

Case No. 12-M-0476 et al.
EDI Business/Technical Working Groups
Distributed Energy Resource Supplier EDI Requirements
11/17/2017

Excerpts from 15-M-0180, ORDER ESTABLISHING OVERSIGHT FRAMEWORK AND UNIFORM BUSINESS PRACTICES FOR DISTRIBUTED ENERGY RESOURCE SUPPLIERS (“DERS Order”), issued and effective October 19, 2017.

V. Generally Applicable Provisions (DERS Order, page 23)

As described above, these provisions apply to all DER suppliers that participate in Commission-authorized and/or utility or DSP-operated programs or markets with respect to transactions between the DER supplier and the customer of a distribution utility in New York state, excluding LIPA and its utility contractor. These provisions are generally “passive” provisions, in that they forbid certain behaviors, such as fraud, rather than mandating particular actions. The exceptions are (a) the customer consent requirement, which requires that DER suppliers preserve a record of customer consent and complaints for large or ongoing transactions; (b) **the customer data rules, which require particular actions but apply only to DER suppliers that intend to obtain data through the Electronic Data Interchange system (EDI)**; and (c) the reporting and disclosure rules, which require only that DER suppliers respond appropriately to Staff requests and do not impose an affirmative reporting obligation. These requirements, which are targeted at ensuring that accurate information is provided to customers and that no customers are enrolled without informed consent, will require minimal or no changes to existing DER supplier business practices.

3. Determination (DERS Order, page 28)

The Commission adopts the proposed rules in order to enable DER suppliers to receive data through EDI, with customer consent, on a similar basis as ESCOs. Utilities, EDI providers, and DER suppliers should begin working together to determine what modifications or additions should be made to EDI for this purpose.

The Commission agrees that EDI on its own may not be sufficient to meet the data needs of DER suppliers as the market develops. Additional methods of sharing data are already being implemented through technologies such as AMI and in other venues, including through Green Button Connect and NYSERDA’s Utility Energy Registry. Requirements and policies associated with receiving data through these systems will be developed in those venues.

UNIFORM BUSINESS PRACTICES FOR DISTRIBUTED ENERGY RESOURCE SUPPLIERS (DERS Order Appendix A, page 2)

Electronic Data Interchange (EDI) – The computer-to-computer exchange of routine information in a standard format using established data processing protocols. EDI transactions are used in retail access programs to switch customers from one supplier to another or to exchange customers’ history, usage or billing data between a distribution utility or Meter Data Service Provider and an ESCO. Transaction set standards, processing protocols, and test plans are authorized in orders issued by the Public Service Commission in Case 98-M-0667, In the Matter of Electronic Data

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Interchange, and available on the Department of Public Service website at:

<http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterCaseNo=98-m-0667&submit=Search+by+Case+Number>.

UNIFORM BUSINESS PRACTICES FOR DISTRIBUTED ENERGY RESOURCE SUPPLIERS (DERS Order Appendix A, pages 7-10)

SECTION 2C: CUSTOMER DATA (Generally Applicable)

A. Applicability. This Section establishes practices for release and protection of customer information by distribution utilities or DSPs to DER suppliers using EDI. It also identifies the content of information sets transmitted using EDI standards. The distribution utility or DSP and a DER supplier shall use standards, systems, and protocols developed for these purposes for transmittal of customer information. This section does not impose any obligations on DER suppliers that do not request or receive data using EDI.

B. Customer Authorization Process. The distribution utility or DSP shall provide information about a specific customer requested by an EDI-eligible DER supplier authorized by the customer to receive the information.

1. In obtaining customer authorization, a DER supplier shall inform the customer of the types of information to be obtained, to whom it will be given, how it will be used, and how long the authorizations will be valid. The authorization is valid for no longer than six months unless the sales agreement provides for a longer time.
2. A distribution utility or DSP shall assume that a DER supplier obtained proper customer authorization if the DER supplier submits a valid information request, as defined in EDI rules.
3. A DER supplier shall retain, for a minimum of two years or for the length of the sales agreement, whichever is longer, verifiable proof, including but not limited to a recording or signed writing, of authorization for each customer. Verification records shall be provided by a DER supplier, upon request of the Department, within five calendar days after a request is made. Locations for storage of the records shall be at the discretion of the DER supplier.
4. Upon request by a customer, a distribution utility or DSP shall block access by DER suppliers to information about the customer.
5. A DER supplier and its agent shall comply with statutory and regulatory requirements pertaining to applicable state and federal do-not-call registries.

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C. Customer Information Provided to DER suppliers

1. Release of Information. The distribution utility or MDSP shall respond within two business days to valid requests for information as established in EDI transaction standards and within five business days to requests for data and information for which an EDI transaction standard is not available. The distribution utility or MDSP shall provide the reason for rejection of any valid information request.
2. Customer Contact Information Set. The distribution utility or DSP, to the extent it possesses the information, shall provide, upon a DER supplier request, consumption history for an electric account and consumption history and/or¹ a gas profile for a gas account.
 - a. Consumption history² for an electric account shall include:
 1. Customer's service address;
 2. Electric account number;
 3. Sales tax district used by the distribution utility and whether the utility identifies the customer as tax exempt;
 4. Rate service class and subclass or rider by account and by meter, where applicable;
 5. Electric load profile reference category or code, if not based on service class, whether the customer's account is settled with the NYISO utilizing an actual 'hourly' or a 'class shape' methodology, or Installed Capacity (ICAP) tag, which indicates the customer's peak electricity demand;
 6. Customer's number of meters and meter numbers;
 7. Whether the customer receives any special delivery or commodity "first through the meter" incentives, or incentives from the New York Power Authority;
 8. The customer's Standard Industrial Classification (SIC) code;
 9. Usage type (e.g., kWh), reporting period, and type of consumption (actual, estimated, or billed);
 10. Whether the customer's commodity service is currently provided by the utility;
 11. 12 months, or the life of the account, whichever is less, of customer data and, upon separate request, an

¹ DERS Order - FN16: If a distribution utility or DSP offers a gas profile and consumption history, a DER supplier may choose either option. A distribution utility or DSP shall make available, upon request, class average load profiles for electric customers.

² DERS Order - FN17: A distribution utility, in addition to EDI transmittal, may provide web-based access to customer history information.

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additional 12 months, or the life of the account, whichever is less, of customer data, and, where applicable, demand information;³ if the customer has more than one meter associated with an account, the distribution utility or DSP shall provide the applicable information, if available, for each meter; and

12. Electronic interval data in summary form (billing determinants aggregated in the rating periods under a distribution utility's tariffs), and if requested in detail, an acceptable alternative format.

b. A gas profile for a gas account shall include:

1. Customer's service address;
2. Gas account number;
3. Customer's number of meters and meter numbers;
4. Sales tax district used by the distribution utility for billing and whether the utility identifies the customer as tax exempt;
5. The customer's Standard Industrial Classification (SIC) code;
6. Whether the customer's commodity service is currently provided by the utility;
7. Rate service class and subclass or rider, by account and by meter, where applicable;
8. Date of gas profile; and,
9. Weather normalization forecast of the customer's gas consumption for the most recent 12 months or life of the account, whichever is less, and the factors used to develop the forecast.

D. Charges for Customer Data. No distribution utility or DSP shall impose charges upon DER suppliers for provision of the information described in this Section through EDI.

E. Unauthorized Information Release. A DER supplier, its employees, agents, and designees, is prohibited from selling, disclosing or providing any customer information obtained from a distribution utility or DSP, in accordance with this Section, to others, including their affiliates, unless such sale, disclosure or provision is required to facilitate or maintain service to the customer or is specifically authorized by the customer or required

³ DERS Order - FN18: A distribution utility may provide data for a standard 24 months or life of the account, whichever is less, as part of its Customer Contact Information Set.

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by legal authority. If such authorization is requested from the customer, the DER supplier shall, prior to authorization, describe to the customer the information it intends to release and the recipient of the information.

F. NIST Cybersecurity Framework. DER suppliers that obtain customer information from the distribution utility or DSP must have processes and procedures in place regarding cybersecurity consistent with the National Institute of Standards and Technology Cybersecurity Framework.

G. Data Security. DER suppliers that obtain customer information from the distribution utility or DSP must comply with any data security requirements imposed by that utility or by Commission rules on ESCOs and/or any data security requirements associated with EDI eligibility.

FROM EXISTING UBPS:

2. Customer Contact Information Set. The distribution utility or MDSP, to the extent it possesses the information, shall provide, upon an ESCO request, consumption history for an electric account and consumption history and/or a gas profile for a gas account. a. Consumption history² for an electric or gas account shall include:

1. Customer's service address;
2. Electric or gas account indicator;
3. Sales tax district used by the distribution utility and whether the utility identifies the customer as tax exempt;
4. Rate service class and subclass or rider by account and by meter, where applicable;
5. Electric load profile reference category or code, if not based on service class, whether the customer's account is settled with the ISO utilizing an actual 'hourly' or a 'class shape' methodology, or Installed Capacity (ICAP) tag, which indicates the customer's peak electricity demand;
6. Customer's number of meters and meter numbers;
7. Whether the customer receives any special delivery or commodity "first through the meter" incentives, or incentives from the New York Power Authority;
8. The customer's Standard Industrial Classification (SIC) code;

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9. Usage type (e.g., kWh or therm), reporting period, and type of consumption (actual, estimated, or billed);

10. Whether the customer's commodity service is currently provided by the utility;

11. 12 months, or the life of the account, whichever is less, of customer data via EDI and, upon separate request, an additional 12 months, or the life of the account, whichever is less, of customer data via EDI or an alternative system at the discretion of the distribution utility or MDSP, and, where applicable, demand information;³ if the customer has more than one meter associated with an account, the distribution utility or MDSP shall provide the applicable information, if available, for each meter; and

12. Electronic interval data in summary form (billing determinants aggregated in the rating periods under a distribution utility's tariffs) via EDI, and if requested in detail, via an acceptable alternative electronic format.

b. A gas profile for a gas account shall include:

1. Customer's service address;

2. Gas account indicator;

3. Customer's number of meters and meter numbers;

4. Sales tax district used by the distribution utility for billing and whether the utility identifies the customer as tax exempt;;

5. The customer's Standard Industrial Classification (SIC) code;

6. Whether the customer's commodity service is currently provided by the utility;

7. Rate service class and subclass or rider, by account and by meter, where applicable;

8. Date of gas profile; and,

9. Weather normalization forecast of the customer's gas consumption for the most recent 12 months or life of the account, whichever is less, and the factors used to develop the forecast.

¹ If a distribution utility or MDSP offer a gas profile and consumption history, an ESCO may choose either option. A distribution utility or MDSP shall make available, upon request, class average load profiles for electric customers.

² A distribution utility or MDSP, in addition to EDI transmittal, may provide Web based access to customer history information.

³ A distribution utility may provide data for a standard 24 months or life of the account, whichever is less, as part of its Customer Contract Information Set.

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COMPARISON DERS ORDER TO EXISTING UBPS:

2. Customer Contact Information Set. The distribution utility or ~~MDSPDSP~~, to the extent it possesses the information, shall provide, upon ~~an ESCOa DER supplier~~ request, consumption history for an electric account and consumption history and/or a gas profile for a gas account.

~~a.~~ Consumption history for an electric ~~or gas~~ account shall include:

1. Customer's service address;
2. Electric ~~or gas~~ account ~~indicator~~number;
3. Sales tax district used by the distribution utility and whether the utility ~~identifies~~identifies the customer as tax exempt;
4. Rate service class and subclass or rider by account and by meter, where applicable;
5. Electric load profile reference category or code, if not based on service class, whether the customer's account is settled with the ~~ISO~~NYISO utilizing an actual 'hourly' or a 'class shape' methodology, or Installed Capacity (ICAP) tag, which indicates the customer's peak electricity demand;
6. Customer's number of meters and meter numbers;
7. Whether the customer receives any special delivery or commodity "first through the meter" incentives, or incentives from the New York Power Authority;
8. The customer's Standard Industrial Classification (SIC) code;
9. Usage type (e.g., kWh ~~or therm~~), reporting period, and type of consumption (actual, estimated, or billed);
10. Whether the customer's commodity service is currently provided by the utility;
11. 12 months, or the life of the account, whichever is less, of customer data ~~via EDI~~ and, upon separate request, an additional 12 months, or the life of the account, whichever is less, of customer data ~~via EDI or an alternative system at the discretion of the distribution utility or MDSP~~, and, where applicable, demand information; if the customer has more than one meter associated with an account, the distribution utility or ~~MDSPDSP~~ shall provide the applicable information, if available, for each meter; and

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12. Electronic interval data in summary form (billing determinants aggregated in the rating periods under a distribution utility's tariffs ~~via EDI,~~) and if requested in detail, ~~via an acceptable alternative electronic~~ format.

b. A gas profile for a gas account shall include:

1. Customer's service address;
2. Gas account ~~indicator~~number;
3. Customer's number of meters and meter numbers;
4. Sales tax district used by the distribution utility for billing and whether the utility ~~identifies~~identifies the customer as tax exempt~~++~~;
5. The customer's Standard Industrial Classification (SIC) code;
6. Whether the customer's commodity service is currently provided by the utility;
7. Rate service class and subclass or rider, by account and by meter, where applicable;
8. Date of gas profile; and,
9. Weather normalization forecast of the customer's gas consumption for the most recent 12 months or life of the account, whichever is less, and the factors used to develop the forecast.

QUESTIONS:

- 1) Which IGs need modifications (814HU, 867HU)?**
- 2) Should DERS Providers be included in the EDI Standards document as a separate entity (in 814HU/867HU Data Dictionaries and/or Business Process Documents) or included, with a general note, as part of the ESCO identity in the EDI Standards documents for each of the affected transactions?**