Case No. 12-M-0476 et. al.
EDI Business/Technical Working Groups
Workpaper – Moratorium Order EDI Concepts - 7/22/2016

KEY CONCEPT – Moratorium Order page 11

ESCOs will not be provided with customers' APP status. Instead, the utility shall place a block on all APP accounts preventing future enrollment with an ESCO. For existing APPs served by an ESCO, including customers who were not APP at the time of enrollment but subsequently become APP, the utility will inform the ESCO that a block has been placed on the account, that the ESCO is no longer eligible to serve the account, and that the customer must be de-enrolled at the expiration of the existing agreement.

New Enrollment of APPs – Moratorium Order page 11

The moratorium on the enrollment of new customers will be implemented through a rejection by the utility, through an electronic data interchange (EDI) transaction, of an enrollment of an APP. Beginning 60 days after the effective date of the Order, utilities will be required to place a block on all APP accounts. The ESCO can elect, at the POS, to ask the prospective customer if he or she is enrolled in a utility income assistance program. If the prospective customer indicates that he or she is, the ESCO should cease marketing to the customer. If the prospective customer claims that he or she is not enrolled in a utility low-income program when in fact they are, and the ESCO enrolls the customer, the enrollment will be rejected by the utility. This rejection will not reveal the customer's APP status to the ESCO because customers can have blocks placed on their account at any time, for multiple reasons, or no reason at all. When the enrollment is rejected, the ESCO is not provided with a reason for the rejection, other than that there is a block on the account.

Communication to the ESCO of which Accounts it is No Longer Eligible to Serve –
Moratorium Order page 15

Therefore, within 60 days of the effective date of this Order, the utilities, utilizing their records regarding which customers are enrolled in their low-income program and are served by an ESCO, will communicate to the ESCO which accounts the ESCO is no longer eligible to serve.

This communication should be transmitted in a secure format of the utility's choosing. An example would be a secure spreadsheet or flat file.

ESCO Customers Who Subsequently Become APPs – Moratorium Order page 16

With respect to ESCO customers who become APPs after the moratorium is implemented, communications by the utility, as discussed above for existing APP ESCO customers, will be necessary on an ongoing basis. When a utility enrolls a new customer in its low-income program, at a date more than 60 days after the effective date of the Order, it shall immediately place a block on the account. It shall also, consistent with the discussion above, inform any ESCO serving that customer that the ESCO is no longer eligible to serve that account.

Segment:	**ASI** Action or Status Indicator	
Position:	020	
Loop:	LIN	Optional (Must Use)
Level:	Detail	
Usage:	Optional (Must Use)	
Max Use:	1	
Purpose:	To indicate the action to be taken with the information provided or the status of the entity described	
Syntax Notes:		
Semantic Notes:		
Notes:	Request: Required	

Request:	Required
Response:	Required
ASI~7~021	Enrollment Request
ASI~7~029	History Request
ASI~WQ~021	Accept Response for an enrollment request
ASI~WQ~029	Accept Response for a history request
ASI~U~021	Reject Response for an enrollment request
ASI~U~029	Reject Response for a history request
ASI~AC~021	Acknowledge receipt of enrollment request; a response will be sent via non-EDI means.

Data Element Summary

Mand.	Ref. Des.	Data Element	Name		Attributes
Mand.	**ASI01**	**306**	**Action Code**		**M ID 1/2**
			7	Request	
			AC	Acknowledge	
				This code is sent to acknowledge receipt of an enrollment request for an account that is traditionally processed 'off-line'. A response for these requests will be sent via non-EDI means. A REF~1P segment may be used to provide additional clarification when this code is sent in a Response transaction.	
			U	Reject	
			WQ	Accept	
Mand.	**ASI02**	**875**	**Maintenance Type Code**		**M ID 3/3**
			021	Addition	
				Use this code to indicate the action event is an enrollment.	
			029	Inquiry	
				Use this code to indicate the action event or status is associated with Historic Usage or Gas Profile requests.	

Segment:	**REF** Reference Identification (Reject Response Reasons)		
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:	Request: Not used		
	Reject Response: Required (ASI01=U)		
	Other Responses: Not Used		
	REF~7G~A76		

Data Element Summary

Mand.	Ref. Des.	Data Element	Name	Attributes
Mand.	**REF01**	**128**	**Reference Identification Qualifier**	**M ID 2/3**
		7G	Data Quality Reject Reason	
			REF02 contains a reject reason code.	
Must Use	**REF02**	**127**	**Reference Identification**	**X AN 1/30**
		A13	Other	
			See REF03	
		A76	Account # not valid	
		A78	Customer Already active for marketer (Item or Service Already established, cannot add)	
		A80	Service requested is not available	
		A91	Account does not have service requested	
			Requested commodity does not exist on account.	
		ABN	Account Pending with this Marketer	
		ANE	Ineligible Customer	
			Invalid Service Class	
			Service Class Over subscribed	
			Customer must be submitted during enrollment period	
		ANL	ESCO Not eligible to enroll Customer	
			Oversubscribed	
			Not valid in service territory	
		CAB	Customer Account Blocked	
		HUR	Historical Usage not Released	
		HUU	Historical Use not Available	
			New Customer	
		IGP	Invalid Gas Pool ID	
		M76	Meter Number Invalid or Not Found	
		NFI	Not first in	
		SSR	Secondary Request Rejected	
Cond.	**REF03**	**352**	**Description**	**C AN 1/80**
			Additional text information may be sent in REF03 to aid in resolving a rejected transaction. REF03 must be sent if REF02 contains A13.	

ESCO Customers Who Subsequently Become APPs – Moratorium Order page 16

Questions:

1. Over the long run, should communication of a block on the account, i.e. a change in status, be an item communicated by the utility to the ESCO in the 814C (or another transaction)?
2. If so, should all block status changes, including those unconnected to APP Status be communicated?