

WORKPAPER – BUSINESS PROCESS DISCUSSION – 10/14/2014 MEETING  
PRE-ENROLLMENT COMMUNICATION OF CUSTOMER BLOCKS  
814E, 814HU and 867HU TRANSACTIONS

NOTE: Some utilities employ a single block (Customer Account Block), where when put in place by the customer, both blocks changes in enrollment status (other than an ESCO drop or reinstatement) and provision of both usage and non-usage data to ESCOs in 867HU transactions. Other utilities employ a dual block system; one block for enrollment (Enrollment Block) and the other pertaining to historic usage (HU Block) in the 867HU transaction. The HU Block also prevents provision of non-usage data in the 867HU transaction. For dual block utilities, when both an Enrollment Block and an HU block is in place for a customer, the situation is functionally equivalent to a single block utility's Customer Account Block.

SCENARIOS:

A single block utility (who blocks both HU and Enrollment together) would send:

1. For 814 Enrollment Request (Stand alone or with secondary 814HU)
  - a. An 814 Enrollment ACCEPT Response if there is no block.
  - b. An 814 Enrollment REJECT Response with Reject (7G) code CAB if Enrollment/HU is blocked.
2. For 814 HU Request (Stand Alone Only)
  - a. An 814 HU ACCEPT Response if there is no block, and HU is available, followed by an 867 HU.
  - b. An 814 HU ACCEPT Response with Status (1P) code HUL if there is no block and the account does not have any historical usage. The 867 would contain only the PTD\*FG loop with whatever limited information is available.
  - c. An 814 HU REJECT Response with Reject (7G) code HUU and **REF03 text for the ESCO to contact the utility for non usage customer data**, if no historical usage information is available. Utility will define how to provide PTD\*FG data manually. No 867 HU is sent.
  - d. An 814 HU REJECT Response with Reject (7G) code CAB, if the Enrollment/HU is blocked. No 867 HU sent.

A utility who has separate blocks for HU and Enrollment would send:

1. For 814 Enrollment Request (Stand alone or with secondary 814HU)
  - a. An 814 Enrollment ACCEPT Response if Enrollment is not blocked.
  - b. An 814 Enrollment REJECT Response with Reject (7G) code CAB if Enrollment is blocked.
2. For 814 HU Request (Stand Alone Only)
  - a. An 814 HU ACCEPT Response if there is no HU block, and HU is available, followed by an 867 HU. If the account has an Enrollment Block, the 867 HU would contain REF\*ZV\*EB to notify the ESCO that there is an Enrollment Block on the account, so they know that they must remove it before enrolling the customer.
  - b. An 814 HU ACCEPT Response with Status (1P) code HUL if there is no HU block and the account does not have any historical usage. The 867 would contain only the PTD\*FG loop with whatever limited information is available, including the REF\*ZV\*EB, if appropriate, to notify the ESCO if there is an Enrollment Block.
  - c. An 814 HU REJECT Response with Reject (7G) code HUR if the HU is blocked. No 867 HU sent.

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Proposed note for 814E Business Process Document:

- When an ESCO submits an 814 Enrollment Request (Stand alone or with secondary 814HU) to a utility that employs a single block (which blocks both HU and Enrollment together), if no Customer Account Block is in place an 814 Enrollment ACCEPT Response will be sent provided that other conditions that would prevent an enrollment are not present. If a Customer Account Block is in place, an 814 Enrollment REJECT Response with Reject (7G) code CAB will be sent.
- When an ESCO submits an 814 Enrollment Request (Stand alone or with secondary 814HU) to a utility that employs a dual block, if no Enrollment Block is in place an 814 Enrollment ACCEPT Response will be sent provided that other conditions that would prevent an enrollment are not present. If an Enrollment Block is in place, an 814 Enrollment REJECT Response with Reject (7G) code CAB if Enrollment will be sent.
  - If no HU Block is in place, an ESCO may learn of an Enrollment Block on a pre-enrollment basis by submitting an 814 HU Request.
    - If HU usage data is available, an 867 HU will be sent containing REF\*ZV\*EB.
    - If the account does not have any historical usage, the 867 would contain only the PTD\*FG loop with whatever limited information is available, including the REF\*ZV\*EB.
    - If there is an Enrollment Block, the ESCO may contact the customer to seek removal of the Enrollment Block.

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Proposed note for 814HU Business Process Document:

- When an ESCO submits an 814 HU Request to a utility that employs a single block (which blocks both HU and Enrollment together), if no Customer Account Block is in place:
  - An 814 HU ACCEPT Response will be sent and if HU is available, it will be followed by an 867 HU.
  - If there is no historic usage available for the account but non-usage data is available, an 814 HU ACCEPT Response with Status (1P) code HUL will be sent. The 867 would contain only the PTD\*FG loop with whatever limited information is available.
  - If neither historic usage or non-usage data is available for the account, an 814 HU REJECT Response with Reject (7G) code HUU and REF03 text will be sent. The 867 HU will not be sent. When non-usage data becomes available, the ESCO may contact the utility to request the data that that would have been provided in the PTD\*FG loop, if it had been available. The utility will define how to manually provide PTD\*FG data.
- When an ESCO submits an 814 HU Request to a utility that employs a single block (which blocks both HU and Enrollment together), if an Customer Account Block is in place:
  - An 814 HU REJECT Response with Reject (7G) code CAB will be sent. The 867 HU will not be sent.
- When an ESCO submits an 814 HU Request to a utility that employs a dual block, if no HU Block is in place:
  - An 814 HU ACCEPT Response will be sent and if HU is available, it will be followed by an 867 HU. If the account has an Enrollment Block, the 867 HU would contain REF\*ZV\*EB to notify the ESCO that there is an Enrollment Block on the account.
  - If the account does not have any historical usage, an 814 HU ACCEPT Response with Status (1P) code HUL. The 867 would contain only the PTD\*FG loop with whatever limited information is available, including the REF\*ZV\*EB, if appropriate, to notify the ESCO if there is an Enrollment Block.
- When an ESCO submits an 814 HU Request to a utility that employs a dual block, if an HU Block is in place:
  - An 814 HU REJECT Response with Reject (7G) code HUR will be sent. The 867 HU will not be sent.