

MARKET CODE / OPERATIONAL CODE CHANGE PROPOSAL

Form
version 2.3

Change Proposal reference
(To be completed by the TP Sec.)

MCCP209

Version No.

D.2

PART A — SUBMISSION

A.1. GENERAL DETAILS

A.1.a. TITLE SAA Absence Codes

A.1.b. COMPANY CMA

Change Proposals must be authorised by the person designated by the signatory to the Market Code Framework / Accession Agreement

A.1.c. AUTHORISED
SIGNATURE

NAME

A.1.d. CONTACT NAME

Neil Cohen

CONTACT EMAIL;
TEL/MOB.

Neil.cohen@cmascotland.co.uk
0117 942 3272

A.1.e. ASSOCIATED
MCCP / OCCP

A.1.f. ASSOCIATED
DOCS.

A.1.g. PROPOSED
URGENCY

NON-URGENT

A.1.h. REASONS FOR
URGENCY

The CMA CEO will review this information and make a decision as to whether to take this MCCP / OCCP forward as urgent as defined under Market Code Part 8.9.1

A.2. MCCP / OCCP DETAILS

A.2.a. ISSUE OR DEFECT WHICH THIS MCCP / OCCP SEEKS TO ADDRESS Required under Market Code Parts 8.7.1 (ii) (b) and 8.8.1 (ii) (b)

An issue was brought to the attention of the CMA in early October, 2016 which identified that some notification transactions from the CMA were not consistent with current XML Schema validation rules.

Whilst Schema validation is applied by the CMA Central Systems (CMA CS) to incoming messages from Trading Parties, no such validation is applied to outgoing messages from the CMA CS. The consequence of this is that in some cases, Trading Party systems need to work round certain messages from the CMA CS, as a result of there being message content that does not conform to the current CMA CS Schema.

The reason behind this is that the data held on the CMA CS is almost entirely under the ownership of the Trading Parties (either SW or LPs) and has arisen from Trading Party submissions, made over the period from market opening to the present time, during which Schema validation has developed and evolved. As a consequence, some data submissions which were valid at the time of submission would not now pass validation.

However, given the data ownership and the uncertainty as to what the valid data item should be in some cases, it is not possible for the CMA to modify all of this data. Nor would it be appropriate for the CMA to not issue such data in its outgoing messages, as this would be a breach of the Market Code and would undermine the smooth running of the market arrangements. Therefore, Schema validation is not applied to outgoing messages from the CMA CS.

It should also be noted that this is a legacy issue only, given that Schema validation is now in a well evolved state.

A.2.b. DESCRIPTION OF THE NATURE AND PURPOSE OF THE MCCP / OCCP AND HOW IT MEETS THE MARKET CODE / OPERATIONAL CODE OBJECTIVES AND PRINCIPLES FOR THE MARKET DOCUMENTS Required under Market Code Parts 8.7.1 (ii) (c) and 8.8.1 (ii) (c)

General Description

Two separate approaches are proposed to deal with this issue:

- A large number of the current data items (of the order of 160,000 records) that are not consistent with the Schema validation are those where, for particular SPIDs, there is neither a D2037 SAA Reference, nor a D2038 SAA Ref Absence Code, and/or neither a D2039 UPRN, nor a D2040 UPRN Absence Code; current rules require that either a ref or an associated absence code should be provided.

This MCCP seeks to establish a suitable SAA Ref Absence Code and UPRN Absence Code (in both cases; 'TS' – To Be Supplied) which can then be uploaded to the CMA CS for these SPID records using a one-off data upload script.

It should be noted that any data changes should only be undertaken by the data owner (which is SW for absence codes). However, in this case, the proposed data upload is merely a technical change from there being two empty fields to there being a 'TS' in the absence code field – either for the SAA Refs or for the UPRNs as the case may be. This is considered to be merely a technical change to bring the data records into better compliance with Schema

rules and may therefore be executed by the CMA, using a one-off script approach.

- For the remainder of data items that are not consistent with current Schema validation (of the order of 6,000 records), CMAPx171 is being progressed, whereby a report will be provided to Trading Parties on a periodic basis, identifying those data items.

Principles and Objectives affected
CMA Guidance Note GN009 may be referred to for assistance with this section

PRINCIPLE	AFFECTED (Y/N)	DESCRIPTION
Proportionality	Y	A new absence code for both SAA Refs and UPRNs, along with a one-off script to upload these to relevant SPIDs will avoid participant effort to work round Schema warnings and validation issues and will avoid enquiries for such.
Transparency	Y	The use of these new absence codes will make it clear that references or more suitable absence codes remain outstanding for relevant SPIDs.
Simplicity, Cost-effectiveness, and Security	Y	This proposal will replace enquiries and remedial action with better compliance of data.
Non-exclusivity	N	
Barriers to Entry	N	
Customer Contact	N	
Non-discrimination	N	
Non-detrimental to SW Core Functions	N	
MC / OC OBJECTIVES	N	

A.2.c. IMPACT
Required under Market Code Parts 8.7.1 (ii) (d), (f) and (g), and 8.8.1 (ii) (d) and (f)

CONFIGURED ITEM	IMPACTED (Y/N)	DESCRIPTION
MC / OC	N	
CSDs	Y	See CSD0301 changes.
Wholesale Services Agreements	N	

Licenses	N	
CMA Central Systems	Y	New absence codes to be established.
CMA business processes	N	
Trading Party systems	Y	New absence codes need to be recognised.
Trading party business processes	N	

A.2.d. DRAFT LEGAL TEXT
Required under Market Code Parts 8.7.1 (ii) (d) and 8.8.1 (ii) (d)

CSD0301 should be modified as follows:

Table 3.2 Valid Sets should be modified, as follows (see red text);

D2038	SAA_Reference Number Absence Code	NR	Property Not Yet Rated
		ME	Missing Entry From SAA
		AG	Agricultural Land, Buildings and Troughs
		SR	Fish Farms, Fishing and Sporting Rights
		RC	Parks, Allotments and Sports Grounds
		MT	Multi-Tenancy
		CU	Cumulo Supply Point
		IP	Infrastructure Project
		BW	Building Water
		CP	Car Park
		TS	To be Supplied
	OT	Other	
D2040	UPRN Absence Code	ME	Missing Entry From the OSG
		AG	Agricultural, Including Troughs
		SR	Fish Farms, Fishing and Sporting Rights
		RC	Parks, Allotments and Sports Grounds
		MT	Multi-Tenancy
		CU	Cumulo Supply Point
		IP	Infrastructure Project
		PL	Not Yet Issued by Planning
		BW	Building Water
		TS	To be Supplied
			OT

A.3. IMPLEMENTATION DETAILS

A.3.a. 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 A.2.c. Any quoted lead time should commence from date of Approval.

September 2017.

A.3.b. ANY LIMITATIONS OR DEPENDENCIES FOR IMPLEMENTATION

A.4. ANY OTHER COMMENTS

Indicative User Requirements for the proposal are as follows:

UR 1 New Absence Codes. The valid sets for the D2038 SAA Ref Absence Code and the D2040 UPRN Absence Code should be amended, such that each should also include: TS, with the description 'To Be Supplied'.

UR 2 Absence Code Upload Script. A one-off script should be developed and executed, as follows:

UR 2.1 Script Functionality. The script should undertake the following functions:

- For each SPID that has a status of New, Partial, Tradable or TDISC,
- If for any such SPID, there is neither a D2037 SAA Reference Number, nor a D2038 SAA Ref Absence Code, then add a D2038 SAA Ref Absence Code of TS.
- If for any such SPID, there is neither a D2039 UPRN, nor a D2040 UPRN Absence Code, then add a D2040 UPRN Absence Code of TS.

UR 2.2 Reporting. Following the script run, a report should be created, with the following content:

- SPID, for each SPID that has been updated, either with a D2038 SAA Ref Absence Code, or with a D2040 UPRN Absence Code.
- D2038 SAA Ref Absence Code Updated to TS
- D2040 UPRN Absence Code Updated to TS
- Total Number of SPIDs with a D2038 SAA Ref Absence Code Update
- Total Number of SPIDs with a D2040 UPRN Absence Code Update.

PART B — TP ASSESSMENT

B.1. ASSESSMENT PROCESS

B.1.a. ASSESSMENT START DATE	2017-01-19	ASSESSMENT END DATE	2017-02-16
B.1.b. IMPACT ASSESSMENT REQUIREMENT	IA NOT REQUIRED		
B.1.c. CONSULTATION REQUIREMENT	TP CONSULTATION NOT REQUIRED		
B.1.d. ASSOCIATED DOCUMENTS (to this Part B)			

B.2. ASSESSMENT DETAILS

B.2.a. CHANGE SPEC AND IMPACT (IF DIFFERENT FROM THAT ORIGINALLY SUBMITTED)

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B.2.b. CMA INTERNAL SYSTEMS IMPACT

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B.2.c. DRAFT LEGAL TEXT (if different from that originally submitted)

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B.2.d. TP ASSESSMENT Taking into account complexity, importance and urgency, and having regard to whether or not such proposal is within the relevant Objectives and Principles as required under Market Code Parts 8.7.1 (v) and 8.8.1 (iv)

Impact on Principles and Objectives (if different from that originally submitted)	
Cost Estimate	CMA Cost Modelling suggests £11k
Benefit Estimate (L: < 10k, M: £10k to £100k, H: > £100k)	Avoids enquiries, manual remedial effort etc. Assume 5 man-days/yr: £18.75k – M.
B.3. TP DECISION	TP APPROVED
B.4. FINAL TP VIEWS	Unanimously approved at TP 16 th February 2017
B.5. PLANNED IMPLEMENTATION DATE	September 2017

WITHDRAWN BY PROPOSER?	No
COMMENTS	
DATE OF WITHDRAWAL	

PART C — COMMISSION APPROVAL

C.1. DATE FINAL REPORT ISSUED TO COMMISSION	2017-03-01
C.2. APPROVAL STATUS	APPROVED CHANGE
C.3. DATE OF APPROVAL STATUS	2017-03-20
C.4. COMMISSION RESPONSE REFERENCE	

PART D — IMPLEMENTATION

D.1. IMPLEMENTATION DATE	Sept 2017
D.2. IMPLEMENTATION DETAILS (MC version, CSD versions, CMA Central Systems release number, etc.)	
CSD0301 v16	