

2021 WCDS – Application and File Submission Procedural Notes

V1.0

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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 2021 WCDS. The document also outlines the data validation and business rules that will be used to validate applications. There is one main scheme with three sub-elements for amending application data and exiting the scheme. The detailed requirements for each of the scheme elements are detailed in this document.

2. Application templates and submitting applications to Scottish Water

There are 2 main schemes. The **COVID Charges Deferral** and the waiving of unmeasured volumetric charges (COVID Vacancy (UNM)). An individual template (submission file) provided by Scottish Water needs to be submitted to enter the 2021 WCDS. The template(s) can contain multiple SPIDs and act as a bulk submission. For the 2021 WCDS applications are **processed at a SPID level, so if submitting for a customer/premises that has both a Water and Sewer SPID, both SPIDs should be on the template(s)**.

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, rename 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 Charges Deferral | Applies to premises/businesses where deferral of charges has been requested by customers (Deferring Customer) or where Licensed Providers auto-enrol valid customers who have not engaged (Non-Engaging Customer]. ONLY applies to <u>Drainage only premises (SPIDs), unmeasured</u> | COVID Charges Deferral |

| | | |
|----------------------------|---|----------------------------|
| | <u>premises (SPIDs) and metered premises (SPIDs) where all meters are of a chargeable size 25mm and below.</u> | |
| COVID Vacancy (UNM) | Volumetric charge removal – applies to PSEUDO metered, unmeasured gap site premises or those that have requested reassessment but have not yet been processed – See Section 11 | COVID Vacancy (UNM) |

There are an additional 2 templates that allow for changes to customers successfully accepted into the COVID Charges Deferral scheme. These allow changes to the Deferral% and the Customer Type (i.e. changing from Non-Engaging Customer to Deferring Customer). These are outlined in SECTION 6.

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.

Filenames:

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

[yyyymmdd]-[LP_ID]-[Category] (i.e. **20210601-SW-COVID Charges Deferral**)

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 specific email mailbox has been set-up to administer the scheme.

Please use the Email Subject line: **[yyyymmdd]-[LP_ID]-COVID21** (i.e. **20210601-SW-COVID21**)

Restrict applications to **one submission (email)** per day (each email submission can contain multiple templates)

Email to: WCDS@scottishwater.co.uk

2.2 Application declaration

An application declaration must accompany ALL applications into the scheme(s) and changes (Customer Type and Deferral %) to existing applications already in the scheme. Failure to submit a valid declaration with an application(s) will result in the entire email applications being rejected in full.

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 | Required | Validation | Data Format | Applicable Scheme or change / Template |
|----------------------------------|---|---|-------------------------|--|
| CMA LP_ID | Mandatory | Valid LP ID | CMA LP_ID | COVID Charges Deferral COVID Vacancy (UNM) Deferral% Customer Type EXIT COVID Charges Deferral |
| Submission Date (dd/mm/yyyy) | Mandatory | Valid format is not a future date | date: dd/mm/yyyy | COVID Charges Deferral COVID Vacancy (UNM) Deferral% Customer Type EXIT COVID Charges Deferral |
| SPID | Mandatory | Valid SPID (Tradable) | 12 DIGIT SPID Reference | COVID Charges Deferral COVID Vacancy (UNM) Deferral% Customer Type EXIT COVID Charges Deferral |
| Effective From Date (dd/mm/yyyy) | Mandatory | Valid format >=01/05/2021 (Charges Deferral) | date: dd/mm/yyyy | COVID Charges Deferral COVID Vacancy (UNM) Deferral% Customer Type EXIT COVID Charges Deferral |
| Customer Deferral Type | Mandatory | MUST BE: Deferred Customer or Non-Engaging Customer | Text | COVID Charges Deferral |
| 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. Business rules 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.

| Details of the business rule validation that will be applied to applications. | | | | | | | | | |
|---|--|--|--|--|--|--|--|--|--|
| Deferred Charges (COVID Charges Deferral) | | | | | | | | | |
| 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 | | | | | | | | | |
| SPID must be registered to the submitting Licensed Provider | | | | | | | | | |
| Unmeasured Volumetric Charge - Waiver (COVID Vacancy UNM) | | | | | | | | | |
| 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 or have a Pseudo meter | | | | | | | | | |
| SPID must be registered to the submitting Licensed Provider | | | | | | | | | |
| SPID must be occupied | | | | | | | | | |

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

5. 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.

For COVID Charges Deferral applications that have been approved, Scottish Water will send a Retrospective Amendment to update the D2006 (29e) to the deferral % value requested at the CMA, no transaction response will be sent to the LP from the CMA. Depending on volumes these may have to be batched over a weekend or a number of days.

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

6. Making changes to SPIDs already in the COVID Deferred Charges scheme – Customer Type / Deferral %

A customer's circumstances may change and as a result changes may need to be made to SPIDs in the COVID Deferred Charges scheme. Licensed Providers can make the following changes:

1. Update a customer from a **“Non-Engaging Customer”** application to a **“Deferring Customer”**
2. Change the deferral % that applies to SPID(s)

Updating a customer from “Non-Engaging Customer” to “Deferring Customer”

Applications for “Non-Engaging Customer” customers are automatically removed from the scheme at the end of October 2021. If a customer engages during this time and agrees to a payment plan and wishes to remain in the scheme the Licensed Provider will need to inform Scottish Water. The

Licensed Provider can update the application records by submitting the **Customer Type** template to Scottish Water.

The Licensed Providers only needs to provide the following detail in the template and Scottish Water will update the SPIDs from “Non-Engaging Customer” to “Deferred Customer”:

CMA LP_ID

Submission Date

SPID(s)

1. Email the completed template with the following filename and email subject text:
Filename: **yyyymmdd-[LPID]-Customer Type (i.e. 20210601-SW-Customer Type)**
Email Subject line: **yyyymmdd-[LPID]-COVID21 (i.e. 20210601-SW-EXIT COVID21)**
2. Email to WCDS@ScottishWater.co.uk

Scottish Water will acknowledge receipt of the request within 1 Business Day

Amending the deferral %

A Licensed Provider can change the deferral % that applies to a successful application. This CAN ONLY be changed with current effect (NO BACKDATING (or future dating) of deferral % is permitted). The Licensed Provider can amend the deferral % by completing the **Deferral%** template and submitting this to Scottish Water. The effective from date of the change should be no earlier than 5 business days of the submission date of the template.

The Licensed Provider only needs to provide the following data on the template:

CMA LP_ID

Submission Date

SPID(s)

Effective From Date

Deferral%

1. Email the completed template with the following filename and email subject text:
Filename: **yyyymmdd-[LPID]-Deferral% (i.e. 20210601-SW-Deferral%)**
Email Subject line: **yyyymmdd-[LPID]-COVID21 (i.e. 20210601-SW-EXIT COVID21)**
2. Email to WCDS@ScottishWater.co.uk

7. Challenging rejected applications

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

1. Missing declaration
2. Data file error or naming convention errors
3. Missing mandatory data
4. Failed business rule specific to the scheme (i.e. SPID is is invalid, metered SPID is >25mm chargeable etc.)
5. 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, 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 email subject:

yyymmdd-[LPID]-Challenge (i.e. 20210601-SW-Challenge)

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 |

The email should be sent to normal mailbox:

Email: WCDS@ScottishWater.co.uk

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) – only applies to COVID Charges Deferral

Where a customer wishes to exit the COVID Charges Deferral scheme early, that is prior to the official scheme end date they are entitled to do so. The Licensed Provider MUST inform Scottish Water.

Exiting COVID Charges Deferral

The Licensed Provider will need to:

1. Select the appropriate Effective From date to have the COVID Charges Deferral removed (removal of the deferral % at the CMA). To remove the SPID(s) from the scheme completely, the Licensed Provider should use the original date the SPID(s) entered the scheme. Any date after this date will partially remove the SPID(s) from a specific date leaving a time period of deferral applicable from the original application date to the exit date.

2. Complete the EXIT template for COVID Charges Deferral 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 Charges Deferral (i.e. 20210601-SW-EXIT COVID Charges Deferral)**
Email Subject line: **yyyymmdd-[LPID]-COVID21 (i.e. 20210601-SW-EXIT COVID21)**
4. Email to WCDS@ScottishWater.co.uk
5. Scottish Water will acknowledge receipt of the EXIT request within 1 Business Day.
6. **Scottish Water updates the 29e (% Deferral) to 0% at the CMA from the submitted Effective From date**

COVID Vacancy (UNM) can be exited at any time by the Licensed Provider updating the SPID(s) to occupied at the CMA – there is no requirement to inform Scottish Water by completing the EXIT template.

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 Licensed Provider should follow the steps in Section 8 (EXIT) to remove SPIDs from the scheme when a transfer is approved.

If Scottish Water identifies SPIDs in the scheme which have switched but have not exited the scheme, Scottish Water will exit those SPIDs from the transfer date.

10. COVID Vacancy (UNM). Applications for volumetric (charge) removal for Pseudo metered, unmeasured premises subject to an outstanding reassessment application

This section covers the process for submitting applications for Volumetric removal. This application is known as **COVID Vacancy (UNM)**. A separate template specifically for this type of application has been created.

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.

Filename format

[yyyymmdd]-[LP_ID]-[Category] (i.e. **20210601-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]-COVID21 (i.e. 20210601-SW-COVID21)

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

Email to: WCDS@scottishwater.co.uk