

Case No. 12-M-0476 et al.
EDI Business/Technical Working Groups
Workpaper – Pending Enrollment Cancellation Communications – 3/3/2017

Questions:

With respect to DR 1.4 Incumbent ESCO Drops Switch to Pending ESCO diagram, please answer the following:

- 1) For the Drop Request sent by the Utility to the Pending ESCO, which code do you send in for REF~1P?
- 2) Suppose in response to the verification letter sent to the customer stating that they will stay with their current ESCO that the customer objects; what transactions and codes are sent to the Incumbent ESCO? Is it as simple as re-providing the initial 814D to the Incumbent and re-providing the 814E Response (Pending Add) to the pending ESCO?

With respect to the DR 1.3.3 ESCO Customer Contacts Utility to Rescind Pending Enrollment Initiated by ESCO diagram, please answer the following:

After receiving the verification letter, presume the customer tries to get the pending ESCO to cancel the enrollment but the pending ESCO refuses to do so. The customer now calls the utility to force a cancellation...

- 3) What codes are sent in the 814D to the pending ESCO to cancel the pending enrollment and if applicable, to the incumbent ESCO?
- 4) If the pending ESCO rejects the utility initiated drop request (that is, they are trying to make sure they enroll the customer), there EDI Standards optionally provide for the ESCO to reject the request through an ESCO-initiated 814D Response. Does your Company support that transaction or would you reject it/ignore it?

Case No. 12-M-0476 et al.
EDI Business/Technical Working Groups
Workpaper – Pending Enrollment Cancellation Communications – 3/3/2017

814D Drop Codes				
Company	Q1	Q2	Q3	Q4
Cent. Hudson	REF*1P*CHA (in response to manual/non-EDI request)	REF*1P*CHU Code sent to Incumbent ESCO if customer wants to switch to utility full service. If the customer doesn't want to be reinstated with incumbent ESCO and does want to switch to pending ESCO, CH would instruct customer to contact pending ESCO to resubmit enrollment transaction.	REF*1P*CHA would be sent to pending ESCO if the customer was staying with their Incumbent ESCO or REF*1P*CHU if they were staying with utility full service. The Incumbent ESCO, if applicable, would receive an 814R transaction.	The 814D response is ignored.
Con Edison	Incumbent ESCO receives REF*1P*CHA response accepting or rejecting. If CHA accepted, 814R is sent to Incumbent ESCO.	Incumbent ESCO receives 814D REF*1P*A13 Customer requested drop.	The customer would contact our call center. The CSR would drop the customer themselves or ask a RC CSR to drop the account. The Pending ESCO would receive the 814D REF*1P*A13*Customer requested drop. The Incumbent ESCO receives and 814R.	The 814D response is ignored. Con Ed does not require ESCO responses to Con Ed initiated files (814D/814C/814E/814R), so what the ESCO submits back to us would not be read in

Case No. 12-M-0476 et al.
EDI Business/Technical Working Groups
Workpaper – Pending Enrollment Cancellation Communications – 3/3/2017

Company	Q1	Q2	Q3	Q4
Nat. Grid - Upstate	NIMO gas and electric REF*1P*020	<p>NIMO - when the customer calls we would manually enroll the customer back with the pending ESCO; NIMO would not send an 814 Drop request to the incumbent ESCO or an 814 Enrollment request to the pending ESCO.</p> <p>System changes to implement REF*1P*CHA/CHU for NIMO under development.</p>	<p>NIMO - when the customer calls we would manually enroll the customer back with the incumbent ESCO; NIMO would not send an 814 Drop request to the pending ESCO or an 814 Enrollment request to the incumbent ESCO. The Incumbent ESCO learns they've retained the customer through their pool report.</p> <p>System changes to send pending ESCO REF*1P*CHA/CHU for NIMO under development. The plan was to send the incumbent an 814E with the word "MANUAL" in BGN06 but an 814R will be considered.</p>	The 814D response is ignored.
Nat. Grid - Downstate	KEDNY gas REF*1P* B38 KEDLI gas REF*1P* CHA	<p>KEDNY - when the customer calls we would manually enroll the customer back with the pending ESCO; KEDNY would not send an 814 Drop request to the incumbent ESCO or an 814 Enrollment request to the pending ESCO.</p> <p>KEDLI sends an 814 Drop request using REF*1P* CHA to the incumbent ESCO and an 814 Enrollment request to the pending ESCO.</p> <p>System changes to implement REF*1P*CHA/CHU for KEDNY under development.</p>	<p>KEDNY - when the customer calls we would manually enroll the customer back with the incumbent ESCO; KEDNY would not send an 814 Enrollment request to the incumbent ESCO or an 814 drop request to the Incumbent ESCO.</p> <p>KEDLI sends an 814 Drop request using drop code CHA to the pending ESCO and an 814 enrollment request to the pending ESCO.</p> <p>System changes to send pending ESCO REF*1P*CHA/CHU for KEDNY under development.</p>	The 814D response is ignored.

Case No. 12-M-0476 et al.
EDI Business/Technical Working Groups
Workpaper – Pending Enrollment Cancellation Communications – 3/3/2017

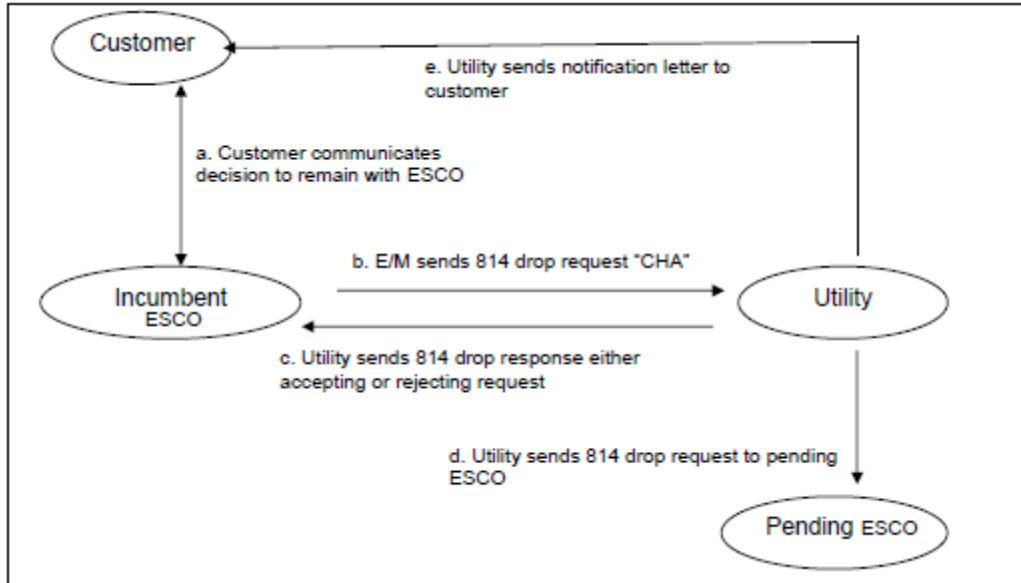
Company	Q1	Q2	Q3	Q4
NFG	REF*1P*CHA	NFG manually assigns customer to ESCO of their preference but EDI response is not consistent (timing is a factor). Will eventually be addressed with REF*1P*CHA/ CHU implementation.	NFG manually assigns customer to the pending ESCO but EDI response is not consistent (timing is a factor). Will eventually be addressed with REF*1P*CHA/ CHU implementation.	The 814D response is ignored.
NYSEG	REF*1P*CHA (in response to manual/non-EDI request)	NYSEG would ask pending ESCO to resubmit enrollment if switching timeline permitted (usual EDI transactions would be sent). If timeline had expired, NYSEG would manually enroll the customer to ensure switch took place on original scheduled switch date. When switch is processed manually, emails are sent in place of EDI.	The Pending ESCO receives REF*1P* CHA or REF*1P* CHU (planned) The Incumbent ESCO receives an 814R if sufficient time is available prior to the switch date; otherwise an email is sent to the Incumbent.	The 814D response is ignored.
O&R	REF*1P*A13 with Description "CHA contested. Switch cancelled"	Drop with REF*1P*A13 "Customer requested drop"	The Pending ESCO receives an 814D with A13 "Customer requested drop"; the Incumbent ESCO receives an 814R.	The 814D response is ignored.
RG&E	REF*1P*CHA (in response to manual/non-EDI request)	RG&E would ask pending ESCO to resubmit enrollment if switching timeline permitted (usual EDI transactions would be sent). If timeline had expired, NYSEG would manually enroll the customer to ensure switch took place on original scheduled switch date. When switch is processed manually, emails are sent in place of EDI.	The Pending ESCO receives REF*1P* CHA or REF*1P* CHU (planned) The Incumbent ESCO receives an 814R if sufficient time is available prior to the switch date; otherwise an email is sent to the Incumbent.	The 814D response is ignored.

Case No. 12-M-0476 et al.
EDI Business/Technical Working Groups
Workpaper – Pending Enrollment Cancellation Communications – 3/3/2017

DR 1.4 Incumbent ESCO Drops Switch to Pending ESCO

After a customer switches from one ESCO/Marketer to another, the customer will receive a confirmation letter from the Utility notifying them of the pending change, and the incumbent ESCO receives an 814 Drop from the Utility. The Incumbent ESCO may contact the customer in an attempt to retain the customer, and on the customer behalf initiate an inbound 814 Drop request transaction of pending switch.

If the customer decides to stay with their incumbent ESCO and not to switch to new ESCO



- a. Customer communicates decision to remain with Incumbent ESCO
- b. Incumbent ESCO sends 814 drop request "CHA"
- c. Utility sends 814 drop response either accepting or rejecting request
- d. Utility sends 814 drop request to pending ESCO
- e. Utility sends notification letter to customer (optional)
- f. Utility sends 814 reinstatement to Incumbent ESCO

Questions:

Within REF*IP segment, which code is sent by the utility to the pending ESCO in REF02?

Case No. 12-M-0476 et al.
EDI Business/Technical Working Groups
Workpaper – Pending Enrollment Cancellation Communications – 3/3/2017

Segment: **REF** Reference Identification (Drop Reason and Initiating Party)
Position: 030
Loop: LIN Optional (Must Use)
Level: Detail
Usage: Optional (Must Use)
Max Use: 1
Purpose: To specify identifying information
Syntax Notes: 1 At least one of REF02 or REF03 is required.
 2 If either C04003 or C04004 is present, then the other is required.
 3 If either C04005 or C04006 is present, then the other is required.
Semantic Notes: 1 REF04 contains data relating to the value cited in REF02.
Notes: Request: Required
 Response: Not Used

Utilities should describe their support of CHA and CHU codes in their Utility Maintained EDI Guides. It is recognized that in place of CHA and CHU codes, utilities can rely upon other codes, e.g. A13 with REF03 description, or non-EDI responses when customers contact utilities directly and EDI timing windows expire.

REF~1P~B38
 REF~1P~020
 REF~1P~A13~MAIL RETURNED

Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand.	REF01	128	Reference Identification Qualifier 1P	M ID 2/3 Accessorial Status Code Warnings associated with an accept status notification
Must Use	REF02	127	Reference Identification 020 A13 B38 CHA CHU	X AN 1/30 Customer Moved or Account Closed Originates with the Utility. Other See explanation in REF03. May originate either with the ESCO or the Utility. Dropped (ESCO Initiated) Customer was dropped by the ESCO. Customer Changed to Another ESCO Upon Customer request: <ul style="list-style-type: none"> • Sent by Utility to incumbentIncumbent ESCO in response to pending switch to another ESCO. • <u>Upon Incumbent ESCO request (if supported by Utility):</u> <ul style="list-style-type: none"> • <u>If supported by Utility, s</u>Sent by the Incumbent ESCO to request cancelation of a pending switch to another ESCO. • <u>Sent by the Utility to the Pending ESCO to request cancelation of a pending switch to that ESCO.</u> Customer Changed to Full Utility Service <u>If supported by Utility, s</u> Sent by Utility to Incumbent ESCO in response to customer request to return to full service.

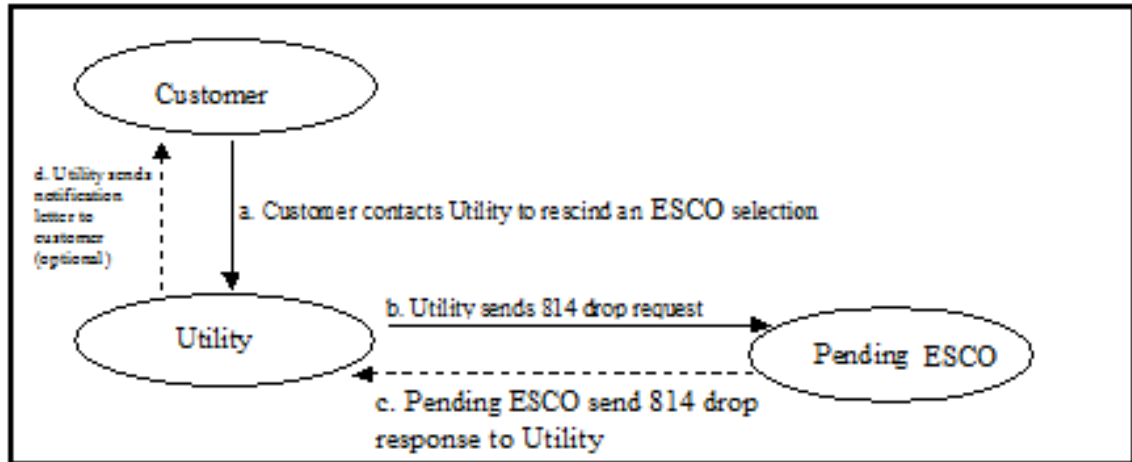
Case No. 12-M-0476 et al.
EDI Business/Technical Working Groups
Workpaper – Pending Enrollment Cancellation Communications – 3/3/2017

Cond.	REF03	352	Description	X AN 1/80
			Additional text information to aid in explaining the reason for a drop.	

Case No. 12-M-0476 et al.
EDI Business/Technical Working Groups
Workpaper – Pending Enrollment Cancellation Communications – 3/3/2017

DR 1.3.3 ESCO Customer Contacts Utility to Rescind Pending Enrollment Initiated by ESCO

ESCO Customer's pending enrollment is withdrawn from supplier services after the customer contacts the Utility. Current supplier is an ESCO. Utility may assume supply service or customer may be reinstated with current ESCO (see Reinstatement Business Process Document).



- a) Customer contacts Utility.
- b) Utility sends TS814 Drop request containing the effective date to the pending ESCO.
- c) Pending ESCO sends TS814 Drop response to Utility only if ESCO rejects.
- d) Utility may send notification letter to customer confirming actions taken.

Notes:

- The recipient of an EDI transaction must return TS 997. The TS 997 will be used by the Utility to confirm the ESCOs receipt of the TS814 Drop. ESCOs may not reject a TS814 for reasons other than validation or syntax errors.

Questions:

Within REF*1P segment, which code is sent by the utility in REF02?
Do any utilities process the ESCO Drop response to reject the drop?

General Question: Is “rescind” the correct term – would cancel be a better term?