

| MARKET CODE CHANGE PROPOSAL | | | | Form Version 1.2 |
|--|--|---|-------------------------------------|------------------|
| Market Code Change Proposal Ref (Assigned by CMA) | | MCCP074 | Version Number (Assigned by CMA) | 3.0 |
| Title of the change | | Late Partial Escalation Process | | |
| 1. GENERAL DETAILS | | Proposers are reminded that Change Proposals must be countersigned by the Proposer's Contract Manager or the person designated by the signatory to the Market Code Framework /Accession Agreement | | |
| Company: | CMA | Org ID if assigned: | | |
| Signature: | Gary Craig | Date: | 26 th November 2010 | |
| | | Name: | Gary Craig | |
| Contact details for the Proposal - the contact should be able to deal with queries regarding this Market Code Change Proposal and need not be the same person who has countersigned the Change Proposal | | | | |
| Name: | | Gary Craig | | |
| Email Address: | | Gary.craig@cmascotland.co.uk | | |
| Telephone and or Mobile: | | 01786 468 867 | | |
| Number of Associated Documents | 00 | Name or link to documents | CSD0101 and 0301 | |
| If the MCCP will also affect the Operational Code, an OCCP must also be raised | | | | |
| Indicate if there is an associated OCCP | | NO | OCCP Ref: CMA use only | |
| URGENT – IF PROPOSER HAS INDICATED THIS MCCP IS URGENT, STATE REASONS HERE The CMA Chief Executive will review this information and make a decision as to whether to take this MCCP forward as urgent as defined as under Market Code Part 8.7.1 (ii) (e) | | | | |
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| 2. MARKET CODE CHANGE PROPOSAL DETAILS | | | | |
| A | ISSUE or DEFECT WHICH THIS MARKET CODE CHANGE PROPOSAL SEEKS TO ADDRESS required under Market Code Part 8.7.1 (ii) (b) | | | |
| <p>The Market Auditor intimated that the manual notification to Trading Parties where T003 / T009.2 transactions were not sent in respect of a T002.0 transaction was insufficient, and requested an automated proposal.</p> <p>Following initial submission of this MCCP, the Technical Panel rejected this proposal, stating it was costly and unnecessary as it did not resolve the underlying issues with the lack of responses.</p> <p>As a result, the CMA is proposing to change the Market Code to reflect the current position that reports are issued on a monthly basis, along with the relevant CSDs.</p> <p>In addition, the CMA will look to enhance the current report and send each Participant an individualised list to the relevant Contract Manager.</p> | | | | |

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| B | DESCRIPTION OF NATURE AND PURPOSE OF THE CHANGE AND HOW IT MEETS THE MARKET CODE OBJECTIVES AND PRINCIPLES FOR THE MARKET DOCUMENTS required under Market Code Part 8.7.1 (ii) (c) | | | | | | | | |
| <p>The Proposer should indicate which principles the change supports and whether there is any adverse effect on any principle(s).</p> <table border="0"> <tr> <td>a) Proportionality</td> <td>e) Barriers to entry</td> </tr> <tr> <td>b) Transparency</td> <td>f) Customer contact</td> </tr> <tr> <td>c) Simplicity, cost-effectiveness and security</td> <td>g) Non-discrimination</td> </tr> <tr> <td>d) Non-exclusivity</td> <td>h) Not detrimental to Scottish Water's core functions</td> </tr> </table> | | a) Proportionality | e) Barriers to entry | b) Transparency | f) Customer contact | c) Simplicity, cost-effectiveness and security | g) Non-discrimination | d) Non-exclusivity | h) Not detrimental to Scottish Water's core functions |
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| d) Non-exclusivity | h) Not detrimental to Scottish Water's core functions | | | | | | | | |
| The proposals support transparency of information to Participants and represent a simplified, cost effective solution. | | | | | | | | | |
| C | IMPACT – required under Market Code Part 8.7.1 (ii) (d), (f) and (g) | | | | | | | | |
| <p>The Proposer should indicate the sections of the Market Code affected, whether the Operational Code or CSDs, Wholesale Services Agreement or License is impacted and whether there are likely to be implications on:</p> <table border="0"> <tr> <td>a) Central Systems</td> <td>c) CMA Interfaces/ Processes</td> </tr> <tr> <td>b) Trading Party's systems</td> <td>d) Trading Party's business processes</td> </tr> </table> | | a) Central Systems | c) CMA Interfaces/ Processes | b) Trading Party's systems | d) Trading Party's business processes | | | | |
| a) Central Systems | c) CMA Interfaces/ Processes | | | | | | | | |
| b) Trading Party's systems | d) Trading Party's business processes | | | | | | | | |
| The proposals will not have any impact on the Central Systems or Trading Party's systems. The proposal will create an additional manual interface with Trading Parties however this will pass information to them to allow them to take necessary action. | | | | | | | | | |
| D | DRAFT LEGAL TEXT – required under Market Code Part 8.7.1 (ii) (d) | | | | | | | | |
| <p>CSD0101 will be updated with the following:</p> <p>Late Partial Registration Application In the event that a Partial Registration Application(s) has not been received within 5 Business Days, of the CMA issuing the T002.0(Notify New SPID) to the Licensed Provider(s), or the Licensed Provider(s) has not submitted a T009.2 (Error/Notification) at step d above, the CMA will escalate the matter <u>on a monthly basis by provision of a bespoke report</u> to that Licensed Provider's Contract Manager.</p> | | | | | | | | | |
| 3. IMPLEMENTATION DETAILS - PROPOSED IMPLEMENTATION DATE OR LEAD TIME | | | | | | | | | |
| Timescale must not overlap with the period of consultation with the Commission and should take account of the impacts identified in Section C. Any quoted lead time should commence from date of approval. | | | | | | | | | |
| This change will be implemented as part of the March 2011 Software Release. | | | | | | | | | |
| 4. ANY OTHER COMMENTS | | | | | | | | | |
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The full text of the objectives and principles for the Market Code are set out in The Water Services (Codes and Services) Directions 2007 which can be downloaded from the Commission's website (http://www.watercommissioner.co.uk/view_Directions.aspx)