premises subject to an outstanding reassessment application**
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1. Introduction

This document outlines the detailed application data, filename and email requirements for email applications to Scottish Water for the Wholesale Charges Deferral Scheme. The document also outlines the data validation and business rules that will be used to validate applications. There are three scheme elements, Volumetric Charges deferral (COVID Vacancy), Fixed Charges deferral (COVID Fixed Charges) and BAU Vacancy changes (BAU Vacancy). The detailed requirements for each of the scheme elements are detailed in this document.

2. Application templates and submitting applications to Scottish Water

An individual template (submission file) provided by Scottish Water needs to be submitted for each scheme (category). There can be as many SPID applications in each template submission file and one or all three can be submitted on a single (daily) email submission.

Templates have been provided to ensure consistency of both files and data across all Licensed Providers. It is important that Licensed Providers DO NOT modify the data templates (i.e. add sheets, move columns, add columns, format data etc.) as this could result in a full submission being rejected or severely delay processing. There are three templates as shown below.

Category	Category Description	FILE to Complete
COVID Vacancy	Applies to metered premises/businesses (including Pseudo metered) which have not had 2 or more actual meter reads since 24/03/2020 where deferral of volumetric water and sewerage charges have been requested by customers or where Licensed Providers have “auto-enrolled” valid customers	COVID Vacancy
COVID Fixed Charges	Applies to premises/businesses where deferral of fixed charges have been requested by customers or where Licensed Providers auto-enrol valid customers. ONLY applies to <u>Drainage only premises (SPIDs), unmeasured premises (SPIDs) and metered premises where all meters are of a chargeable size 25mm and below.</u>	COVID Fixed Charges
BAU Vacancy	Applies to business as usual vacancy updates where a premises is changing from occupied to vacant.	BAU Vacancy
COVID Vacancy (UNM)	Volumetric charge removal - Exception process for unmeasured gap site premises or those that have requested reassessment but have not yet been processed – See Section 11	COVID Vacancy (UNM)

2.1 Submitting applications to Scottish Water

It is important that the application process is consistent across all Licensed Providers to enable required data capture and the efficient processing of applications and speedy response of application outcomes. File and email standards have been established to facilitate this.

File names:

Standard filename conventions are being adopted. This is to support the clear identification of the application scheme, Licensed Provider and date of submission. Please save each new template submission file with the following filename convention:

[yyyymmdd]-[LP_ID]-[Category] (i.e. **20200511-SW-COVID Vacancy**)

Files that do not adhere to this naming convention may not load and therefore could be rejected or significantly delay processing.

Emailing applications to Scottish Water:

In order to ensure consistency and that Scottish Water can easily identify emails relating to the scheme and identify which Licensed Provider has submitted an application and enable acknowledgement of applications, the process will require a standard email subject line and a new email mailbox has been set-up to administer the scheme.

Please use the Email Subject line: **[yyyymmdd]-[LP_ID]-COVID19** (i.e. **20200511-SW-COVID19**)

Restrict applications to **one submission (email)** per day

Email to: WCDS@scottishwater.co.uk

Emails should be password protected with the designated password provided by Scottish Water

3. Application field formats and data requirements/validation

This section outlines the data requirements for each template, required (mandatory/optional) data and the data formats. It also details the data validation or checks that will be performed on each application to ensure completeness and that each application conforms to the data requirements.

Field Name (COVID Vacancy / COVID Fixed Charges)	Required	Validation	Data Format	Applicable Scheme/Template
CMA LP_ID	Mandatory	Valid LP ID	CMA LP_ID	COVID Vacancy COVID Fixed Charges BAU Vacancy COVID Vacancy (UNM)
Submission Date (dd/mm/yyyy)	Mandatory	Valid format is not a future date	date: dd/mm/yyyy	COVID Vacancy COVID Fixed Charges BAU Vacancy COVID Vacancy (UNM)
SPID	Mandatory	Valid SPID (Tradable)	12 DIGIT SPID Reference	COVID Vacancy COVID Fixed Charges BAU Vacancy COVID Vacancy (UNM)
Effective From Date (dd/mm/yyyy)	Mandatory	Valid format >= 24/03/2020	date: dd/mm/yyyy	COVID Vacancy COVID Fixed Charges COVID Vacancy (UNM)
Application Type	Mandatory	Must be either: Customer Application LP Auto-enrolled	Text	COVID Vacancy COVID Fixed Charges COVID Vacancy (UNM)
Contact Name at Customer	Mandatory	Duplication	Text	COVID Vacancy COVID Fixed Charges COVID Vacancy (UNM)
Date of Customer Contact (dd/mm/yyyy)	Mandatory (unless LP Auto-enrolled)	Valid format >= 24/03/2020	date: dd/mm/yyyy	COVID Vacancy COVID Fixed Charges COVID Vacancy (UNM)
Method of customer contact (i.e. phone, email, letter etc.)	Mandatory (unless LP Auto-enrolled)		Text	COVID Vacancy COVID Fixed Charges COVID Vacancy (UNM)
Date of issue of written undertaking (dd/mm/yyyy)	Mandatory	Valid format >=11/05/2020 <= Submission Date	date: dd/mm/yyyy	COVID Vacancy COVID Fixed Charges COVID Vacancy (UNM)
Contact detail for method of issue of undertaking (i.e. Postal Address or email)	Mandatory		Text	COVID Vacancy COVID Fixed Charges COVID Vacancy (UNM)
Contact telephone	Optional		Text	COVID Vacancy COVID Fixed Charges COVID Vacancy (UNM)
Business Type	Mandatory		Text	COVID Vacancy COVID Fixed Charges COVID Vacancy (UNM)
LP Reason for auto-enrolled	Mandatory (unless Customer Application)	Mandatory if "Application Type" = LP Auto-enrolled	Text	COVID Vacancy COVID Fixed Charges COVID Vacancy (UNM)
Category	Mandatory	Must be applicable to application: COVID Vacancy COVID Fixed Charges BAU Vacancy COVID Vacancy (UNM)	Text	COVID Vacancy COVID Fixed Charges BAU Vacancy COVID Vacancy (UNM)
SW Case Reference	Mandatory (where COVID Vacancy (UNM) and submission relates to a SPID with an open reassessment case)	COVID Vacancy (UNM)	Text	COVID Vacancy (UNM)

Data validation issues or missing mandatory data will cause files to be rejected.

4. Additional application specific data requirements

Outlined below are the template specific data requirements where the data entry requirements differ between applications. The table below outlines what is expected for the specific fields listed in each template for each specific file (category) submission.

	File Template (Data required)		
Field	COVID Vacancy	COVID Fixed Charges	BAU Vacancy
SPID	Water SPID (only)	SPID Pair - both Water and Sewer SPIDs Water Only SPID - Water SPID Sewer Only SPID - Sewer SPID	SPID Pair - Water SPID only Water Only SPID - Water SPID Sewer Only SPID - Sewer SPID
Category	COVID Vacancy	COVID Fixed Charges	BAU Vacancy

5. Business rule applied to applications

Once application files have been received into Scottish Water and passed initial file format and data validations there are some scheme specific business rules or logic that will be applied to each scheme to validate the application is valid. These rules are detailed below.

<u>Volumetric Charge Deferral (COVID Vacancy)</u>			
SPIDs must be operational (Tradable).			
D2001 SPID must have a SPID status (D2025 SPIDStatus) of REC, TDISC, PPDISC, TTRAN			
SPID must be metered and have at least one operational revenue water meter			
Meter treatment type (D3022 MeterTreatmentType) must be SWWATER or PSEUDOMETER			
Meter must not have >=2 actual meter reads since 24/03/2020 (Estimated transfer 'S' reads are not considered actual reads and are excluded)			
<u>Fixed Charge Deferral (COVID Fixed Charges)</u>			
SPIDs must be operational.			
D2001 SPID must have a SPID status (D2025 SPIDStatus) of REC, TDISC, PPDISC, TTRAN			
SPIDs must not have a meter chargeable size greater than 25mm			
D3022 ChargeableMeterSize <= 25mm			
<u>Unmeasured Volumetric Charge - Waiver (UNM COVID Vacancy UNM)</u>			
SPIDs must be operational (Tradable).			
D2001 SPID must have a SPID status (D2025 SPIDStatus) of REC, TDISC, PPDISC, TTRAN			
SPID must be a Water SPID			
SPID must be an unmeasured Gap Site (SPID connection type = GS) or have an open reassessment application			
<u>Business Type validation</u>			
Validation will be performed on Business Type and SPID/SIC Code or SAA Core/Description to evaluate if premises is valid for the scheme(s)			

If an application fails one of these business rules it will be rejected as an invalid application

6. Licensed Provider Responses

Application Acknowledgment

All Licensed Providers will receive an acknowledgment, by email that their daily application submission has been received and confirmation of each file received and the volume of rows submitted. This email acknowledgement will be sent within 1 business day of receipt of the emailed application submission.

Application outcomes

Once processed, an email will be sent to Licensed Providers confirming their application outcomes, either approved or rejected. A supporting spreadsheet will be provided with the detailed record status.

Rejected Applications

For rejected applications a reason will be provided for all rejected applications. A full submission (file) can be rejected if there are issues with the file / template or individual records can fail validation and be rejected. Files that fail will be attached to the email and identified as a full submission failure. Individual records that fail will be part of a spreadsheet of outcomes detailing each record and its status and reason for rejection.

Approved Applications

Approved applications will be emailed (along with rejections) detailing those records which have been approved.

Where the application is for COVID Vacancy (Volumetric Charge deferral) or BAU Vacancy a code will be provided for each approved record so that the Licensed Provider can set the vacancy status at the CMA using this code. For COVID Fixed Charges (Fixed Charges deferral) no code is required. For COVID Fixed Charge applications that have been approved, Scottish Water will send either a T029.1 or Retrospective Amendment to update the D2006 (29e) to 60 at the CMA. Depending on volumes these may have to be batched over a weekend. Where a T029.1 transaction is used the Licensed Provider will receive a reciprocal T029.0 notification. If Retrospective Amendment is used, no notification will be sent to the Licensed Provider.

Licensed Providers will of course be able to see/check the status of D2006 29e on the LVI or by downloading the Market Date Set (MDS).

7. Challenging rejected applications

Applications will, in the main, be rejected for one or all of the following reasons:

1. Missing mandatory data
2. Failed business rule specific to the scheme (i.e. SPID is already vacant, SPID is invalid, SPID is not metered (for volumetric applications) etc.)
3. Processing error by Scottish Water

If an application is rejected and the rejection reason relates to missing mandatory information then the Licensed Provider should resubmit a new template with the error(s) corrected and resubmit as per the normal application process – there should be no reason to “challenge” the rejection. If the application fails due to a business rule failure which excludes the SPID(s) from the scheme(s), if the LP believes the data to be incorrect, they must first check the data at the CMA to validate this – only if they believe Scottish Water have made an error when validating the application should they challenge.

Challenges

Should Scottish water reject an application and the Licensed Provider believes that Scottish Water have done this in error, the Licensed Provider can raise a challenge stating their reasons why they believe the application has been rejected in error and should be accepted.

The Licensed Provider should complete the appropriate standard application template(s) for the relevant scheme with only the Rejected SPIDs they wish to Challenge.

Please use the Filename:

yyyymmdd-[LPID]-Challenge Vacancy (i.e. 20200511-SW-Challenge Vacancy)

yyyymmdd-[LPID]-Challenge Fixed Charges (i.e. 20200511-SW-Challenge Fixed Charges)

In the body of email, the following detail for each rejection must be provided:

SPID	Rejection Reason	Challenge Reason
1000022220102	SPID is not metered	SPID is actually metered at CMA, Meter Serial Number: 11A123456

Please use the Email Subject line:

[yyyymmdd]-[LP_ID]-REJECTION CHALLENGE (i.e. 20200511-SW-REJECTION CHALLENGE)

The email should be sent to normal mailbox:

Email: WCDS@ScottishWater.co.uk

Emails should be password protected with the designated password provided by Scottish Water

Scottish Water will review the rejection(s) and respond to the Licensed Provider within 2 business day confirming if the challenge is valid and the rejection will be processed or if the challenge has been rejected. If the challenge has been accepted, the application will be processed.

8. Exiting the scheme early (prior to the official scheme end date)

Where a customer wishes to exit the scheme(s) early, that is prior to the official scheme end date they are entitled to do so. The Licensed Provider MUST inform Scottish Water of each scheme the customer wishes to exit from.

Exiting Volumetric Deferral Scheme (COVID Vacancy)

The Licensed Provider will need to:

1. Select the appropriate Effective From date to be used to update the Vacancy Flag at the CMA to OCCUPIED, the meter read status could impact the effective date to be used (see below)

Meter Reads (since 24/03/2020)	Effective From Date to be used
No reads	Application Date – this will zero volumetric charges during the period of vacancy <i>or</i>

	Vacancy Date (Date the SPID entered the scheme) – this will back out any zeroing of volumetric charges (deferral) and put the SPID back onto estimated volumetric charges based on the last two meter reads
One read	Application Date – this will zero volumetric charges during the period of vacancy <i>or</i> Vacancy Date (Date the SPID entered the scheme) – this will back out any zeroing of volumetric charges (deferral) and put the SPID back onto estimated volumetric charges based on the last two meter reads
Two reads (Large Customers >25mm Meter Chargeable Size)	Vacancy Date - <u>For larger customers</u> , two reads automatically means the SPID comes out of the scheme, the Vacancy Date (Date the SPID entered the scheme) is used for the Effective From date to turn the SPID(s) back to OCCUPIED
Two reads (Small/Medium Customer <=25mm Meter Chargeable Size)	If exiting the scheme before 24 September, the effective date should be the earlier of application date or 24 September, unless the customer has explicitly requested that they repay deferred charges as soon as possible rather than over the usual 12 months after the end of the scheme (in which case the original Vacancy Date should be used)

2. Complete the EXIT template for COVID Vacancy with the SPIDs to be removed from the scheme
 3. Email the completed template with the following filename and email subject text:
Filename: **yyyymmdd-[LPID]-EXIT COVID Vacancy (i.e. 20200511-SW-EXIT COVID Vacancy)**
Email Subject line: **yyyymmdd-[LPID]-EXIT COVID19 (i.e. 20200511-SW-EXIT COVID19)**
 4. Email to WCDS@ScottishWater.co.uk
- (there is no need to password protect the file as it has no sensitive/customer information)
5. **Licensed Provider updates the Vacancy flag at the CMA to Occupied.**

Exiting Fixed Charges Deferral Scheme (COVID Fixed Charges)

The Licensed Provider will need to:

1. Select the appropriate Effective From date to have the Fixed Charge deferral removed (removal of the 60% at the CMA). The Effective From date will either be:
 - a. Vacancy Date – the date the customer entered the scheme. Using this date will remove all deferral and the customer will revert to full charges as if no deferral had been applied. This will be reflected in wholesale charges.
 - b. Application Date – the date the customer wishes to be removed from the scheme. If this date is later than the scheme start date the deferral will apply until the application date, at which point the customer will revert to full charges and full charges will be applied in settlement at a wholesale level from this date.
2. Complete the EXIT template for COVID Fixed Charges with the SPIDs to be removed from the scheme
3. Email the completed template with the following filename and email subject text:
Filename: **yyyymmdd-[LPID]-EXIT COVID Fixed Charges (i.e. 20200511-SW-EXIT COVID Fixed Charges)**
Email Subject line: **yyyymmdd-[LPID]-EXIT COVID19 (i.e. 20200511-SW-EXIT COVID19)**
4. Email to WCDS@ScottishWater.co.uk

(there is no need to password protect the file as it has no sensitive/customer information)
5. Scottish Water will acknowledge receipt of the EXIT request within 1 Business Day.
6. **Scottish Water updates the 29e (60% Deferral) to 0% at the CMA with from the submitted Effective From date**

9. SPID Transfers (exiting the Scheme to enable transfer)

To enable a customer transfer whilst customers (SPIDs) are in the scheme(s), the SPIDs must be exited from the scheme(s) to enable the transfer to progress.

The process steps as outlined in Section 8 apply.

The Effective From date to be used in these circumstances are likely to be the Transfer Date minus 1day.

10. Removing SPID(s) from the Volumetric Deferral (COVID Vacancy) scheme once 2 meter reads have been received

Scottish Water will monitor SPIDs accepted into the Volumetric Deferral scheme (COVID Vacancy) and meter readings submitted against those SPIDs. Where two readings have been submitted and the SPIDs remain vacant (and in the scheme) Scottish Water will notify the Licensed Provider that the SPIDs should be returned to occupied from the date the SPID entered the scheme.

11. Exception Process – COVID Vacancy (UNM). Applications for volumetric (charge) removal for unmeasured premises subject to an outstanding reassessment application

This section covers the process for submitting applications for Volumetric Deferral where a customer (SPID) has submitted an application for reassessed charges but the application has not yet concluded. This deferral application is known as **COVID Vacancy (UNM)**.

A separate template specifically for this type of application has been created. The template is the same structure as the COVID Vacancy template with one additional field added:

SW Case Reference - the Scottish Water case reference for the reassessment application must be provided in this field where the application relates to a premises which has an open reassessment application (case) with Scottish Water.

The same filename and email conventions apply as per the other processes and as set out in section 2.1. As with the existing process, all application types can be submitted on a single email.

Filename format

[yyyymmdd]-[LP_ID]-[Category] (i.e. **20200511-SW-COVID Vacancy (UNM)**)

Files that do not adhere to this naming convention may not load and therefore could be rejected or significantly delay processing.

Emailing applications to Scottish Water:

In order to ensure consistency and that Scottish Water can easily identify emails relating to the scheme and identify which Licensed Provider has submitted an application and enable acknowledgement of applications, the process will require a standard email subject line and a new email mailbox has been set-up to administer the scheme.

Please use the Email Subject line: **[yyyymmdd]-[LP_ID]-COVID19** (i.e. **20200511-SW-COVID19**)

Restrict applications to **one submission (email)** per day

Email to: WCDS@scottishwater.co.uk

Emails should be password protected with the designated password provided by Scottish Water