

# **ATTACHMENT 2**

# New York Implementation Standard

For

## Standard Electronic Transactions

TRANSACTION SET

# 503

**Pricing History  
Request & Response**

Ver/Rel 004010

|                      | <b>Summary of Changes</b>   |
|----------------------|---|
| <b>July 24, 2015</b> | <b>Version 1.0</b>  |
|                      | Initial Release   |
| <b>June 30, 2016</b> | <b>Version 1.1</b>  |
|                      | <ul style="list-style-type: none"> <li>• Updated Examples</li> <li>• Revised note in REF~45 gray box to align with 814E gray box note</li> <li>• Added new REF~1P Segment (Response Information or Warning)</li> <li>• Changed conditionality for AMT~T3 and AMT~TR segments                             <ul style="list-style-type: none"> <li>○ Added gray box notes to clarify usage of AMT~CX segment</li> </ul> </li> <li>• Added ESP code to REF~BLT segment</li> </ul> |

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|  | <p><b>Notes pertaining to the use of this document</b></p>  |
|--|---|
| <p>Purpose</p>   | <ul style="list-style-type: none"> <li>This 503 Pricing History Transaction Set is used to request bill amounts for what the utility would have charged the Customer if it had been the supplier during historic periods for which the requesting ESCO provided supply service to the Customer.</li> </ul>  |
| <p>One account per 503</p>                                 | <ul style="list-style-type: none"> <li>Each transaction may contain only one account for one commodity (i.e. electric or gas). ESCO's who want to receive a customer's pricing history for both electric and gas service <b>must</b> transmit two 503 pricing history requests – one for the electric pricing history and another for the gas pricing history.</li> </ul>   |
| <p>All meters per account</p>                              | <ul style="list-style-type: none"> <li>Except for requests sent to a utility that supports separate enrollment of the un-metered electric service for accounts, an EDI request for pricing history is a request for history data for all service delivery points (metered and/or un-metered) for the account requested for the commodity indicated.</li> <li>In a service territory where the utility supports separate enrollment of the un-metered electric service for accounts, when both metered and un-metered electric service is present on an account, an ESCO may separately request pricing history for the electric un-metered service on an account when both metered and un-metered service are present on the same account. To request pricing history only for the un-metered service on the account the REF03 element in the REF*12 (Utility Account Number) segment should be transmitted.</li> </ul> |
| <p>Validation Fields</p>                                   | <ul style="list-style-type: none"> <li>Transactions will be validated based on the customer's utility account number (with check digit, if included).</li> </ul>  |
| <p>503 Response is Required</p>                            | <ul style="list-style-type: none"> <li>The Utility must return an 503 response, either positive or negative, for each history request received.</li> </ul>  |
| <p>Cross referencing Request and Response transactions</p> | <ul style="list-style-type: none"> <li>The BGN02 element in the BGN segment received on a Request transaction must be returned in the BGN06 element of the BGN segment sent in the Response transaction. There must be one Response LIN for each Request LIN sent. The response to LIN loop on the Request must be uniquely identified in the LIN loop on the Response with the same identification sent in the request LIN01.</li> </ul>   |

## Implementation Guideline Field Descriptions

**Segment:** **REF** Reference Identification (Utility Customer Account Number)  
**Position:** 050  
**Loop:**  
**Level:** Heading  
**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.  
**Comments:**  
**Notes:** Required

This section shows the X12 Rules for this segment but the Usage and Max Use fields will also reflect NY rules. For Usage, "Optional (Must Use)" means that this segment is Optional for X12, but is required in NY. "Optional (Dependent)" means Optional for X12, but use is conditional in NY. The gray boxes below should also be reviewed for additional NY Rules.

The Utility account number assigned to the customer is used for validation and must be present on all transactions.  
 REF~12~011231287654398

This section displays the NY Rules for implementation of this segment.

One or more examples.

### Data Element Summary

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| Mand.    | REF01            | 128                 | Reference Identification Qualifier<br>12<br>Billing Account<br>REF02 contains the Utility-assigned account number for the customer.  | M ID 2/3          |
| Must Use | REF02            | 127                 | Reference Identification<br>Utility assigned customer account number<br>The utility account number must be supplied without intervening spaces or non-alphanumeric characters. (Characters added to aid in visible presentation on a bill, for example, should be removed) | X AN 1/30         |

This column documents differences between X12 and NY use for each data element:  
 Mand. (Mandatory) – Required by X12  
 Must Use – Required by NY  
 Cond. (Conditional)  
 Optional

These columns show the X12 attributes for each data element:  
 M = Mandatory  
 O = Optional  
 X = Conditional  
  
 AN = Alphanumeric  
 N# = Implied Decimal  
 ID = Identification  
 R = Real  
 DT = Date (CCYYMMDD)  
  
 1/30 = Minimum 1, Maximum 30

# 503 Pricing History

Functional Group ID=**PH**

## Introduction:

This Draft Standard for Trial Use contains the format and establishes the data contents of the Pricing History Transaction Set (503) for use within the context of an Electronic Data Interchange (EDI) environment. This bi-directional transaction set can be used by a purchasing party or vendor to request pricing history information for an item. The transaction set can also be used to respond to a request for pricing history information.

## Heading:

| <u>Page No.</u> | <u>Pos. No.</u> | <u>Seg. ID</u> | <u>Name</u>            | <u>Req. Des.</u> | <u>Max.Use</u> | <u>Loop Repeat</u> | <u>Notes and Comments</u> |
|-----------------|-----------------|----------------|------------------------|------------------|----------------|--------------------|---------------------------|
| 3               | 010             | ST             | Transaction Set Header | M                | 1              |                    |                           |
| 4               | 020             | BGN            | Beginning Segment      | M                | 1              |                    |                           |
|                 |                 |                |                        |                  |                | LOOP ID - N1       | >1                        |
| 5               | 030             | N1             | Name (ESCO)            | O                | 1              |                    |                           |
|                 |                 |                |                        |                  |                | LOOP ID - N1       | >1                        |
| 6               | 030             | N1             | Name (Utility)         | O                | 1              |                    |                           |
|                 |                 |                |                        |                  |                | LOOP ID - N1       | >1                        |
| 7               | 030             | N1             | Name (Customer)        | O                | 1              |                    |                           |

## Detail:

| <u>Page No.</u> | <u>Pos. No.</u> | <u>Seg. ID</u> | <u>Name</u>  | <u>Req. Des.</u> | <u>Max.Use</u> | <u>Loop Repeat</u> | <u>Notes and Comments</u> |
|-----------------|-----------------|----------------|--|------------------|----------------|--------------------|---------------------------|
|                 |                 |                |  |                  |                | LOOP ID - LIN      | >1                        |
| 8               | 010             | LIN            | Item Identification  | O                | 1              |                    |                           |
| 9               | 060             | REF            | Reference Identification (Reject Response Reasons)         | O                | >1             |                    |                           |
| 10              | 060             | REF            | Reference Identification (Response Information or Warning) | O                | >1             |                    |                           |
| 11              | 060             | REF            | Reference Identification (ESCO Customer Account Number)    | O                | >1             |                    |                           |
| 12              | 060             | REF            | Reference Identification (Utility Account Number)          | O                | >1             |                    |                           |
| 13              | 060             | REF            | Reference Identification (Utility Account Number for ESCO) | O                | >1             |                    |                           |
| 14              | 060             | REF            | Reference Identification (Previous Utility Account Number) | O                | >1             |                    |                           |
| 15              | 090             | LS             | Loop Header  | O                | 1              |                    |                           |
|                 |                 |                |  |                  |                | LOOP ID - QTY      | >1                        |
| 16              | 100             | QTY            | Quantity   | O                | 1              |                    | n1                        |
| 17              | 110             | AMT            | Monetary Amount (Utility Comparison Amount)                | O                | >1             |                    |                           |
| 18              | 110             | AMT            | Monetary Amount (Actual Total)                             | O                | >1             |                    |                           |
| 19              | 110             | AMT            | Monetary Amount (ESCO Supply Charges)                      | O                | >1             |                    |                           |
| 20              | 110             | AMT            | Monetary Amount (Utility Supply Comparison Charges)        | O                | >1             |                    |                           |

|     |     |     |   |   |    |
|-----|-----|-----|---|---|----|
| 21  | 120 | REF | Reference Identification (Bill Option)          | O | >1 |
| 22  | 130 | DTM | Date/Time Reference (Service Period Start Date) | O | >1 |
| 23  | 130 | DTM | Date/Time Reference (Service Period End Date)   | O | >1 |
| 24  | 280 | LE  | Loop Trailer                                    | O | 1  |
| 25  | 290 | SE  | Transaction Set Trailer                         | M | 1  |
| E-1 |     |     | Examples  |   |    |

## Transaction Set Notes

1. The QTY loop can be used to convey pricing information when multiple quantities of the cited item were purchased.

**Segment:** **ST** Transaction Set Header  
**Position:** 010  
**Loop:**  
**Level:** Heading  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To indicate the start of a transaction set and to assign a control number  
**Syntax Notes:**  
**Semantic Notes:** 1 The transaction set identifier (ST01) is used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).  
**Comments:**  
**Notes:** Required  
 ST~503~0001

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>   | <u>Attributes</u> |
|----------|------------------|---------------------|---|-------------------|
| Must Use | ST01             | 143                 | Transaction Set Identifier Code<br>Code uniquely identifying a Transaction Set<br>503 Pricing History   | M ID 3/3          |
| Must Use | ST02             | 329                 | Transaction Set Control Number<br>Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M AN 4/9          |

**Segment:** **BGN** Beginning Segment  
**Position:** 020  
**Loop:**  
**Level:** Heading  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To indicate the beginning of a transaction set  
**Syntax Notes:** 1 If BGN05 is present, then BGN04 is required.  
**Semantic Notes:** 1 BGN02 is the transaction set reference number.  
 2 BGN03 is the transaction set date.  
 3 BGN04 is the transaction set time.  
 4 BGN05 is the transaction set time qualifier.  
 5 BGN06 is the transaction set reference number of a previously sent transaction affected by the current transaction.

**Comments:**

**Notes:**

Required  
 BGN\*13\*20150719000001\*20150719 (Request)  
 BGN\*44\*20150719000001\*20150719\*\*\*E1234520150718 (Reject Response)  
 BGN\*52\*20150719000001\*20150719\*\*\*E1234520150718 (Accept Response)

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| Must Use | BGN01            | 353                 | <b>Transaction Set Purpose Code</b><br>Code identifying purpose of transaction set<br>13 Request<br>44 Rejection<br>52 Response to Historical Inquiry  | M ID 2/2          |
| Must Use | BGN02            | 127                 | <b>Reference Identification</b><br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>A unique transaction identifier number assigned by the originator of this transaction.   | M AN 1/30         |
| Must Use | BGN03            | 373                 | <b>Date</b><br>Date expressed as CCYYMMDD<br>The date the transaction was created by the sender's application system in the form CCYYMMDD.   | M DT 8/8          |
|          | BGN06            | 127                 | <b>Reference Identification</b><br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>This element is not used on a request transaction but is required in a response transaction.<br>The BGN06 element in a Response transaction must contain the transaction id in the BGN02 element in the corresponding Request transaction. | O AN 1/30         |

**Segment:** **N1** Name (ESCO)  
**Position:** 030  
**Loop:** N1 Optional  
**Level:** Heading  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To identify a party by type of organization, name, and code  
**Syntax Notes:** 1 At least one of N102 or N103 is required.  
 2 If either N103 or N104 is present, then the other is required.  
**Semantic Notes:**  
**Comments:** 1 This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party.  
 2 N105 and N106 further define the type of entity in N101.  
**Notes:** Required  
 N1~SJ~ESP COMPANY~9~123456789NY00

**Data Element Summary**

| Ref. Des. | Data Element | Name  | Attributes |
|-----------|--------------|---|------------|
| Must Use  | N101         | 98 Entity Identifier Code   | M ID 2/3   |
|           |              | Code identifying an organizational entity, a physical location, property or an individual   |            |
|           |              | SJ Service Provider   |            |
|           |              | Identifies the ESCO participating in this transaction.  |            |
|           | N102         | 93 Name   | X AN 1/60  |
|           |              | Free-form name  |            |
|           |              | Free Form ESCO Company Name   |            |
|           |              | Supplemental text information supplied, if desired, to provide "eyeball" identification of the ESCO. It is not necessary for successful completion of the transaction but may be provided by mutual agreement between trading partners. |            |
| Must Use  | N103         | 66 Identification Code Qualifier  | X ID 1/2   |
|           |              | Code designating the system/method of code structure used for Identification Code (67)  |            |
|           |              | 1 D-U-N-S Number, Dun & Bradstreet  |            |
|           |              | 9 D-U-N-S+4, D-U-N-S Number with Four Character Suffix  |            |
|           |              | 24 Employer's Identification Number   |            |
|           |              | Federal Tax ID  |            |
| Must Use  | N104         | 67 Identification Code  | X AN 2/80  |
|           |              | Code identifying a party or other code  |            |
|           |              | The D-U-N-S number or the Federal Tax ID  |            |

**Segment:** **N1** Name (Utility)  
**Position:** 030  
**Loop:** N1 Optional  
**Level:** Heading  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To identify a party by type of organization, name, and code  
**Syntax Notes:** 1 At least one of N102 or N103 is required.  
 2 If either N103 or N104 is present, then the other is required.  
**Semantic Notes:**  
**Comments:** 1 This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party.  
 2 N105 and N106 further define the type of entity in N101.  
**Notes:** Required  
 N1~8S~UTILITY COMPANY~1~123456789

**Data Element Summary**

|                 | <b>Ref. Des.</b> | <b>Data Element</b> | <b>Name</b>   | <b>Attributes</b> |
|-----------------|------------------|---------------------|---|-------------------|
| <b>Must Use</b> | <b>N101</b>      | <b>98</b>           | <b>Entity Identifier Code</b><br>Code identifying an organizational entity, a physical location, property or an individual<br>8S Consumer Service Provider (CSP)<br>Identifies the Utility participating in this transaction.   | <b>M ID 2/3</b>   |
| <b>Must Use</b> | <b>N102</b>      | <b>93</b>           | <b>Name</b><br>Free-form name<br>Free Form Utility Company Name   | <b>X AN 1/60</b>  |
| <b>Must Use</b> | <b>N103</b>      | <b>66</b>           | <b>Identification Code Qualifier</b><br>Code designating the system/method of code structure used for Identification Code (67)<br>1 D-U-N-S Number, Dun & Bradstreet<br>9 D-U-N-S+4, D-U-N-S Number with Four Character Suffix<br>24 Employer's Identification Number<br>Federal Tax ID | <b>X ID 1/2</b>   |
| <b>Must Use</b> | <b>N104</b>      | <b>67</b>           | <b>Identification Code</b><br>Code identifying a party or other code<br>The D-U-N-S number or the Federal Tax ID  | <b>X AN 2/80</b>  |

**Segment:** **N1** Name (Customer)  
**Position:** 030  
**Loop:** N1 Optional  
**Level:** Heading  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To identify a party by type of organization, name, and code  
**Syntax Notes:**

- 1 At least one of N102 or N103 is required.
- 2 If either N103 or N104 is present, then the other is required.

**Semantic Notes:**  
**Comments:**

- 1 This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party.
- 2 N105 and N106 further define the type of entity in N101.

**Notes:** Request: Required  
Accept Response: Required  
Reject Response: Optional  
N1~8R~CUSTOMER NAME

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>   | <u>Attributes</u> |
|----------|------------------|---------------------|---|-------------------|
| Must Use | N101             | 98                  | Entity Identifier Code<br>Code identifying an organizational entity, a physical location, property or an individual<br>8R Consumer Service Provider (CSP) Customer<br>Identifies the end use customer targeted by this transaction. | M ID 2/3          |
| Must Use | N102             | 93                  | Name<br>Free-form name<br>Customer Name   | X AN 1/60         |

Segment: **LIN** Item Identification

**Position:** 010  
**Loop:** LIN Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional (Must Use)  
**Max Use:** 1  
**Purpose:** To specify basic item identification data  
**Syntax Notes:** 1 If either LIN04 or LIN05 is present, then the other is required.  
 2 If either LIN06 or LIN07 is present, then the other is required.  
 3 If either LIN08 or LIN09 is present, then the other is required.  
 4 If either LIN10 or LIN11 is present, then the other is required.  
 5 If either LIN12 or LIN13 is present, then the other is required.  
 6 If either LIN14 or LIN15 is present, then the other is required.  
 7 If either LIN16 or LIN17 is present, then the other is required.  
 8 If either LIN18 or LIN19 is present, then the other is required.  
 9 If either LIN20 or LIN21 is present, then the other is required.  
 10 If either LIN22 or LIN23 is present, then the other is required.  
 11 If either LIN24 or LIN25 is present, then the other is required.  
 12 If either LIN26 or LIN27 is present, then the other is required.  
 13 If either LIN28 or LIN29 is present, then the other is required.  
 14 If either LIN30 or LIN31 is present, then the other is required.  
**Semantic Notes:** 1 LIN01 is the line item identification  
**Comments:** 1 See the Data Dictionary for a complete list of IDs.  
 2 LIN02 through LIN31 provide for fifteen different product/service IDs for each item.  
 For example: Case, Color, Drawing No., U.P.C. No., ISBN No., Model No., or SKU.  
**Notes:** Required  
 LIN~1~SH~EL~SH~PH

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>   | <u>Attributes</u> |
|----------|------------------|---------------------|---|-------------------|
| Must Use | LIN01            | 350                 | <b>Assigned Identification</b><br>Alphanumeric characters assigned for differentiation within a transaction set   | O AN 1/20         |
| Must Use | LIN02            | 235                 | <b>Product/Service ID Qualifier</b><br>Code identifying the type/source of the descriptive number used in Product/Service ID (234)<br>SH Service Requested                                    | M ID 2/2          |
| Must Use | LIN03            | 234                 | <b>Product/Service ID</b><br>Identifying number for a product or service<br>Only one commodity (Electric or Gas) may be indicated for each 503 transaction.<br>EL Electric<br>GAS Gas Service | M AN 1/48         |
| Must Use | LIN04            | 235                 | <b>Product/Service ID Qualifier</b><br>Code identifying the type/source of the descriptive number used in Product/Service ID (234)<br>SH Service Requested                                    | X ID 2/2          |
| Must Use | LIN05            | 234                 | <b>Product/Service ID</b><br>Identifying number for a product or service<br>PH Pricing History  | X AN 1/48         |

**Segment:** **REF** Reference Identification (Reject Response Reasons)  
**Position:** 060  
**Loop:** LIN Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional  
**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.

**Comments:**  
**Notes:**

Request: Not Used  
 Accept Response: Not Used  
 Reject Response: Required  
 REF~7G~A76  
  
 To send additional system message in an 503 ACCEPT response, please refer to the REF~1P segment.

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| Must Use | REF01            | 128                 | <b>Reference Identification Qualifier</b><br>Code qualifying the Reference Identification<br>7G Data Quality Reject Reason<br>REF02 contains a reject reason code.   | M ID 2/3          |
| Must Use | REF02            | 127                 | <b>Reference Identification</b><br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>A13 Other<br>See REF03<br>A76 Account # not valid<br>A80 Service requested is not available<br>A91 Account does not have service requested<br>Requested commodity does not exist on account. | X AN 1/30         |
|          | REF03            | 352                 | <b>Description</b><br>A free-form description to clarify the related data elements and their content<br>Additional text information may be sent in REF03 to aid in resolving a rejected transaction. REF03 must be sent if REF02 contains A13.   | X AN 1/80         |

**Segment:** **REF** **Reference Identification (Response Information or Warning)**  
**Position:** 060  
**Loop:** LIN Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional  
**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.

**Comments:**  
**Notes:** Request: Not Used  
Accept Response: Optional  
  
Segment may be used to convey any message relevant to the status of the account including whether the utility has an active billing relationship with the Customer.  
REF~1P~MOV

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>   | <u>Attributes</u> |
|----------|------------------|---------------------|---|-------------------|
| Must Use | REF01            | 128                 | <b>Reference Identification Qualifier</b><br>Code qualifying the Reference Identification<br>1P Accessorial Status Code<br>Warnings or information associated with an accepted status notification.   | M ID 2/3          |
| Must Use | REF02            | 127                 | <b>Reference Identification</b><br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>A13 Other<br>See REF03<br>ECB EPA Credit cannot be included on customer bill due to the current ESCO's billing model selection for this Customer.<br>MOV Customer moved outside service territory | X AN 1/30         |
| Cond.    | REF03            | 352                 | <b>Description</b><br>A free-form description to clarify the related data elements and their content<br>Additional text information may be sent in REF03 to aid in resolving a rejected transaction. REF03 must be sent if REF02 contains A13.  | X AN 1/80         |

**Segment:** **REF** Reference Identification (ESCO Customer Account Number)  
**Position:** 060  
**Loop:** LIN Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional  
**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.

**Comments:**  
**Notes:** Request: Optional  
Accept Response: Required if provided on the request  
Reject Response: Optional

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| Must Use | REF01            | 128                 | <b>Reference Identification Qualifier</b><br>Code qualifying the Reference Identification<br>11 Account Number<br>REF02 is the ESCO Assigned account number for the customer.                                      | M ID 2/3          |
| Must Use | REF02            | 127                 | <b>Reference Identification</b><br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>ESCO's assigned account number for the customer. | X AN 1/30         |

**Segment:** **REF** Reference Identification (Utility Account Number)  
**Position:** 060  
**Loop:** LIN Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional  
**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.

**Comments:**  
**Notes:**

Request: Required  
 Accept Response: Required  
 Reject Response: Required if provided on the request  
 REF~12~011231287654398  
 REF~12~011231287654398~U

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| Must Use | REF01            | 128                 | <b>Reference Identification Qualifier</b><br>Code qualifying the Reference Identification<br>12 Billing Account<br>REF02 contains the Utility-assigned account number for the customer.  | M ID 2/3          |
| Must Use | REF02            | 127                 | <b>Reference Identification</b><br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>Utility assigned customer account number<br>The utility account number must be supplied without intervening spaces or non-alphanumeric characters. (Characters added to aid in visible presentation on a bill, for example, should be removed)   | X AN 1/30         |
|          | REF03            | 352                 | <b>Description</b><br>A free-form description to clarify the related data elements and their content<br>The REF03 element in the REF*12 segment should only be sent to, or received by, a utility that designated such in its Utility Maintained EDI Guide when the commodity indicated in the LIN segment is Electric but the request pertains only to the un-metered portion of the electric service on the account. This element should not be sent when the LIN request pertains to all electric service on the account. | X AN 1/80         |
|          |                  |                     | U Un-Metered Service   |                   |

**Segment:** **REF** Reference Identification (Utility Account Number for ESCO)

**Position:** 060

**Loop:** LIN Optional (Must Use)

**Level:** Detail

**Usage:** Optional

**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.

**Comments:**

**Notes:**

Request: Conditional  
Response: Conditional

This segment is used to communicate an account number assigned by the Utility to the ESCO and may be sent with the mutual agreement of the parties.

REF~AJ~3134597

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| Must Use | REF01            | 128                 | Reference Identification Qualifier<br>Code qualifying the Reference Identification<br>AJ Accounts Receivable Customer Account<br>REF02 contains the Utility assigned account number for the ESCO | M ID 2/3          |
| Must Use | REF02            | 127                 | Reference Identification<br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>Utility account number for the ESCO   | X AN 1/30         |

**Segment:** **REF** Reference Identification (Previous Utility Account Number)

**Position:** 060

**Loop:** LIN Optional (Must Use)

**Level:** Detail

**Usage:** Optional

**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.

**Comments:**

**Notes:** Conditional

Where a utility changes an existing customer's account number as a business process (and as noted in its Utility Maintained EDI Guide), this segment is required when the utility assigned account number for the customer has changed in the last 90 days.

REF~45~9194132485705971

**Data Element Summary**

|          | <b>Ref. Des.</b> | <b>Data Element</b> | <b>Name</b>   | <b>Attributes</b> |
|----------|------------------|---------------------|---|-------------------|
| Must Use | REF01            | 128                 | <b>Reference Identification Qualifier</b><br>Code qualifying the Reference Identification<br>45 Old Account Number<br>REF02 is the Utility's previous account number for the customer.  | M ID 2/3          |
| Must Use | REF02            | 127                 | <b>Reference Identification</b><br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>Previous Utility Account Number for the Customer.<br>This segment would be sent, for example, when a change in meter reading routes results in a change in the account number assigned to the customer. | X AN 1/30         |

**Segment:** **LS** Loop Header

**Position:** 090

**Loop:** LIN Optional (Must Use)

**Level:** Detail

**Usage:** Optional

**Max Use:** 1

**Purpose:** To indicate that the next segment begins a loop

**Syntax Notes:**

**Semantic Notes:** 1 One loop may be nested contained within another loop, provided the inner nested loop terminates before the outer loop. When specified by the standard setting body as mandatory, this segment in combination with "LE", must be used. It is not to be used if not specifically set forth for use. The loop identifier in the loop header and trailer must be identical. The value for the identifier is the loop ID of the required loop segment. The loop ID number is given on the transaction set diagram in the appropriate ASC X12 version/release.

**Comments:** 1 See Figures Appendix for an explanation of the use of the LS and LE segments.

**Notes:** Request: Not Used  
 Accept Response: Required  
 Reject Response: Not Used  
 LS\*QTY

**Data Element Summary**

| Ref.     | Data    | Name   | Attributes |
|----------|---------|--|------------|
| Des.     | Element |  |            |
| Must Use | LS01    | 447 Loop Identifier Code   | M AN 1/6   |
|          |         | The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE |            |
|          |         | QTY Start of QTY Looping   |            |

**Segment:** **QTY** Quantity  
**Position:** 100  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To specify quantity information  
**Syntax Notes:** 1 At least one of QTY02 or QTY04 is required.  
 2 Only one of QTY02 or QTY04 may be present.  
**Semantic Notes:** 1 QTY04 is used when the quantity is non-numeric.  
**Comments:**  
**Notes:**

Request: Not Used  
 Accept Response: Required  
 Reject Response: Not Used  
 QTY\*2M\*\*\*NV

**Data Element Summary**

|          | <u>Ref.</u> | <u>Data</u>    | <u>Name</u>  | <u>Attributes</u> |
|----------|-------------|----------------|--|-------------------|
|          | <u>Des.</u> | <u>Element</u> |  |                   |
| Must Use | QTY01       | 673            | Quantity Qualifier<br>Code specifying the type of quantity<br>2M Comparison Period | M ID 2/2          |
| Must Use | QTY04       | 61             | Free-Form Message<br>Free-form information<br>NV No Value                          | X AN 1/30         |

**Segment:** **AMT** Monetary Amount (Utility Comparison Amount)  
**Position:** 110  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To indicate the total monetary amount  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**  
**Notes:**

Request: Not Used  
 Accept Response: Required  
 Reject Response: Not Used  
 AMT\*AD\*102.15

**Data Element Summary**

|          | <u>Ref.</u> | <u>Data</u>    | <u>Name</u>            | <u>Attributes</u>  |
|----------|-------------|----------------|------------------------|--|
|          | <u>Des.</u> | <u>Element</u> |                        |  |
| Must Use | AMT01       | 522            | Amount Qualifier Code  | M ID 1/3   |
|          |             |                | Code to qualify amount |  |
|          |             |                | AD                     | Adjusted Total   |
|          |             |                |                        | Utility Total Charges for Comparison (Utility Supply,<br>Utility Delivery - Includes distribution, generation, taxes,<br>etc.) |
| Must Use | AMT02       | 782            | Monetary Amount        | M R 1/18   |
|          |             |                | Monetary amount        |  |

**Segment:** **AMT** **Monetary Amount (Actual Total)**  
**Position:** 110  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To indicate the total monetary amount  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**  
**Notes:**

Request: Not Used  
 Accept Response: Required  
 Reject Response: Not Used

When a utility issues a consolidated bill this segment is used to send the Actual Total Charges (ESCO Supply, Utility Delivery - Includes distribution, generation, taxes, etc.) If the customer is being billed under the Dual Bill model, Actual Total Charges would not include ESCO Supply so the segment would be used to provide Utility Delivery charges (and associated taxes) only. If the customer is being billed under the ESCO consolidated bill model, Actual Total Charges would be set to zero because the utility did not issue a bill.

AMT\*CX\*98.1

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| Must Use | AMT01            | 522                 | Amount Qualifier Code<br>Code to qualify amount<br>CX Actual | M ID 1/3          |
| Must Use | AMT02            | 782                 | Monetary Amount<br>Monetary amount                           | M R 1/18          |

**Segment:** **AMT** Monetary Amount (ESCO Supply Charges)  
**Position:** 110  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To indicate the total monetary amount  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**  
**Notes:**

Request: Not Used  
 Accept Response: Conditional  
 Reject Response: Not Used

The segment is required when a utility consolidated bill was issued. Under Dual or ESCO consolidated billing, the ESCO has billed its supply charges to the customer and they are not available in the utility's system.

AMT\*T3\*52

**Data Element Summary**

|          | <b>Ref.</b> | <b>Data</b>  | <b>Attributes</b> |
|----------|-------------|--|-------------------|
|          | <b>Des.</b> | <b>Element Name</b>  |                   |
| Must Use | AMT01       | 522 Amount Qualifier Code<br>Code to qualify amount<br>T3 Total Submitted Charges<br>ESCO Supply Charges (Includes generation, taxes). | M ID 1/3          |
| Must Use | AMT02       | 782 Monetary Amount<br>Monetary amount   | M R 1/18          |

**Segment:** **AMT** Monetary Amount (Utility Supply Comparison Charges)  
**Position:** 110  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To indicate the total monetary amount  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**  
**Notes:**

Request: Not Used  
 Accept Response: Conditional  
 Reject Response: Not Used  
  
 Provided if supported by the utility as detailed in the Utility Maintained EDI Guide.  
  
 AMT\*TR\*56.05

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>   | <u>Attributes</u> |
|----------|------------------|---------------------|---|-------------------|
| Must Use | AMT01            | 522                 | Amount Qualifier Code<br>Code to qualify amount<br>TR Target Cost | M ID 1/3          |
| Must Use | AMT02            | 782                 | Monetary Amount<br>Monetary amount                                | M R 1/18          |

**Segment:** **REF** Reference Identification (Bill Option)  
**Position:** 120  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**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.

**Comments:**  
**Notes:**

Request: Not Used  
Accept Response: Required  
Reject Response: Not Used  
REF\*BLT\*LDC  
REF\*BLT\*DUAL

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| Must Use | REF01            | 128                 | Reference Identification Qualifier<br>Code qualifying the Reference Identification<br>BLT Billing Type<br>Bill Presenter   | M ID 2/3          |
| Must Use | REF02            | 127                 | Reference Identification<br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>DUAL Each Party Presents a Separate Bill<br>LDC The Utility is the Consolidated Bill Presenter<br>ESP The ESCO is the Consolidated Bill Presenter | X AN 1/30         |

**Segment:** **DTM** Date/Time Reference (Service Period Start Date)  
**Position:** 130  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To specify pertinent dates and times  
**Syntax Notes:**

- 1 At least one of DTM02 DTM03 or DTM05 is required.
- 2 If DTM04 is present, then DTM03 is required.
- 3 If either DTM05 or DTM06 is present, then the other is required.

**Semantic Notes:**

**Comments:**

**Notes:**

Request: Not Used  
 Accept Response: Required  
 Reject Response: Not Used  
 DTM\*150\*20150215

**Data Element Summary**

|          | <b>Ref.</b> | <b>Data</b>   | <b>Attributes</b> |
|----------|-------------|---|-------------------|
|          | <b>Des.</b> | <b>Element Name</b>   |                   |
| Must Use | DTM01       | 374 Date/Time Qualifier                                     | M ID 3/3          |
|          |             | Code specifying type of date or time, or both date and time |                   |
|          |             | 150 Service Period Start                                    |                   |
| Must Use | DTM02       | 373 Date  | X DT 8/8          |
|          |             | Date expressed as CCYYMMDD                                  |                   |

**Segment:** **DTM** Date/Time Reference (Service Period End Date)  
**Position:** 130  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To specify pertinent dates and times  
**Syntax Notes:**

- 1 At least one of DTM02 DTM03 or DTM05 is required.
- 2 If DTM04 is present, then DTM03 is required.
- 3 If either DTM05 or DTM06 is present, then the other is required.

**Semantic Notes:**

**Comments:**

**Notes:**

Request: Not Used  
 Accept Response: Required  
 Reject Response: Not Used  
 DTM\*151\*20150313

**Data Element Summary**

|          | <b>Ref.</b> | <b>Data</b>   | <b>Attributes</b> |
|----------|-------------|---|-------------------|
|          | <b>Des.</b> | <b>Element Name</b>   |                   |
| Must Use | DTM01       | 374 Date/Time Qualifier                                     | M ID 3/3          |
|          |             | Code specifying type of date or time, or both date and time |                   |
|          |             | 151 Service Period End                                      |                   |
| Must Use | DTM02       | 373 Date  | X DT 8/8          |
|          |             | Date expressed as CCYYMMDD                                  |                   |

**Segment:** **LE** Loop Trailer

**Position:** 280

**Loop:** LIN Optional (Must Use)

**Level:** Detail

**Usage:** Optional

**Max Use:** 1

**Purpose:** To indicate that the loop immediately preceding this segment is complete

**Syntax Notes:**

**Semantic Notes:** 1 One loop may be nested contained within another loop, provided the inner nested loop terminates before the other loop. When specified by the standards setting body as mandatory, this segment in combination with "LS", must be used. It is not to be used if not specifically set forth for use. The loop identifier in the loop header and trailer must be identical. The value for the identifier is the loop ID of the required loop beginning segment. The loop ID number is given on the transaction set diagram in the appropriate ASC X12 version/release.

**Comments:** 1 See Figures Appendix for an explanation of the use of the LE and LS segments.

**Notes:** Request: Not Used  
 Accept Response: Required  
 Reject Response: Not Used  
 LE\*QTY

**Data Element Summary**

|          | <u>Ref.</u> | <u>Data</u> | <u>Name</u>  | <u>Attributes</u>  |
|----------|-------------|-------------|--|--------------------|
| Must Use | LE01        | 447         | Loop Identifier Code   | M AN 1/6           |
|          |             |             | The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE |                    |
|          |             |             | QTY  | End of QTY Looping |

**Segment:** **SE** Transaction Set Trailer  
**Position:** 290  
**Loop:**  
**Level:** Detail  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments)

**Syntax Notes:**

**Semantic Notes:**

**Comments:** 1 SE is the last segment of each transaction set.

**Notes:** Required

SE\*40\*0001

**Data Element Summary**

|          | <b>Ref.</b> | <b>Data</b>   | <b>Attributes</b> |
|----------|-------------|---|-------------------|
|          | <b>Des.</b> | <b>Element Name</b>   |                   |
| Must Use | SE01        | 96 <b>Number of Included Segments</b>   | M N0 1/10         |
|          |             | Total number of segments included in a transaction set including ST and SE segments   |                   |
| Must Use | SE02        | 329 <b>Transaction Set Control Number</b>   | M AN 4/9          |
|          |             | Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set |                   |

**Scenario 1A: ESCO Request**

|                                 |  |
|---------------------------------|--|
| ST*503*0001                     | Transaction Set header; transaction defined is an 503; control number assigned by originator |
| BGN*13*2015050800001*20150508   | 13 = Request   |
| N1*8S*UTILITY NAME*1*007909111  | Utility Name & DUNS number   |
| N1*SJ*ESCO NAME*9*123456798ABCD | ESCO Name and DUNS number  |
| N1*8R*CUSTOMER NAME             | Customer Name  |
| LIN*PH2015050800001*SH*EL*SH*PH |  |
| REF*12*9437619003               | Utility Account Number   |
| SE*8*0001                       | Transaction Set trailer; segment count; control number                                       |

**Scenario 1A a.: Sample Reject Response**

|  |  |
|--|--|
| ST*503*0001  | Transaction Set header; transaction defined is an 503; control number assigned by originator |
| BGN*44*PHR20150509-009879*20150509***2015050800001 | 44 = Reject  |
| N1*8S*UTILITY NAME*1*007909111                     | Utility Name & DUNS number   |
| N1*SJ*ESCO NAME*9*123456798ABCD                    | ESCO Name and DUNS number  |
| N1*8R*CUSTOMER NAME                                | Customer Name  |
| LIN*PH2015050800001*SH*EL*SH*PH                    |  |
| REF*12*9437619003                                  | Utility Account Number   |
| REF*7G*A76*ACCOUNT NOT FOUND                       | Rejection Reason Code and Text   |
| SE*9*0001  | Transaction Set trailer; segment count; control number                                       |

**Scenario 1A b.: Sample Accept Response for 3 Months**

|  |  |
|--|--|
| ST*503*0001  | Transaction Set header; transaction defined is an 503; control number assigned by originator |
| BGN*52*PHR20150509-009879*20150509***2015050800001 |  |
| N1*8S*UTILITY NAME*1*007909111**41                 | Utility Name & DUNS number   |
| N1*SJ*ESCO NAME*9*123456798ABCD**40                | ESCO Name and DUNS number  |
| N1*8R*CUSTOMER NAME                                | Customer Name  |
| LIN*PH2015050800001*SH*EL*SH*PH                    |  |
| REF*12*9437619003                                  |  |
| LS*QTY   |  |
| QTY*2M***NV  | <b>First Month</b>   |
| AMT*AD*102.15                                      | Utility Comparison Amount  |
| AMT*CX*98.1  | Actual Total   |
| AMT*T3*52  | ESCO Charges   |
| AMT*TR*56.05                                       | Utility Supply Comparison Charges (Optional)   |
| REF*BLT*LDC  | Utility Consolidated Billing   |
| DTM*150*20150103                                   | Service Period Start Date  |
| DTM*151*20150203                                   | Service Period End Date  |
| QTY*2M***NV  | <b>Second Month</b>  |

|                  |  |
|------------------|--|
| AMT*AD*75        | Utility Comparison Amount                              |
| AMT*CX*0         | Actual Total   |
| AMT*T3*0         | ESCO Charges (Example ESCO Missed the Bill Window)     |
| AMT*TR*40.19     | Utility Supply Comparison Charges (Optional)           |
| REF*BLT*LDC      | Utility Consolidated Billing                           |
| DTM*150*20150303 | Service Period Start Date                              |
| DTM*151*20150403 | Service Period End Date                                |
| QTY*2M***NV      | <b>Third Month</b>                                     |
| AMT*AD*110.99    | Utility Comparison Amount                              |
| AMT*TR*59.05     | Utility Supply Comparison Charges (Optional)           |
| REF*BLT*DUAL     | Dual Billing   |
| DTM*150*20150403 | Service Period Start Date                              |
| DTM*151*20150503 | Service Period End Date                                |
| LE*QTY           |  |
| SE*32*0001       | Transaction Set trailer; segment count; control number |

## BUSINESS PROCESSES – PRICING HISTORY

*This document describes the detailed business processes for requesting customers' Pricing History data in the State of New York. In developing these business processes, the content of the following documents was considered:*

- Order Taking Actions to Improve the Residential and Small Nonresidential Retail Access Markets, issued and effective February 25, 2014 in Case 12-M-0476 et.al.
- Order Granting and Denying Petitions for Rehearing In Part, issued and effective February 6, 2015 in Case 12-M-0476 et.al.
- Order Resetting Retail Energy Markets and Establishing Further Process, Issued and Effective February 23, 2016 in Case 15-M-0127 et al.

### NOTES:

- References to the text of the Uniform Business Practices (UBPs) displayed in the Process Rules sections in this document are those UBPs that are relevant to the scope of the business processes being described in this document and incorporated, by reference, into this document. Those UBP(s) that require elaboration, clarification, or interpretation in light of other EDI standards or modification to accommodate EDI data exchange processes will be displayed in the Process Rules section AND will also be highlighted in the Comments/Recommendations/Issues section.
- Any item displayed under a Process component, i.e. rules; etc. is also applicable for its sub-processes, unless otherwise noted.
- To help ensure accurate ESCO calculation of ESCO Pricing Adjustment Credits, e.g. Account Program Participant billing credits, as described in the Order listed above, utilities should provide ESCOs with full-service (utility provided supply and delivery service) billing amounts for the months during which the ESCO was the customer's supplier. For comparison purposes, the full-service utility amounts should reflect only current charges for the months requested, i.e. late payment charges and other charges that cannot be classified as monthly supply or delivery charges should be excluded from the amount provided.
  - Use of the 503 EDI Transactions is at the discretion of the utility; a utility may use non-EDI options such as a secured web site to provide full-service billing amounts to ESCOs. A utility's support of the 503 transaction should be designated in its Utility Maintained EDI Guide.
- All Customer information is considered confidential.
- A separate Pricing History Request must be received for each commodity, (i.e. electric or gas).
- For purposes of validating initial and subsequent EDI transactions, the ESCO must provide the customer's utility account number (with check digit, if included). If the utility account number is not sent, the Pricing History request will be rejected.
- The source of various Process Rules and Recommendations listed in this document is indicated by the following annotations which precede each rule:
  - [UBP] = NY Uniform Business Practices

## BUSINESS PROCESSES – PRICING HISTORY

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- [CWG] = Collaborative Work Group or Case 12-M-0476 EDI Working Groups<sup>1</sup>
  - [CWG][UBP (insert paragraph cite)] = Collaborative Work Group clarification, interpretation, comment or recommended modification of the Practices to accommodate Electronic Data Interchange. The following abbreviations are used for UBPP Section references:
    - DEF                   Section 1 Definitions
    - ELIG                 Section 2 Eligibility Requirements
    - CRED                Section 3 Creditworthiness
    - CI                    Section 4 Customer Information
    - CSP                  Section 5 Changes in Service Providers
    - Cinq                 Section 6 Customer Inquiries
    - UI                    Section 7 Utility Invoices
    - DISP                 Section 8 Disputes Involving Distribution Utilities, ESCOs or Direct Customers
    - B&PP                Section 9 Billing and Payment Processing
- Although transactions may be sent to Utilities at any time, they will only be processed during Utility normal business days and hours. Utilities are expected to respond to historical usage requests within two business days. For example, if the required response time is two business days and a Utility receives a valid historical usage request at its Web server at 3:00 AM on Day 1, the Utility must respond by the close of business on Day 2. If the request were received at 8:00 PM on Day 1, the Utility would respond by the close of business on Day 3.
    - The response to a successful request for Pricing History will be a 503 Accept Transaction containing Pricing History information (as available from the utility) for the months during which the requesting ESCO was the customer's supplier. An accepted Request for Pricing History will result in up to 24 months of a customer's historic full-service bill amount or for the life of the account if less than 24 months.
  - If applicable, the Comments section for each business process is used to clarify how EDI processing rules may affect specific uniform business practices.

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<sup>1</sup> The processes contained herein were reviewed and updated by the Case 12-M-0476 EDI Working Groups.

**BUSINESS PROCESSES – PRICING HISTORY**

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**FILED**

**BUSINESS PROCESSES – PRICING HISTORY**

|   |   |
|---|---|
| <b>PROCESS NUMBER:</b>                    | <b>HP0</b>  |
| <b>PROCESS NAME:</b>                      | <b>PROCESS PRICING HISTORY REQUEST -PARENT PROCESS</b>  |
| <b>PROCESS DEFINITION:</b>                | The process by which an ESCO may request, and the Utility may provide, customers' Pricing History data.   |
| <b>TRIGGER(S):</b>                        | ESCO determines need for Pricing History information, e.g. an ESCO determines that it must provide an APP Credit to a customer and needs the utility full-service bill amounts to perform the calculation.  |
| <b>ESTIMATED / PEAK TRANSACTION RATE:</b> | Moderately frequent, possibly varying by service territory and potentially spiking during periods when customer a qualified as Account Program Participants.  |
| <b>PROCESS INPUTS:</b>                    | Utility Information, ESCO Information, Customer Information, Service Information.<br>Refer to the Data Dictionary of the 503 Pricing History Request & Response for a detailed description of the process input data elements.  |
| <b>PROCESS OUTPUTS:</b>                   | An accepted 503 Request will result in receipt of a 503 Accept Transaction containing Pricing History for the most recent 24 months (or the life of the account if shorter) for months during which the ESCO was the customer's supplier.<br><b>Response to Request May Include:</b><br>Utility Information, ESCO Information, Customer Information , Service Information.<br>See the 503 Pricing History Data Dictionary for details.<br><u>Negative Response to an 503 Request:</u><br>Appropriate rejection messages (see subprocesses for additional messages): <ul style="list-style-type: none"> <li>• Account # Not Valid.</li> <li>• Account Does Not Have Service Requested</li> <li>• New account; no consumption upon which to calculate a full-service billing amount</li> <li>• Other</li> </ul> |

**BUSINESS PROCESSES – PRICING HISTORY**

|                                    |   |
|------------------------------------|---|
| <b>PROCESS NUMBER:</b>             | <b>HP0</b>  |
| <b>PROCESS NAME:</b>               | <b>PROCESS PRICING HISTORY REQUEST -PARENT PROCESS</b>  |
|                                    | <p><u>Negative Response to an 503 transaction:</u></p> <p>The 503 transaction sent in response to an 503 Pricing History Request may be rejected (via a non-EDI response, e.g. an email message or a phone call) for the following errors:</p> <ul style="list-style-type: none"> <li>• Utility Account Invalid or Not Found</li> <li>• Invalid Relationship (i.e. ESCO did not request this customer's data)</li> <li>• Account Does Not Have Service Requested (transaction does not reflect the correct commodity type)</li> <li>• Duplicate Received</li> <li>• Other (must be accompanied by text explanation in an NTE segment)</li> </ul>  |
| <b>SUB OR PRECEDING PROCESSES:</b> |   |
| <b>PROCESS RULES:</b>              | <p>[UBPs: CI B., CI B.3, CI C.1.b., CI E. &amp; CI F.]</p> <p>[CWG] <u>Customer Information Set</u>. The distribution utility, to the extent it possesses the information, shall provide, upon an ESCO request, Pricing History for an electric account and Pricing History for a gas account.</p> <p>[CWG] Pricing History for an electric or gas account shall include, to the extent applicable:</p> <ol style="list-style-type: none"> <li>1. Electric or gas account indicator;</li> <li>2. Customer Account Numbers (ESCO, Utility, previous Utility);</li> <li>3. Utility Account Number for ESCO;</li> <li>4. Names (Customer, Utility, ESCO); and</li> <li>5. 24 months, or the life of the account, whichever is less, of customer data consisting of Amounts (Utility Full Service Bill Amount, Total Billed Amount, Utility Supply Charges and ESCO Supply Charges) via EDI.</li> </ol> <p>[CWG] The response to a request for Pricing History for accounts which are generally billed off-line</p> |

**BUSINESS PROCESSES – PRICING HISTORY**

|                        |  |
|------------------------|--|
| <b>PROCESS NUMBER:</b> | <b>HP0</b>   |
| <b>PROCESS NAME:</b>   | <b>PROCESS PRICING HISTORY REQUEST -PARENT PROCESS</b>   |
|                        | <p>will NOT be processed using EDI.</p> <p>[CWG] Arrangements for access to a customer's historical pricing data in excess of the up to 24 months must be made directly with the applicable utility since this data may not be returned in a TS503 transaction.</p> <p>[CWG] Requests for Pricing History for the most recent up to 24 months may be sent, and will be processed, via EDI. Requests for Pricing History for periods in excess of the up to 24 months period generally will NOT be processed via EDI.</p> <p>[CWG] There may be one commodity (electric or gas) for each Pricing History Request transaction.</p> |
| <b>COMMENTS:</b>       | Within its Utility Maintained EDI Guide, a utility should indicate Support of the 503 transaction is at the utility  |

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## BUSINESS PROCESSES – PRICING HISTORY

### PRICING HISTORY BUSINESS PROCESS FLOWS

#### Scenario A - Request for Pricing History in an Pricing History Request Transaction

The following represents the steps involved in providing Pricing History to the ESCO when the request is made using a 503 Pricing History request transaction. The Utility will respond to the Pricing History request with a 503 Response transaction indicating one of the following:

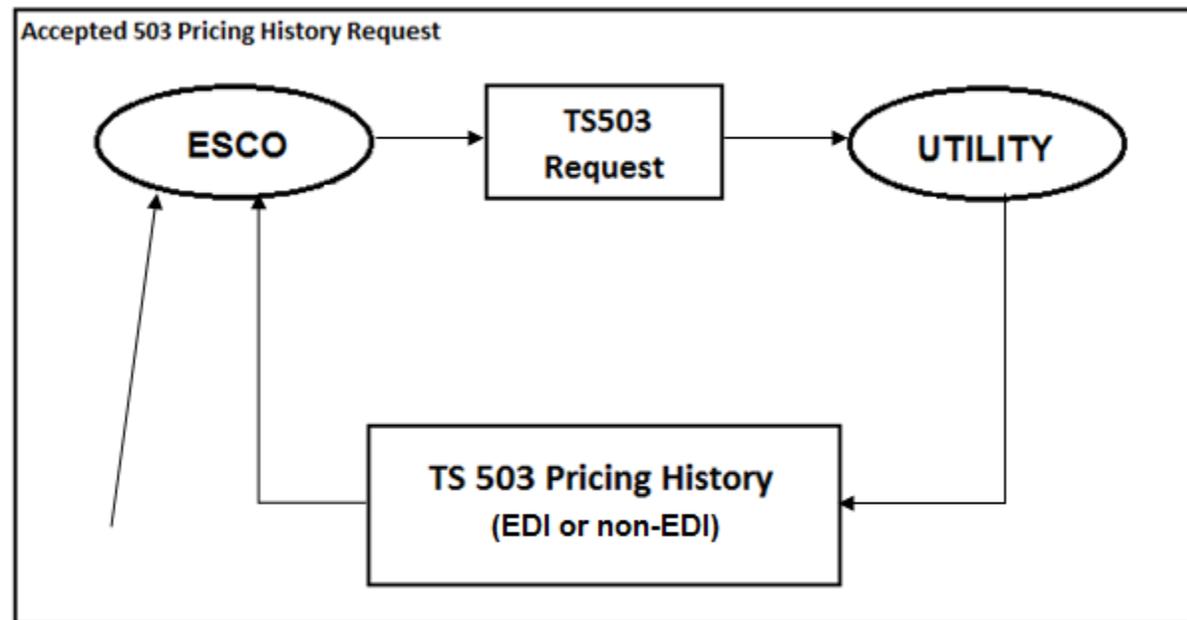
- The Request has been accepted (ASI=WQ) (a 503 containing the data will be sent).
- The Request has been acknowledged (ASI=AC) and details regarding the response and/or the data will be sent non-EDI.
- The Request has been rejected and the reason for the rejection.

This diagram depicts the process:

#### Notes:

##### Process Steps

- ESCO sends 503 Request to the Utility.
- Utility processes Historic Pricing request and sends a 503 positive or negative response.
- If 503 Response is positive, Utility sends the Pricing History.



- All EDI transactions require that the recipient return a TS997 Acknowledgement.
- Refer to the Pricing History Implementation Guide and/or the Implementation Guide for Pricing History Request & Response.

## BUSINESS PROCESSES – PRICING HISTORY

### Scenario B – ESCO Rejection of Utility Pricing History Response Transaction

The following represents the steps involved in providing Pricing History to the ESCO when the request is made using a 503 Pricing History request transaction. The Utility will respond to the Pricing History request with a 503 Response transaction indicating one of the following:

- The Request has been accepted (ASI=WQ) (a 503 containing the data will be sent).

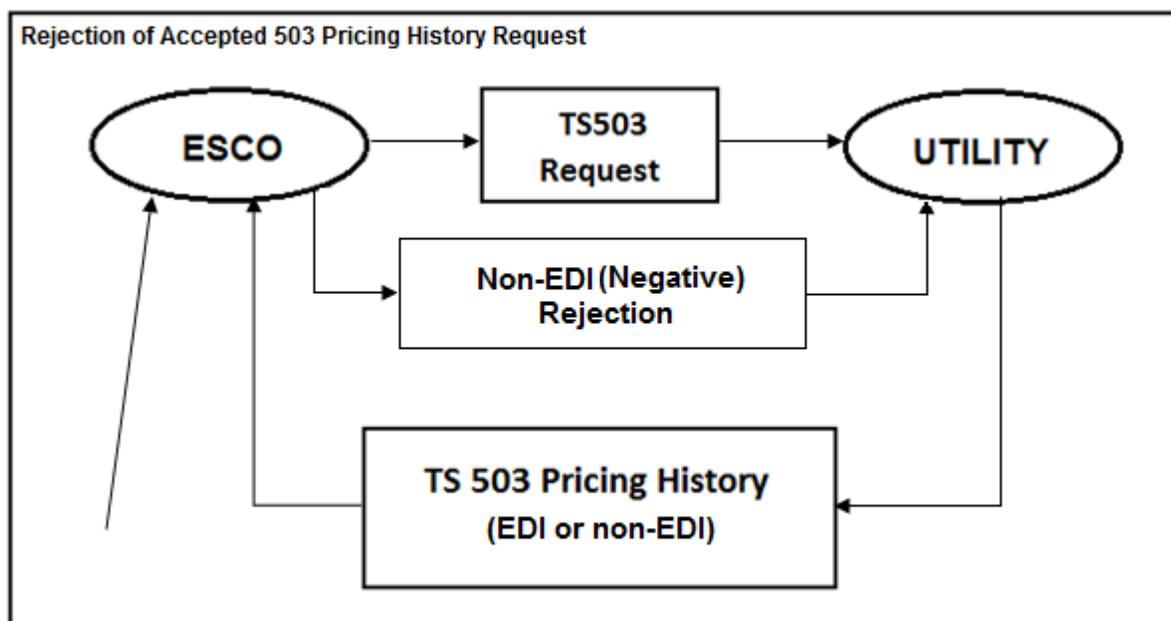
The ESCO, upon examination of the 503 Response, determines that the information provided is not a valid response to its initial request.

This diagram depicts the process:

#### Notes:

##### Process Steps

- ESCO sends 503 Request to the Utility.
- Utility processes Historic Pricing request and sends a 503 positive or negative response.
- If 503 Response is positive, Utility sends the Pricing History.
- If a valid rejection reason exists, ESCO sends a non-EDI (Negative) response, e.g. an email message or a phone call.



- All EDI transactions require that the recipient return a TS997 Acknowledgement.
- Refer to the Pricing History Implementation Guide and/or the Implementation Guide for Pricing History Request & Response.

# New York Implementation Standard

For

## Standard Electronic Transactions

TRANSACTION SET

# 503

Pricing History  
Request & Response

Ver/Rel 004010

|                             | <b>Summary of Changes</b>   |
|-----------------------------|---|
| <b>July 24, 2015</b>        | <b>Version 1.0</b>  |
|                             | Initial Release   |
| <b><u>June 30, 2016</u></b> | <b><u>Version 1.1</u></b>   |
|                             | <ul style="list-style-type: none"> <li>• <u>Updated Examples</u></li> <li>• <u>Revised note in REF~45 gray box to align with 814E gray box note</u></li> <li>• <u>Added new REF~1P Segment (Response Information or Warning)</u></li> <li>• <u>Changed conditionality for AMT~T3 and AMT~TR segments</u> <ul style="list-style-type: none"> <li>○ <u>Added gray box notes to clarify usage of AMT~CX segment</u></li> </ul> </li> <li>• <u>Added ESP code to REF~BLT segment</u></li> </ul> |

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|   | <b>Notes pertaining to the use of this document</b>   |
|---|---|
| Purpose   | <ul style="list-style-type: none"> <li>This 503 Pricing History Transaction Set is used to request bill amounts for what the utility would have charged the Customer if it had been the supplier during historic periods for which the requesting ESCO provided supply service to the Customer.</li> </ul>  |
| One account per 503                                 | <ul style="list-style-type: none"> <li>Each transaction may contain only one account for one commodity (i.e. electric or gas). ESCO's who want to receive a customer's pricing history for both electric and gas service <b>must</b> transmit two 503 pricing history requests – one for the electric pricing history and another for the gas pricing history.</li> </ul>   |
| All meters per account                              | <ul style="list-style-type: none"> <li>Except for requests sent to a utility that supports separate enrollment of the un-metered electric service for accounts, an EDI request for pricing history is a request for history data for all service delivery points (metered and/or un-metered) for the account requested for the commodity indicated.</li> <li>In a service territory where the utility supports separate enrollment of the un-metered electric service for accounts, when both metered and un-metered electric service is present on an account, an ESCO may separately request pricing history for the electric un-metered service on an account when both metered and un-metered service are present on the same account. To request pricing history only for the un-metered service on the account the REF03 element in the REF*12 (Utility Account Number) segment should be transmitted.</li> </ul> |
| Validation Fields                                   | <ul style="list-style-type: none"> <li>Transactions will be validated based on the customer's utility account number (with check digit, if included).</li> </ul>  |
| 503 Response is Required                            | <ul style="list-style-type: none"> <li>The Utility must return an 503 response, either positive or negative, for each history request received.</li> </ul>  |
| Cross referencing Request and Response transactions | <ul style="list-style-type: none"> <li>The BGN02 element in the BGN segment received on a Request transaction must be returned in the BGN06 element of the BGN segment sent in the Response transaction. There must be one Response LIN for each Request LIN sent. The response to LIN loop on the Request must be uniquely identified in the LIN loop on the Response with the same identification sent in the request LIN01.</li> </ul>   |

## Implementation Guideline Field Descriptions

**Segment:** **REF** Reference Identification (Utility Customer Account Number)  
**Position:** 050  
**Loop:**  
**Level:** Heading  
**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.  
**Comments:**  
**Notes:** Required

This section shows the X12 Rules for this segment but the Usage and Max Use fields will also reflect NY rules. For Usage, “Optional (Must Use)” means that this segment is Optional for X12, but is required in NY. “Optional (Dependent)” means Optional for X12, but use is conditional in NY. The gray boxes below should also be reviewed for additional NY Rules.

The Utility account number assigned to the customer is used for validation and must be present on all transactions.  
 REF~12~011231287654398

This section displays the NY Rules for implementation of this segment.

One or more examples.

### Data Element Summary

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| Mand.    | REF01            | 128                 | Reference Identification Qualifier<br>12<br>Billing Account<br>REF02 contains the Utility-assigned account number for the customer.  | M ID 2/3          |
| Must Use | REF02            | 127                 | Reference Identification<br>Utility assigned customer account number<br>The utility account number must be supplied without intervening spaces or non-alphanumeric characters. (Characters added to aid in visible presentation on a bill, for example, should be removed) | X AN 1/30         |

This column documents differences between X12 and NY use for each data element:  
 Mand. (Mandatory) – Required by X12  
 Must Use – Required by NY  
 Cond. (Conditional)  
 Optional

These columns show the X12 attributes for each data element:  
 M = Mandatory  
 O = Optional  
 X = Conditional  
  
 AN = Alphanumeric  
 N# = Implied Decimal  
 ID = Identification  
 R = Real  
 DT = Date (CCYYMMDD)  
  
 1/30 = Minimum 1, Maximum 30

# 503 Pricing History

Functional Group ID=**PH**

## Introduction:

This Draft Standard for Trial Use contains the format and establishes the data contents of the Pricing History Transaction Set (503) for use within the context of an Electronic Data Interchange (EDI) environment. This bi-directional transaction set can be used by a purchasing party or vendor to request pricing history information for an item. The transaction set can also be used to respond to a request for pricing history information.

## Heading:

| Page No. | Pos. No. | Seg. ID | Name                   | Req. Des. | Max.Use | Loop Repeat  | Notes and Comments |
|----------|----------|---------|------------------------|-----------|---------|--------------|--------------------|
| 3        | 010      | ST      | Transaction Set Header | M         | 1       |              |                    |
| 4        | 020      | BGN     | Beginning Segment      | M         | 1       |              |                    |
|          |          |         |                        |           |         | LOOP ID - N1 | >1                 |
| 5        | 030      | N1      | Name (ESCO)            | O         | 1       |              |                    |
|          |          |         |                        |           |         | LOOP ID - N1 | >1                 |
| 6        | 030      | N1      | Name (Utility)         | O         | 1       |              |                    |
|          |          |         |                        |           |         | LOOP ID - N1 | >1                 |
| 7        | 030      | N1      | Name (Customer)        | O         | 1       |              |                    |

## Detail:

| Page No.        | Pos. No.       | Seg. ID        | Name  | Req. Des.    | Max.Use          | Loop Repeat   | Notes and Comments |
|-----------------|----------------|----------------|---|--------------|------------------|---------------|--------------------|
|                 |                |                |   |              |                  | LOOP ID - LIN | >1                 |
| 8               | 010            | LIN            | Item Identification   | O            | 1                |               |                    |
| 9               | 060            | REF            | Reference Identification (Reject Response Reasons)                    | O            | >1               |               |                    |
| <del>10</del>   | <del>060</del> | <del>REF</del> | <del>Reference Identification (Response Information or Warning)</del> | <del>O</del> | <del>&gt;1</del> |               |                    |
| <del>4011</del> | 060            | REF            | Reference Identification (ESCO Customer Account Number)               | O            | >1               |               |                    |
| <del>4112</del> | 060            | REF            | Reference Identification (Utility Account Number)                     | O            | >1               |               |                    |
| <del>4213</del> | 060            | REF            | Reference Identification (Utility Account Number for ESCO)            | O            | >1               |               |                    |
| <del>4314</del> | 060            | REF            | Reference Identification (Previous Utility Account Number)            | O            | >1               |               |                    |
| <del>4415</del> | 090            | LS             | Loop Header   | O            | 1                |               |                    |
|                 |                |                |   |              |                  | LOOP ID - QTY | >1                 |
| <del>4516</del> | 100            | QTY            | Quantity  | O            | 1                |               | n1                 |
| <del>4617</del> | 110            | AMT            | Monetary Amount (Utility Comparison Amount)                           | O            | >1               |               |                    |
| <del>4718</del> | 110            | AMT            | Monetary Amount (Actual Total)  | O            | >1               |               |                    |
| <del>4819</del> | 110            | AMT            | Monetary Amount (ESCO Supply Charges)                                 | O            | >1               |               |                    |
| <del>4920</del> | 110            | AMT            | Monetary Amount (Utility Supply Comparison Charges)                   | O            | >1               |               |                    |

|                      |     |     |   |   |    |
|----------------------|-----|-----|---|---|----|
| <a href="#">2021</a> | 120 | REF | Reference Identification (Bill Option)          | O | >1 |
| <a href="#">2122</a> | 130 | DTM | Date/Time Reference (Service Period Start Date) | O | >1 |
| <a href="#">2223</a> | 130 | DTM | Date/Time Reference (Service Period End Date)   | O | >1 |
| <a href="#">2324</a> | 280 | LE  | Loop Trailer                                    | O | 1  |
| <a href="#">2425</a> | 290 | SE  | Transaction Set Trailer                         | M | 1  |
| E-1                  |     |     | Examples  |   |    |

## Transaction Set Notes

1. The QTY loop can be used to convey pricing information when multiple quantities of the cited item were purchased.

**Segment:** **ST** Transaction Set Header  
**Position:** 010  
**Loop:**  
**Level:** Heading  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To indicate the start of a transaction set and to assign a control number  
**Syntax Notes:**  
**Semantic Notes:** 1 The transaction set identifier (ST01) is used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).  
**Comments:**  
**Notes:** Required  
 ST~503~0001

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>   | <u>Attributes</u> |
|----------|------------------|---------------------|---|-------------------|
| Must Use | ST01             | 143                 | Transaction Set Identifier Code<br>Code uniquely identifying a Transaction Set<br>503 Pricing History   | M ID 3/3          |
| Must Use | ST02             | 329                 | Transaction Set Control Number<br>Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M AN 4/9          |

**Segment:** **BGN** Beginning Segment  
**Position:** 020  
**Loop:**  
**Level:** Heading  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To indicate the beginning of a transaction set  
**Syntax Notes:** 1 If BGN05 is present, then BGN04 is required.  
**Semantic Notes:** 1 BGN02 is the transaction set reference number.  
 2 BGN03 is the transaction set date.  
 3 BGN04 is the transaction set time.  
 4 BGN05 is the transaction set time qualifier.  
 5 BGN06 is the transaction set reference number of a previously sent transaction affected by the current transaction.

**Comments:**

**Notes:**

Required  
 BGN\*13\*20150719000001\*20150719 (Request)  
 BGN\*44\*20150719000001\*20150719\*\*\*E1234520150718 (Reject Response)  
 BGN\*52\*20150719000001\*20150719\*\*\*E1234520150718 (Accept Response)

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| Must Use | BGN01            | 353                 | <b>Transaction Set Purpose Code</b><br>Code identifying purpose of transaction set<br>13 Request<br>44 Rejection<br>52 Response to Historical Inquiry  | M ID 2/2          |
| Must Use | BGN02            | 127                 | <b>Reference Identification</b><br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>A unique transaction identifier number assigned by the originator of this transaction.   | M AN 1/30         |
| Must Use | BGN03            | 373                 | <b>Date</b><br>Date expressed as CCYYMMDD<br>The date the transaction was created by the sender's application system in the form CCYYMMDD.   | M DT 8/8          |
|          | BGN06            | 127                 | <b>Reference Identification</b><br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>This element is not used on a request transaction but is required in a response transaction.<br>The BGN06 element in a Response transaction must contain the transaction id in the BGN02 element in the corresponding Request transaction. | O AN 1/30         |

**Segment:** **N1** Name (ESCO)  
**Position:** 030  
**Loop:** N1 Optional  
**Level:** Heading  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To identify a party by type of organization, name, and code  
**Syntax Notes:** 1 At least one of N102 or N103 is required.  
 2 If either N103 or N104 is present, then the other is required.  
**Semantic Notes:**  
**Comments:** 1 This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party.  
 2 N105 and N106 further define the type of entity in N101.  
**Notes:** Required  
 N1~SJ~ESP COMPANY~9~123456789NY00

**Data Element Summary**

| Ref. Des.        | Data Element | Name  | Attributes |
|------------------|--------------|---|------------|
| Must Use<br>N101 | 98           | <b>Entity Identifier Code</b><br>Code identifying an organizational entity, a physical location, property or an individual<br>SJ Service Provider<br>Identifies the ESCO participating in this transaction.   | M ID 2/3   |
| N102             | 93           | <b>Name</b><br>Free-form name<br>Free Form ESCO Company Name<br>Supplemental text information supplied, if desired, to provide "eyeball" identification of the ESCO. It is not necessary for successful completion of the transaction but may be provided by mutual agreement between trading partners. | X AN 1/60  |
| Must Use<br>N103 | 66           | <b>Identification Code Qualifier</b><br>Code designating the system/method of code structure used for Identification Code (67)<br>1 D-U-N-S Number, Dun & Bradstreet<br>9 D-U-N-S+4, D-U-N-S Number with Four Character Suffix<br>24 Employer's Identification Number<br>Federal Tax ID                 | X ID 1/2   |
| Must Use<br>N104 | 67           | <b>Identification Code</b><br>Code identifying a party or other code<br>The D-U-N-S number or the Federal Tax ID  | X AN 2/80  |

**Segment:** **N1** Name (Utility)  
**Position:** 030  
**Loop:** N1 Optional  
**Level:** Heading  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To identify a party by type of organization, name, and code  
**Syntax Notes:** 1 At least one of N102 or N103 is required.  
 2 If either N103 or N104 is present, then the other is required.  
**Semantic Notes:**  
**Comments:** 1 This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party.  
 2 N105 and N106 further define the type of entity in N101.  
**Notes:** Required  
 N1~8S~UTILITY COMPANY~1~123456789

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>   | <u>Attributes</u> |
|----------|------------------|---------------------|---|-------------------|
| Must Use | N101             | 98                  | <b>Entity Identifier Code</b><br>Code identifying an organizational entity, a physical location, property or an individual<br>8S Consumer Service Provider (CSP)<br>Identifies the Utility participating in this transaction.   | <b>M ID 2/3</b>   |
| Must Use | N102             | 93                  | <b>Name</b><br>Free-form name<br>Free Form Utility Company Name   | <b>X AN 1/60</b>  |
| Must Use | N103             | 66                  | <b>Identification Code Qualifier</b><br>Code designating the system/method of code structure used for Identification Code (67)<br>1 D-U-N-S Number, Dun & Bradstreet<br>9 D-U-N-S+4, D-U-N-S Number with Four Character Suffix<br>24 Employer's Identification Number<br>Federal Tax ID | <b>X ID 1/2</b>   |
| Must Use | N104             | 67                  | <b>Identification Code</b><br>Code identifying a party or other code<br>The D-U-N-S number or the Federal Tax ID  | <b>X AN 2/80</b>  |

**Segment:** **N1** Name (Customer)  
**Position:** 030  
**Loop:** N1 Optional  
**Level:** Heading  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To identify a party by type of organization, name, and code  
**Syntax Notes:**

- 1 At least one of N102 or N103 is required.
- 2 If either N103 or N104 is present, then the other is required.

**Semantic Notes:**  
**Comments:**

- 1 This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party.
- 2 N105 and N106 further define the type of entity in N101.

**Notes:** Request: Required  
Accept Response: Required  
Reject Response: Optional  
N1~8R~CUSTOMER NAME

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>   | <u>Attributes</u> |
|----------|------------------|---------------------|---|-------------------|
| Must Use | N101             | 98                  | Entity Identifier Code<br>Code identifying an organizational entity, a physical location, property or an individual<br>8R Consumer Service Provider (CSP) Customer<br>Identifies the end use customer targeted by this transaction. | M ID 2/3          |
| Must Use | N102             | 93                  | Name<br>Free-form name<br>Customer Name   | X AN 1/60         |

Segment: **LIN** Item Identification

**Position:** 010  
**Loop:** LIN Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional (Must Use)  
**Max Use:** 1  
**Purpose:** To specify basic item identification data  
**Syntax Notes:** 1 If either LIN04 or LIN05 is present, then the other is required.  
 2 If either LIN06 or LIN07 is present, then the other is required.  
 3 If either LIN08 or LIN09 is present, then the other is required.  
 4 If either LIN10 or LIN11 is present, then the other is required.  
 5 If either LIN12 or LIN13 is present, then the other is required.  
 6 If either LIN14 or LIN15 is present, then the other is required.  
 7 If either LIN16 or LIN17 is present, then the other is required.  
 8 If either LIN18 or LIN19 is present, then the other is required.  
 9 If either LIN20 or LIN21 is present, then the other is required.  
 10 If either LIN22 or LIN23 is present, then the other is required.  
 11 If either LIN24 or LIN25 is present, then the other is required.  
 12 If either LIN26 or LIN27 is present, then the other is required.  
 13 If either LIN28 or LIN29 is present, then the other is required.  
 14 If either LIN30 or LIN31 is present, then the other is required.  
**Semantic Notes:** 1 LIN01 is the line item identification  
**Comments:** 1 See the Data Dictionary for a complete list of IDs.  
 2 LIN02 through LIN31 provide for fifteen different product/service IDs for each item.  
 For example: Case, Color, Drawing No., U.P.C. No., ISBN No., Model No., or SKU.  
**Notes:** Required  
 LIN~1~SH~EL~SH~PH

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>   | <u>Attributes</u> |
|----------|------------------|---------------------|---|-------------------|
| Must Use | LIN01            | 350                 | <b>Assigned Identification</b><br>Alphanumeric characters assigned for differentiation within a transaction set   | O AN 1/20         |
| Must Use | LIN02            | 235                 | <b>Product/Service ID Qualifier</b><br>Code identifying the type/source of the descriptive number used in Product/Service ID (234)<br>SH Service Requested                                    | M ID 2/2          |
| Must Use | LIN03            | 234                 | <b>Product/Service ID</b><br>Identifying number for a product or service<br>Only one commodity (Electric or Gas) may be indicated for each 503 transaction.<br>EL Electric<br>GAS Gas Service | M AN 1/48         |
| Must Use | LIN04            | 235                 | <b>Product/Service ID Qualifier</b><br>Code identifying the type/source of the descriptive number used in Product/Service ID (234)<br>SH Service Requested                                    | X ID 2/2          |
| Must Use | LIN05            | 234                 | <b>Product/Service ID</b><br>Identifying number for a product or service<br>PH Pricing History  | X AN 1/48         |

**Segment:** **REF** Reference Identification (Reject Response Reasons)  
**Position:** 060  
**Loop:** LIN Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional  
**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.

**Comments:**  
**Notes:**

Request: Not Used  
 Accept Response: Not Used  
 Reject Response: Required  
[REF~7G~A76](#)  
  
[To send additional system message in an 503 ACCEPT response, please refer to the REF~1P segment.](#)

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| Must Use | REF01            | 128                 | <b>Reference Identification Qualifier</b><br>Code qualifying the Reference Identification<br>7G Data Quality Reject Reason<br>REF02 contains a reject reason code.   | M ID 2/3          |
| Must Use | REF02            | 127                 | <b>Reference Identification</b><br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>A13 Other<br>See REF03<br>A76 Account # not valid<br>A80 Service requested is not available<br>A91 Account does not have service requested<br>Requested commodity does not exist on account. | X AN 1/30         |
|          | REF03            | 352                 | <b>Description</b><br>A free-form description to clarify the related data elements and their content<br>Additional text information may be sent in REF03 to aid in resolving a rejected transaction. REF03 must be sent if REF02 contains A13.   | X AN 1/80         |

|                        |  |   |
|------------------------|--|---|
| <b>Segment:</b>        | <b>REF</b>   | <b>Reference Identification (Response Information or Warning)</b> |
| <b>Position:</b>       | 060  |   |
| <b>Loop:</b>           | LIN  | Optional (Must Use)   |
| <b>Level:</b>          | Detail   |   |
| <b>Usage:</b>          | Optional   |   |
| <b>Max Use:</b>        | >1   |   |
| <b>Purpose:</b>        | To specify identifying information   |   |
| <b>Syntax Notes:</b>   | <b>1</b> At least one of REF02 or REF03 is required.<br><b>2</b> If either C04003 or C04004 is present, then the other is required.<br><b>3</b> If either C04005 or C04006 is present, then the other is required. |   |
| <b>Semantic Notes:</b> | <b>1</b> REF04 contains data relating to the value cited in REF02.   |   |

**Comments:**

**Notes:**

Request: Not Used  
Accept Response: Optional

Segment may be used to convey any message relevant to the status of the account including whether the utility has an active billing relationship with the Customer.

REF~1P~MOV

**Data Element Summary**

|                 | <u>Ref.</u>  | <u>Data</u>    |  | <u>Attributes</u> |
|-----------------|--------------|----------------|--|-------------------|
|                 | <u>Des.</u>  | <u>Element</u> | <u>Name</u>  |                   |
| <u>Must Use</u> | <u>REF01</u> | <u>128</u>     | <u>Reference Identification Qualifier</u>  | <u>M ID 2/3</u>   |
|                 |              |                | Code qualifying the Reference Identification   |                   |
| -               |              |                | IP Accessorial Status Code   |                   |
|                 |              |                | Warnings or information associated with an accepted status notification.   |                   |
| <u>Must Use</u> | <u>REF02</u> | <u>127</u>     | <u>Reference Identification</u>  | <u>X AN 1/30</u>  |
|                 |              |                | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier            |                   |
| -               |              |                | A13 Other  |                   |
|                 |              |                | See REF03  |                   |
| -               |              |                | ECB EPA Credit cannot be included on customer bill due to the current ESCO's billing model selection for this Customer.                |                   |
| -               |              |                | MOV Customer moved outside service territory   |                   |
| <u>Cond.</u>    | <u>REF03</u> | <u>352</u>     | <u>Description</u>   | <u>X AN 1/80</u>  |
|                 |              |                | A free-form description to clarify the related data elements and their content   |                   |
|                 |              |                | Additional text information may be sent in REF03 to aid in resolving a rejected transaction. REF03 must be sent if REF02 contains A13. |                   |

**Segment:** **REF** Reference Identification (ESCO Customer Account Number)  
**Position:** 060  
**Loop:** LIN Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional  
**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.

**Comments:**  
**Notes:** Request: Optional  
Accept Response: Required if provided on the request  
Reject Response: Optional

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| Must Use | REF01            | 128                 | <b>Reference Identification Qualifier</b><br>Code qualifying the Reference Identification<br>11 Account Number<br>REF02 is the ESCO Assigned account number for the customer.                                      | M ID 2/3          |
| Must Use | REF02            | 127                 | <b>Reference Identification</b><br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>ESCO's assigned account number for the customer. | X AN 1/30         |

**Segment:** **REF** Reference Identification (Utility Account Number)  
**Position:** 060  
**Loop:** LIN Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional  
**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.

**Comments:**  
**Notes:** Request: Required  
Accept Response: Required  
Reject Response: Required if provided on the request  
REF~12~011231287654398  
REF~12~011231287654398~U

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| Must Use | REF01            | 128                 | <b>Reference Identification Qualifier</b><br>Code qualifying the Reference Identification<br>12 Billing Account<br>REF02 contains the Utility-assigned account number for the customer.  | M ID 2/3          |
| Must Use | REF02            | 127                 | <b>Reference Identification</b><br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>Utility assigned customer account number<br>The utility account number must be supplied without intervening spaces or non-alphanumeric characters. (Characters added to aid in visible presentation on a bill, for example, should be removed)   | X AN 1/30         |
|          | REF03            | 352                 | <b>Description</b><br>A free-form description to clarify the related data elements and their content<br>The REF03 element in the REF*12 segment should only be sent to, or received by, a utility that designated such in its Utility Maintained EDI Guide when the commodity indicated in the LIN segment is Electric but the request pertains only to the un-metered portion of the electric service on the account. This element should not be sent when the LIN request pertains to all electric service on the account.<br>U Un-Metered Service | X AN 1/80         |

**Segment:** **REF** Reference Identification (Utility Account Number for ESCO)  
**Position:** 060  
**Loop:** LIN Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional  
**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.

**Comments:**  
**Notes:** Request: Conditional  
Response: Conditional

This segment is used to communicate an account number assigned by the Utility to the ESCO and may be sent with the mutual agreement of the parties.

REF~AJ~3134597

**Data Element Summary**

|          | <b>Ref. Des.</b> | <b>Data Element</b> | <b>Name</b>   | <b>Attributes</b> |
|----------|------------------|---------------------|---|-------------------|
| Must Use | REF01            | 128                 | <b>Reference Identification Qualifier</b><br>Code qualifying the Reference Identification<br>AJ Accounts Receivable Customer Account<br>REF02 contains the Utility assigned account number for the ESCO | M ID 2/3          |
| Must Use | REF02            | 127                 | <b>Reference Identification</b><br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>Utility account number for the ESCO   | X AN 1/30         |

**Segment:** **REF** Reference Identification (Previous Utility Account Number)  
**Position:** 060  
**Loop:** LIN Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional  
**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.

**Comments:**  
**Notes:**

Conditional

Where a utility changes an existing customer's account number as a business process (and as noted in its Utility Maintained EDI Guide), ~~This~~ ~~this~~ segment ~~must be sent~~ is required when the utility assigned account number for the customer has changed in the last 90 days.

REF~45~9194132485705971

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|------------------|---------------------|--|-------------------|
| Must Use | REF01            | 128                 | Reference Identification Qualifier<br>Code qualifying the Reference Identification<br>45 Old Account Number<br>REF02 is the Utility's previous account number for the customer.  | M ID 2/3          |
| Must Use | REF02            | 127                 | Reference Identification<br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br>Previous Utility Account Number for the Customer.<br>This segment would be sent, for example, when a change in meter reading routes results in a change in the account number assigned to the customer. | X AN 1/30         |

**Segment:** **LS** Loop Header

**Position:** 090

**Loop:** LIN Optional (Must Use)

**Level:** Detail

**Usage:** Optional

**Max Use:** 1

**Purpose:** To indicate that the next segment begins a loop

**Syntax Notes:**

**Semantic Notes:** 1 One loop may be nested contained within another loop, provided the inner nested loop terminates before the outer loop. When specified by the standard setting body as mandatory, this segment in combination with "LE", must be used. It is not to be used if not specifically set forth for use. The loop identifier in the loop header and trailer must be identical. The value for the identifier is the loop ID of the required loop segment. The loop ID number is given on the transaction set diagram in the appropriate ASC X12 version/release.

**Comments:** 1 See Figures Appendix for an explanation of the use of the LS and LE segments.

**Notes:** Request: Not Used  
 Accept Response: Required  
 Reject Response: Not Used  
 LS\*QTY

**Data Element Summary**

| Ref.     | Data Element | Name   | Attributes |
|----------|--------------|--|------------|
| Must Use | LS01         | 447 Loop Identifier Code   | M AN 1/6   |
|          |              | The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE |            |
|          |              | QTY Start of QTY Looping   |            |

**Segment:** **QTY** Quantity  
**Position:** 100  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To specify quantity information  
**Syntax Notes:** 1 At least one of QTY02 or QTY04 is required.  
 2 Only one of QTY02 or QTY04 may be present.  
**Semantic Notes:** 1 QTY04 is used when the quantity is non-numeric.  
**Comments:**  
**Notes:**

Request: Not Used  
 Accept Response: Required  
 Reject Response: Not Used  
 QTY\*2M\*\*\*NV

**Data Element Summary**

|          | <u>Ref.</u><br><u>Des.</u> | <u>Data</u><br><u>Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|----------------------------|-------------------------------|--|-------------------|
| Must Use | QTY01                      | 673                           | Quantity Qualifier<br>Code specifying the type of quantity<br>2M Comparison Period | M ID 2/2          |
| Must Use | QTY04                      | 61                            | Free-Form Message<br>Free-form information<br>NV No Value                          | X AN 1/30         |

**Segment:** **AMT** Monetary Amount (Utility Comparison Amount)  
**Position:** 110  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To indicate the total monetary amount  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**  
**Notes:**

Request: Not Used  
 Accept Response: Required  
 Reject Response: Not Used  
 AMT\*AD\*102.15

**Data Element Summary**

|          | <u>Ref.</u><br><u>Des.</u> | <u>Data</u><br><u>Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|----------------------------|-------------------------------|--|-------------------|
| Must Use | AMT01                      | 522                           | Amount Qualifier Code<br>Code to qualify amount<br>AD Adjusted Total<br>Utility Total Charges for Comparison (Utility Supply,<br>Utility Delivery - Includes distribution, generation, taxes,<br>etc.) | M ID 1/3          |
| Must Use | AMT02                      | 782                           | Monetary Amount<br>Monetary amount   | M R 1/18          |

**Segment:** **AMT** Monetary Amount (Actual Total)  
**Position:** 110  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To indicate the total monetary amount  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**  
**Notes:**

Request: Not Used  
 Accept Response: Required  
 Reject Response: Not Used

When a utility issues a consolidated bill this segment is used to send the Actual Total Charges (ESCO Supply, Utility Delivery - Includes distribution, generation, taxes, etc.) If the customer is being billed under the Dual Bill model, Actual Total Charges would not include ESCO Supply so the segment would be used to provide Utility Delivery charges (and associated taxes) only. If the customer is being billed under the ESCO consolidated bill model, Actual Total Charges would be set to zero because the utility did not issue a bill.

AMT\*CX\*98.1

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>   | <u>Attributes</u> |
|----------|------------------|---------------------|---|-------------------|
| Must Use | AMT01            | 522                 | Amount Qualifier Code<br>Code to qualify amount<br>CX Actual<br>Actual Total Charges (ESCO Supply, Utility Delivery - Includes distribution, generation, taxes, etc.) | M ID 1/3          |
| Must Use | AMT02            | 782                 | Monetary Amount<br>Monetary amount  | M R 1/18          |

**Segment:** **AMT** Monetary Amount (ESCO Supply Charges)  
**Position:** 110  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To indicate the total monetary amount  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**  
**Notes:**

Request: Not Used  
 Accept Response: ~~Required~~Conditional  
 Reject Response: Not Used  
  
The segment is required when a utility consolidated bill was issued. Under Dual or ESCO consolidated billing, the ESCO has billed its supply charges to the customer and they are not available in the utility's system.  
  
 AMT\*T3\*52

**Data Element Summary**

|          | <u>Ref.</u><br><u>Des.</u> | <u>Data</u><br><u>Element</u> | <u>Name</u>   | <u>Attributes</u>  |
|----------|----------------------------|-------------------------------|---|--|
| Must Use | AMT01                      | 522                           | Amount Qualifier Code<br>Code to qualify amount<br>T3 | M ID 1/3<br>Total Submitted Charges<br>ESCO Supply Charges (Includes generation, taxes). |
| Must Use | AMT02                      | 782                           | Monetary Amount<br>Monetary amount                    | M R 1/18   |

**Segment:** **AMT** Monetary Amount (Utility Supply Comparison Charges)  
**Position:** 110  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To indicate the total monetary amount  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**  
**Notes:**

Request: Not Used  
 Accept Response: ~~Required~~Conditional  
 Reject Response: Not Used  
  
[Provided if supported by the utility as detailed in the Utility Maintained EDI Guide.](#)  
  
 AMT\*TR\*56.05

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>   | <u>Attributes</u> |
|----------|------------------|---------------------|---|-------------------|
| Must Use | AMT01            | 522                 | Amount Qualifier Code<br>Code to qualify amount<br>TR Target Cost   | M ID 1/3          |
| Must Use | AMT02            | 782                 | Monetary Amount<br>Monetary amount<br>Utility Supply Charges for Comparison (Includes generation, taxes). | M R 1/18          |

**Segment:** **REF** Reference Identification (Bill Option)  
**Position:** 120  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**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.

**Comments:**  
**Notes:**

Request: Not Used  
 Accept Response: Required  
 Reject Response: Not Used  
 REF\*BLT\*LDC  
 REF\*BLT\*DUAL

**Data Element Summary**

|          | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u>   | <u>Attributes</u> |
|----------|------------------|---------------------|---|-------------------|
| Must Use | REF01            | 128                 | Reference Identification Qualifier  | M ID 2/3          |
|          |                  |                     | Code qualifying the Reference Identification  |                   |
|          |                  |                     | BLT Billing Type  |                   |
|          |                  |                     | Bill Presenter  |                   |
| Must Use | REF02            | 127                 | Reference Identification  | X AN 1/30         |
|          |                  |                     | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier |                   |
|          |                  |                     | DUAL Each Party Presents a Separate Bill  |                   |
|          |                  |                     | LDC <u>The Utility is the Consolidated Bill Presenter</u>   |                   |
|          |                  |                     | <u>ESP</u> <u>The ESCO is the Consolidated Bill Presenter</u>   |                   |

**Segment:** **DTM** Date/Time Reference (Service Period Start Date)  
**Position:** 130  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To specify pertinent dates and times  
**Syntax Notes:**

- 1 At least one of DTM02 DTM03 or DTM05 is required.
- 2 If DTM04 is present, then DTM03 is required.
- 3 If either DTM05 or DTM06 is present, then the other is required.

**Semantic Notes:**

**Comments:**

**Notes:**

Request: Not Used  
Accept Response: Required  
Reject Response: Not Used  
DTM\*150\*20150215

**Data Element Summary**

|          | <b>Ref.</b> | <b>Data</b>  | <b>Attributes</b> |
|----------|-------------|--|-------------------|
|          | <b>Des.</b> | <b>Element Name</b>  |                   |
| Must Use | DTM01       | 374 Date/Time Qualifier<br>Code specifying type of date or time, or both date and time<br>150 Service Period Start | M ID 3/3          |
| Must Use | DTM02       | 373 Date<br>Date expressed as CCYYMMDD   | X DT 8/8          |

**Segment:** **DTM** Date/Time Reference (Service Period End Date)  
**Position:** 130  
**Loop:** QTY Optional  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To specify pertinent dates and times  
**Syntax Notes:**

- 1 At least one of DTM02 DTM03 or DTM05 is required.
- 2 If DTM04 is present, then DTM03 is required.
- 3 If either DTM05 or DTM06 is present, then the other is required.

**Semantic Notes:**

**Comments:**

**Notes:**

Request: Not Used  
 Accept Response: Required  
 Reject Response: Not Used  
 DTM\*151\*20150313

**Data Element Summary**

|          | <b>Ref.</b> | <b>Data</b>   | <b>Attributes</b> |
|----------|-------------|---|-------------------|
|          | <b>Des.</b> | <b>Element Name</b>   |                   |
| Must Use | DTM01       | 374 Date/Time Qualifier                                     | M ID 3/3          |
|          |             | Code specifying type of date or time, or both date and time |                   |
|          |             | 151 Service Period End                                      |                   |
| Must Use | DTM02       | 373 Date  | X DT 8/8          |
|          |             | Date expressed as CCYYMMDD                                  |                   |

**Segment:** **LE** Loop Trailer

**Position:** 280

**Loop:** LIN Optional (Must Use)

**Level:** Detail

**Usage:** Optional

**Max Use:** 1

**Purpose:** To indicate that the loop immediately preceding this segment is complete

**Syntax Notes:**

**Semantic Notes:** 1 One loop may be nested contained within another loop, provided the inner nested loop terminates before the other loop. When specified by the standards setting body as mandatory, this segment in combination with "LS", must be used. It is not to be used if not specifically set forth for use. The loop identifier in the loop header and trailer must be identical. The value for the identifier is the loop ID of the required loop beginning segment. The loop ID number is given on the transaction set diagram in the appropriate ASC X12 version/release.

**Comments:** 1 See Figures Appendix for an explanation of the use of the LE and LS segments.

**Notes:** Request: Not Used  
 Accept Response: Required  
 Reject Response: Not Used  
 LE\*QTY

**Data Element Summary**

| Ref.     | Data    | Name   | Attributes |
|----------|---------|--|------------|
| Des.     | Element |  |            |
| Must Use | LE01    | 447 Loop Identifier Code   | M AN 1/6   |
|          |         | The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE |            |
|          |         | QTY End of QTY Looping   |            |

**Segment:** **SE** Transaction Set Trailer  
**Position:** 290  
**Loop:**  
**Level:** Detail  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments)

**Syntax Notes:**

**Semantic Notes:**

**Comments:** 1 SE is the last segment of each transaction set.

**Notes:** Required

SE\*40\*0001

**Data Element Summary**

|          | <b>Ref. Des.</b> | <b>Data Element</b> | <b>Name</b>  | <b>Attributes</b> |
|----------|------------------|---------------------|--|-------------------|
| Must Use | SE01             | 96                  | <b>Number of Included Segments</b><br>Total number of segments included in a transaction set including ST and SE segments  | M N0 1/10         |
| Must Use | SE02             | 329                 | <b>Transaction Set Control Number</b><br>Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M AN 4/9          |

**Scenario 1A: ESCO Request**

|                                     |   |
|-------------------------------------|---|
| ST*503*0001                         | <u>Transaction Set header; transaction defined is an 503; control number assigned by originator</u> |
| BGN*13*2015050800001*20150508       | 13 = Request  |
| N1*8S*UTILITY NAME*1*007909111**40  | <u>Utility Name &amp; DUNS number</u>   |
| N1*SJ*ESCO NAME*9*123456798ABCD**41 | <u>ESCO Name and DUNS number</u>  |
| N1*8R*CUSTOMER NAME                 | <u>Customer Name</u>  |
| LIN*PH2015050800001*SH*EL*SH*PH     |   |
| REF*12*9437619003                   | Utility Account Number  |
| SE*8*0001                           | <u>Transaction Set trailer; segment count; control number</u>                                       |

**Scenario 1A a.: Sample Reject Response**

|  |   |
|--|---|
| ST*503*0001  | <u>Transaction Set header; transaction defined is an 503; control number assigned by originator</u> |
| BGN*44*PHR20150509-009879*20150509***2015050800001 | 44 = Reject   |
| N1*8S*UTILITY NAME*1*007909111**40                 | <u>Utility Name &amp; DUNS number</u>   |
| N1*SJ*ESCO NAME*9*123456798ABCD**41                | <u>ESCO Name and DUNS number</u>  |
| N1*8R*CUSTOMER NAME                                | <u>Customer Name</u>  |
| LIN*PH2015050800001*SH*EL*SH*PH                    |   |
| REF*12*9437619003                                  | Utility Account Number  |
| REF*7G*A76*ACCOUNT NOT FOUND                       | Rejection Reason Code and Text  |
| SE*9*0001  | <u>Transaction Set trailer; segment count; control number</u>                                       |

**Scenario 1A b.: Sample Accept Response for 3 Months**

|  |   |
|--|---|
| ST*503*0001  | <u>Transaction Set header; transaction defined is an 503; control number assigned by originator</u> |
| BGN*52*PHR20150509-009879*20150509***2015050800001 |   |
| N1*8S*UTILITY NAME*1*007909111**41                 | <u>Utility Name &amp; DUNS number</u>   |
| N1*SJ*ESCO NAME*9*123456798ABCD**40                | <u>ESCO Name and DUNS number</u>  |
| N1*8R*CUSTOMER NAME                                | <u>Customer Name</u>  |
| LIN*PH2015050800001*SH*EL*SH*PH                    |   |
| REF*12*9437619003                                  |   |
| LS*QTY   |   |
| QTY*2M***NV  | <b>First Month</b>  |
| AMT*AD*102.15                                      | Utility Comparison Amount   |
| AMT*CX*98.1  | Actual Total  |
| AMT*T3*52  | ESCO Charges  |
| AMT*TR*56.05                                       | Utility Supply Comparison Charges <u>(Optional)</u>   |
| REF*BLT*LDC  | Utility Consolidated Billing  |
| DTM*150*20150103                                   | Service Period Start Date   |
| DTM*151*20150203                                   | Service Period End Date   |
| QTY*2M***NV  | <b>Second Month</b>   |

|                  |   |
|------------------|---|
| AMT*AD*75        | Utility Comparison Amount   |
| AMT*CX*0         | Actual Total  |
| AMT*T3*0         | ESCO Charges (Example ESCO Missed the Bill Window)                      |
| AMT*TR*40.19     | Utility Supply Comparison Charges_<br>(Optional)                        |
| REF*BLT*LDC      | Utility Consolidated Billing  |
| DTM*150*20150303 | Service Period Start Date   |
| DTM*151*20150403 | Service Period End Date   |
| QTY*2M***NV      | <b>Third Month</b>  |
| AMT*AD*110.99    | Utility Comparison Amount   |
| AMT*TR*59.05     | Utility Supply Comparison Charges_<br>(Optional)                        |
| REF*BLT*DUAL     | Dual Billing  |
| DTM*150*20150403 | Service Period Start Date   |
| DTM*151*20150503 | Service Period End Date   |
| LE*QTY           |   |
| SE*32*0001       | <u>Transaction Set trailer; segment count;</u><br><u>control number</u> |

## BUSINESS PROCESSES – PRICING HISTORY

*This document describes the detailed business processes for requesting customers' Pricing History data in the State of New York. In developing these business processes, the content of the following documents was considered:*

- Order Taking Actions to Improve the Residential and Small Nonresidential Retail Access Markets, issued and effective February 25, 2014 in Case 12-M-0476 et.al.
- Order Granting and Denying Petitions for Rehearing In Part, issued and effective February 6, 2015 in Case 12-M-0476 et.al.
- Order Resetting Retail Energy Markets and Establishing Further Process, Issued and Effective February 23, 2016 in Case 15-M-0127 et al.

### NOTES:

- References to the text of the Uniform Business Practices (UBPs) displayed in the Process Rules sections in this document are those UBPs that are relevant to the scope of the business processes being described in this document and incorporated, by reference, into this document. Those UBP(s) that require elaboration, clarification, or interpretation in light of other EDI standards or modification to accommodate EDI data exchange processes will be displayed in the Process Rules section AND will also be highlighted in the Comments/Recommendations/Issues section.
- Any item displayed under a Process component, i.e. rules; etc. is also applicable for its sub-processes, unless otherwise noted.
- To help ensure accurate ESCO calculation of ESCO Pricing Adjustment Credits, e.g. Account Program Participant billing credits, as described in the Order listed above, utilities should provide ESCOs with full-service (utility provided supply and delivery service) billing amounts for the months during which the ESCO was the customer's supplier. For comparison purposes, the full-service utility amounts should reflect only current charges for the months requested, i.e. late payment charges and other charges that cannot be classified as monthly supply or delivery charges should be excluded from the amount provided.
  - Use of the 503 EDI Transactions is at the discretion of the utility; a utility may use non-EDI options such as a secured web site to provide full-service billing amounts to ESCOs. A utility's support of the 503 transaction should be designated in its Utility Maintained EDI Guide.
- All Customer information is considered confidential.
- A separate Pricing History Request must be received for each commodity, (i.e. electric or gas).
- For purposes of validating initial and subsequent EDI transactions, the ESCO must provide the customer's utility account number (with check digit, if included). If the utility account number is not sent, the Pricing History drop request will be rejected.
- The source of various Process Rules and Recommendations listed in this document is indicated by the following annotations which precede each rule:
  - [UBP] = NY Uniform Business Practices

## BUSINESS PROCESSES – PRICING HISTORY

- [CWG] = Collaborative Work Group or Case 12-M-0476 EDI Working Groups<sup>1</sup>
- [CWG][UBP (insert paragraph cite)] = Collaborative Work Group clarification, interpretation, comment or recommended modification of the Practices to accommodate Electronic Data Interchange. The following abbreviations are used for UBP Section references:
  - DEF Section 1 Definitions
  - ELIG Section 2 Eligibility Requirements
  - CRED Section 3 Creditworthiness
  - CI Section 4 Customer Information
  - CSP Section 5 Changes in Service Providers
  - Cinq Section 6 Customer Inquiries
  - UI Section 7 Utility Invoices
  - DISP Section 8 Disputes Involving Distribution Utilities, ESCOs or Direct Customers
  - B&PP Section 9 Billing and Payment Processing
- Although transactions may be sent to Utilities at any time, they will only be processed during Utility normal business days and hours. Utilities are expected to respond to historical usage requests within two business days. For example, if the required response time is two business days and a Utility receives a valid historical usage request at its Web server at 3:00 AM on Day 1, the Utility must respond by the close of business on Day 2. If the request were received at 8:00 PM on Day 1, the Utility would respond by the close of business on Day 3.
- The response to a successful request for Pricing History will be a 503 Accept Transaction containing Pricing History information (as available from the utility) for the months during which the requesting ESCO was the customer's supplier. An accepted Request for Pricing History will result in up to 24 months of a customer's historic full-service bill amount or for the life of the account if less than 24 months.
- If applicable, the Comments section for each business process is used to clarify how EDI processing rules may affect specific uniform business practices.

<sup>1</sup> The processes contained herein were reviewed and updated by the Case 12-M-0476 EDI Working Groups.

## BUSINESS PROCESSES – PRICING HISTORY

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## BUSINESS PROCESSES – PRICING HISTORY

|   |   |
|---|---|
| <b>PROCESS NUMBER:</b>                    | <b>HP0</b>  |
| <b>PROCESS NAME:</b>                      | <b>PROCESS PRICING HISTORY REQUEST -PARENT PROCESS</b>  |
| <b>PROCESS DEFINITION:</b>                | The process by which an ESCO may request, and the Utility may provide, customers' Pricing History data.   |
| <b>TRIGGER(S):</b>                        | ESCO determines need for Pricing History information, e.g. an ESCO determines that it must provide an APP Credit to a customer and needs the utility full-service bill amounts to perform the calculation.  |
| <b>ESTIMATED / PEAK TRANSACTION RATE:</b> | Moderately frequent, possibly varying by service territory and potentially spiking during periods when customer a qualified as Account Program Participants.  |
| <b>PROCESS INPUTS:</b>                    | Utility Information, ESCO Information, Customer Information, Service Information.<br>Refer to the Data Dictionary of the 503 Pricing History Request & Response for a detailed description of the process input data elements.  |
| <b>PROCESS OUTPUTS:</b>                   | An accepted 503 Request will result in receipt of a 503 Accept Transaction containing Pricing History for the most recent 24 months (or the life of the account if shorter) for months during which the ESCO was the customer's supplier.<br><b>Response to Request May Include:</b><br>Utility Information, ESCO Information, Customer Information , Service Information.<br>See the 503 Pricing History Data Dictionary for details.<br><u>Negative Response to an 503 Request:</u><br>Appropriate rejection messages (see subprocesses for additional messages): <ul style="list-style-type: none"> <li>• Account # Not Valid.</li> <li>• Account Does Not Have Service Requested</li> <li>• New account; no consumption upon which to calculate a full-service billing amount</li> <li>• Other</li> </ul> |

**BUSINESS PROCESSES – PRICING HISTORY**

|                                    |   |
|------------------------------------|---|
| <b>PROCESS NUMBER:</b>             | <b>HP0</b>  |
| <b>PROCESS NAME:</b>               | <b>PROCESS PRICING HISTORY REQUEST -PARENT PROCESS</b>  |
|                                    | <p><u>Negative Response to an 503 transaction:</u></p> <p>The 503 transaction sent in response to an 503 Pricing History Request may be rejected (via a non-EDI response, e.g. an email message or a phone call) for the following errors:</p> <ul style="list-style-type: none"> <li>• Utility Account Invalid or Not Found</li> <li>• Invalid Relationship (i.e. ESCO did not request this customer's data)</li> <li>• Account Does Not Have Service Requested (transaction does not reflect the correct commodity type)</li> <li>• Duplicate Received</li> <li>• Other (must be accompanied by text explanation in an NTE segment)</li> </ul>  |
| <b>SUB OR PRECEDING PROCESSES:</b> |   |
| <b>PROCESS RULES:</b>              | <p>[UBPs: CI B., CI B.3, CI C.1.b., CI E. &amp; CI F.]</p> <p>[CWG] <u>Customer Information Set</u>. The distribution utility, to the extent it possesses the information, shall provide, upon an ESCO request, Pricing History for an electric account and Pricing History for a gas account.</p> <p>[CWG] Pricing History for an electric or gas account shall include, to the extent applicable:</p> <ol style="list-style-type: none"> <li>1. Electric or gas account indicator;</li> <li>2. Customer Account Numbers (ESCO, Utility, previous Utility);</li> <li>3. Utility Account Number for ESCO;</li> <li>4. Names (Customer, Utility, ESCO); and</li> <li>5. 24 months, or the life of the account, whichever is less, of customer data consisting of Amounts (Utility Full Service Bill Amount, Total Billed Amount, Utility Supply Charges and ESCO Supply Charges) via EDI.</li> </ol> <p>[CWG] The response to a request for Pricing History for accounts which are generally billed off-line</p> |

**BUSINESS PROCESSES – PRICING HISTORY**

|                        |  |
|------------------------|--|
| <b>PROCESS NUMBER:</b> | <b>HP0</b>   |
| <b>PROCESS NAME:</b>   | <b>PROCESS PRICING HISTORY REQUEST -PARENT PROCESS</b>   |
|                        | <p>will NOT be processed using EDI.</p> <p>[CWG] Arrangements for access to a customer's historical pricing data in excess of the up to 24 months must be made directly with the applicable utility since this data may not be returned in a TS503 transaction.</p> <p>[CWG] Requests for Pricing History for the most recent up to 24 months may be sent, and will be processed, via EDI. Requests for Pricing History for periods in excess of the up to 24 months period generally will NOT be processed via EDI.</p> <p>[CWG] There may be one commodity (electric or gas) for each Pricing History Request transaction.</p> |
| <b>COMMENTS:</b>       | Within its Utility Maintained EDI Guide, a utility should indicate Support of the 503 transaction is at the utility  |

## BUSINESS PROCESSES – PRICING HISTORY

### PRICING HISTORY BUSINESS PROCESS FLOWS

#### Scenario A - Request for Pricing History in an Pricing History Request Transaction

The following represents the steps involved in providing Pricing History to the ESCO when the request is made using a 503 Pricing History request transaction. The Utility will respond to the Pricing History request with a 503 Response transaction indicating one of the following:

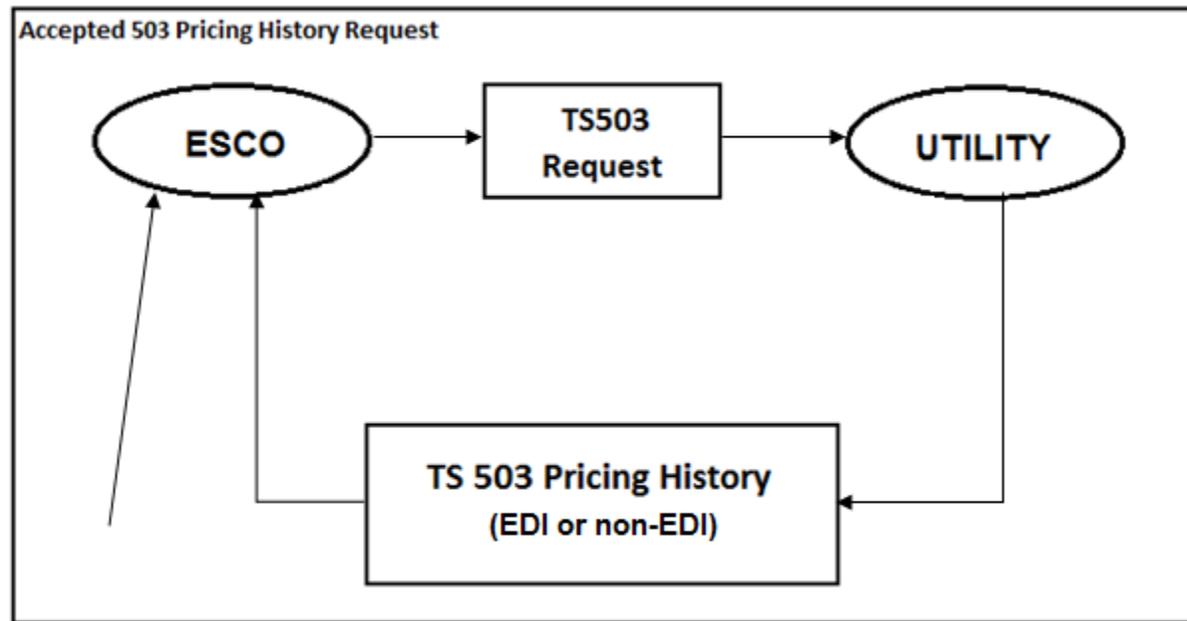
- The Request has been accepted (ASI=WQ) (a 503 containing the data will be sent).
- The Request has been acknowledged (ASI=AC) and details regarding the response and/or the data will be sent non-EDI.
- The Request has been rejected and the reason for the rejection.

This diagram depicts the process:

**Notes:**

**Process Steps**

- ESCO sends 503 Request to the Utility.
- Utility processes Historic Pricing request and sends a 503 positive or negative response.
- If 503 Response is positive, Utility sends the Pricing History.



- All EDI transactions require that the recipient return a TS997 Acknowledgement.
- Refer to the Pricing History Implementation Guide and/or the Implementation Guide for Pricing History Request & Response.

## BUSINESS PROCESSES – PRICING HISTORY

### Scenario B – ESCO Rejection of Utility Pricing History Response Transaction

The following represents the steps involved in providing Pricing History to the ESCO when the request is made using a 503 Pricing History request transaction. The Utility will respond to the Pricing History request with a 503 Response transaction indicating one of the following:

- The Request has been accepted (ASI=WQ) (a 503 containing the data will be sent).

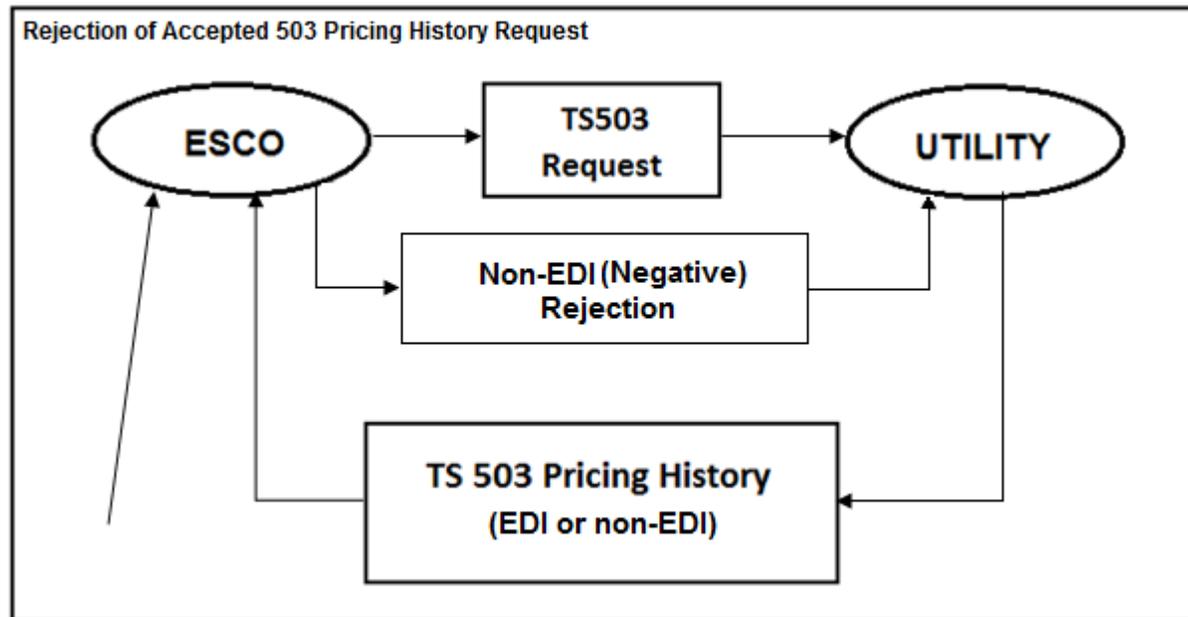
The ESCO, upon examination of the 503 Response, determines that the information provided is not a valid response to its initial request.

This diagram depicts the process:

**Notes:**

**Process Steps**

- ESCO sends 503 Request to the Utility.
- Utility processes Historic Pricing request and sends a 503 positive or negative response.
- If 503 Response is positive, Utility sends the Pricing History.
- If a valid rejection reason exists, ESCO sends a non-EDI (Negative) response, e.g. an email message or a phone call.



- All EDI transactions require that the recipient return a TS997 Acknowledgement.
- Refer to the Pricing History Implementation Guide and/or the Implementation Guide for Pricing History Request & Response.