

Case No. 12-M-0476 et. al.
EDI Business/Technical Working Groups
Miscellaneous Errata Workpaper – Various Documents
March 27, 2015

- 1) 810 UBR IG – Page ix – the definitions for The Supplier it has ESCO listed twice (ESCO or ESCO) – only need one ☺

Definitions	<ul style="list-style-type: none">• The term Utility or LDC (Local Distribution Company) is used in this document to refer to the local gas or electric distribution company, i.e. the entity providing regulated bundled commodity service. The term ESCO is used in this document to refer to either a gas or electric supplier. The principal parties involved in this 810 Transaction Set implementation guide are:<ul style="list-style-type: none">➤ The end-use customer (Code 8R)➤ The Utility (LDC) (Code 8S)➤ The Supplier (ESCO or ESCO) (Code SJ).
Companion Documents	<ul style="list-style-type: none">• All of the applicable business rules for New York are not necessarily documented in this implementation guide. Accordingly, the following documents should be reviewed where further clarification is needed:<ul style="list-style-type: none">➤ <i>Consolidated Billing Business Processes - Utility Bill Ready</i>➤ <i>810 Utility BR Data Dictionary</i>➤ <i>867MU Implementation Guide</i>, or➤ <i>Monthly Usage Business Processes</i>.• Further information regarding the processing of EDI transactions may be found in the <i>Technical Operating Profile for Electronic Data Interchange in New York</i>.

- 2) 810 UBR DD – Page i - In the Summary of changes under Aug 2009 has mention of RG&E – don't know what has been done for other utility specific historical comments in this section – leave or remove RG&E references.

Note: No Change Necessary - Utility names have been left in place when referencing historical changes

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- 3) 810 UBR DD – Page 4 – in comment there is an unnecessary “it” in the sentence regarding the Utility Maintained guides.
4) 810 UBR DD – Page 10 – SAC 04 line – in comment where it has TPI02 should be TPI002.

Row No	NY DD Field Name	Loop ID	Segment	Level	Position	Ref Desc	Name	Description	Code	Data Type	Usage Attributes	Comments
30	Balance Detail (Total Outstanding Balance)	None	BAL	HDR	212	01	Balance Type Code	Code indicating the type of balance	M	ID 1/2	Conditional	This segment is sent when the pay-as-you-get paid method is being used. This is the customer's total outstanding balance after presentment of this invoice. When the Beginning Balance segment (see below) is NOT being sent in the same transaction, the amount sent in this segment must be reduced by the beginning balance amount on the ESCOs records in order to ensure that the outstanding balance for the ESCOs account recorded by the Utility equals the amount of the outstanding balance recorded by the ESCO for that customer. A Utility will indicate in its Utility Maintained EDI Guide if it this segment is not used.
73	Service, Promotion, Allowance, or Charge Information (Charges/Adjustments)	SLN Loop	SAC	DTL	230	04	Agency Service, Promotion, Allowance, or Charge Code	Code indicating the type of charge	See Implementation Guide for the list of SAC04 codes applicable to the 810 Invoice transaction for the Utility Bill Ready model	AN 1/10	Required	The SAC04 codes will be used to categorize the charge amounts sent in SAC05 and to determine the text that will be displayed on the ESCOs portion of the consolidated bill. Either the standard text associated with the SAC04 code, e.g. when BAS001 is sent the text description "Customer Charge" would be displayed on the bill or each ESCO will designate the text description that want to associate with each SAC04 code they intend to send. That description, in lieu of the standard text, would be displayed on the customer's bill. ESCOs may request that other non-standardized text be displayed on the customer's bill by sending a TPI002 code in SAC04 and the non-standard text in SAC15. A utility will indicate in its Utility Maintained EDI Guide if all text to be sent in SAC15 must be pre-approved.

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5) 814 C IG – Page vi – For Definitions – ESCO is listed twice ESCO (ESCO)

Use of DTM*007 segment	<ul style="list-style-type: none"> A DTM*007 segment (Effective Date of Change) is used to communicate the effective date for a requested change in the following circumstances: <ul style="list-style-type: none"> Utility Request – required for non-DTM segments Utility Response – may be sent to establish the effective date of an ESCO requested change ESCO Requests sent to communicate a change in mailing address (required for Single Retailer Model) ESCO Requests to change the ESCO Commodity Price (AMT*RJ), ESCO Fixed Charge (AMT*FW), or ESCO Rate Code (REF*RB) when the Utility is the Bill Presenter and Bill Calculator and has agreed to process rate or price changes mid-cycle.
Data Element Attributes	<ul style="list-style-type: none"> Data elements whose X12 attribute type is 'R' (for example AMT02 elements) are treated as real numbers. Real numbers are assumed to be positive numbers and a minus (-) sign must precede the amount when a negative number is being sent. Real numbers do NOT provide for an implied decimal position; therefore a decimal point must be sent when decimal precision is required. Note that in transmitting real numbers it is acceptable, but not necessary, to transmit digits that have no significance i.e. leading or trailing zeros.
Single Retailer Model	<ul style="list-style-type: none"> There are some differences in the required segments for a Change Request and/or Response where the Single Retailer Model has been implemented for Retail Access. These differences have been noted in the notes and gray box text in the individual data segments in this Implementation Guide as well as the corresponding data dictionary.
Conditional Data Segments	<ul style="list-style-type: none"> There are minor differences in the extent to which specific data elements are supported by each Utility and/or whether they are applicable to both electric and gas services. These differences have been noted, for the most part, in the data dictionary associated with this implementation guide.
Definitions	<ul style="list-style-type: none"> ➤ The term Utility is used in this document to refer to the local gas or electric distribution company, i.e. the entity providing regulated bundled commodity service. The term ESCO (ESCO) is used in this document to refer to either a gas or electric supplier.
Companion Documents	<ul style="list-style-type: none"> All of the applicable business rules for New York are not necessarily documented in this implementation guide. Accordingly, the Account Change Business Process document and/or the 814 Change Data Dictionary should be reviewed where further clarification is needed. In addition, further information on the Change data elements can be found in the Implementation Guide for the 814 Enrollment Request & Response.

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- 6) 814 D IG – Page iii – All meters per account – I see a few references to Orange & Rockland Utilities – not sure if they want to replace those with the utility maintained guide

All meters per account	<ul style="list-style-type: none"> • Unless otherwise specified in a utility's Utility Maintained EDI GuideExcept for Drop Requests sent to or received by Orange & Rockland Utilities, a drop request for electric supply service will be considered a request to drop all electric meters (and/or un-metered electric service) on the account being dropped. Similarly, a drop request with the same (or a different) supplier for gas service, would result in a drop of all gas meters for that account for that supplier. • If specified in a utility's Utility Maintained EDI GuideIn Orange & Rockland's service territory, when both metered and un-metered electric service is present on an account, and ESCO may separately enroll (or drop) the un-metered service on that account by transmitting the REF03 element in the REF*12 (Utility Account Number) segment.
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- 7) 814 D IG – Page iv – Effective Dates – the 15 day requirement is mentioned here – shouldn't this be based on the utility guides – with accelerated switching is 5 business for electric, 15 calendar for gas?
- 8) 814 D IG – Page iv – For Definitions – ESCO is listed twice ESCO or ESCO in 2 different places

	<ul style="list-style-type: none"> • An ESCO may request that an electric account be dropped on a date other than the next regularly scheduled meter read date. However, this request will not be processed via EDI. The ESCO must contact the applicable Utility directly to request a specific drop date. All utilities will not support requests that drop an account on a date other than the next regularly scheduled meter read date. • Drop requests must be received a minimum of <u>5 business days</u> (15 calendar days <u>for gas</u>) prior to the effective date with the following exceptions: <ul style="list-style-type: none"> ➤ the customer moves and does not provide 45<u>the minimum number of</u> days notice; ➤ the customer is rescinding an enrollment request; or ➤ the account is being closed. • Valid drop requests that do not involve a customer move or account closing, that do not meet the <u>5 business day</u> (15 <u>calendar day for gas</u>) requirement will not be rejected; the customer will be dropped on the next succeeding meter read date for that customer or the first of the following month for gas.
Definitions	<ul style="list-style-type: none"> • The term Utility or LDC (Local Distribution Company) is used in this document to refer to the local gas or electric distribution company, i.e. the entity providing regulated bundled commodity service. The term ESCO or ESCO is used in this document to refer to either a gas or electric supplier. The principal parties involved in this Transaction Set 814 implementation guide are: <ul style="list-style-type: none"> ➤ The end-use customer (Code 8R) ➤ The Utility (LDC) (Code 8S) ➤ The Supplier (ESCO or ESCO) (Code SJ).

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- 9) 814 D IG – Page 21 – REF for Gas Pool Id – has a reference to National Fuel - not sure if they want to replace those with the utility maintained guide.

NY 814 Drop Request & Response

Segment:	REF Reference Identification (Gas Pool Id)
Position:	030
Loop:	LIN Optional (Must Use)
Level:	Detail
Usage:	Optional (Dependent)
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:	Requests: Conditional Responses: Conditional Gas Only. When specified in a Utility Maintained EDI Guide, This segment must be sent provided in Utility or Marketer-ESCO initiated Drop Requests in National Fuel utility's service territory. If not present in Marketer-ESCO initiated Requests in that service territory, the transaction will be rejected. This segment may be sent in Utility initiated Requests or Responses in other service territories at the discretion of the utility. REF~VI~211234567

Data Element Summary					
Mand.	Ref. Des.	Data Element	Name	Qualifier	Attributes
	REF01	128	Reference Identification	VI	M ID 2/3
			Pool Number		
			Gas Pool Ids are assigned to a gas marketer by the Utility and are used to define a unique sub-grouping of customers.		
Must Use	REF02	127	Reference Identification		X AN 1/30
			Gas Pool Id associated with the customer being dropped.		

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10) 814 D DD – Page 5 – Line No. 34 -LIN Loop – specifies a minimum of 15 days - this be based on the utility guides – with accelerated switching is 5 business for electric, 15 calendar for gas?

11) 814 D DD – Page 7 – Line No. 47 – comment has reference to O&R

Line No	NY DD Field Name	Loop ID	Segment	Level	Position	Ref Desc	Name	Description	Code	Data Type	Request	Response	Comments
34	Item Identification	LIN Loop	LIN	DTL	010	05	Product/Service ID	Type of Request	CE	AN(1/48)	Required	Required	CE is the only LIN request on a drop transaction. Other than requests pertaining to customer rescission or relocation, requests must be sent a minimum of <u>5 business days</u> (15 <u>calendar</u> days <u>for gas</u>) in advance of the effective date. When a Request transaction is not received within this timeframe, the effective date of the drop will be the customer's next regularly scheduled meter read date or the first of the month (gas). See implementation guide or business process document for determination of the effective date in the case of customer rescission or relocation.
47	Reference Identification (Utility Account Number)	LIN Loop	REF	DTL	030	03	Description	Un-metered service designator (electric accounts only)	U	AN(1/80)	Conditional	Conditional	<u>If specified in a Utility Maintained EDI Guide, This-this</u> element is only sent in Requests to, or provided in Responses from, <u>O&Rthe utility</u> when the commodity indicated in the LIN segment is electric but the Drop Request pertains only to dropping the un-metered portion of the electric service on the account.

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12) 814 D DD – Page 8 – Line No. 52 – comment has reference to NFG

Line No	NY DD Field Name	Loop ID	Segment	Level	Position	Ref Desc	Name	Description	Code	Data Type	Request	Response	Comments
52	Reference Identification (Gas Pool ID)	LIN Loop	REF	DTL	030	01	Reference Identification Qualifier	Code indicating that REF02 contains the gas pool id for the pool containing the customer being dropped.	VI	ID(2/3)	Conditional	Conditional	<u>If specified in a Utility Maintained EDI Guide.</u> This <u>this</u> segment must be sent in Request and Response transactions (where applicable) transmitted in NFG's <u>the utility's</u> service territory. Marketer initiated Drop requests that do not contain the Gas Pool Id for the customer being dropped will be rejected. Will be returned in Utility Response transactions.

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13) 814 D BP – Page 7 – UBP CSP D.6 – references cancels no later than 3 business days – shouldn't that be prior to the date of the switch due to accelerated switching rules? UBP CSP E.2 – same as previous comment?

PROCESS RULES:	<p>[UBP CSP B. 2.] The ESCO shall provide residential customers the right to cancel a sales agreement within three business days after its receipt (cancellation period).</p> <p>[UBP CSP D. 6.] Upon acceptance of an enrollment request, the distribution utility shall send a notice to any incumbent ESCO that the customer's service with that ESCO will be terminated on the effective date of the new enrollment... [UBP CSP D. 6.] ... In the event that the distribution utility receives notice no later than three-one business days before the effective date that a pending enrollment is cancelled, the distribution utility shall transmit a request to reinstate service to any incumbent ESCO, unless the ESCO previously terminated service to the customer or the customer requests a return to full utility service.</p> <p>[UBP CSP E.2.] Upon receipt of [notice of a customer's] cancellation, the distribution utility shall cancel the pending enrollment and reinstate the customer with the incumbent ESCO, if any, or the distribution utility, provided that no less than three-one business days remains before the planned effective date. If less than three business days remain, the change to the new provider shall occur and remain effective for one billing cycle. The customer shall return to full utility service at the end of the next switching cycle, unless the customer is enrolled by another ESCO at least 5 business days (15 calendar days for gas) before the beginning of the next switching cycle.</p> <p>[UBP CSP E.3.] If a customer notifies the pending ESCO of such cancellation, the pending ESCO shall send a customer's drop request to the distribution utility at least three business days prior to the effective date for the pending enrollment.</p> <p>[CWG] Neither the ESCO nor Utility can reject a Drop Request on substance. A Drop transaction can be rejected for validation or syntax errors. Reject responses will require manual follow-up.</p> <p>[CWG] The <u>5 business day (15 calendar days for gas)</u> notice requirement generally applicable to Drop Requests will not apply in instances in which a customer cancels a pending enrollment request and a Drop Request must then be sent to the pending ESCO.</p>
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14) 814 D BP – Page 15 & 16 – has mention of not less than 3 business days – should be to the date prior to planned date?

PROCESS RULES:	<p>[UBP CSP B.2.] The ESCO shall provide residential customers the right to cancel a sales agreement within three business days after its receipt (cancellation period).</p> <p>[UBP CSP D.4.] An ESCO shall submit an enrollment request after it provides the sales agreement to the customer and, for residential customers, after the expiration of the cancellation period.</p> <p>[UBP CSP D.6.] In the event that the distribution utility receives notice no later than three<u>one</u> business days before the effective date that a pending enrollment is cancelled, the distribution utility shall transmit a request to reinstate service to any incumbent ESCO, unless the ESCO previously terminated service to the customer or the customer requests a return to full utility service.</p> <p>[UBP CSP E. 2.] Upon receipt of such cancellation, the distribution utility shall cancel the pending enrollment and reinstate the customer with the incumbent ESCO, if any, or the distribution utility, provided that no less than three<u>one</u> business days remains before the planned effective date. If less than three<u>one</u> business days remains, the change to the new provider shall occur and remain effective for one billing cycle. The customer shall return to full utility service at the end of the next switching cycle, unless the customer is enrolled by another ESCO at least 5 business days (15 calendar days for gas) before the beginning of the next switching cycle.</p> <p>[CR-2.4.1 D-1] If the customer rescinds their enrollment request the Utility sends a drop to the ESCO and the customer stays with the Utility.</p> <p>[CWG] Rescission period – Customer has right to rescind an enrollment request during the pending stage.</p>
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15) 814 D BP – Page 18 UBP CSP E.2 – same as previous comment – a day prior to the date of the switch? BP – Page 20 – same as previous comment – a day prior to the date of the switch?

PROCESS RULES:	<p>[UBP CSP B.2.] The ESCO shall provide residential customers the right to cancel a sales agreement within three business days after its receipt (cancellation period).</p> <p>[UBP CSP D.4.] An ESCO shall submit an enrollment request after it provides the sales agreement to the customer and, for residential customers, after the expiration of the cancellation period.</p> <p>[UBP CSP D.6.] In the event that the distribution utility receives notice no later than one business day before the effective date that a pending enrollment is cancelled, the distribution utility shall transmit a request to reinstate service to any incumbent ESCO, unless the ESCO previously terminated service to the customer or the customer requests a return to full utility service.</p> <p>[UBP CSP E. 2.] Upon receipt of such cancellation, the distribution utility shall cancel the pending enrollment and reinstate the customer with the incumbent ESCO, if any, or the distribution utility, provided that no less than three-one business days remains before the planned effective date. If less than three-one business days remains, the change to the new provider shall occur and remain effective for one billing cycle. The customer shall return to full utility service at the end of the next switching cycle, unless the customer is enrolled by another ESCO at least 5 business days (15 calendar days for gas) before the beginning of the next switching cycle.</p> <p>[CWG] Rescission period – Customer has right to rescind an enrollment request during the pending stage.</p> <p>[CWG] When the customer contacts the Utility to cancel, the Utility will send a Drop Request to the ESCO a minimum of two business days in advance of the effective date for the pending enrollment.</p>
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16) 814 E IG – Page vii – refers to the 15 day rule – need to specify between electric and gas?

Effective Date	<ul style="list-style-type: none"> The effective enrollment date for a customer should not be sent in 814 Enrollment Requests. The effective enrollment date for an account is determined by the Utility and will be returned in an Enrollment Accept Response transaction. Customers will be enrolled with a supplier coincident with the date of the customer’s next regularly scheduled meter read date or the first of the month for gas, provided that the suppliers request has been received and processed by the Utility at least <u>5 business days</u> (15 calendar days <u>for gas</u>) in advance of this date and the customer has not rescinded the pending enrollment. Valid enrollment requests that do not comply with the <u>5 business day</u> (15 <u>calendar</u> day <u>for gas</u>) requirement may not be rejected; the customer may be enrolled on the next succeeding meter read date for that customer or the first of following month for gas (if a special read has NOT been requested) provided that the customer has not rescinded the pending enrollment request. The <i>Reinstatement Business Process</i> document should also be reviewed for a description of factors that may affect the determination of the effective date for an enrollment. A customer may be enrolled with an ESCO on an off cycle date but these requests are not currently being processed via EDI. Arrangements for an off cycle enrollment date should be made directly with the Utility and will only be granted subject to the requirements of that Utility’s tariffs.
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17) 814 E IG – Page viii – For Definitions – ESCO is listed twice ESCO or ESCO

Definitions	<ul style="list-style-type: none"> The term Utility or LDC (Local Distribution Company) is used in this document to refer to the local gas or electric distribution company, i.e. the entity providing regulated bundled commodity service. The term ESCO is used in this document to refer to either a gas or electric supplier. The principal parties involved in this Transaction Set 814 implementation guide are: <ul style="list-style-type: none"> ➤ The end-use customer (Code 8R) ➤ The Utility (LDC) (Code 8S) ➤ The Supplier (ESCO-or-ESCO) (Code SJ).
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18) 814 E IG – Page 35 – Human Needs Customer– has a reference to National Grid

NY 814 Enrollment Request & Response

Segment: **REF** Reference Identification (Human Needs Customer)
Position: 030
Loop: LIN Optional (Must Use)
Level: Detail
Usage: Optional (Dependent)
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: Enrollment Request: Conditional
Other Requests/Response: Not Used

Where required by the utility in its Utility Maintained EDI Guide, this segment must be present in Requests sent to ~~National Grid~~ the utility when the commodity is gas and the non-residential customer being enrolled meets the definition of a Human Needs Customer as found in the utility's tariff. Generally, Human Needs Customers are defined as accounts that rely solely on gas for heating that are residential in character such as facilities which house patients or residents on an overnight basis (hospitals or prisons) or critical care accounts (nursing or other acute care facilities).
This segment may be provided in Gas Enrollment Requests sent to other utilities with the mutual agreement of the trading partners.
ALC~Y
ALC~N

Data Element Summary

	Ref. Des.	Data Element	Name	Attributes
<u>Mand.</u>	REF01	128	Reference Identification Qualifier	M ID 2/3
			ALC Agency Location Code	
Must Use	REF02	127	Reference Identification	X AN 1/30
			N This customer is NOT a human needs customer	

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19) 814 E DD – Line 23 – contact function code – has a partial sentence in the revised comment

Row No	NY DD Field Name	Loop ID	Segment	Level	Position	Ref Desc	Name	Description	Code	Data Type	Request	Response	Comments
23	Administrative Communications Contact (Customer Phone Number)	N1 Loop	PER	HDR	80	1	Contact Function Code	Code indicating that PER02 and Per03 PER03 contain contact information.	IC	ID 2/2	Not Used	Conditional	If specified in a Utility Maintained EDI Guide, this segment will be sent by the utility in an Enrollment Accept Response transaction to provide the <u>customer's</u> telephone number for the customer to the ESCO.