MSATS PROCEDURES: CATS PROCEDURE PRINCIPLES AND OBLIGATIONS

QUICK REFERENCE GUIDE

Change Retailer (FRMP)

Change Reason Code	Description	Chapter & Page No
1000, 1010 (Small only), 1020 (Large only), 1030, 1040	Change Retailer	Ch 6, Page 53
1021, 1022, 1023, 1024, 1025, 1026, 1027, 1028, 1029 (All these codes are for Small only)	Change Retailer - Error Corrections (Small NMIs only)	Ch 7, Page 60
1050,1051 (Both codes are for Large only)	Change Retailer – Where FRMP is NOT the RP	Ch 8, Page 66
1080, 1081 (Small only), 1082, 1083, 1084	Change Retailer – (ENC) Small or Large	Ch 9, Page 70
1090, 1091 (Both codes are for Large only)	Change Retailer – (ENC) Where FRMP IS NOT the RP	Ch 10, Page 77

Provide Data

Change Reason Code	Description	Chapter & Page No
1500	Provide Actual Change Date	Ch 11, Page 81

Create NMI

Change Reason Code	Description	Chapter & Page No
2000, 2001	Create NMI	Ch 12, Page 83
2003	Create Tier 1 NMI	
2020, 2021	Create NMI (ENC)	Ch 13, Page 86
2500, 2501	Create NMI, Meter, Datastream	Ch 14, Page 89
2520, 2521	Create NMI, Meter, Datastream (ENC)	Ch 15, Page 93

Maintain Metering

Change Reason Code	Description	Chapter & Page No
3000, 3001	Create Metering Installation Details	Ch 16, Page 97
3003	Create Tier 1 Metering Installation Details	
3004, 3005	Exchange of Metering Information	Ch 17, Page 100
3050, 3051	Change Metering Installation Details	Ch 18, Page 103
3053	Change Tier 1 Metering Installation Details	
3080, 3081	Advanced Change Metering Installation Details	Ch 19, Page 106
3090, 3091	Advanced Exchange of Metering	Ch 20, Page 110
3100, 3101	Change Network Tariff Code	Ch 21, Page 114

Maintain Datastream

Change Reason Code	Description	Chapter & Page No
4000, 4001	Create Datastream Details	Ch 22, Page 116
4003	Create Tier 1 Datastream Details	
4004, 4005	Exchange of Datastream Information	Ch 23, Page 118
4050, 4051	Change Datastream Details	Ch 24, Page 120
4053	Change Tier 1 Datastream Details	

Maintain NMI

Change Reason Code	Description	Chapter & Page No
5070, 5071	Update Next Scheduled Read Date	Ch 25, Page 123
5001, 5021	Backdate NMI Start Date	Ch 26, Page 125
5050, 5051	Change NMI	Ch 27, Page 129
5053	Change Tier 1 NMI Standing Data	
5054, 5055	Change NMI (Customer Classification Code)	Ch 28, Page 132
5060, 5061	Change NMI (ENC)	Ch 29, Page 134
5080, 5081	Change Parent EN Name	Ch 30, Page 136
5090, 5091	Make a NMI a Child NMI	Ch 31, Page 138

Change Roles (excluding FRMP)

Change Reason Code	Description	Chapter & Page No
6100, 6110	Change LNSP	Ch 32, Page 140
6200, 6210	Change MDP	Ch 33, Page 142
6300, 6301	Change RP	Ch 34, Page 145
6400, 6401	Change LR	Ch 35, Page 147
6421	Change LR Embedded Network Child	Ch 36, Page 149
6500, 6501	Change ROLR	Ch 37, Page 151
6700, 6701	Change MPB AND / OR MPC	Ch 38, Page 153
6800, 6801	Change Multiple Roles - RP, MDP, MPC, MPB	Ch 39, Page 155

Auto change roles

Change Reason Code	Description	Chapter & Page No
ECLR	Change LR (ENC) Auto	Ch 40, Page 158
EPFR	Change Secondary FRMP (ENP)	Ch 41, Page 159

Notes: EN: Embedded Network, ENC: Embedded Network Child NMI, ENP: Embedded Network Parent NMI.

AEMO only

Change Reason Code	Description	Chapter & Page No
5100, 5101	Standing data updates	Ch 42, Page 160
ROLR	Invoke BCT for ROLR	Ch 43, Page 163
BCxx	Invoke Bulk Change Tool Process	Ch 43, Page 163

Please See DISCLAIMER on the Last Page of this document.

HOW TO USE THIS DOCUMENT

Although this document is lengthy, in most instances you will only need to read one chapter to work out what obligations you have.

All participants should read and be familiar with Chapters 1 to 5, which contain overview material. In particular, it is essential that you read Chapter 2, which defines, for each role, what overall obligations it has with regard to these procedures.

The majority of the document (Chapters 6 to 43) covers specific tasks you might either have to initiate or be notified about, and the rules and obligations you have with regard to them.

For example, if you are intending to change a small customer's retailer, assuming that you are already familiar with Chapters 1 to 5, you would:

- Check the grouping of chapters covering the topic 'Change Retailer' (Chapters 6 to 10).

- Select and then read Chapter 6, which is called 'Change Retailer – Small or Large NMI.

Chapters 1 - 5 *(Confirm overall obligations in Chapter 2 (Obligations by Role))*	• **Introduction** • **Obligation by Role** • **CATS Functionality (an overview)** • **CATS Code and Rules**

Chapters 6 - 43 *(Pick ONE Chapter, e.g.to change a consumer's retailer, choose Chapter 6)*	• **Specific rules and obligations for each role (generally organised by change reason code grouping)**
	
	• **Key Groupings (in order):**
	  • **Change Retailer**
	  • **Provide Data**
	  • **Create NMI**
	  • **Maintain Metering**
	  • **Maintain Datastream**
	  • **Maintain NMI**
	  • **Change Role (other roles)**
	  • **Auto-change Roles (system-generated)**
	  • **AEMO initiated changes**

Chapter 44	• **Access to CATS standing data, including NMI Discovery**
Chapter 45	• **Embedded Networks Overview**
Chapter 46	• **Version History**
Chapter 47	• **Glossary**

The names of chapters 6 to 43 are structured like the following example:

CHANGE ROLE – CHANGE MDP   SMALL OR LARGE

Transaction Grouping

Specific task

NMI size (where applicable)

Once you become familiar with this structure it is relatively easy to work out which chapter you need to select whenever you are initiating a transaction.

If you receive a notification from another participant and are not sure what obligations you have, confirm, from the notification, the change reason code. Then check the 'Quick Reference Guide' at the beginning of this document to confirm what chapter covers this change reason code.

The revision of these procedures is detailed in Chapter 46.

CONTENTS

1. INTRODUCTION

1.1 Context for the CATS Procedures

(a) The CATS Procedures contain the principles that govern consumer transfer, the registration of metering installations and the management of standing data. The procedures also identify the obligations placed on CATS participants. These procedures are applicable to National Metering Identifiers (NMIs) that have a classification of small and large.

(b) MSATS is, in part, a system (the MSATS system) that is operated by AEMO to fulfil its obligations under the National Electricity Rules.

(c) The Consumer Administration and Transfer Solution ("CATS") forms part of MSATS.

CATS is a market wide solution for:

1. The transfer of consumers between retailers where there is an implication for the wholesale settlements process for those retailers;

2. The management of CATS standing data;

3. The administration of National Metering Identifier (NMI) registration; and

4. The facilitation of NMI discovery.

(d) In the CATS Procedures:

1. Words and phrases that appear in italics are defined in the glossary in chapter 47 of these procedures; and

2. Words and phrases which are defined in the National Electricity Rules have the same meaning under the CATS Procedures.

1.2 Purpose and Application of CATS Procedures

1.2.1 Purpose

The purpose of the CATS Procedures is to:

(a) Define the attributes of a connection point for the purpose of consumer transfer.

(b) Provide for the registration of a NMI and associated metering installation components against that connection point.

(c) Facilitate market settlements;

(d) Facilitate and support an efficient industry process for:

1. The transfer of NMIs between retailers;

2. The provision and maintenance of CATS standing data;

3. The provision and maintenance of CATS codes and rules; and

4. The discovery of approved NMI standing data.

(e) Define the roles of CATS participants.

(f) Enable Jurisdictions to convey to CATS participants the rules under which a retail transfer will be approved.

1.2.2 Application

(a) The CATS Procedures apply to Registered Participants in accordance with the Rules. They form part of the MSATS Procedures mentioned in Rules clause 7.2.8.

(b) The procedures apply to Service Providers through the AEMO accreditation process that has been established in accordance with the Rules.

(c) Chapter 1 to 5 and 43 of this (CATS) procedure document applies to both CATS (Small & Large) and WIGS NMIs. All other chapters of the CATS Procedure document apply to NMI Classification Codes of Small and Large only.

1.2.3 Regulatory Framework

(a) The CATS Procedures are subordinate to the National Electricity Rules.

(b)   The CATS Procedures have been prepared in accordance with clause 7.2.8 of the National Electricity Rules.

(c)   A *CATS Participant* may also be bound by other relevant national and Jurisdictional provisions.

1.3   Amendment to these Procedures

(a)   The CATS Procedures may be amended in accordance with clause 7.2.8(b) of the National Electricity Rules.

(b)   The CATS Procedures shall be reviewed by AEMO as required.

(c)   Prior to introducing changes to the CATS Procedures, AEMO shall facilitate a consultative process with Jurisdictions, Participants and Service Providers.

(d)   Changes to these procedures cannot be retrospective.

(e)   Approved changes to the CATS Procedures will take effect at 00:00 hours Eastern Standard Time on the day of effect with due notice being given to Market Participants.

1.4   Access to Data

(a)   A *CATS Participant* has a right to access data stored in *CATS* only as prescribed by the *Standing Data Access Rules.*

1.5   Dispute Resolution

(a)   Disputes which arise between *Registered Participants* in relation to the application or operation of this document must be resolved in accordance with the dispute resolution regime provided under the National Electricity Rules.

(b)   Disputes that arise between *Service Providers* and/or other CATS participants in relation to the application or operation of this document must be resolved in accordance with the dispute resolution regime contained in accreditation agreements established between these parties and AEMO.

1.6   Enforceability of the Procedures

(a)   The CATS Procedures will be enforceable in accordance with clauses 7.2.8(c), 7.2.8 (d) and 7.2.8 (e) of the National Electricity Rules.

1.7   Counting of Days

(a)   Unless otherwise stated, any measure of days identified in these Procedures is given in business days. Business days are as defined in the National Electricity Rules.

1.8   Effective Time of Change

(a)   All changes to NMI master records will become effective at 00:00 hours Eastern Standard Time on the day of effect. This includes consumer transfers and all changes to standing data.

1.9   Related Documents

The CATS Procedures has been prepared with reference to the following documents:

(a)   National Electricity Rules.

(b)   NMI Procedures (AEMO document number ME_GN059v00x) (as amended from time to time).

(c)   MSATS Procedures: Procedures for the Management of Wholesale, Interconnector, Generator and Sample (WIGS) NMIs (as amended from time to time).

(d)   MSATS User Reference Guide.

(e)   *Metrology Procedure* (Part A & B).

(f)   CATS Hints and Tips, which provides hints and tips on how to make best use of the CATS component of the MSATS software (as amended from time to time). This document may also be useful for Information Technology staff involved in developing systems that interface to MSATS.

(g)   Standing Data for MSATS (AEMO document number MT_MA1705v00x) (as amended from time to time).

(h)   Allocation of Embedded Network Codes (AEMO document number MT_GN1710v00X) (as amended from time to time).

(i)   Service Level Procedures for Metering Data Providers.

1.10   Procedure Development History

(a)   These CATS Procedures were developed following extensive industry and jurisdictional consultation on the CATS Configuration rules, which determined the configuration that MSATS would utilise. The document has been reviewed by the authorised Industry Reference and/or Working Group and made available for public consultation.

2. OBLIGATIONS BY ROLE

2.1 Application

(a) The purpose of this chapter is to specify general obligations imposed on each role that is registered in the MSATS system. Specific obligations are also assigned in other chapters.

(b) This chapter applies to the following roles:

1. Financially Responsible Market Participant (FRMP);

2. Network Service Provider (LNSP);

3. Local Retailer (LR);

4. Metering Data Provider Category D (MDP);

5. Metering Provider Category B (MPB);

6. Metering Data Provider Category C (MPC);

7. Responsible Person (RP);

8. Retailer of Last Resort (ROLR);

9. Second Network Service Provider (NSP2);

10. AEMO.

2.2 General Obligations

(a) CATS participants must use best endeavours to select the most applicable transaction code for their proposed transaction.

(b) A CATS participant must not seek access through the MSATS system to the data pertaining to a NMI unless that person has, or had, a known and commercial relationship with the NMI except in the case of NMI discovery.

(c) A CATS participant, other than AEMO, must not use a facility provided in the MSATS system for a purpose other than allowed by these procedures.

(d) A CATS participant must not enter an actual end date into the MSATS system unless that person has a known and commercial relationship with the NMI to which the actual end date refers.

(e) A CATS participant must not use an objection code unless the objection is fair and reasonable.

(f) A CATS participant must not submit information to the MSATS system which cannot be demonstrated, when requested in accordance with the CATS Procedures enforcement process, that the information reasonably represents a business practice of that CATS participant.

(g) CATS participants must use their best endeavours to comply with their obligations contained in the CATS Procedures to ensure that the transfer of a connection point from one FRMP to another FRMP is not delayed.

(h) Where required by a derogation to the Rules, Participants must adopt the arrangements as provided by that derogation.

(i) CATS Participants must ensure, as required under specific obligations within the CATS Procedures, that all new and existing standing data in MSATS is kept current and relevant, for the NMIs they are responsible for.

(j) Unless a different timeframe is specified in this Procedure, the relevant Participant must update the standing data in MSATS within 20 business days of becoming aware that the data is no longer current or relevant.

(k) CATS Participants may request reports from the MSATS system for the NMIs for which it has a relationship.

(l) The timing requirements for the completion of obligations are expressed in terms of a specified number of business days. This means that the obligation must be completed by 11:59 pm EST of the specified business day, excluding today. For example, the phrase "within 2 business days" means by 11:59 pm EST of business day 3 where today is business day 1.

(m) CATS Participants must consider and action as necessary within two business days any requests from incorrectly assigned CATS Participants to correct the Participant allocation in MSATS.

2.3   Financially Responsible Market Participant

The new FRMP must:

(a) Appoint an MDP and RP in accordance with the Rules.

(b) Initiate a change request for the transfer of a NMI in accordance with the applicable jurisdictional rules. Subject to the retrospective and prospective periods in MSATS, the new FRMP must initiate the transfer:

 1. Having the mandatory information required to initiate a valid transfer in MSATS, and

 2. No later than two business days after the conclusion of the cooling-off period, as required by the relevant jurisdiction;

 3. Following a request for field work to be performed at the Connection Point by the LNSP or MP, the transfer is raised in accordance with 1 and 2 above.

(c) Where jurisdictions allow transfers to be raised within the cooling-off period, ensure that a change request cannot complete prior to the end of the cooling-off period.

(d) Ensure that each *small generating unit's connection point* is assigned to the MSGA's Participant ID in MSATS when initiating a retail transfer.

(e) Ensure that only *small generating unit's connection points* are assigned to the MSGA's Participant ID in MSATS.

(f) Manage the transfer process if there are any matters that require attention in regard to the NMI, either from the operation of the MSATS system or from events that are external to the operation of the MSATS system.

(g) Ensure the lodgement of an executed unconditional payment undertaking for the prescribed amount, as advised by AEMO, in accordance with the National Electricity Rules.

(h) Adopt the role of LR for the children in an embedded network where they are the FRMP of the parent NMI.

(i) Ensure that any pending retail transfers, are withdrawn within 210 calendar days of the lodgement of the change request.

(j) Withdraw a change request as soon as practicable, and within two business days, of being aware that the transfer cannot occur.

The new FRMP may:

(k) Object to a change request for the reasons listed in section 4.7 in accordance with these CATS Procedures which define which objections may be used for each change reason code.

(l) After obtaining the consumer's consent, request information for metering data from a MDP or RP.

The current FRMP must:

(m) Ensure that each *small generating unit's connection point* is assigned to their MSGA Participant ID in MSATS.

(n) Ensure that only *small generating unit's connection points* are assigned to the MSGA's Participant ID in MSATS.

(o) Be responsible for wholesale spot market settlement in respect of a *NMI* until the *actual date* of the NMI transfer to a *new FRMP* or until the NMI is classified as 'extinct'.

(p) Remain the current FRMP until the actual change date and be responsible for all consumer billing up to the actual date of change as notified by the MSATS system.

(q) Consider and action as necessary within two business days any requests from incorrectly assigned Participants to correct the Participant allocation in MSATS.

(r) Provide an update of the average daily load to the current MDP where the current FRMP becomes aware of an expected change in the ADL of greater than 20%, other than by advice from the MDP.

(s)   Update or provide the Customer Classification Code established in MSATS for a consumer at a NMI where the Customer Classification Code has changed, within five business days of any new contract with a consumer at that connection point.

(t)   Update the Customer Classification Code established in MSATS within five business days of becoming aware of a change to the Customer Classification Code..

(u)   Establish or update the Customer Classification Code within five business days of the NMI status becoming 'A' in MSATS, where the Customer Classification Code has changed.

(v)   Update or provide the Customer Classification Code established in MSATS within five business days of a Consumer Transfer Change Request being completed, where the Customer Classification Code has changed.

The current FRMP may:

(w)   Object to a change request for the reasons listed in section 4.7 in accordance with these CATS Procedures which define which objections may be used for each change reason code.

2.4   Local Network Service Provider

The new LNSP must:

(a)   Initiate a Create NMI Change Request for each Connection Point supplied within its area. This must be done within two business days of the mandatory data required by the MSATS change request becoming available. This mandatory information includes that consent from a Retailer to be nominated as the FRMP in MSATS has been obtained by the LNSP for each Connection Point prior to initiating the Change Request.

(b)   Consider and action as necessary within two business days any requests from incorrectly assigned Participants to correct a Create NMI Change Request in MSATS.

(c)   Provide, on request from a new FRMP who undertakes the role of Embedded Network Local Retailer, a set/range of NMIs and their checksum to that new FRMP for allocation by that FRMP to the child connection points of an embedded network within 2 business days of receiving the request.

(d)   Provide, on request from a current FRMP who undertakes the role of Embedded Network Local Retailer, one or more NMIs and their checksum to that current FRMP for allocation by that FRMP to the newly formed child connection points of an embedded network within 2 business days of receiving the request.

The current LNSP must:

(e)   Adopt the role of RP, MP and MDP as required by the National Electricity Rules and any derogation to the National Electricity Rules.

(f)   Allocate a NMI and NMI checksum for each connection point in accordance with the NMI Procedures and clause 7.3.1(e) of the National Electricity Rules.

(g)   Provide the average daily load to the current MDP at the time of the creation of a NMI.

(h)   Provide an update of the average daily load to the current MDP where the LNSP becomes aware of an expected change in the ADL of greater than 20%, other than by advice from the MDP.

(i)   ~~Except for NMIs in NSW[1]~~ ~~u~~Update the Customer Threshold Code within five business days of becoming aware that the existing Customer Threshold Code is incorrect for NMIs with a Customer Classification Code of 'BUSINESS' and a NMI status of 'A' or 'D'.

(j)   Update or remove, as required, the Customer Threshold Code for a NMI within five business days of the Customer Classification Code being changed to 'RESIDENTIAL'.

(k)   Provide DLF codes and values to AEMO for the initial population of the DLF code in the MSATS system.

(l)   Update MSATS NMI status to "D" (De-energise) within five business days of the Connection Point being de-energised. The proposed change date shall be the day after the de-energisation for an interval metered connection point or the day of the de-energisation for a Basic metered connection point. .

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[1] ~~The Customer Threshold Code is not mandatory for NMIs in NSW. See also section 4.10.2.~~

(m)   Provide to AEMO by a date defined in the Rules a matching list of DLF codes and associated DLF values.

(n)   Update the MSATS NMI Status to 'A' (Active) within five business day of the connection point being re-energised. The proposed change date shall be the day the connection point is re-energised.

(o)   Update the MSATS NMI Status to X (Extinct) within five business days of becoming aware of the abolition of the Connection Point. The proposed change date shall be the day after the connection point was removed for an interval metered connection point or the day of the removal for a basic metered connection point.

(p)   Ensure that network tariff details for each NMI in its area are stored in the Network Tariff Code field at the Register ID level.

(q)   Subject to any applicable jurisdictional restrictions, use reasonable endeavours to provide NMI and NMI Checksum (other than when this detail is available in MSATS NMI Discovery) to the new FRMP within one business day of a NMI Discovery follow up request for this information from the new FRMP for premises identified in the request by reference to any of the following:

  o   a unique meter identifier held by the Local Network Service Provider: or

  o   a street address; or

  o   the code (DPID) used by Australia Post to provide a unique identifier for postal addresses.

  i.   If a computer search by the LNSP does not produce a unique match for the information provided by the retailer, the LNSP must provide the retailer with any computer matches achieved up to a maximum of 99.

(r)   Subject to any applicable jurisdictional restrictions, provide *NMI Standing Data* (other than data available via MSATS NMI Discovery or the MSATS C7 report) to the new FRMP within two business days of a request from the new FRMP for premises identified in the request by reference to the NMI and Checksum for the premises.

(s)   Consider and action as necessary within two business days any requests from incorrectly assigned Participants to correct a Create NMI Change Request in MSATS.

(t)   Consider and action as necessary within two business days any requests from other CATS Participants to correct erroneous NMI standing data.

(u)   Provide, on request from a new FRMP who undertakes the role of Embedded Network Local Retailer, a set/range of NMIs and their checksum to that new FRMP for allocation by that FRMP to the child connection points of an embedded network within 2 business days of receiving the request.

(v)   Provide, on request from a current FRMP who undertakes the role of Embedded Network Local Retailer, one or more NMIs and their checksum to that current FRMP for allocation by that FRMP to the newly formed child connection points of an embedded network within 2 business days of receiving the request.

The current LNSP may:

(w)   Object to a change request for the reasons listed in section 4.7 in accordance with these CATS Procedures which define which objections may be used for each change reason code.

(x)   Update the Customer Threshold Code for NMIs with a Customer Classification Code of 'RESIDENTIAL'.

2.5   Local Retailer

The current LR must:

(a)   Provide access to historical metering data (up to 12 months or otherwise defined by the relevant jurisdiction) to the newly current FRMP for initial (1st to 2nd) transfer of the NMI. (After the transfer has been effected in CATS or as allowed by jurisdictional requirements.)

The current LR may:

(b)   Object to a change request for the reasons listed in section 4.7 in accordance with these CATS Procedures which define which objections may be used for each change reason code.

	The new FRMP who undertakes the role of embedded network parent must:
(c)	Manage the distribution of NMIs for all children of an embedded network.
(d)	Obtain a set of NMIs for the embedded network from the LNSP of the parent NMI.
(e)	Allocate a name to the embedded network parent NMI and provide the name to AEMO.
(f)	Allocate a name to each embedded network child NMI and provide the name to AEMO.

	The new FRMP (ENLR) who undertakes the role of embedded network parent may:
(g)	Object to a change request in accordance with these CATS Procedures.

	The new FRMP (ENLR) who undertakes the role of embedded network parent must:
(h)	Initiate a create NMI change request for each child connection point in the embedded network. This must be done within 2 business days of the mandatory data required by the MSATS change request becoming available.

2.6 Metering Data Provider

	An MDP must:
(a)	Use reasonable endeavours to provide metering data to the new FRMP within 2 business days of a request for this information from the new FRMP. Jurisdictional rules define the period for which metering data can be requested.
(b)	Use reasonable endeavours to provide historical metering data to the current FRMP within 2 business days of a request for this information from the current FRMP. Historical metering data is for a period of up to 12 months or otherwise as defined by the relevant jurisdiction.
(c)	Where an MDP is to update an interval MDM Datastream status to I (Inactive) for a connection point that is de-energised, the proposed change date must be the day after the connection point is de-energised. *(The datastream status is the key criteria used to include meter data in the settlement process).*
(d)	Where an MDP is to update a basic MDM Datastream status to I (Inactive) for a connection point that is de-energised, the proposed change date shall be the day the connection point is de-energised. *(The datastream status is the key criteria used to include meter data in the settlement process).*
(e)	Where an MDP is to update an MDM Datastream status for either a basic or interval meter to A (Active) for a connection point that is re-energised, the proposed change date must be day the connection point is re-energised. *(The datastream status is the key criteria used to include meter data in the settlement process).*

	The new MDP must:
(f)	Provide the actual change date to the MSATS system for transfers for which it receives a data request for an actual change date. If a manual read has been done, the actual change date must be the meter read date. If more than one meter exists for the NMI, all meters should be read on the date of the actual change date that is being provided.
(g)	Configure the datastream as active or inactive in accordance with the *Metrology Procedure* (Part A & B).
(h)	Obtain the meter register data for a NMI from the RP or a representative of the RP. The meter register data is as defined in Schedule 7.5 of the National Electricity Rules and the Service Level Procedures for Metering Data Providers.
(i)	Operate in accordance with the *Metrology Procedure* (Part B).
(j)	In accordance with the MDP Service Level Requirements, provide data to the current MDP if the current MDP is no longer able to obtain the data for the period where the current MDP is active due to meter churn.
(k)	Use reasonable endeavours to obtain an actual reading where requested but when unable to do so provide an estimate in accordance with jurisdictional requirements.
(l)	Register individual datastreams in the MSATS system as described in the National Metering Identifier Procedure (Document No: ME_GN059v00x). (as amended from time to time).

(m)   Subject to any applicable jurisdictional restrictions, use reasonable endeavours to provide CATS standing data (other than NMI data access information) to the new FRMP within two business days of a request for this information from the new FRMP.

(n)   For metering types 1-4, upon receiving a request from a MPB, provide the NMI suffix information applicable to the metering installation within 2 business days.

The new MDP may:

(o)   Object to a change request for the reasons listed in section 4.7 in accordance with these CATS Procedures which define which objections may be used for each change reason code.

The current MDP must:

(p)   Provide the actual change date to the MSATS system for transfers for which it receives a data request for an actual change date. If a manual read has been done, the actual change date must be the meter read date. If more than one meter exists for the NMI, all meters should be read on the date of the actual change date that is being provided.

(q)   Obtain the ADL from the new LNSP or current LNSP and enter the value into the MSATS system if the ADL has not been entered into the MSATS system.

(r)   Consider and action as necessary within 2 business days any updated ADL information provided by the LNSP or current FRMP.

(s)   Recalculate the ADL for each active datastream at least annually and enter this value in the MSATS system where the calculated value differs by more than 20% from the ADL recorded in MSATS. Where the current ADL is under 5kWh and the newly calculated ADL is found to be still less than 5kWh there is no requirement for the MDP to update the ADL record within MSATS.

(t)   Retain all data for the period as specified by the National Electricity Rules and the MDP Service Level Requirements.

(u)   Forward metering data to other CATS participants in accordance with the *Metrology Procedure* (Part A & B).

(v)   For metering installations that are manually read (NMIs with a metering installation code of BASIC or MRIM), update the Next Scheduled Read Date in MSATS to its new Next Scheduled Read Date within two business days of a meter being read.

(w)   Provide commissioning metering data to the RP in accordance with the Metrology Procedure Part B.

(x)   For metering types 1-4, upon receiving a request from a MPB, provide the NMI suffix information applicable to the metering installation within 2 business days.

The current MDP may:

(y)   Object to a change request for the reasons listed in section 4.7 in accordance with these CATS Procedures which define which objections may be used for each change reason code.

2.7   Metering Provider – Category B

The new MPB must:

(a)   For metering types 1-4, contact the MDP and agree the NMI suffix information prior to updating the MSATS system with all meter register data.

(b)   Upon the installation or re-configuration of the metering installation, update the MSATS system with all meter register data, as agreed with the MDP within 5 business days of becoming the MPB.

(c)   Provide to the new RP and the current LNSP any additional technical information regarding the metering installation within 5 business days of becoming the current MPB.

The new MPB may:

(d)   Object to a change request for the reasons listed in section 4.7 in accordance with these CATS Procedures which define which objections may be used for each change reason code.

The current MPB must:

(e) Provide to the current LNSP any Meter Register data regarding the metering installation that is not recorded in the MSATS system within 2 business days of request.

(f) Provide additional metering installation details to the MSATS system within 2 business days of receiving a data request.

(g) Consider and action as necessary any request to correct erroneous meter details relating to meter register and register identifier information within MSATS within 5 business days of notification.

(h) Upon the configuration of the metering installation, update the MSATS system with all meter register data, as agreed with the MDP within 5 business days of performing a metering configuration change.

The current MPB may:

(i) Object to a change request for the reasons listed in section 4.7 in accordance with these CATS procedures which define which objections may be used for each change reason code.

2.8   Responsible Person

An RP must:

(a) Use reasonable endeavours to provide metering data to the new FRMP within 2 business days of a request for this information from the new FRMP. Jurisdictional rules may allow broader access or more restricted access to this data.

(b) Use reasonable endeavours to provide historical metering data to the current FRMP within 2 business days of a request for this information from the current FRMP. Historical metering data is for a period of up to 12 months or otherwise as defined by the relevant jurisdiction. Jurisdictional rules may allow broader access or more restricted access to this data.

(c) On receipt of commissioning metering data from an MDP, validate the data and respond as necessary to the MDP within 2 business days.

The new RP must:

(d) Ensure that the roles nominated in a MSATS Change Request are correct. Any errors or omissions must be notified to the initiator of the Change Request within two business days of the error or omission being identified.

(e) Ensure that the metering installation meets all requirements prescribed in the National Electricity Rules in accordance with the NMI classification before transfer into the NEM.

(f) Ensure that the meter reading is available in relation to the actual change date.

(g) Ensure that the final meter reading is obtained in relation to a change of a relevant component of a metering installation.

(h) Ensure that all metering data is provided to the current LNSP, the current LR, the current MDP and the current FRMP, from which the NMI was transferred, in accordance with *Metrology Procedure* (Part A & B) and MDP Service Level Requirements to enable the continuity of billing up until the actual transfer date or abolishment date.

(i) Ensure that the metering installation and the communication facilities to the metering installation are in place and remain in place.

The new RP may:

(j) Object to a change request for the reasons listed in section 4.7 in accordance with these CATS Procedures which define which objections may be used for each change reason code.

The current RP must:

(k) Subject to any applicable jurisdictional restrictions, use reasonable endeavours to provide CATS standing data (other than NMI data access information) to the new FRMP within two business days of a request for this information from the new FRMP.

(l) Ensure that any Meter Register data regarding the metering installation that is not recorded in the MSATS system is provided to the LNSP within 5 business days of request.

The current RP may:

(m)   Object to a change request for the reasons listed in section 4.7 in accordance with these CATS Procedures which define which objections may be used for each change reason code.

2.9   Retailer Of Last Resort

The ROLR must:

(a)   Where a *current FRMP* is suspended from the national electricity market, accept responsibility for each *NMI* that is identified by CATS as the responsibility of the *current FRMP*.

The ROLR may:

(b)   Object to a change request for the reasons listed in section 4.7 in accordance with these CATS Procedures which define which objections may be used for each change reason code.

2.10   Second Network Service Provider

The NSP2 must:

(a)   Notify & request the relevant CATS Participant (LNSP, MPB or MDP) to correct any data inconsistency that may exist in MSATS within 2 business days of becoming aware of the error.

2.11   AEMO

AEMO must:

(a)   Continue to invoice (as per Rules requirements) the current FRMP for a second-tier consumer until the second-tier consumer is transferred to another FRMP in accordance with the CATS Procedures.

(b)   Enter the DLF codes provided by an LNSP into the MSATS system within two business days of receipt.

(c)   Maintain changes to codes and rules in the MSATS system in accordance with the MSATS Procedures. AEMO must correct any discrepancies as soon as practicable once identified.

(d)   Use the Bulk Change Tool function provided by the MSATS system to transfer to the nominated ROLR the CATS standing data for all connection points associated with a current FRMP that has been suspended from operating in the market.

(e)   Populate the MSATS system with the embedded network names that had been provided to AEMO by the parent FRMP or the LNSP within 2 business days of receipt.

(f)   Maintain the TNI records in the MSATS system.

(g)   Populate the MSATS system with the NSP2 participant for the appropriate WIGS NMIs.

AEMO may:

(h)   Object to a change request in accordance with these CATS Procedures. This includes objecting to transfers for prudential reasons, Jurisdictional Direction and System Constraints. If required to object, AEMO shall use the most appropriate objection code. If there is no specific code that describes the reason for the objection, AEMO shall use the BLOCK objection code.

(i)   Cancel/withdraw any dormant retail transfers, which remain incomplete 7 months after initiation.

Note: An automatic nightly MSATS processes will Cancel/Withdraw dormant change requests which exceed 220 calendar days.

3. CATS FUNCTIONALITY

3.1 Introduction

(a) The purpose of this chapter is to provide an overview of the functionality and operation of the CATS process.

3.2 Overview of the Operation of CATS

(a) The operation of CATS is based on 14 different types of transactions, as shown in clause 3.4, and a separate retailer of last resort function.

(b) Six transaction types are initiated by CATS participants, whilst eight transaction types are initiated by the MSATS system.

(c) The most significant transaction type is the change request transaction. This transaction type will be used by a CATS participant when submitting new CATS standing data to the MSATS system or changing details of existing standing data.

(d) The change request transaction has a life cycle in which it is created (initiated) and terminated (completed), in accordance with clause 3.6.

(e) If the standing Data being changed by a change request is a role, the status of each role to be changed by the change request is classified as 'new'.

(f) The completion of a change request and the formation of a current NMI master record occur simultaneously within the MSATS system.

(g) The status of each role on the current NMI master record is classified as 'current'.

(h) A change request will be completed on the date nominated as the 'actual change date', if this is a future date, or on the earliest date after the objection logging period has been reached, or all objections have been removed, if the actual change date is a retrospective date.

(i) A change request that has been initiated for the purpose of creating a NMI will use the date nominated as the 'proposed change date' to populate the 'actual change date' and in this way allow the change request to be completed.

(j) A change request carries with it a set of CATS standing data items. The set of data items will vary in accordance with the transaction selected by the CATS participant initiating the change request.. Each reason has a code (the change reason code), as contained in clause 4.2 and Table 4-A.

(k) The change reason codes have been separated into groups of events for the purpose of the CATS Procedures, as shown in Table 3-B. Obligations imposed on CATS participants in regard to change reason codes are contained in chapter 6 to 43.

(l) The next most significant transaction is the NMI Discovery request transaction. This transaction type will be used by a CATS participant when undertaking a search of the CATS standing data. The CATS standing data can be searched using the NMI discovery search transaction, as specified in chapter 44.

(m) The retailer of last resort functionality within the MSATS system is contained in chapter 43.

3.3 Principles

The following principles apply in regard to the functionality of CATS:

(a) A change request must only be submitted to the MSATS system for approved reasons, as specified by change reason codes.

(b) Except for defining an embedded network parent NMI and the nomination of a change of MDP, only one approved person may initiate a change request, as specified in the change request initiating rules.

(c) For defining an embedded network parent NMI, the LR and the LNSP may both initiate a change request.

(d) For the nomination of a change of MDP via a CR 6200 or 6210, the FRMP and the RP may both initiate a change request.

(e) Current and new roles will be notified of a change in the life cycle status of the change request where change request notifications rules have been defined.

(f) A change reason code will contain rules that specify which CATS participant(s) must provide the data for the change request and when the data is required.

(g) A change reason code will contain rules specifying which data will be present in the NMI master record before the change request can be completed.

(h) Jurisdictions will specify rules to control the period in which retrospective information may be accepted by the MSATS system.

(i) Jurisdictions will specify rules to control the period in which an objection may be logged.

(j) If an objection to the change of retailer transaction is submitted by a CATS participant within the objection period, the transfer will not proceed until the objection is cleared. If the objection is not cleared, the transfer transaction will expire and be cancelled and all relevant participants will be notified.

(k) Jurisdictions will specify rules to control the period in which an objection may be cleared.

(l) If there are no outstanding objections to a current change of retailer transaction after the objection logging period has passed, the change request will proceed to completed status and the information contained in the transaction will become the active NMI master record.

(m) Jurisdictions will specify rules to control who is allowed to object to a change request, the reason for the objection and the NMI classification to be assigned to that objection.

(n) After a NMI is created, and prior to the actual change date, the meter(s) and default MDM datastreams may be set up by whoever is nominated as the default party, even if it is tier 1 and not needed for profiling (in accordance with Jurisdictional requirements).

(o) After a NMI is created, and prior to the actual change date, if a datastream is not set up then the entry of the NMI into MSATS should not be delayed.

(p) A change to the MSATS codes or rules will only be allowed in advance. The rules and codes are not able to be applied retrospectively.

(q) The MSATS system will not notify the LR at the time a change of FRMP occurs.

3.4 Transaction Types

(a) The transaction types used by the MSATS system are specified in Table 3-A.

(b) The codes and rules associated with the change request transaction are provided in chapter 4.

(c) The codes and rules associated with all other transaction types are provided in chapter 5.

(d) Acknowledgement and response transactions are dependent on whether online or batch function is invoked.

Table 3-A – MSATS transaction types

Code	Name of transaction type	Initiated by	Description
CR	Change Request	CATS participant	Used to initiate a change request. Submitted by a participant anytime they wish to create or update any portion of standing data.
NOT	Change request status notification	MSATS	Notifies a participant that a change request has been requested, objected, completed or other change in status has occurred.
RDAT	Request for Participant data	MSATS	A request by CATS for provision of the necessary NMI standing data values.
OBJ	Objection	CATS participant	A CATS participant objects to a change request.
WCR	Change request withdrawal	CATS participant	The initiating CATS participant wants to cancel a change request.
WOBJ	Objection withdrawal	CATS participant	The initiating CATS participant wants to cancel an objection.
NMID	NMI Discovery Request	CATS participant	A CATS participant wants to view NMI standing data.
NMIR	NMI Discovery Response	MSATS	The MSATS system sends a CATS participant information about a NMI or an error if the NMI discovery

Code	Name of transaction type	Initiated by	Description
			didn't work.
CRR	Change Request Response	MSATS	The MSATS system responds to a change request with an approval or rejection.
OBJR	Objection Response	MSATS	The MSATS system responds to an objection with an approval or rejection.
ACK	Acknowledgment	MSATS	The MSATS system responds to ALL transactions with an acknowledgment of receipt.
CODE	Codes Update	MSATS	The MSATS system notifies CATS participants of any changes to codes, rules and CATS participant data.
RPTR	Report Request	CATS participant	CATS participant requests a report.
RPTD	Report Data	MSATS	The data generated by a report request.

3.5 Change Requests

(a)   This is a separate transaction type with code CR.

(b)   A change request is the facility by which a CATS participant interacts with the MSATS system in order to effect a change in data to some or all aspects of information regarding a consumer connection point, prior to a transfer, during a transfer or after the transfer has been completed.

(c)   Information about a consumer's connection point include the names and roles of organisations that provide a connection point service to the consumer, the technical details associated with the consumer's metering installation and specific information that would assist retailers in providing competitive offers to consumers.

(d)   A change request is initiated by selecting the transaction type code CR, and the appropriate change reason code. The CATS participant must use best endeavours to select the correct change reason code. The assignment of the change reason codes to various types of events is provided in Table 3-B. A description of the change reason codes is provided in Table 4-A, and in each chapter to which the change reason code applies.

(e)   The population of a change request can be performed in either an on-line interactive mode or an off-line batch mode.

(f)   Only one NMI is allowed on one change request. However, there can be multiple NMI suffixes and multiple meter serial numbers assigned to the one change request.

(g)   Once a change request has been initiated, it will go through a 'status' life cycle (refer clause 3.6).

(h)   When a change request is first received by the MSATS system it will undergo a validation prior to being accepted in the pending validation status, as specified in clause 3.7.

(i)   When submitting a change request to the MSATS system, the change request is 'wrapped' in an aseXML message format. This format is capable of accommodating more than one change request (when submitted via batch processes).

(j)   When using the batch process, the MSATS system will respond to the submission of an initial change request, once validation is complete, with an approval or a rejection using transaction code CRR.

(k)   A change request can be withdrawn by the CATS participant who initiated the change request up until the time the change request is completed.

(l)   The change reason code (refer to clause 4.2) will govern which data items are available to the CATS participant when initiating the change request.

(m)   Within certain change reason codes, data items associated with address information are provided as mandatory information and optional information. Mandatory address information specified as locality, state and postcode, where "locality" has the same meaning as 'suburb'. Optional address information is given in either structured or unstructured format. Clause 44.3 provides additional information in regard to the address data items.

(n)   A change request can only be assigned one DLF code.

Table 3-B – Assignment of change reason codes to market events

Group of events	Description of event	Change Reason Code Assignment
Change Retailer	Small NMI	1000, 1010, 1030, 1040, 1021, 1022, 1023, 1024, 1025, 1026, 1027, 1028, 1029
	Large NMI	1000, 1020, 1030, 1040, 1050, 1051
	Embedded Network small & large	1080, 1081, 1082, 1083, 1084
Provide Data	Provide actual change date small & large (for CR codes 1000, 1030, 1080, 1083, 1010, 1040, 1081, 1084, 6800, 6801, 1050, 1051, 1090, or 1091)	1500
Create NMI	Create a NMI small & large	2000, 2001
	Create a NMI (tier 1)	2003
	Create NMI embedded network (child) small & large	2020, 2021
	Create NMI, metering installation details & MDM datastream small & large	2500, 2501
	Create NMI, metering installation details & MDM datastream for embedded network small & large	2520, 2521
Maintain Metering	Create metering Installation details small & large	3000, 3001
	Create metering Installation details (tier 1)	3003
	Exchange of Metering Information small & large	3004, 3005
	Change metering installation details small & large	3050, 3051
	Change metering installation details (tier 1)	3053
	Advanced Change Metering Installation Details small and large	3080, 3081
	Advanced Meter Exchange small & large	3090, 3091
	Change Network Tariff Code small & large	3100, 3101
Maintain Datastream	Create MDM datastream small & large	4000, 4001
	Create MDM datastream (tier 1)	4003
	Exchange of Datastream Information small & large	4004, 4005
	Change MDM datastream small & large	4050, 4051
	Change Tier 1 Datastream Details	4053
Maintain NMI	Update NSRD small & large	5070, 5071

Group of events	Description of event	Change Reason Code Assignment
	Change a NMI small & large	5050, 5051
	Change a NMI (tier 1)	5053
	Change NMI - Customer Classification Code	5054, 5055
	Change NMI embedded network (child) small & large	5060, 5061
	Backdate NMI start date	5001
	Backdate NMI start date – Embedded Network Child	5021
	Change parent embedded network name small & large	5080, 5081
	Make a NMI a Child NMI	5090, 5091
Change Role	Change LNSP small & large	6100, 6110
	Change MDP small & large	6200, 6210
	Change Responsible Person small & large	6300, 6301
	Change Local Retailer small & large	6400, 6401
	Change Local Retailer (ENC) small & large	6421
	Change ROLR small & large	6500, 6501
	Change Metering Provider small & large	6700, 6701
	Change Multiple Roles Small & large	6800, 6801
System	Change of Local Retailer Embedded Network Child (Auto)	ECLR
	Change of Secondary FRMP –Embedded Network Parent (Auto)	EPFR
AEMO only	Invoke Retailer of Last Resort	ROLR
	Invoke Bulk Change Process	BCxx
	AEMO-initiated standing data updates	5100, 5101
Manage external profiles	Create External Profile [(1)]	2100, 2101
	Change External Profile [(1)]	5110, 5111

Note (1):   Refer to Chapter 7 in the WIGS Procedure for the relevant clauses relating to these change reason codes.

3.6   Change Request Status Life Cycle

(a)   The progression of a change request transaction through the respective statices is based on the principle that transactions will be approved unless an objection is received.

(b)   During its life cycle, a change request may have the status of:

1.   Initiated;

2.   Pending Validation;

3.   Rejected;

4.   Requested;

5.   Objected;

6.   Pending;

7.   Completed;

8.   Cancelled.
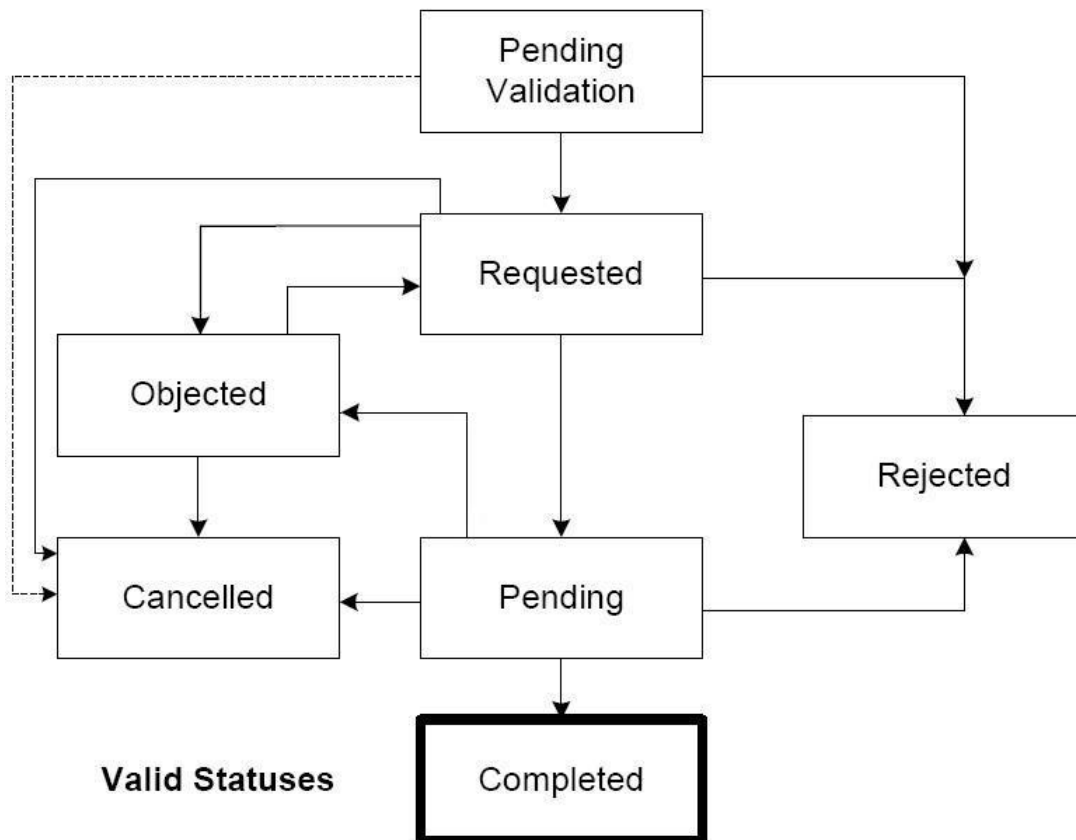
(c)   The initiation status occurs at the time the CATS participant selects the CR code to create a new change request. During the initiation status the CATS participant will select an appropriate change reason code, populate the new change request with the set of data items permitted by the change reason code, and then submit the change request to the MSATS system. The submission can be through the interactive screen or by a batch process.

(d)   The pending validation status is where a transaction has been received by the MSATS system. It has passed initial validation for entry into the MSATS system. However, not all the data that is required to initiate the transaction in CATS may be present in the MSATS system. If any missing data is classified as mandatory for the change request, then the change request will be rejected. If any missing data is classified as mandatory for the NMI master record, then a data request will be sent to the nominated party, and the MSATS system will check for the receipt of that data. There is no time limit imposed by the MSATS system for the provision of this data. However the party that receives the data request must respond in a reasonable time. When all data that is required to be present is present, the change request will be approved.

(e)   The rejected status is where a change request transaction has failed its validation routine. This can occur:

　　　　1.   During the validation of an initial change request whilst the change request is at the pending validation status; or

　　　　2.   At the time of completion of the change request (in rare circumstances where a change to some other data item made after this change request was submitted has now made this change invalid).

　　　When a transaction has been rejected, ALL CATS participants who are associated with the transaction for which notification rules have been defined are notified of the rejected status.

(f)   The requested status is where a transaction has been validated, i.e. there is no missing data. Notifications of the requested transaction are sent to the relevant parties. The objection logging and clearing periods have been identified. Any objections received are validated against the objection rules. No valid objections exist.

(g)   The objected status is where one or more valid objections have been received. Notifications of the objection/s are sent to the relevant parties. This includes details of the objection/s and whether the transaction was already in the objected state. When an objection is withdrawn, the relevant parties will be notified of the details of the withdrawn objection. When the last objection is withdrawn, the transaction status changes back to requested, unless the objection

logging period has expired, in which case the transaction will move to pending status. If the clearing period has expired and an objection that is subject to the objection logging period has not been withdrawn then the status will be changed to CANCELLED.

(h)   The pending status is where no objections have been received, or all objections have been withdrawn and the objection period has passed. The transaction is waiting for the change date to be reached. If the Proposed change date is reached and all required data is present (this includes Actual Change Date), the status will change to Completed. The status will remain Pending whilst any required data remains outstanding or an objection that is not subject to the objection logging period is not raised. Notifications are sent to the relevant parties.

(i)   The completed status is where the objection logging period has passed, all required data is present in the MSATS system and the change date has been reached or is passed. Notifications are sent to the relevant parties.

(j)   The cancelled status is where the transaction will be cancelled if:

   1.   Not all objections have been withdrawn at expiry of the objection clearing period, or;

   2.   The Initiator of the transaction has withdrawn the transaction.

When a transaction is cancelled, notifications are sent to the relevant parties.

3.7   Transaction Validation

(a)   A change request transaction that has been initiated by a CATS participant will undergo several validations by the MSATS system prior to being accepted to the requested status.

   1.   The first validation will check that any data value (code or date) contained in the change request is an approved value in accordance with the codes and rules look-up tables. Validation will be performed on the data contained in the following data items:

   i   Change request ID;

   ii   Jurisdiction;

   iii   Role ID;

   iv   NMI status code;

   v   Read type code;

   vi   Change request code;

   vii   TNI code;

   viii   DLF code;

   ix   Metering installation type code;

   x   Embedded network parent name;

   xi   Embedded network child name;

   xii   Proposed change date.

   2.   The second validation will check that the set of data items populated on the change request are the correct data items for the chosen change reason code and field validation rules. Validation will be performed against the following codes and rules:

   i   Change reason codes, as per Table 4-A;

   ii   Field validation rules: RI, OI, RQ, RD, RA.

   3.   A third validation will check the NMI characters against the checksum.

   4.   A fourth validation will check that the person who initiated the change request submission was a registered CATS participant with active status and able to act in the role that can initiate this transaction. Validation will be performed on the data contained in the following data items:

   i   Participant ID;

   ii   Participant status.

   iii   Participant roles

   5.   A fifth validation will check that the proposed change date and the actual change date are within the range allowed by the change reason code.

6.   A sixth validation will check the proposed change date, the actual change date and the actual end date against the prospective and retrospective time frame rules.

(b)   An objection transaction will be validated against general conditions and rule based conditions, as follows:

1.   General conditions against which a validation of an objection transaction is performed are as follows:

i   The person submitting the objection is a registered CATS participant with active status;

ii   The objection is not a duplicate of an existing objection by that CATS participant;

iii   The role of the CATS participant is in accordance with the objection rules;

iv   The objection is linked to an active change request ID;

v   The status of the change request is either requested or objected.

2.   Rule based conditions against which a validation of an objection transaction is performed are as follows:

i   The CATS participant making the submission is eligible to make the objection in accordance with its new or current status (for the jurisdiction, change reason code and NMI classification).

ii   The objection code is a valid code for the role of that CATS participant in accordance with its: new or current status, jurisdiction, change reason code and NMI classification.

3.   The change request is within its objection period.

4.   That the CR is in a valid status (PEND,REQ,OBJ) for objections that are not subject to the objection logging period.

(c)   A change request will be validated for information regarding embedded networks; as follows:

1.   The embedded network codes will be checked against a list of codes contained in the MSATS system.

2.   The names of the parent and child will be checked to ensure that they are identical;

3.   The child NMI being submitted will be checked against the parent NMI;

4.   A check will be performed for circular relationships;

5.   Prevent changes of the LR from being effected on a child NMI;

6.   Check that if a parent NMI is not active that there are no active child NMIs.

(d)   After the initial change request has been submitted, any subsequent change request submitted by the initial CATS participant to change the data on the initial change request will be validated, as follows:

1.   The NMI on the new change request will be checked against the NMI on the initial change request.

2.   The CATS participant ID on the new change request will be checked against the CATS participant ID on the initial change request.

3.8   Retrospectivity

(a)   The date of transfer can be set to a date that is retrospective to the date when the change request is initiated.

(b)   The retrospective limits are specified in terms of business days.

(c)   The limit to which a date can be retrospective is assigned in accordance with the specific change reason code.

(d)   The retrospective limits are provided in the chapter of this procedure that is relevant to the change request code.

3.9   Embedded Networks

(a)   In the National Electricity Market, there are various embedded networks, which have exempt network licenses, and are allowed to operate as networks, but they are not required by AER to be Registered Participants or do not comply with the National Electricity Rules. These

networks are termed "embedded networks". This procedure outlines the process that NEM participants will be required to comply with in order to register / manage consumers within an exempt network.

(b)   More detail on embedded networks can be found in Section 45 "Embedded Network Overview ".

3.10   Valid proposed change date for prospective and retrospective change requests

3.10.1   Retrospective changes

(a)   Retrospective changes are changes which have 0 days for the Prospective Days on the CATS Jurisdictional Rules for the Jurisdiction / Change Reason Code / NMI Classification combination.

(b)   For a retrospective change, the proposed change date must either be today's date or a date in the past.

(c)   If it is a date in the past it must be within the number of days allowed on the jurisdictional rules for the jurisdiction / change reason code / NMI classification on this change request. The maximum number of days is the value stored in Retrospective Days. At present the maximum number of days in the past for any role change request is 130 business days, the maximum number of days in the past for changing standing data is 140 business days.

(d)   The number of days allowed is the number of Retrospective Days on the CATS Jurisdictional rules for this Jurisdiction / Change Reason Code / NMI Classification combination. There is considerable variation depending on the jurisdiction and change reason code.

Table 3-C lists retrospective change reason codes.

Table 3-C – Retrospective change reason codes

CR Code Change Retailer	CR Code Provide Data	CR Code Create NMI	CR Code Maintain Metering	CR Code Maintain Datastream	CR Code Maintain NMI	CR Code Change Roles
1010	1500	2001	3001	4001	5001	6110
1020		2003	3003	4003	5021	6210
1021		2021	3005	4005	5051	6301
1022		2101	3051	4051	5053	6401
1023		2501	3053	4053	5055	6421
1024		2521	3081		5061	6501
1025			3091		5071	6701
1026			3101		5081	6801
1027					5091	
1028					5101	
1029					5111	
1040						
1051						
1081						
1082						
1084						
1091						

3.10.2   Prospective changes

(a)   Prospective changes are changes which have 0 days for the Retrospective Days on the CATS Jurisdictional Rules for the Jurisdiction / Change Reason Code / NMI Classification combination.

(b)   For a prospective change, the proposed change date must be tomorrow's date or a date after tomorrow.

(c)   The maximum number of days into the future depends on the jurisdictional rules for the jurisdiction / change reason code / NMI classification on this change request. The maximum number of days is the value stored in Prospective Days. At present the maximum allowable number of days into the future for any change request is 65 business days.

Table 3-D lists prospective change reason codes.

Table 3-D – Prospective change reason codes

CR Code Change Retailer	CR Code Create NMI	CR Code Maintain Metering	CR Code Maintain Datastream	CR Code Maintain NMI	CR Code Change Roles
1000	2000	3000	4000	5050	6100
1030	2020	3004	4004	5054	6200
1050	2100	3050	4050	5060	6300
1080	2500	3080		5070	6400
1083	2520	3090		5080	6500
1090		3100		5090	6700
				5100	6800
				5110	

4. CATS CODES AND RULES FOR A CHANGE REQUEST

4.1 Introduction

(a) The purpose of this chapter is to specify the codes and rules used by the MSATS system in controlling all CATS standing data.

(b) This chapter specifies the codes and rules that apply to the CATS process when a CATS participant submits a change request to, or seeks access to standing data from, the MSATS system.

(c) The MSATS system contains the following codes and rules that apply to change request transactions:

1. Change reason codes;

2. Role codes;

3. Initiation rules;

4. Jurisdiction codes;

5. Time Frame rules;

6. Objection Codes;

7. Objection rules;

8. NMI Classification codes;

9. NMI Status codes;

10. Metering installation codes;

11. Read Type codes;

12. Field Validation rules;

13. Change Request Status Notification rules;

14. Customer Classification Code; and

15. Customer Threshold Code.

4.2 Change Reason Code

(a) The change reason codes control the rules governing the population of data in a change request and in the MSATS system.

(b) For each change reason code, the following parameters are defined:

1. The parties that are permitted to initiate a change request.

2. The data items that can be populated in the change request.

3. The items of other data that must already be present in the database before the change request can be completed.

4. Whether another party must supply the exact date of the change (i.e. is the MDP required to supply the actual meter read date to complete the transaction).

5. The date range window (whether it is prospective or retrospective and the number of days into the past or future for the transfer date).

6. The period during which objections may be lodged.

7. The time after which a transaction will be cancelled if all objections (if any) have not been cleared.

8. The roles that will be notified of the change request, and at what stages in the change request process that they will be notified.

9. The parties who can object to the proposed change and the basis for objection.

(c) For any change reason code, some of these elements are only defined globally (i.e. they apply in all jurisdictions) and others are defined separately for each jurisdiction.

(d) For a specific change reason code, each jurisdiction has its own rules for:

    1. The date range for logging and clearing objections.

    2. The date range during which the change request can be effected (number of days into the future or past acceptable for the proposed change date).

    3. Objections (rules that govern which roles can object and with what objection codes, by NMI classification).

(e) The valid change reason codes and a brief description of each code are provided in Table 4-A.

Table 4-A – Change reason codes

Code	Description	Prepare initial change request
1000	Change Retailer	New FRMP
1010[1]	Change Retailer – Retrospective – Align to Meter Read	New FRMP
1020[4]	Change Retailer–Retro–Long Term/Error (not SMALL)	New FRMP
1021	Error Correction – Missed CR 1500	New FRMP
1022	Incorrect transfer date	New FRMP
1023	New NMI – LNSP set up wrong Retailer in MSATS	New FRMP
1024	Transfer missed	New FRMP
1025	Transferred in error	New FRMP
1026	Cooled Off	New FRMP
1027	Customer Moves Out on or before CR completion date	New FRMP
1028	Non-account holder signs contract	New FRMP
1029	Other Error Corrections (NMI Class SMALL only)	New FRMP
1030	Change Retailer – Move-In	New FRMP
1040	Change Retailer – Move-In – Retrospective	New FRMP
1050	Change Retailer – Large Consumer Where FRMP is not RP	New FRMP
1051	Change Retailer – Retrospective Large Consumer Where FRMP is not RP	New FRMP
1080	Change Retailer – Embedded Network Child NMI	New FRMP
1081[1]	Change Retailer – Embedded Network Child NMI – Retrospective Align Meter Read	New FRMP
1082	Change Retailer Embedded Network Child – Retrospective Long Term / Error	New FRMP
1083	Change Retailer Embedded Network Child NMI – Move In	New FRMP
1084	Change Retailer Embedded Network Child NMI – Move In – Retrospective	New FRMP
1090	Change Retailer – Large Consumer Embedded Network Child NMI - Where FRMP is not RP	New FRMP
1091	Change Retailer – Retrospective Large Consumer Embedded Network Child NMI – Where FRMP is not RP	New FRMP
1500	Provide Actual Change Date	New and Current MDP
2000	Create NMI Details	New LNSP
2001	Create NMI Details – Retrospective	New LNSP
2003	Create NMI Details – Retrospective (Tier 1 Only)	New LNSP
2020	Create NMI Details – Embedded Network Child	New LR (ENLR)
2021	Create NMI Details – Embedded Network Child – Retrospective	New LR (ENLR)
5050	Change NMI Details	Current LNSP
5051	Change NMI Details – Retrospective	Current LNSP
5053	Change NMI Details – Retrospective (Tier 1 Only)	Current LNSP
5001	Backdate NMI Start Date	AEMO or LNSP
5021	Backdate NMI Start Date – Embedded Network Child	AEMO or ENLR
5054	Change NMI Details - Customer Classification Code	Current FRMP
5055	Change NMI Details - Customer Classification Code - Retrospective	Current FRMP
5060	Change NMI Details – Embedded Network Child	Current LR
5061	Change NMI Details – Embedded Network Child – Retrospective	Current LR

Code	Description	Prepare initial change request
5070	Update Next Scheduled Read Date	Current MDP
5071	Update Next Scheduled Read Date – Retrospectively	Current MDP
5080	Change Parent Embedded Network Name	Current FRMP or current LNSP
5081	Change Parent Embedded Network Name – Retrospective	Current FRMP or current LNSP
5090	Make a NMI a Child NMI	New LNSP
5091	Make a NMI a Child NMI – Retrospective	New LNSP
5100	5100 – Change NMI Details – Prospective (AEMO only)	AEMO
5101	5100 – Change NMI Details – Retrospective (AEMO only)	AEMO
2100	Create External Profile Shape	New AEMO
2101	Create External Profile Shape – Retrospective	New AEMO
5110	Change External Profile Shape	Current AEMO
5111	Change External Profile Shape – Retrospective	Current AEMO
2500	Create NMI, MDM Datastream & Metering Installation Details	New LNSP
2501	Create NMI, MDM Datastream & Metering Installation Details – Retrospective	New LNSP
2520	Create NMI, MDM Datastream & Metering Installation Details – Embedded Network Child	New LR
2521	Create NMI, MDM Datastream & Metering Installation Details – Embedded Network Child – Retrospective	New LR(ENLR)
3000[3]	Create Metering Installation Details	Current MPB
3001[3]	Create Metering Installation Details – Retrospective	Current MPB
3003[3]	Create Meter Details – Retrospective (Tier 1 Only)	Current MPB
3004[3]	Exchange of Metering Information	Current MPB
3005[3]	Exchange of Metering Information - Retrospective	Current MPB
3050[3]	Change Metering Installation Details	Current MPB
3051[3]	Change Metering Installation Details – Retrospective	Current MPB
3053	Change Metering Installation Details – Retrospective (Tier 1 Only)	Current MPB
3080	Advanced Change Metering Installation Details	Current RP
3081	Advanced Change Metering Installation Details – Retrospective	Current RP
3090[3]	Advanced Meter Exchange	Current RP
3091[3]	Advanced Meter Exchange - Retrospective	Current RP
3100	Change Network Tariff Code	Current LNSP
3101	Change Network Tariff Code – Retrospective	Current LNSP
4000[2]	Create MDM Datastream Details	Current MDP
4001[2]	Create MDM Datastream Details – Retrospective	Current MDP
4003[2]	Create MDM Datastream – Retrospective (Tier 1 Only)	Current MDP
4004[2]	Exchange of Datastream Information	Current MDP
4005[2]	Exchange of Datastream Information - Retrospective	Current MDP
4050[2]	Change MDM Datastream Details	Current MDP
4051[2]	Change MDM Datastream Details – Retrospective	Current MDP
4053[2]	Change MDM Datastream Details – Retrospective (Tier 1 Only)	Current MDP
6100	Change LNSP	New LNSP
6110	Change LNSP – Retrospective	New LNSP
6200	Change MDP	Current FRMP or Current RP
6210	Change MDP – Retrospective	Current FRMP or Current RP
6300	Change RP	New RP
6301	Change RP – Retrospective	New RP
6400	Change LR	New LR
6401	Change LR – Retrospective	New LR
6421	Change LR – Retrospective – Embedded Network Child	New LR

Code	Description	Prepare initial change request
6500	Change ROLR	New ROLR
6501	Change ROLR – Retrospective	New ROLR
6700	Change MP	Current RP
6701	Change MP – Retrospective	Current RP
6800	Change Multiple Roles Small	Current FRMP
6801	Change Multiple Roles Large	Current FRMP
BCxx	Invoke Bulk Change Process	AEMO
ROLR	Invoke Retailer of Last Resort	AEMO
ECLR	Change of Local Retailer – Embedded Network Child (Auto)	AEMO / MSATS
EPFR	Change of Secondary FRMP – Embedded Network Parent (Auto)	AEMO / MSATS

Note (1):   Likely to be used with read type codes PR, CR or ER.
Note (2):   A single change request using these change reason codes may be populated with multiple NMI suffixes.
Note (3):   A single change request using these change reason codes may be populated with multiple meter serial numbers.
Note (4):   "not SMALL" refers to LARGE, WHOLESAL, INTERCON, GENERATR and/or SAMPLE NMIs.

4.3   Role Codes

(a)   A role code identifies the type of association that a CATS participant has with a NMI.

(b)   Roles are used to define:

    1.   CATS participants that can initiate a change request;

    2.   CATS participants to supply data when it is needed to complete a change request;

    3.   Change request status notification rules;

    4.   Objection rules;

    5.   Access rights to NMI discovery data and standing data.

(c)   The valid Role codes are specified in Table 4-B.

Table 4-B – Role codes

Code	Description
FRMP	Financially Responsible Market Participant
LNSP	Local Network Service Provider
LR	Local Retailer
MDP	Metering Data Provider – Category D
MPB	Metering Provider – Category B
MPC	Metering Data Provider – Category C
NEMM	National Market Operator
ROLR	Retailer of Last Resort
RP	Responsible Person
NSP2	Second Network Service Provider (For Wholesale NMIs only)

4.4   Change Request Initiation Rules

(a)   The initiation rules define the roles and their status ('current' or 'new') that may be used for the purpose of initiating change requests, as recorded in Table 4-A.

(b)   The role codes are nominated from those contained in Table 4-B.

(c)   The current NMI master record will contain the 'current role' for that NMI.

(d)   A change request may be initiated by both 'new' or 'current' roles.

(e)   Only a 'new' role may be entered on an initial change request.

(f)   The initiation rules for each change reason code are listed in the chapter of this procedure to which the change reason code transactions are detailed.

4.5 Jurisdiction Codes

(a) The Jurisdiction code identifies the Jurisdiction to which a NMI has its regulatory framework (Generally it is the physical location of the NMI).

(b) The Jurisdiction code is used to apply jurisdiction-based business rules.

(c) The valid Role codes are specified in Table 4-C.

Table 4-C – Jurisdiction codes

Code	Description
ACT	Australian Capital Territory
ALL	All Jurisdictions
NEM	National Electricity Market
NSW	New South Wales
QLD	Queensland
TAS	Tasmania
SA	South Australia
VIC	Victoria

4.6 Time Frame Rules

(a) The time frame rules are used to specify whether the jurisdiction, change reason code and NMI classification are a valid combination.

(b) For any change reason code, the time frame rules define:

  1. Whether the code can be used in a prospective or retrospective mode;

  2. The number of days into the future (prospective days) or the past (retrospective days) that are allowable for the proposed change date;

  3. The number of days allowed for objections (objection logging period). The objection-logging period commences from the next business day after the date that the change request (transaction) is initiated. An objection logging period of zero (0) means that no objections are allowed;

  4. The number of days after which a change request that has been objected to will be cancelled (objection clearing period). The objection clearing period commences from the next business day after the date that the change request (transaction) is initiated.

(c) These rules may be defined by jurisdiction.

(d) If there are no rules set up for a specific jurisdiction then the rule (if established) for Jurisdiction ALL will apply.

(e) A rule for Jurisdictional ALL is only to be established if it is approved by all participating jurisdictions.

(f) The time frame rules for each change reason code are listed in the chapter of this procedure to which the change reason code transactions are detailed.

4.7 Objection Codes

(a) The objection codes allow CATS participants to object to a change request.

(b) The objection codes are applied to each jurisdiction and each change reason code in accordance with the objection rules.

(c) The valid objection codes are specified in Table 4-D.

Table 4-D – Objection codes

Code	Description
BADDATA	Incorrect standing data for this NMI For use by a party to indicate that the standing data for this NMI is incorrect (either on the change request or on the master record). This code should be used to register an objection for any incorrect data excluding the current role. If the participant nominated in the current role is incorrect, then they should use the NOTRESP objection code.
BADMETER	Non-compliant metering The metering equipment for this connection point is not correct, (i.e. correct metering for change to proceed not installed yet).

Code	Description
BADPARTY	Nominated MDP or MP is incorrect For use by the new RP on retail transfer type transactions where the FRMP has nominated the wrong MDP or MP (i.e. not the one nominated by the RP). Note that the MP referred to here can be MPB or MPC. Or The RP nominated is not the FRMP's choice of RP as per NER 7.2.3, noting any restrictions from Chapter 9 of the Rules.
DATEBAD (1)	This objection code is used where the date of change nominated for a change of retailer does not align with a proposed or actual meter read. This code is usually only used for type 5 or 6 metering installations. This objection can also be used for error correction transactions (CR 102X) by the current FRMP if the proposed date or actual change date on the error correction transaction is not correct.
DEBT	Aged debt meeting jurisdictional limit Jurisdictions which have allowed objections on the basis of bad debt will need to ensure that the use of this code will not breach privacy legislation.
DECLINED	Identified party declines to perform service For use by nominated new party to indicate that they decline to act in the role they have been nominated for.
NOACC (2)	No Meter read can be obtained due to an issue of no access. For use by relevant MDP to notify FRMP that a no access issue has been encountered when attempting to gain a meter read required for a NMI transfer. This Objection should only be raised against Manually Read Meters.
NOTAPRD	Not Approved to operate in the LNSP area The meter provider is not accredited or authorised to operate in a LNSP area. The same objection could be used for any participant who is not approved to operate in a particular jurisdiction. This code is used by the LNSP.
NOTPRUD	No Prudential Approval AEMO has not approved the transaction for prudential reasons.
NOTRESP	Not Responsible for NMI in the identified role For use by a nominated current party to indicate that the data in the central database is incorrect because they are not the current party.
RETRO	Retrospective Transfer Issue Party does not agree to a retrospective transfer.
BLOCK	AEMO objection AEMO has objected to the transaction either at the request of a jurisdiction or for operational reasons. See Section 2.11
CONTRACT	This objection code is used by the Financially Responsible Market Participant where a customer transfer is sought prior to the termination or end date of a term contract for supply of electricity. This code is only available for use in Queensland.
NOTRANS	Objection code to be used by the Old (Current) FRMP after a check has been done to find out if there was a previous retail transfer in MSATS for the NMI concerned that now requires an error correction transaction. Object using this code if no previous retail transfer is found.
NOTAWARE	Objection code to be used by the Old (Current) FRMP when they have not received a B2B (business to business) notification from the new FRMP (party that will initiate the CR 102x – error correction code) for the intended error correction transaction.
CRCODE	This objection code can be used if the change reason code being used does not apply to the NMI concerned.

Note (1): This could be used as a result of a PR read type code, where the proposed change date (being the retrospective previous read) does not align with the actual read date held by the MPB or MDP.

Note (2): Objections for "NOACC" are not subject to objection logging or clearing periods. A valid Actual Change Date being entered against a Change Request with an objection of "NOACC" will withdraw any "NOACC" objections.

4.8 Objection Rules

(a) The objection rules define the way in which objection codes can be used for each change reason code, role and role status.

(b) The objection rules may be defined for each Jurisdiction.

(c) The relevant objection rules for each change reason code are listed in the chapter of this procedure to which the change reason code applies.

4.9 NMI Classification Codes

(a) The NMI classification code enables the MSATS system to be informed of the nature of the flow of electricity at the connection point to which the NMI information applies, for example: generator, interconnector.

(b) The NMI classification codes 'LARGE' and 'SMALL' are used by these procedures. They are parameters that can be used when defining change reason codes, application time frames and objection rules.

(c) The NMI classification codes 'LARGE' and 'SMALL' are based on the total annual load of the NMI as per Table 4-E.

(d) The NMI classification codes 'LARGE' and 'SMALL' relate to a NMI and not to a site.

(e) NMI classification codes 'LARGE' and 'SMALL' allow the objection rules for small and large connection points to be different if required by a Jurisdiction.

(f) The valid NMI classification codes are specified in Table 4-E.

Table 4-E – NMI classification codes

Code	Description [4][2]
EPROFILE	External Profile Shape
GENERATR[1]	Generator
INTERCON[2]	Interconnector
LARGE [3][1]	Victoria: >=160 MWh NSW: >=160 MWh ACT: >= 160 MWh QLD: >=100 MWh SA: >=160 MWh TAS: >=150MWh
SAMPLE	Sample Meter
SMALL[13]	Victoria: <160 MWh NSW: <160 MWh ACT: < 160 MWh QLD: < 100 MWh SA: <160 MWh TAS: <150 MWh
WHOLESAL[1]	Wholesale Transmission Node Identifier

Note (1): These codes will be used in the AEMO settlements process for the purpose of reconciling pool settlements.
Note (2): This code will allow the removal of a hard coded rule in the AEMO settlements system.
Note (3)(1): These codes are used in the CATS Procedures.
Note (4)(2): See relevant jurisdictional regulation for full details.

4.10 Consumer Classification

4.10.1 Customer Classification Code

(a) The Customer Classification Code enables MSATS to be informed of the classification of the consumer, or the previous consumer, ('BUSINESS' or 'RESIDENTIAL') at a single connection point to which the NMI information applies.

(b) The Customer Classification Code of 'BUSINESS' or 'RESIDENTIAL' is determined by the Retailer.

(c) The Customer Classification Code of 'BUSINESS' or 'RESIDENTIAL' relate to a consumer, or previous consumer, at a NMI and not the connection point.

(d)   The valid Customer Classification Codes are specified in Table 4-F.

Table 4-F – Customer Classification Codes

Code
BUSINESS
RESIDENTIAL

4.10.2   Customer Threshold Code

(a)   The Customer Threshold Code enables MSATS to be informed of the consumption for the consumer at a single connection point to which the NMI information applies.

(b)   The Customer Threshold Code is based on the LNSPs determination of the annualised consumption for the consumer at a single connection point to which the NMI information applies.

(c)   The Customer Threshold Code relates to a consumer's consumption at a NMI and is separate to and additional to the NMI Classification Code.

(d)   The Customer Threshold Code is mandatory for all NMIs with a NMI status of 'A' or 'D' and a Customer Classification Code of 'BUSINESS'.

(e)   The Customer Threshold Code is not mandatory for NMIs in NSW.

(e)(f)The valid Customer Threshold Codes are specified in Table 4-G.

Table 4-G – Customer Threshold Codes

Code	Description
LOW	Consumption is less than the lower consumption threshold as defined in the National Energy Retail Regulations, or in over-riding jurisdictional instruments.
MEDIUM	Consumption is equal to or greater than the lower consumption threshold, but less than the upper consumption threshold, as defined in the National Energy Retail Regulations, or in over-riding jurisdictional instruments.
HIGH	Consumption is equal to or greater than the upper consumption threshold as defined in the National Energy Retail Regulations, or in over-riding jurisdictional instruments.

4.11   Status Codes (NMI and Datastream)

4.11.1   NMI Status codes

(a)   The NMI status code is used to determine if a NMI can be used for a retail transfer.

(b)   Valid NMI status codes in the MSATS system are A, D, G and X.

(c)   The valid NMI status codes are defined in Table 4-H.

Table 4-H – NMI status codes

Code	Name of code	Description of code
A	Active NMI	This code is to be applied when a NMI is energised.
D	Not energised NMI	This code is to be applied when the NMI exists in the MSATS system and the connection point is de-energised.
X	Extinct NMI	This code is to apply when the network connection has been permanently removed from the connection point. Under this condition the existing NMI will not be reallocated to any other connection point in the future. A NMI with this status can never be transferred.
G	Greenfield site NMI	This code is applied to denote a site that has never been energised. The connection point may require further site works to be undertaken and will also require energisation.

Code	Name of code	Description of code
		Once the NMI status is changed from 'G' then the status cannot revert to 'G'.

Status code I must not be used as a NMI Status code.

4.11.2 Datastream Status Codes

(a) In the MDM process, the datastream status code is used to determine whether a datastream is to be used in the settlements process, either because the NMI is Tier 2 or because metering data is required from this NMI as part of the process of creating a load profile.

(b) Valid datastream status codes in the MSATS system are A and I.

(c) The valid datastream status codes are defined in Table 4-I.

Table 4-I – Datastream status codes

Code	Name of code	Description of code
A	Active MDM Datastream	This code is to be applied when an MDM datastream is to be used in the settlements process.
I	Inactive MDM Datastream	The code is to apply when the MDM datastream is not to be used in the AEMO settlements process.

If a retail transfer CR is completed and a customer has transferred to a second tier retailer (i.e. FRMP is not the Local Retailer (LR) then the Datastream status for a Second Tier site must be 'A' when the NMI is energised.

(d) Status codes D, G and X must not be used as datastream status codes.

4.11.3 Meter Register Status Codes

(a) The meter register status codes denote the status of the meter within the National Electricity Market.

(b) Valid meter register codes are C and R.

(c) Valid meter register codes are defined in Table 4-J.

Table 4-J – Meter Register Status codes

Code	Name of code	Description of code
C	Current	This code is to be applied when a meter at the NMI is current.
R	Removed	This code is to be applied when a meter at the NMI is removed.

(d) If the MeterInstallCode is COMMSx, MRIM or UMCP:

    1. DataStreamType must be I or P (P – Sample meters only)

    2. ProfileName must be NOPROF

    3. Suffix must be Nx (e.g. N1)

(e) If the MeterInstallCode is BASIC:

    1. DataStreamType must be C

    2. In Victoria, Tasmania and ACT, ProfileName must be NSLP

    3. In NSW, QLD and SA, ProfileName must be NSLP or the relevant controlled load profile

    4. Suffix must be numeric (e.g. 11)

4.11.4 Register Identifier Status Codes

(a) The register identifier status indicates if a meter register is active.

(b) Valid register identifier codes are C and R.

(c) Valid register identifier codes are defined in Table 4-K.

Table 4-K – Register Identifier Codes

Code	Name of code	Description of code
C	Current	This code is to be applied when a meter register at the NMI is current, i.e. connected to a connection point.
R	Removed	This code is to be applied when a meter register at the NMI is removed, i.e. not connected to a connection point.

4.12   Metering Installation Type Codes

(a)   The metering installation code identifies the type of metering installation as specified in the National Electricity Rules.

(b)   The metering installation code also indicates whether the actual date of change must be input by a party other than the initiator of the change request. If the Manually Read Flag is set to Y and the change request Field Validation Rules have been set up to request a date, then a request will be sent to the nominated party to provide it.

(c)   The field name 'Manually Read' in the case of interval meters indicates that the date of change must be manually supplied to CATS in accordance with a Field Validation data request.

(d)   The valid metering installation type codes are specified in Table 4-L.

Table 4-L – Metering installation type codes

Code	Description	Manually Read Flag
BASIC	Basic Consumption Meter – Type 6	Y
COMMS1	Interval meter with communications – Type 1	Y
COMMS2	Interval meter with communications – Type 2	Y
COMMS3	Interval meter with communications – Type 3	Y
COMMS4	Interval meter with communications – Type 4	Y
MRIM	Manually Read Interval Meter – Type 5	Y
UMCP	Unmetered Supply – Type 7	N
PROF	For Profile Setup	N
SAMPLE	Sample Meter	Y

4.13   Read Type Code

(a)   The read type code is not used by the MSATS system for the purpose of settlements. There are no rules in the MSATS system controlling the use of the read type code.

(b)   The read type code is an instruction from the requesting FRMP to the relevant Service Provider (MDP), who has been nominated on the change request, to assist the transfer by using the specified reading method.

(c)   Where advice is provided to an MDP, the MDP would arrange for the meter reading to be undertaken.

(d)   The read type code is used to signal when a meter should be read, whether an alternate arrangement is to be used, or whether no read is required.

(e)   In each case the read type code is an instruction relating to the date in Proposed Change Date.

(f)   A meter may be read on the next scheduled read date (NS) or on a special read date (SP).

(g)   An estimated read (ER) may be provided in place of the actual meter read.

(h)   When changing from a basic meter to an interval meter, the change date is to be the date proposed by the new FRMP or the nearest thereafter if the metering is not commissioned on the nominated date.

(i)   The valid read type codes are specified in Table 4-M.

Table 4-M – Read type codes

Code	Name of code	Description of code
NS	Next Scheduled Read Date[1]	Advice from new FRMP to MDP that the proposed change date for the consumer transfer is the next scheduled read date, which is therefore a date in the future. No other meter reading is required.

Code	Name of code	Description of code
		An acceptable date is a window that is up to 3 business days before or 2 business days after the published next scheduled read date. If the date proposed by the new FRMP is not within this same window (i.e. up to 3 business days before or 2 business days after), then the MDP must advise the FRMP that there is a problem with the date proposed within 2 days of receipt of the data request. If the meter is read outside this window MDP is not obliged to provide an actual change date CR 1500. Applies to types 5 and type 6 metering installations.
RR	Next Read Date	Advice from new FRMP to MDP that the proposed change date for the consumer transfer is to be the date the meter is next read, which is therefore a date in the future. This code should be used if it is intended that the transfer is to occur on the date that the meter is read next, whenever that date is (i.e. the proposed change date has no relevance). Applies to types 5 and type 6 metering installations.
SP	Special Read	Advice from new FRMP to MDP that the proposed change date for the consumer transfer is a date that does not align with the scheduled reading cycle. The MDP/MPC is to arrange for the special meter reading. Applies to type 5 and type 6 metering installations.
ER	Estimated Read	The 'estimate read' code is available if approved by Jurisdictional policy. Advice from new FRMP to MDP that the consumer has agreed to transfer on an estimate of the meter reading. No meter reading is required for this transfer. MDP is to provide an estimate of the meter reading in accordance with *Metrology Procedure* (Part A & B) and any other jurisdiction requirements. Applies to type 5 and type 6 metering installations.
CR	Consumer Read	The 'consumer read' code is available if approved by Jurisdictional policy. Advice from new FRMP to RP or MDP that the consumer has agreed to transfer on a meter reading which it provides. MDP/MPC is not required to undertake a special meter reading. Applies to type 6 metering installations.
PR	Previous Read Date[2]	The 'previous read' code is available if approved by Jurisdictional policy. Advice from the new FRMP to the MDP that the transfer is to occur on the previous meter reading. Applies to type 5 and type 6 metering installations.
UM	Unmetered Connection Point	The read type code to use when the NMI being transferred is an unmetered connection point and therefore no read is required. Applies to type 7 metering installations.
EI	Existing Remotely-Read Interval Meter	Advice from the new FRMP to the MDP that there is an existing remotely-read interval meter or meters at the connection point and that the existing meters will continue to be used after the transfer. Applies to type 1 to 4 metering installations only.

Code	Name of code	Description of code
NI	New Interval Meter	Advice from the new FRMP to the MDP that a new interval meter is to be installed at the site as part of the process to complete this transfer. If this is an existing active connection point and therefore there is already a meter, there will need to be a final read for the existing meter. Applies to type 1 to 5 metering installations and type 6 metering installations that are being replaced with an interval meter.
NB	Future Move In (Basic)	Advice from the new FRMP to the MDP that a new basic meter is to be installed at the site as part of the process to complete this transfer and that there is no existing meter at this site to be read. Applies to type 6 metering installations.

Note (1): There is no requirement to maintain the next scheduled read date for meters that are read daily. The next scheduled read date will only be required for the type 5 and 6 metering installations where manual meter reading is necessary.

Note (2): The previous meter read date is not held by the MSATS system. The new FRMP would obtain this information from the consumer. This read type code is likely to be used with change reason codes 1010 and 1081.

(j) The combinations of read type codes, metering installation codes and change reason codes that can be valid, (provided the read type is allowed in a jurisdiction), are specified in Table 4-N. (The metering installation code referred to here is the code for the existing metering record, but the meter type may be being changed as part of the transfer.)

Table 4-N – Valid Combinations of Read Type Codes, Metering Installation Codes and Change Reason Codes

CR Code		1000		1010, 102X, 1040		1030		All CR Codes	
Metering Installation Code		BASIC	MRIM	BASIC	MRIM	BASIC	MRIM	COMMSx	UMCP
NS	Next Scheduled Read Date	Yes	Yes	No	No	No	No	No	No
RR	Next Read Date	Yes	Yes	No	No	Yes	Yes	No	No
SP	Special Read	Yes	Yes	No	No	Yes	Yes	No	No
ER	Estimated Read	Yes	Yes	Yes	No	Yes	Yes	No	No
CR	Consumer Read	Yes	No	No	No	No	No	No	No
PR	Previous Read Date	No	No	Yes	Yes	No	No	No	No
UM	Unmetered Connection Pt	No	No	No	No	No	No	No	Yes
EI	Existing Interval Meter	No	No	No	No	No	No	Yes	No
NI	New Interval Meter	Yes	Yes	No	No	Yes	Yes	Yes	No
NB	Future Move In (Basic)	No	No	No	No	Yes	Yes	No	No

Note: 1080 is the same as 1000, 1081 is the same as 1010, 1083 is the same as 1030, and 1084 is the same as 1040.

Note: 102X refers to 1020, 1021, 1022, 1023, 1024, 1025, 1026, 1027, 1028 and 1029.

Note: COMMSx refers to COMMS1, COMMS2, COMMS3, COMMS4.

4.14   Field Validation Rules

(a) Field validation rules are based on data source codes, such as "RI" and "OI".

(b) For any change reason code, the field validation rules define:

- Which fields must be completed at the time the transaction is initiated;

- Which fields can optionally be completed at the time the transaction is initiated;

- Which fields must be present on the NMI master record in order for the transaction to proceed from a status of 'pending validation' to 'requested' and, if they are not present, which party must supply them; and

- Whether the actual change date has to be obtained from another party for NMIs that are manually read (and if it does, who should be asked to supply it).

(c) The obligations on CATS participants arising from the allocation of the field validation rules are detailed in the chapter of this procedure to which the change reason code applies.

(d) Each data source code is hard coded in the MSATS system and is not available for maintenance. The available data codes are identified in Table 4-O.

Table 4-O – Field Validation Data Source Codes

Code	Explanation
RI	Required to Initiate. This means it must be on the change request and therefore supplied by the initiator of the change request.
OI	Optional on Initiation. This means it can be on the change request and is therefore optionally supplied by the initiator of the change request.
RQ	Requested by CATS if the data is not already in CATS. For all RQ fields, the party that supplies the data must be identified. For all RQ fields, it is also necessary to identify whether this data is required prior to the transaction passing from Pending Validation to Requested
RA	Requested by CATS regardless of whether or not it is already in CATS. For all RA fields, the party that supplies the data must be identified. For all RA fields, it is also necessary to identify whether this data is required prior to the transaction passing from Pending Validation to Requested. This code will be used for requesting the actual change date on customer transfer change requests. (However, in this special case, the request will only be sent if the metering installation type is flagged as manually read).
RD	This is only required for the Actual Change Date on the transaction that is returned as a consequence of a request to provide an actual change date (currently 1500 is the only one).

4.15 Change Request Status Notification Rules

(a) The change request status notification rules define which roles are to be advised when a change request undergoes a change in status;

(b) The change request status notification rules apply to all Jurisdictions.

(c) The relevant change request status notification rules for each change reason code are listed in the chapter of this procedure to which the change reason code applies.

4.16 Maintenance of Code and Rules

(a) AEMO must maintain the following codes and rules in the MSATS system:

1. Change reason codes;

2. Roles codes;

3. Initiation rules;

4. Jurisdiction codes;

5. Time frame rules;

6. Objection codes;

7. Objection rules;

8. NMI classification codes;

9. NMI status codes;

10. Metering Installation Type Codes ;

11. Read type codes;

12. Field Validation rules;

13. Change request status notification rules;

14. NMI discovery – NMI search rules;

15. NMI discovery – NMI data access rules; and

16. Standing data access rules.

The MSATS system will send a message to all CATS participants if a change is made to any code or rule.

4.17   Datastream Status Code

(a)   The datastream status code is part of CATS standing data.

(b)   The datastream status code is used for the management of the metering data within MSATS.

(c)   The datastream status code makes use of the 'active' and 'inactive' codes specified in Table 4-I.

(d)   CATS participants, when required in accordance with change reason codes, must nominate on an initial change request the status of the datastream code for the selected NMI.

(e)   If a datastream status is set to A (active) then this flag will be used by the MSATS system to indicate that a datastream is to be expected for the NMI for the purpose of:

1.   Aggregation in the settlements process; or

2.   Netting off in the determination of a profile shape.

4.18   Embedded Network Code and Rules

(a)   The MSATS system requires each embedded network to be given a name.

(b)   The name of the embedded network is to be a code of up to 10 characters.

(c)   The LNSP network is to provide the embedded network code to AEMO.

1.   The first character of the parent name is to be the first character of the Jurisdiction in which the embedded network is located.

2.   The second character of the parent name is to be a character chosen to represent the LNSP with whom the embedded network has an electrical relationship.

3.   The owner of the embedded network liaises with the LNSP in determining the other characters of the embedded network code as per the embedded network code structure specified by AEMO. (document No MT_GN1710v0xx.doc – Allocation of Embedded Network Codes) (as amended from time to time).

(d)   The new FRMP, who first adopts the role of LR for the embedded network, is to allocate the appropriate embedded network code to the parent NMI(s) in MSATS. MSATS also allows the LNSP to allocate the embedded network code to the parent NMI.

(e)   The embedded network child NMI is to be allocated the same embedded network code as the embedded network parent NMI.

4.19   Obtaining Electronic Downloads of Configuration Rules

(a)   The CATS configuration can be downloaded from the MSATS system by using the C1 'Data Replication Resynchronisation Report (C1)' report in MSATS, and selecting the following tables.

Table 4-P – CATS Configuration Tables Available for Download

Type	Description	Table
Code	List of the available change reason codes	CATS_CHANGE_REASON_CODES
Rule	Change Request Initiation Rules	CATS_CR_INITIATION_RULES
Code	Change Request status codes	CATS_CR_STATUS_CODES
Code	Data source code used for field validation rules	CATS_DATA_SOURCE_CODES
Code	De registration codes	CATS_DEREG_CODES
Rule	Rule governing NMI discovery	CATS_DISCOVERY_ACCESS_RULES
Rule	Rules defining if address is returned in NMI discovery	CATS_DISCOVERY_SEARCH_RULES
Code	DLF codes	CATS_DLF_CODES
Code	Embedded network name codes	CATS_EMB_NET_ID_CODES
Code	Error codes used by MSATS	CATS_ERROR_CODES
Code	List of Jurisdiction codes	CATS_JURISDICTION_CODES
Rule	Jurisdiction rules governing change request initiation	CATS_JURISDICTIONAL_RULES
Code	Meter installation type codes	CATS_METER_INSTALL_TYPE_CODES
Code	NMI Classification Codes	CATS_NMI_CLASS_CODES
Code	NMI status codes	CATS_NMI_STATUS_CODES

Type	Description	Table
Rule	CATS notification rules which drives what notifications are generated by the system	CATS_NOTIFICATION_RULES
Code	List of available objection codes	CATS_OBJECTION_CODES
Rule	The rules governing the use of objections	CATS_OBJECTION_RULES
	List of registered roles vs registered participants used by MSATS	CATS_PARTICIPANT_ROLES
Code	List of registered participant ids	CATS_PARTICIPANTS
Code	List of allowable read types	CATS_READ_TYPE_CODES
Code	List of available CATS roles	CATS_ROLES
Code	Transmission connection point identifier codes	CATS_TNI_CODES
Rule	Transaction field validation rules	CATS_TRANS_FIELD_VALIDATION
Code	List of transaction types in MSATS	CATS_TRANS_TYPE_CODES
Code	Calender used by MSATS	MSATS_NATIONAL_CALENDAR
Code	Network Tariff Codes	CATS_NETWORKTARIFF_CODES

5. CATS CODES AND RULES FOR OTHER TRANSACTION TYPES

5.1 Introduction

(a) This chapter specifies the codes and rules that apply to transactions used by the CATS process other than the change request transaction.

5.2 Transaction to Send Change Request Status Notification

(a) This is a separate transaction type with code NOT.

(b) The transaction is initiated by the MSATS system.

(c) The MSATS system will create a notification when a change request is assigned a new status point and the notification is sent to relevant CATS participants in accordance with notification rules.

(d) Notification rules are specified according to change reason codes.

5.3 Transaction to Request Participant Data

(a) This is a separate transaction type with code RDAT.

(b) The transaction is initiated by the MSATS system.

(c) If necessary, the MSATS system will create a request for CATS participant data ("data request") during the pending validation status point.

(d) The data request is created if the MSATS system identifies that a particular data item has not been included in the initial change request and is not already contained in the current NMI master record.

(e) The data request is sent to the relevant CATS participants in accordance with the field validation rules assigned to each change reason code.

(f) The CATS participant must respond to the data request by initiating a change request containing the requested information. This is to be completed in a reasonable time.

5.4 Transaction to Raise Objections

(a) This is a separate transaction type with code OBJ.

(b) The transaction is initiated by a CATS participant.

(c) A CATS participant who has not initiated the change request has the right to object to that change request if permitted by the CATS Procedure.

(d) The objection must be based on the codes shown in clause 4.7.

(e) The MSATS system will respond to an objection to the relevant CATS participants with an approval or a rejection using transaction code OBJR.

(f) Other parties will be notified in accordance with the Notification rules.

5.5 Transaction to Withdraw a Change Request

(a) This is a separate transaction type with code WCR.

(b) The transaction is initiated by a CATS participant.

(c) The CATS participant who initiated the change request may withdraw the change request at any time prior to the change request reaching the completed status.

5.6 Transaction to Withdraw an Objection

(a) This is a separate transaction type with code OBJW.

(b) The transaction is initiated by a CATS participant.

(c) The CATS participant who initiated the objection may withdraw the objection at any time prior to the change request reaching the completed status.

(d)   All other CATS participants are notified automatically by the MSATS system at the time the objection withdrawal occurs.

(e)   Other parties will be notified in accordance with the Notification rules.

5.7   Transaction to Request a NMI Discovery Search

(a)   This is a separate transaction type with code NMID.

(b)   A CATS participant may request CATS standing data from the MSATS system using this transaction type code.

(c)   The following access to CATS standing data is available to a CATS participant the MSATS system:

1.   NMI Discovery – NMI Search 1;

2.   NMI Discovery – NMI Search 2 – NMI standing data;

3.   CATS standing data.

(d)   NMI Search 1 is used by a CATS participant to identify the NMI characters that have been assigned to a consumer's connection point, as described in clause 44.3.

(e)   NMI Discover Search 2 is used by a CATS participant to identify the NMI standing data that has been assigned to the consumer's connection point and is available for release in accordance with NMI standing data access rules, as provided in clause 44.4.

(f)   The CATS standing data access obligations are contained in clause 44.5.

(g)   A NMI search 1 will only be successful if information is contained in the MSATS system that supports one of the following three options: DPID, meter serial ID, and address.

5.8   Transaction to Provide a NMI Discovery Response

(a)   This is a separate transaction type with code NMIR.

(b)   The transaction is initiated by the MSATS system.

(c)   The MSATS system will use this transaction type code to provide the information retrieved from a NMI Discovery search initiated by a CATS participant.

5.9   Transaction to Provide a Change Request Response

(a)   This is a separate transaction type with code CRR.

(b)   The transaction is initiated by the MSATS system.

(c)   The MSATS system will use this transaction type code to provide an approval or rejection to the change request as it commences the pending validation point in its life cycle.

5.10   Transaction to Provide an Objection Response

(a)   This is a separate transaction type with code OBJR.

(b)   The transaction is initiated by the MSATS system.

(c)   The MSATS system will use this transaction type code to provide an approval or rejection to an objection code submitted by a CATS participant.

5.11   Transaction to Provide an Acknowledgment of a Transaction

(a)   This is a separate transaction type with code ACK.

(b)   This transaction type code is used to acknowledge receipt of any transaction initiated by either a CATS participant or the MSATS system.

(c)   This feature is a file exchange protocol which is employed to ensure that a sender's file is only deleted once the receiver has processed it.

5.12   Transaction to Advise of an Update to a Code or Rule

(a)   This is a separate transaction type with code CODE.

(b)   The transaction is initiated by the MSATS system.

(c)   The MSATS system will use this transaction code to advise, by electronic message, all CATS participants of any change to a code, rule and/or current NMI master record data item.

5.13   Transaction to Request a Report

(a)   This is a separate transaction type with code RPTR.

(b)   A CATS participant may request a report from the MSATS system using this transaction type code.

(c)   The following reports are available to CATS participants from MSATS.

Table 5-A - MSATS Reports

Report Name	Description
CATS C1	Data Replication Resynchronisation Report
CATS C3	NMI Change Request Report
CATS C4	NMI Master Report
CATS C7	New Participant Access Report
CATS C9	NMI Count Report
MDM RM8	DatePPSBMPGenerated
MDM RM9	Actual Versus Estimate Data Report
MDM RM11	Missing Data
MDM RM13	NMI Datastreams History Report
MDM RM14	MDP Data Version Comparison Report
MDM RM15	Count of Multiple Versions Report
MDM RM16	Level 1 Settlement Reconciliation Report
MDM RM17	Level 3 Settlement Reconciliation Report for Non-Aggregated Data
MDM RM18	Interval Data Report
MDM RM19	Aggregated Energy Actual-vs-Estimate Report
MDM RM20	PPS Report
MDM RM21	Level 2 Settlement Reconciliation Report
MDM RM22	Data Estimation Report
MDM RM26	MDP Substitution and Estimation Report

(d)   The MSATS system will produce a report using transaction type code RPTD.

5.14   Guidelines for managing Concurrent Retail Transfers

5.14.1   Definition of concurrent retail transfers

(a)   Concurrent retail transfers are those where there is more than one retail transfer transaction for a particular NMI at the same time in the MSATS system.

(b)   There are two types of concurrent retail transfers, which can occur in the MSATS system.

1.   **Type 1** is a concurrent retail transfer where the **same FRMP** has submitted more than one change of retailer transaction for the one NMI.

2.   **Type 2** is a concurrent retail transfer request where **more than one FRMP** has submitted a change of retailer transaction for one NMI.

5.14.2   Guidelines

Type 1 Concurrent Retail Transfers

(a)   The MSATS system will identify the type 1 concurrent retail transfers and the FRMP that has initiated these transactions.

(b)   MSATS will reject the newly submitted Change Request and a notification will be sent to the initiating FRMP detailing the reason for the rejection.

(c)   The existing Change Request will remain unaffected and active in the MSATS system.

Type 2 Concurrent Retail Transfers

(d)   The MSATS system will identify the type 2 concurrent retail transfers and the FRMPs that have initiated these transactions.

(e)   MSATS shall reject the newly submitted Change Request and a notification will be sent to the initiating participant detailing the reason for the rejection.

(f)   The existing Change Request shall also be cancelled by MSATS and notifications will be sent to all the parties related to the change request as per normal notifications (i.e. FRMP, MDP, RP etc). The reason for the cancellation shall also be provided in the notification.

(g)   The affected FRMPs should determine the reason for the concurrent transfer requests and as necessary proceed to investigate who is the preferred FRMP of the consumer consistent with relevant jurisdictional requirements. The preferred FRMP should then initiate a single valid transfer request in MSATS.

5.15   AEMO Bulk Change Tool

(a)   This is a separate tool designed to manage bulk changes of Participant Ids, TNI or DLF codes.

(b)   The BCT use is limited to AEMO only.

(c)   Refer to Section 43 for further details.

6. CHANGE RETAILER – SMALL OR LARGE NMI

6.1 Application [1000 1010 1020 1030 1040]

This procedure applies to the following change reason codes:

- **1000 – Change Retailer**

  This is the situation where a new FRMP obtains the consent of the consumer to take responsibility for the supply of electricity to that connection point. The date of transfer would be a nominal prospective date. The NMI could transfer from a Tier-1 site to a Tier-2 site, or from a Tier-2 site to another Tier-2 site, or from a Tier-2 site to a Tier-1 site.

- **1010 – Change Retailer - Retrospective Align to Meter Read**

  This is the situation where a new FRMP obtains the consent of the consumer to take responsibility for the supply of electricity to that connection point. The date of transfer would be the date of the last meter read (a retrospective date). The NMI could transfer from a Tier-1 site to a Tier-2 site, or from a Tier-2 site to another Tier-2 site, or from a Tier-2 site to a Tier-1 site.

- **1020 – Change Retailer-Retro-Long Term / Error (not SMALL)**

  This is the situation where a new FRMP obtains the consent of the consumer to take responsibility for the supply of electricity to that connection point. The date of transfer could be a date agreed by the current and new FRMP (a retrospective date) where the actual transfer date was in error. In addition, and for the Victorian jurisdiction only, the date of transfer could be a date agreed by the current and new FRMP (a retrospective date) to which both parties agree that the transfer should have been effected. The NMI could transfer from a Tier-1 site to a Tier-2 site, or from a Tier-2 site to another Tier-2 site, or from a Tier-2 site to a Tier-1 site.

- **1030 – Change Retailer - Move-In**

  This is the situation where a new FRMP obtains the consent of the consumer to take responsibility for the supply of electricity to that connection point. The date of transfer would be a prospective date of move-in. The NMI could transfer from a Tier-1 site to a Tier-2 site, or from a Tier-2 site to another Tier-2 site, or from a Tier-2 site to a Tier-1 site.

- **1040 – Change Retailer - Move-In - Retrospective**

  This is the situation where a new FRMP obtains the consent of the consumer to take responsibility for the supply of electricity to that connection point. The date of transfer would be a retrospective date of move-in. The NMI could transfer from a Tier-1 site to a Tier-2 site, or from a Tier-2 site to another Tier-2 site, or from a Tier-2 site to a Tier-1 site.

6.2 Conditions Precedent

(a) The NMI already exists in MSATS. If the NMI does not already exist in MSATS, the retailer should refer to Chapter 12 "Create a NMI" and seek LNSP action to establish the NMI.

(b) The NMI classification code is SMALL or LARGE.

(c) Chapter 6 relates only to change reason codes 1000, 1010 (SMALL only), 1020 (LARGE only), 1030 or 1040.

(d) The date of the transfer of retailer from the current FRMP to the new FRMP will be the actual change date.

(e) The actual change date is to be established in accordance with the read type code submitted to the MSATS system by the new FRMP.

6.3 Initiation Rules

(a) A new FRMP may initiate a change request to effect a change of retailer in accordance with clause 6.4.

(b) The new FRMP must use one of the following change reason codes 1000, 1010, 1020, 1030 or 1040 to establish an initial change request.

(c) The new FRMP must only use change reason code 1020 if the NMI classification is LARGE.

(d) The new FRMP must only use change reason code 1010 if the NMI classification is SMALL.

6.4   FRMP Obligations

The new FRMP must:

(a)   Comply with the *consumer consent* provisions of the relevant jurisdiction for the NMI.

(b)   Obtain agreement from the current FRMP to retrospectively transfer a consumer on a previous meter read (applies to CR1010).

(c)   Obtain the NMI checksum from an approved source.

(d)   Confirm that the NMI is a valid NMI for the connection point prior to the initiation of a change request.

(e)   Submit a change request to CATS to initiate the transfer of the consumer for which the new retailer has obtained an explicit informed consent.

(f)   Populate the initial change request with the following information:

Change reason code	Participant transaction ID	NMI and NMI checksum
Their participant ID	Proposed change date	New RP
Read type code		

(g)   For change reason codes 1000, 1020, 1030 and 1040, where the new FRMP is the RP, and if the MDP is changing, populate the initial change request with the following additional information:

MDP		

(h)   Nominate itself as the new FRMP.

(i)   Where the NMI classification is SMALL, if advised by the new MDP or the current MDP that a meter reading can not be obtained in response to a read type code for next scheduled read date or a special read date, must either:

    1.   Withdraw the transfer request; or

    2.   Advise the MDP to read the meter on the next scheduled read date or propose a special read date.

(j)   Where the NMI classification is SMALL, if advised by the new MDP or the current MDP that the next scheduled read date or a special read date is invalid, must either:

    1.   Advise the MDP of a valid date; or

    2.   Withdraw the transfer request.

The new FRMP may:

(k)   Populate the initial change request with the identity of the following roles:

MPB	MPC	

or leave this action to the new RP to complete.

(l)   For change reason code 1020 (retrospective), populate the initial change request with:

Actual end date		

(m)   For retrospective transfers, nominate, in accordance with clause 6.4(f), a proposed change date which is retrospective to the date on which the change request was initiated. The limits for retrospective transfer dates are provided in clause 6.9.

(n)   Withdraw a change of retailer transaction request at any time until the transfer is completed in CATS.

The current FRMP must:

(o)   On receipt of a request from the new FRMP, for an agreement to retrospectively transfer on a previous meter read, respond to the request within 2 business days.

The current FRMP may:

(p)   Object to the change request in accordance with the objection rules provided in clause 6.10.

6.5   LNSP Obligations

The current LNSP must:

(a)   Provide the new MDP with the average daily load on request of that MDP.

(b)   In the case of a move-in, verify that the site is energised and if not facilitate the energisation of the site on the proposed transfer date. The LNSP may energise the site up to 2 days earlier. It is expected that requests for energisation will be made through a separate process between the retailer and the LNSP to ensure that the transfer process does not delay the energisation of the site for the consumer (or otherwise required by jurisdictional requirements).

(c)   On receipt of a data request, initiate a change request to provide some or all of the following information:

LR	ROLR	TNI code
DLF code	NMI classification code	Jurisdiction code
NMI status code		

(d)   Respond to a data request from the MSATS system for data within 1 day of the date of the data request.

The current LNSP may:

(e)   Object to the change request in accordance with the objection rules provided in clause 6.10.

6.6   MDP Obligations

The MDP must:

(a)   Once the transfer has completed, set up the NMI suffix(es) so that they become active on the actual change date if this data is not already provided or has changed.

(b)   On receipt of a data request for change reason codes 1000, 1010, 1030 or 1040, initiate a change request to provide the actual change date.

    1.   If the NMI classification is LARGE, the actual change date must be the date nominated as the proposed date by the new FRMP unless the date nominated is inappropriate, in which case the MDP must advise the new FRMP of the reason why the proposed date is inappropriate and mutually agree on what the actual change date should be.

(c)   For prospective changes that do not require a meter read, provide the actual change date within 2 days of the actual change date being reached.

(d)   For changes that require a meter read, provide the actual change date within 2 days of the meter read.

(e)   For retrospective changes, where the rules specify that an Actual Change Date is required, ensure that the actual change date submitted is no earlier than the time limit specified by the jurisdiction for the change reason code on the change request.

    For example, if the jurisdictional time frame for a change reason code is 10 days, then the actual change date must be no earlier than 10 days prior to the date the data request was received, even if MSATS would allow an earlier date.

(f)   Where the NMI classification is SMALL, where the read type code requires the next scheduled read date or the special read date, forward the meter read taken at this time to the current FRMP, new FRMP, current LR and current LNSP.

(g)   Where the NMI classification is SMALL, if the next scheduled read date or special read date nominated by the new FRMP as the proposed date is not within a date range that is two (2) business days prior to or two (2) business days subsequent to the scheduled reading date, or the retrospective proposed date nominated by the new FRMP does not correspond to a read date, the MDP must object to the change request.

(h)   Where the NMI classification is SMALL, if the next scheduled read or special read does not occur within a date range that is three business days before or two business days after the

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special read date or the published next scheduled read date the MDP must advise the new FRMP of the meter read failure within 2 days and await instructions from the FRMP.

(i)   Where the NMI classification is SMALL, if the read type code requires an estimate read, prepare the estimate read and submit this value to the MSATS system as the actual change date (not for a retrospective change).

(j)   Where the NMI classification is SMALL, if the read type code requires a consumer read, obtain the consumer read from the new FRMP and submit this value to the MSATS system as the actual change date (not for a retrospective change).

(k)   Where the NMI classification is SMALL if the read type code does not require a read, validate that the metering installation type code is identified as a type 1, type 2, type 3, type 4 or type 7 metering installation. If an error is identified, advise the new FRMP.

(l)   Where the NMI classification is SMALL, for retrospective changes where the rules specify that an Actual Change Date is required, where the meter read occurred prior to the change request being submitted, provide the actual change date within 2 days of receipt of the data request.

(m)   Where the NMI classification is SMALL, if requested by the new FRMP and allowed in that jurisdiction, carry out an actual meter read within the time periods specified in the relevant *Metrology Procedure* (Part A & B).

(n)   Where the NMI classification is LARGE, validate that the metering installation type code is identified as a type 1, type 2, type 3 or type 4 metering installation. If an error is identified, advise the new FRMP and await instructions.

(o)   Where the NMI classification is LARGE, for retrospective changes that do not require a meter read, provide the actual change date within 2 days of receipt of the data request.

The MDP may:

(p)   Object to the change request in accordance with the objection rules provided in clause 6.10.

6.7   RP Obligations

The new RP must:

(a)   Change the name of the current RP using change reason code 6300 if this change has not been performed by the new FRMP.

(b)   Ensure that the names of the new MPB and new MPC are recorded in the MSATS system, using change reason code 6700, prior to the actual change date.

(c)   Ensure that the name of the new MDP is recorded in the MSATS system, using change reason code 6200, prior to the actual change date.

The new RP may:

(d)   Provide a change request which changes the names of the MPB and MPC.

(e)   Object to the change request in accordance with the objection rules provided in clause 6.10.

6.8   MPB Obligations

The MPB must:

(a)   On receipt of a data request for change reason codes 1000, 1010, 1020, 1030 or 1040, initiate a change request to provide some or all of the following information within 2 business days of receipt of the data request:

Meter Installation Type Code	Meter Serial Number	Meter Status
Register ID	Register ID Status	Actual Cumulative Indicator
Dial Format	Multiplier	Network Tariff Code
Time Of Day	Unit of Measure	Controlled Load

6.9   Time Frame Rules

(a)   The valid time frame rules for each jurisdiction for the respective change reason codes are shown in the Table 6-A.

(b)   When preparing an initial change request, the new FRMP must choose, for any given change reason code, a proposed change date that lies between the prospective business day and the retrospective business day limits.

Table 6-A – Time frame rules

CR Code 1000 – Change Retailer				
Jurisdiction	Objection Logging Business Days	Objection Clearing Business Days	Retrospective Business Days	Prospective Business Days
ALL	5	20	0	65

CR Code 1010 – Change Retailer - Retrospective Align to Meter Read				
Jurisdiction	Objection Logging Business Days	Objection Clearing Business Days	Retrospective Business Days	Prospective Business Days
ALL	5	20	10	0

CR Code 1020 – Change Retailer-Retro-Long Term/Error (not SMALL)				
Jurisdiction	Objection Logging Business Days	Objection Clearing Business Days	Retrospective Business Days	Prospective Business Days
ALL	5	20	130	0

CR Code 1030 – Change Retailer - Move-In				
Jurisdiction	Objection Logging Business Days	Objection Clearing Business Days	Retrospective Business Days	Prospective Business Days
ALL	5	20	0	65

CR Code 1040 – Change Retailer - Move-In - Retrospective				
Jurisdiction	Objection Logging Business Days	Objection Clearing Business Days	Retrospective Business Days	Prospective Business Days
ALL	5	20	10	0

6.10   Objection Rules

(a)   The valid objection rules for the change reason codes identified in clause 6.1 are specified in Table 6-B.

Table 6-B – Objection rules[**]

CR Code 1000 – Change Retailer																
Objection Code	**NMI Class**	**Jur'n**	**FRMP**		**LR**		**MDP**		**MPB**		**ROLR**		**RP**		**LNSP**	
			N	**C**	**N**	**C**	**N**	**C**	**N**	**C**	**N**	**C**	**N**	**C**	**N**	**C**
BADMETER	ALL	ALL	-	-	-	-	Yes	Yes	Yes	Yes	-	-	Yes	-	-	Yes
BADPARTY	ALL	ALL	-	-	-	-	-	-	-	-	-	-	Yes	-	-	-
DECLINED	ALL	ALL	-	-	-	-	Yes	-	-	-	-	-	Yes	-	-	-
NOTAPRD	ALL	ALL	-	-	-	-	-	-	-	-	-	-	-	-	-	Yes
DATEBAD	ALL	ALL	-	-	-	-	Yes	Yes	-	-	-	-	-	-	-	-
NOACC	SMALL	ALL	-	-	-	-	Yes	Yes	-	-	-	-	-	-	-	-
DEBT	ALL	QLD	-	Yes	-	-	-	-	-	-	-	-	-	-	-	-
	SMALL	VIC														
CONTRACT	LARGE	QLD	-	Yes	-	-	-	-	-	-	-	-	-	-	-	-

CR Code 1010 – Change Retailer - Retrospective Align to Meter Read																
Objection Code	**NMI Class**	**Jur'n**	**FRMP**		**LR**		**MDP**		**MPB**		**ROLR**		**RP**		**LNSP**	
			N	**C**	**N**	**C**	**N**	**C**	**N**	**C**	**N**	**C**	**N**	**C**	**N**	**C**
BADMETER	SMALL	ALL	-	-	-	-	Yes	Yes	Yes	Yes	-	-	Yes	-	-	Yes
BADPARTY	SMALL	ALL	-	-	-	-	-	-	-	-	-	-	Yes	-	-	-
DECLINED	SMALL	ALL	-	-	-	-	Yes	-	-	-	-	-	Yes	-	-	-
NOTAPRD	SMALL	ALL	-	-	-	-	-	-	-	-	-	-	-	-	-	Yes
DATEBAD	SMALL	ALL	-	-	-	-	Yes	Yes	-	-	-	-	-	-	-	-
DEBT	SMALL	QLD	-	Yes	-	-	-	-	-	-	-	-	-	-	-	-
		VIC														
RETRO	SMALL	ALL	-	Yes	-	-	-	-	-	-	-	-	-	-	-	-

CR Code 1020 – Change Retailer-Retro-Long Term / Error (not SMALL)																
Objection Code	**NMI Class**	**Jur'n**	**FRMP**		**LR**		**MDP**		**MPB**		**ROLR**		**RP**		**LNSP**	
			N	**C**	**N**	**C**	**N**	**C**	**N**	**C**	**N**	**C**	**N**	**C**	**N**	**C**
BADMETER	LARGE	ALL	-	-	-	-	Yes	Yes	-	-	-	-	Yes	-	-	Yes
BADPARTY	LARGE	ALL	-	-	-	-	-	-	-	-	-	-	Yes	-	-	-
DECLINED	LARGE	ALL	-	-	-	-	Yes	-	-	-	-	-	Yes	-	-	-
NOTAPRD	LARGE	ALL	-	-	-	-	-	-	-	-	-	-	-	-	-	Yes
DATEBAD	LARGE	ALL	-	-	-	-	Yes	Yes	-	-	-	-	-	-	-	-
RETRO	LARGE	ALL	-	Yes	-	-	-	-	-	-	-	-	-	-	-	-
DEBT	LARGE	QLD	-	Yes	-	-	-	-	-	-	-	-	-	-	-	-
CONTRACT	LARGE	QLD	-	Yes	-	-	-	-	-	-	-	-	-	-	-	-