

# **ATTACHMENT 4**

# New York Implementation Standard

For

## Standard Electronic Transactions

TRANSACTION SET

# 568 Payment Advisement

Ver/Rel 004010

	<b>Summary of Changes</b>
<b>February 21, 2003</b>	<b>Initial Release</b>
<b>July 24, 2015</b>	<b>Version 1.1</b>
	<ul style="list-style-type: none"> <li>• Replaced references to Marketer and E/M with ESCO</li> <li>• Updated references to the Purchase of Receivable (POR) model.</li> </ul>
<b>June 30, 2016</b>	<b>Version 1.2</b>
	<ul style="list-style-type: none"> <li>• Statement added noting suspension of development.</li> </ul>

FILED

	<b>Notes pertaining to the use of this document</b>
Purpose	<ul style="list-style-type: none"> <li>• The 568 Payment Advise ment transaction is used by a Utility to communicate customer payment information to an ESCO when a customer receives a Utility Rate Ready consolidated bill and the payment processing method is Purchase of Receivables (POR) with Recourse.</li> <li>• The scope of this document addresses processes associated with Utility disposition of payments made on consolidated bills including payment allocation (between the billing and non-billing parties) and notification of customer payments (or payment reversals to the ESCO via an 568 Payment Advise ment).</li> <li>• These standards are based on the ASC X12 Ver/Rel 004010 standard and related UIG guidelines.</li> </ul>
BGN Segment	<ul style="list-style-type: none"> <li>• Codes sent in the BGN07 element in the BGN segment are sent to distinguish between a 568 Payment Advise ment transaction (code U9) and a 568 Account Receivables Advise ment transaction (code BT).</li> </ul>
Looping Structure	<ul style="list-style-type: none"> <li>• The detail section of this transaction contains segments/elements that identify the customer and the commodity and provide the payment/payment reversal information. The CS loop contains a REF loop, a LX loop and an N1 loop.</li> <li>• Each CS loop may contain only one LX loop. When data is being sent for more than one account, or multiple payments or payment reversals are being reported for the same account, a separate CS loop must be sent for each payment or payment reversal being reported.</li> </ul>
Multiple accounts/commodities per 568	<ul style="list-style-type: none"> <li>• Each 568 Payment Advise ment may contain multiple accounts for multiple commodities.</li> <li>• Where the billing party has prepared a consolidated bill consisting of electric and gas charges, payments or payment reversals must be applied to electric and gas charges separately and will be communicated via the 568 accordingly.</li> </ul>
Validation	<ul style="list-style-type: none"> <li>• Transactions will be validated based on the customer’s utility account number (with check digit, if included). In this standard the customer’s utility account number is sent in the CS segment in the detail section of the transaction.</li> </ul>
Max Use of three N9 Segments	<ul style="list-style-type: none"> <li>• This Implementation Guide provides for four (4) different types of N9 segments within a CS Loop:                             <ul style="list-style-type: none"> <li>➢ ESCO Customer Account Number</li> <li>➢ Previous Utility Customer Account Number</li> <li>➢ Gas Pool ID, or</li> <li>➢ Utility Account Number for the ESCO.</li> </ul> </li> <li>• ANSI X12 standards permit no more than three N9 segments to be present at this level. Accordingly, the Utility (the sender) must select no more than three N9 segments to be transmitted in a transaction.</li> </ul>
Canceling a 568	<ul style="list-style-type: none"> <li>• In the event that a 568 was sent in error, or was inaccurate, a new 568 must be sent to correct the information.</li> </ul>
Suspension of Development	<ul style="list-style-type: none"> <li>• Since no utilities currently support this transaction, further development was suspended as of Version 1.2.</li> </ul>

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<p>Rejection</p>	<ul style="list-style-type: none"> <li>• A 568 Payment Advise transaction may be rejected for cause (i.e., validation or syntax errors or data segments/elements are missing or invalid).</li> <li>• An 824 Application Advice transaction is used to reject a 568 transaction. Please refer to instructions in the Implementation Guide for that standard for further details.</li> <li>• The recipient should not use information sent in a 568 Payment Advise transaction to update its customer account records. Changes in customer information must be reported via an 814 Account Maintenance (Change) transaction.</li> </ul>
<p>Data Element Attributes</p>	<ul style="list-style-type: none"> <li>• Data elements whose X12 attribute type is 'R' (for example the AMT02 element) are treated as real numbers. Real numbers are assumed to be positive numbers and a minus (-) sign must precede the amount when a negative number is being sent. Real numbers do NOT provide for an implied decimal position; therefore a decimal point must be sent when decimal precision is required. Note that in transmitting real numbers it is acceptable, but not necessary, to transmit digits that have no significance i.e. leading or trailing zeros:             <ul style="list-style-type: none"> <li>➤ a value of one hundred dollars and twenty cents (\$100.20) could be transmitted as 100.2 in an AMT02 element.  <div style="border: 1px solid black; padding: 2px; display: inline-block;">AMT~AT~100.2</div> </li> <li>➤ a value of one cent (\$0.01) could be transmitted as .01 in an AMT02 element.  <div style="border: 1px solid black; padding: 2px; display: inline-block;">AMT~AT~.01</div> </li> <li>➤ a value of one hundred dollars and zero cents (\$100.00) could be transmitted as 100 in an AMT02 element.  <div style="border: 1px solid black; padding: 2px; display: inline-block;">AMT~AT~100</div> </li> <li>➤ a value of minus one hundred dollars and zero cents (-\$100.00) could be transmitted as -100.00 in an AMT02 element.  <div style="border: 1px solid black; padding: 2px; display: inline-block;">AMT~AT~-100.00</div> </li> <li>➤ a value of minus one hundred dollars and twenty cents (-\$100.20) could be transmitted as -100.2 in an AMT02 element.  <div style="border: 1px solid black; padding: 2px; display: inline-block;">AMT~AT~-100.2</div> </li> </ul> </li> </ul>

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<p>Payment Plans</p>	<ul style="list-style-type: none"> <li>• Conditional elements in the N1*8R segment (Customer Name) may be sent to communicate information about customers’ Payment Plans. The 03 element is used to report that the customer is on a payment plan with the Utility. The 04 element is used to identify the type of Payment Plan: <ul style="list-style-type: none"> <li>➢ <u>Long Term Agreement</u> A multi-month payment plan arrangement in which the customer will pay a portion of the arrears in a monthly installment amount along with each month's current charges.</li> <li>➢ <u>Short Term Agreement</u> An extension granted past the current month's late payment charge date. For example, the payment agreement may require half of the receivable to be paid at the time of the arrangement and the balance prior to the late payment charge date of the following month.</li> </ul> </li> <li>• The 568 Payment Advise ment is not used to communicate information about the status of customers’ budget plans. Budget Plan status is communicated in either an 814 Enrollment Response or an 814 Account Maintenance (Change) transaction.</li> </ul>
<p>Definitions</p>	<ul style="list-style-type: none"> <li>• The term Utility or LDC (Local Distribution Company) is used in this document to refer to the local gas or electric distribution company, i.e. the entity providing regulated bundled service. The term ESCO is used in this document to refer to either a gas or electric commodity supplier. The principal parties involved in this 568 Transaction Set Implementation Guide are: <ul style="list-style-type: none"> <li>➢ The end-use customer (Code 8R)</li> <li>➢ The Utility (LDC) (Code 8S)</li> <li>➢ The Supplier (ESCO or ESCO) (Code SJ).</li> </ul> </li> </ul>
<p>Companion Documents</p>	<ul style="list-style-type: none"> <li>• All of the applicable business rules for New York are not necessarily documented in this implementation guide. Accordingly, the following documents should be reviewed where further clarification is needed: <ul style="list-style-type: none"> <li>➢ <i>Consolidated Billing Business Processes - Utility Rate Ready</i></li> <li>➢ <i>Payment Advise ment Business Processes – Utility Rate Ready POR with Recourse Consolidated Billing Model</i></li> <li>➢ <i>Account Assignment Business Processes For All Consolidated Billing Models</i></li> <li>➢ <i>TS824 Application Advice Transaction Set Standard Implementation Guide</i></li> <li>➢ <i>TS568 Account Receivables Advise ment Transaction Set Standard Implementation Guide</i></li> <li>➢ <i>Account Receivables Advise ment Business Processes – Utility Rate Ready Consolidated Billing</i></li> </ul> </li> <li>• Further information regarding the processing of EDI transactions may be found in the <i>Technical Operating Profile for Electronic Data Interchange in New York</i>.</li> </ul>

NY 568 Payment Advise ment  
**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:**

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 grayboxes below should also be reviewed for additional NY Rules.

**Notes:** Required  
 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>X12 Attributes</u>
Mand.	REF01	128	Reference Identification Qualifier 12 Billing Account REF02 contains the Utility-assigned account number for the customer.	M ID 2/3
Must Use	REF02	127	Reference Identification Utility assigned customer account number The utility account number must be supplied without intervening non-alphanumeric characters. (Characters added to aid in visibility 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

# 568 Payment Advise ment

Functional Group ID=**D5**

## Introduction:

This Draft Standard for Trial Use contains the format and establishes the data contents of the Contract Payment Management Report Transaction Set (568) for use within the context of an Electronic Data Interchange (EDI) environment. This transaction set can be used to enable the transmission of a management report to provide the details of payments and collections made against funds obligated on contracts, orders, and other services.

## Notes:

The 568 Payment Advise ment Standard prescribes the content and format for a Payment Advise ment transaction that is used by a Utility to communicate customers' payment information to the ESCO when the customer receives a Utility Rate Ready consolidated bill and the payment method is POR with Recourse.

The scope of this document addresses processes associated with the disposition of customer's payments for consolidated bills including payment allocation (between the billing and non-billing parties) and notification of payments (or payment reversals) to the ESCO via a 568 Payment Advise ment transaction.

## 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		n1
5	030	AMT	Monetary Amount	M	1		n2
						1	
6	040	N1	Name (Utility)	O	1		n3
						1	
7	040	N1	Name (ESCO)	O	1		n3

## Detail:

Page No.	Pos. No.	Seg. ID	Name	Req. Des.	Max.Use	Loop Repeat	Notes and Comments
						>1	
8	010	CS	Contract Summary (Utility Account Number)	O	1		n4
10	020	N9	Reference Identification (ESCO Customer Account Number)	O	1		
11	020	N9	Reference Identification (Previous Utility Customer Account Number)	O	1		
12	020	N9	Reference Identification (Gas Pool ID)	O	1		
13	020	N9	Reference Identification (Utility Account Number for the ESCO)	O	1		
						1	
14	060	REF	Reference Identification (Commodity Type)	O	1		
						1	

**NY 568 Payment Advise**

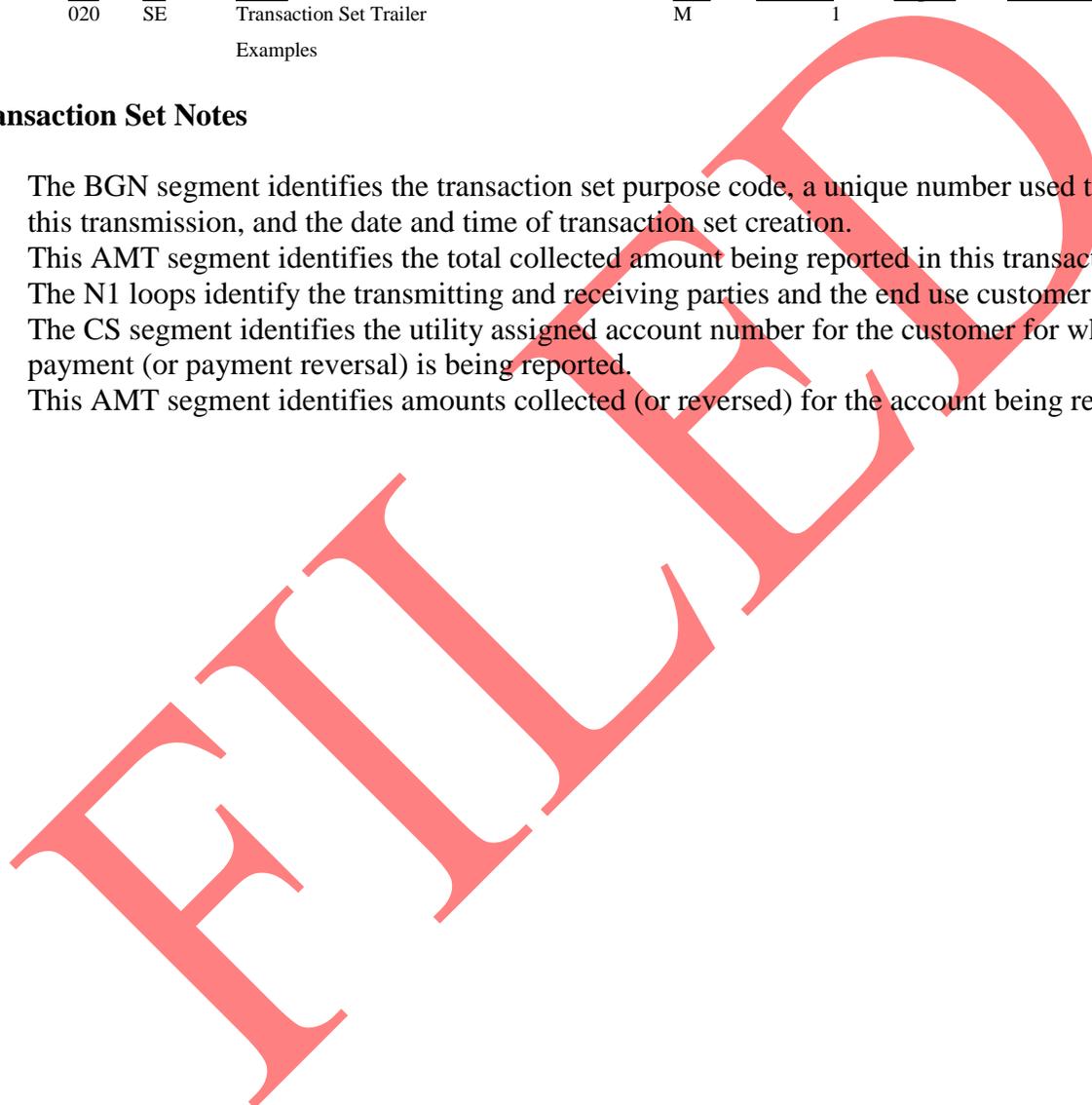
15	080	LX	Assigned Number	O	1		
16	090	N9	Reference Identification (Payment Indicator or Payment Reversal Reason and Posting Date)	M	1		
17	100	AMT	Monetary Amount (Payment or Payment Reversal Amount)	O	1	n5	
						1	
18	140	N1	Name (Customer Name)	O	1	n3	

**Summary:**

<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>
20	020	SE	Transaction Set Trailer	M	1		
E-1			Examples				

**Transaction Set Notes**

1. The BGN segment identifies the transaction set purpose code, a unique number used to identify this transmission, and the date and time of transaction set creation.
2. This AMT segment identifies the total collected amount being reported in this transaction.
3. The N1 loops identify the transmitting and receiving parties and the end use customer.
4. The CS segment identifies the utility assigned account number for the customer for whom a payment (or payment reversal) is being reported.
5. This AMT segment identifies amounts collected (or reversed) for the account being reported.



NY 568 Payment Advise ment

**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~568~000000001

**Data Element Summary**

	<u>Ref.</u>	<u>Data</u>	<u>Attributes</u>
	<u>Des.</u>	<u>Element Name</u>	
Mand	ST01	143 Transaction Set Identifier Code 568 Contract Payment Management Report	M ID 3/3
Mand	ST02	329 Transaction Set Control Number	M AN 4/9

Identifying control number assigned by the originator of a transaction set. This identifier must be unique for each transaction set within a functional group.

NY 568 Payment Advise ment

**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~00~200301310001~20030131~~~~U9

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	BGN01	353	Transaction Set Purpose Code 00 Original	M ID 2/2
Mand	BGN02	127	Reference Identification A unique transaction reference number assigned by the originator of this transaction.	M AN 1/30
Mand	BGN03	373	Date The date the transaction was created by the sender's applications system in the form CCYYMMDD.	M DT 8/8
Must Use	BGN07	640	Transaction Type Code U9 Contract Payment Notice Payment Advise ment	O ID 2/2

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**Segment:** **AMT** Monetary Amount  
**Position:** 030  
**Loop:**  
**Level:** Heading  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To indicate the total monetary amount

**Syntax Notes:**

**Semantic Notes:**

**Comments:**

**Notes:**

Required  
 AMT~AT~1500.00  
 AMT~AT~1500

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	AMT01	522	Amount Qualifier Code AT Total Received Total Monetary Amount of customers' payments (or reversals) that have been allocated to the non-billing party and reported in this transaction set.	M ID 1/3
Mand	AMT02	782	Monetary Amount Total Amount The amount sent in this AMT02 element is the sum of all AMT02 elements sent in LX loops at the detail level in this transaction. This element is a real number. Real numbers are assumed to be positive numbers and a minus (-) sign must precede the amount when a negative number is being sent. Real numbers do NOT provide for an implied decimal position; a decimal point must be sent when decimal precision is required. When transmitting a real number it is not necessary, but is acceptable, to transmit insignificant digits such as leading and/or trailing zeros.	M R 1/18

NY 568 Payment Advise ment

**Segment:** **N1 Name (Utility)**

**Position:** 040

**Loop:** N1 Optional (Must Use)

**Level:** Heading

**Usage:** Optional (Must Use)

**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 NAME~1~012345678

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	N101	98	Entity Identifier Code 8S Consumer Service Provider (CSP) Identifies the Utility participating in this transaction.	M ID 2/3
Optiona l	N102	93	Name Free Form Utility Company Name Supplemental text information that may be supplied to provide "eyeball" identification of the Utility. 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	N103	66	Identification Code Qualifier 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	X ID 1/2
Must Use	N104	67	Identification Code The D-U-N-S number or the Federal Tax ID	X AN 2/80

NY 568 Payment Advise ment

**Segment:** **N1** Name (ESCO)  
**Position:** 040  
**Loop:** N1 Optional (Must Use)  
**Level:** Heading  
**Usage:** Optional (Must Use)  
**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~~24~123456789

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	N101	98	Entity Identifier Code SJ Service Provider Identifies the ESCO participating in this transaction.	M ID 2/3
Optional	N102	93	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.	X AN 1/60
Must Use	N103	66	Identification Code Qualifier 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	X ID 1/2
Must Use	N104	67	Identification Code The D-U-N-S number or the Federal Tax ID	X AN 2/80

NY 568 Payment Advise ment

**Segment:** **CS Contract Summary (Utility Account Number)**

**Position:** 010

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

**Level:** Detail

**Usage:** Optional (Must Use)

**Max Use:** 1

**Purpose:** To provide information about a contract

**Syntax Notes:** 1 If either CS04 or CS05 is present, then the other is required.

- Semantic Notes:**
- 1 CS09 is the permissible overage as a percentage of the total contract line item number (CLIN) quantity.
  - 2 CS10 is the permissible shortage as a percentage of the total contract line item number (CLIN) quantity.
  - 3 CS11 is the permissible overage dollar value specified by the contract above which discrepancy action is taken.
  - 4 CS14 is the Unit of Measure stipulated in the contract.
  - 5 CS15 is the contract line item number (CLIN) unit price specified in the contract.
  - 6 CS17 conveys the Critical Application Indicator. A "Y" indicates that a Critical Application Indicator is specified in the contract; an "N" indicates that no Critical Application Indicator is specified in the contract.
  - 7 CS18 conveys the Special Requirements Indicator. A "Y" indicates that a Special Requirements Indicator (requiring special testing and or evaluation) is specified in the contract; an "N" indicates that no Special Requirements Indicator is specified in the contract.
- Comments:**
- 1 CS04 may be used to identify the Contract Line Item Number (CLIN) or Extended (or Exhibit) Line Item Number (ELIN).
  - 2 CS07 and CS13 can be used to indicate two different types of special services required.

**Notes:** Required

Each CS loop may contain only one LX loop. When the transaction will contain data for more than one account or will contain more than one payment (or payment reversal) for an account, each payment (or payment reversal) must be sent in separate CS loops.

In this transaction a CS segment is used to transmit the Utility assigned account number for the customer. This number is used for validation and must be present in all transactions.

CS~~~~12~12345678988

**Data Element Summary**

	<b>Ref.</b>	<b>Data</b>	<b>Attributes</b>
	<b>Des.</b>	<b>Element Name</b>	
<b>Must Use</b>	<b>CS04</b>	<b>128 Reference Identification Qualifier</b>	<b>X ID 2/3</b>
		12 Billing Account	
		CS05 contains the Utility-assigned account number for the customer.	

Utility assigned customer account number

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)

**FILLED**

NY 568 Payment Advise ment

**Segment:** **N9 Reference Identification (ESCO Customer Account Number)**

**Position:** 020

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

**Level:** Detail

**Usage:** Optional

**Max Use:** 1

**Purpose:** To transmit identifying information as specified by the Reference Identification Qualifier

- Syntax Notes:**
- 1 At least one of N902 or N903 is required.
  - 2 If N906 is present, then N905 is required.
  - 3 If either C04003 or C04004 is present, then the other is required.
  - 4 If either C04005 or C04006 is present, then the other is required.

**Semantic Notes:** 1 N906 reflects the time zone which the time reflects.

2 N907 contains data relating to the value cited in N902.

**Comments:**

**Notes:** Optional

This N9 segment is the first of four (4) N9 segments provided for in this Implementation Guideline. ANSI X12 standards permit only 3 N9 segments to be present in each CS loop. The sender must select no more than 3 N9 segments to be sent for each CS loop.

N9~11~333444555666

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	N901	128	Reference Identification Qualifier 11 Account Number N902 is the ESCO Assigned account number for the customer.	M ID 2/3
Must Use	N902	127	Reference Identification ESCO's assigned account number for the customer.	X AN 1/30

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**Segment:** **N9** Reference Identification (Previous Utility Customer Account Number)  
**Position:** 020  
**Loop:** CS Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To transmit identifying information as specified by the Reference Identification Qualifier

- Syntax Notes:**
- 1 At least one of N902 or N903 is required.
  - 2 If N906 is present, then N905 is required.
  - 3 If either C04003 or C04004 is present, then the other is required.
  - 4 If either C04005 or C04006 is present, then the other is required.

- Semantic Notes:**
- 1 N906 reflects the time zone which the time reflects.
  - 2 N907 contains data relating to the value cited in N902.

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

Conditional

Required when the utility assigned account number for the customer has changed in the last 90 days. Otherwise, not used.

NOTE: No more than 3 N9 segments may be present in each CS loop.

N9~45~9194132485705971

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	N901	128	Reference Identification Qualifier 45 Old Account Number REF02 is the Utility's previous account number for the customer.	M ID 2/3
Must Use	N902	127	Reference Identification Previous utility assigned customer account number. Current utility assigned account number must be sent in the CS segment.	X AN 1/30

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**Segment:** **N9 Reference Identification (Gas Pool ID)**  
**Position:** 020  
**Loop:** CS Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To transmit identifying information as specified by the Reference Identification Qualifier

- Syntax Notes:**
- 1 At least one of N902 or N903 is required.
  - 2 If N906 is present, then N905 is required.
  - 3 If either C04003 or C04004 is present, then the other is required.
  - 4 If either C04005 or C04006 is present, then the other is required.

- Semantic Notes:**
- 1 N906 reflects the time zone which the time reflects.
  - 2 N907 contains data relating to the value cited in N902.

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

NOTE: No more than 3 N9 segments may be present in each CS loop.

N9~VI~123456789

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	N901	128	Reference Identification Qualifier VI Pool Number	M ID 2/3
			Gas Pool ID's are assigned to a gas marketer by the Utility and are used to define a unique sub-grouping of customers.	
Must Use	N902	127	Reference Identification Gas Pool ID	X AN 1/30

NY 568 Payment Advise ment

**Segment:** **N9 Reference Identification (Utility Account Number for the ESCO)**

**Position:** 020

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

**Level:** Detail

**Usage:** Optional

**Max Use:** 1

**Purpose:** To transmit identifying information as specified by the Reference Identification Qualifier

- Syntax Notes:**
- 1 At least one of N902 or N903 is required.
  - 2 If N906 is present, then N905 is required.
  - 3 If either C04003 or C04004 is present, then the other is required.
  - 4 If either C04005 or C04006 is present, then the other is required.

- Semantic Notes:**
- 1 N906 reflects the time zone which the time reflects.
  - 2 N907 contains data relating to the value cited in N902.

**Comments:**

**Notes:** Optional

NOTE: No more than 3 N9 segments may be present in each CS loop.

N9~AJ~3134597

**Data Element Summary**

	<b>Ref. Des.</b>	<b>Data Element</b>	<b>Name</b>	<b>Attributes</b>
<b>Mand</b>	<b>N901</b>	<b>128</b>	<b>Reference Identification Qualifier</b> AJ Accounts Receivable Customer Account N902 contains the Utility-assigned account number for the ESCO.	<b>M ID 2/3</b>
<b>Must Use</b>	<b>N902</b>	<b>127</b>	<b>Reference Identification</b> Utility assigned account number for the ESCO	<b>X AN 1/30</b>

NY 568 Payment Advise ment

**Segment:** **REF** Reference Identification (Commodity Type)

**Position:** 060

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

**Level:** Detail

**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

REF~QY~EL

REF~QY~GAS

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	REF01	128	Reference Identification Qualifier	M ID 2/3
			QY Service Performed Code	
Must Use	REF02	127	Reference Identification	X AN 1/30
			EL Electric	
			GAS Gas	

NY 568 Payment Advise ment

**Segment:** **LX** Assigned Number  
**Position:** 080  
**Loop:** LX Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional (Must Use)  
**Max Use:** 1  
**Purpose:** To reference a line number in a transaction set

**Syntax Notes:**

**Semantic Notes:**

**Comments:**

**Notes:**

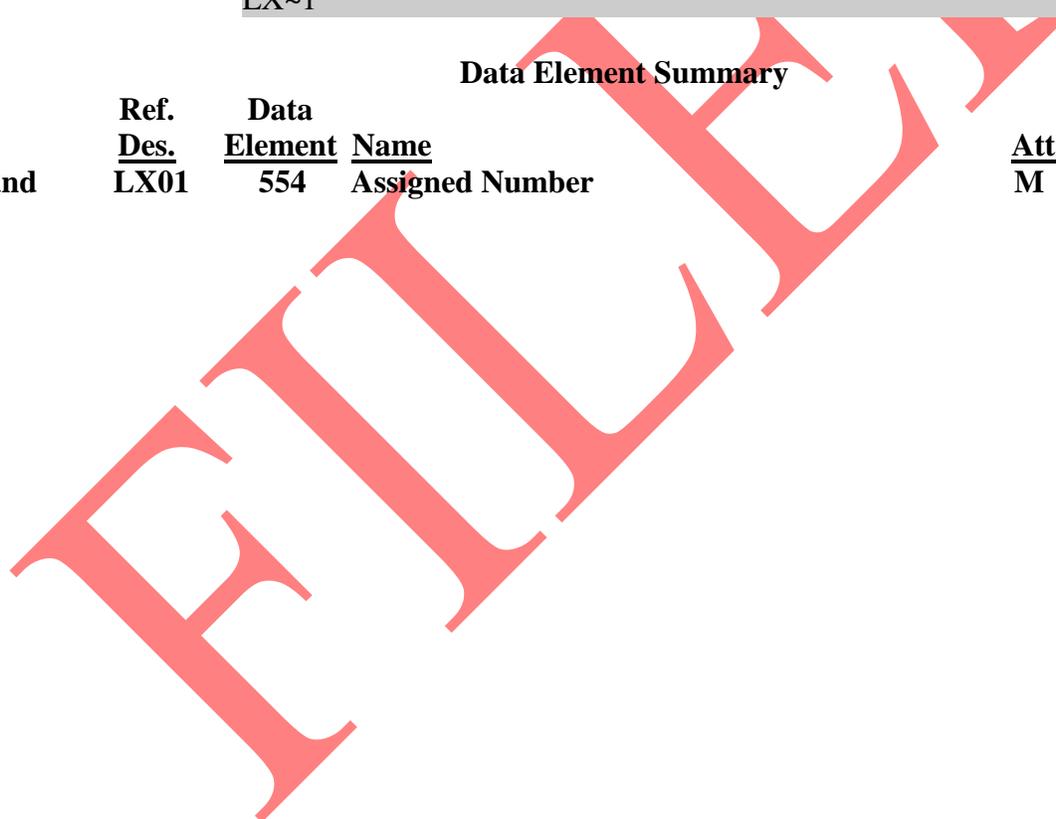
Required

No more than one LX loop may be sent in each CS loop. When there are multiple payments (or payment reversals) being reported in a transaction, each payment (or reversal) must be sent in a separate CS loop. The 'assigned number' sent in this segment will always be "1".

LX~1

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	LX01	554	Assigned Number	M N0 1/6



NY 568 Payment Advise ment

**Segment:** **N9 Reference Identification (Payment Indicator or Payment Reversal Reason and Posting Date)**

**Position:** 090

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

**Level:** Detail

**Usage:** Mandatory

**Max Use:** 1

**Purpose:** To transmit identifying information as specified by the Reference Identification Qualifier

- Syntax Notes:**
- 1 At least one of N902 or N903 is required.
  - 2 If N906 is present, then N905 is required.
  - 3 If either C04003 or C04004 is present, then the other is required.
  - 4 If either C04005 or C04006 is present, then the other is required.

- Semantic Notes:**
- 1 N906 reflects the time zone which the time reflects.
  - 2 N907 contains data relating to the value cited in N902.

**Comments:**

**Notes:**

Required

N9~PHC~PT~~20030201 (Payment)

N9~PHC~72~INSUFFICIENT FUNDS~~20030201 (Payment Reversal)

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	N901	128	Reference Identification Qualifier PHC	M ID 2/3 Process Handling Code Payment Indicator or Payment Reversal Reason
Must Use	N902	127	Reference Identification 72 74 86 CS PT RA	X AN 1/30 Returned Items Returned checks Cancel or Adjust Prior Credit/Debit Adjustment Duplicate Payment Adjustment Payment Retroactive Adjustment Mis-applied Payments
Optional	N903	369	Free-form Description Adjustment Reason Text	X AN 1/45
Must Use	N904	373	Date	O DT 8/8 Date the payment or payment reversal was posted by the billing party.

NY 568 Payment Advise ment

**Segment:** **AMT** Monetary Amount (Payment or Payment Reversal Amount)  
**Position:** 100  
**Loop:** LX Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional (Must Use)  
**Max Use:** 1  
**Purpose:** To indicate the total monetary amount

**Syntax Notes:**

**Semantic Notes:**

**Comments:**

**Notes:**

Required  
 AMT~KL~25.00 (Payments are positive numbers)  
 AMT~KL~-130.55 (Payment reversals are negative numbers)

**Data Element Summary**

	<u>Ref.</u>	<u>Data</u>	<u>Attributes</u>
	<u>Des.</u>	<u>Element Name</u>	<u>M ID 1/3</u>
Mand	AMT01	522 Amount Qualifier Code KL Collected Amount Payment or Payment Reversals	M ID 1/3
Mand	AMT02	782 Monetary Amount Payment or Payment Reversal Amount	M R 1/18

The AMT02 element sent in the header must contain the sum of all AMT02 elements sent in the CS loops in the detail section of the transaction.

This element is a real number. Real numbers are assumed to be positive numbers and a minus (-) sign must precede the amount when a negative number is being sent. Real numbers do NOT provide for an implied decimal position; a decimal point must be sent when decimal precision is required. When transmitting a real number it is not necessary, but is acceptable, to transmit insignificant digits such as leading and/or trailing zeros.

NY 568 Payment Advise ment

**Segment:** **N1 Name (Customer Name)**  
**Position:** 140  
**Loop:** N1 Optional  
**Level:** Detail  
**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:**

Optional  
 This segment may be used to send the customer name (use N101 and N102) and/or to indicate when a customer is on a payment plan (use N101 through N104).  
 N1~8R~CUSTOMER NAME  
 N1~8R~NAME~BP~LT

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
<b>Mand</b>	<b>N101</b>	<b>98</b>	<b>Entity Identifier Code</b> 8R Consumer Service Provider (CSP) Customer Identifies the end use customer targeted by this transaction.	<b>M ID 2/3</b>
<b>Must Use</b>	<b>N102</b>	<b>93</b>	<b>Name</b> The customer name may be provided by mutual agreement of the trading partners to provide "eyeball" identification of the customer involved in the transaction. This element may contain the actual customer name or the literal 'NAME'.	<b>X AN 1/60</b>
<b>Cond.</b>	<b>N103</b>	<b>66</b>	<b>Identification Code Qualifier</b> BP Benefit Plan If present, indicates that the customer is on a payment plan. The type of payment plan (Long Term vs. Short Term) will be provided in N104.	<b>X ID 1/2</b>

Required if customer is on a payment plan, otherwise not used.

- LT Long Term Payment Arrangement  
A multi-month payment plan arrangement. The customer will pay a portion of the arrears in a monthly installment amount along with each month's current charges.
- ST Short Term Payment Arrangement  
An extension granted past the current month's late payment charge date. For example, the agreement may require half of the receivable to be paid at the time of the arrangement and the balance prior to the late payment charge date of the following month.

**FILED**

NY 568 Payment Advise ment

**Segment:** **SE** Transaction Set Trailer

**Position:** 020

**Loop:**

**Level:** Summary

**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~15~000000001

**Data Element Summary**

	<b>Ref.</b>	<b>Data</b>		<b>Attributes</b>
	<b>Des.</b>	<b>Element</b>	<b>Name</b>	
Mand	SE01	96	Number of Included Segments	M N0 1/10
Mand	SE02	329	Transaction Set Control Number	M AN 4/9

## EXAMPLES

These examples are presented for illustrative purposes only. Although they are syntactically correct with respect to the published transaction standard for TS568 Payment Advisement, it should be understood that these examples reflect certain assumptions regarding optional and conditional data segments in this standard. Accordingly, these examples are not necessarily indicative of the manner in which a specific Utility or ESCO would map a specific transaction.

### *Scenario 1 – Multiple Payments for Multiple Accounts and Multiple Commodities*

ST*568*00000001!	Transaction Set header; transaction defined is an <b>568</b> ; control number assigned by originator
BGN*00*200302020001*20030202****U9!	Transaction is an <b>Original</b> transaction; Unique id number for this transaction; transaction creation date; transaction is a <b>Payment Advisement</b>
AMT*AT*541.29!	Total Amount
N1*8S*UTILITY NAME*1*006977763!	Utility Name and DUNS number
N1*SJ*ESCO NAME*1*006886291!	ESCO Name and DUNS number
CS****12*3105819800!	Utility customer account number
N9*11*AB91390!	ESCO customer account number
N9*AJ*3134597!	Utility account number for the ESCO
REF*QY*EL!	Service is <b>electric</b>
LX*1!	
N9*PHC*PT**20030201!	<b>Payment</b> Indicator; Date Posted
AMT*KL*25!	Amount
N1*8R*JOHN SMITH!	Customer Name
CS****12*3105819800!	Utility customer account number
N9*11*AB91390!	ESCO customer account number
N9*AJ*3134597!	Utility account number for the ESCO
REF*QY*GAS!	Service is <b>gas</b>
LX*1!	
N9*PHC*PT**20030201!	<b>Payment</b> Indicator; Date Posted
AMT*KL*34.89!	Amount
N1*8R*JOHN SMITH!	Customer Name
CS****12*6575987400!	Utility customer account number
N9*11*AB91489!	ESCO customer account number
N9*AJ*3161821!	Utility account number for the ESCO
REF*QY*EL!	Service is <b>electric</b>
LX*1!	
N9*PHC*PT**20030201!	<b>Payment</b> Indicator; Date Posted
AMT*KL*481.4!	Amount
N1*8R*COMPANY NAME!	Customer Name
SE*30*00000001!	Transaction Set trailer; segment count; control number

**Scenario 2 – Multiple Payments including Payment Reversal**

ST*568*00000001!	Transaction Set header; transaction defined is an <b>568</b> ; control number assigned by originator
BGN*00*200302020001*20030202****U9!	Transaction is an <b>Original</b> transaction; Unique id number for this transaction; transaction creation date; transaction is a <b>Payment Advisement</b>
AMT*AT*-64.57!	Total Amount
N1*8S*UTILITY NAME*1*006977763!	Utility Name and DUNS number
N1*SJ*ESCO NAME*1*006886291!	ESCO Name and DUNS number
CS****12*3105819800!	Utility customer account number
N9*11*AB91390!	ESCO customer account number
N9*AJ*3134597!	Utility account number for the ESCO
REF*QY*EL!	Service is <b>electric</b>
LX*1!	
N9*PHC*PT**20030201!	<b>Payment</b> Indicator; Date Posted
AMT*KL*25!	Amount
N1*8R*JOHN SMITH!	Customer Name
CS****12*3105819800!	Utility customer account number
N9*11*AB91390!	ESCO customer account number
N9*AJ*3134597!	Utility account number for the ESCO
REF*QY*EL!	Service is <b>electric</b>
LX*1!	
N9*PHC*CS*ADJUSTMENT REASON*20030201!	<b>Adjustment</b> Indicator; Adjustment Reason Text; Date Posted
AMT*KL*-89.57!	Amount
N1*8R*JOHN SMITH!	Customer Name
SE*22*00000001!	Transaction Set trailer; segment count; control number

### Scenario 3 – Payment Plan Customer

ST*568*00000001!	Transaction Set header; transaction defined is an <b>568</b> ; control number assigned by originator
BGN*00*200302020001*20030202****U9!	Transaction is an <b>Original</b> transaction; Unique id number for this transaction; transaction creation date; transaction is a <b>Payment Advisement</b>
AMT*AT*100!	Total Amount
N1*8S*UTILITY NAME*1*006977763!	Utility Name and DUNS number
N1*SJ*ESCO NAME*1*006886291!	ESCO Name and DUNS number
CS****12*3105819800!	Utility customer account number
N9*11*AB91390!	ESCO customer account number
N9*AJ*3134597!	Utility account number for the ESCO
REF*QY*EL!	Service is <b>electric</b>
LX*1!	
N9*PHC*PT**20030201!	<b>Payment</b> Indicator; Date Posted
AMT*KL*100!	Amount
N1*8R*JOHN SMITH*BP*LT!	Customer Name; Customer is on a <b>Long Term Payment Plan</b>
SE*14*00000001!	Transaction Set trailer; segment count; control number

### Scenario 4 – Cancel of 568 in Scenario 3

ST*568*00000001!	Transaction Set header; transaction defined is an <b>568</b> ; control number assigned by originator
BGN*00*200302050040*20030205****U9!	Transaction is an <b>Original</b> transaction; Unique id number for this transaction; transaction creation date; transaction is a <b>Payment Advisement</b>
AMT*AT*-100!	Total Amount
N1*8S*UTILITY NAME*1*006977763!	Utility Name and DUNS number
N1*SJ*ESCO NAME*1*006886291!	ESCO Name and DUNS number
CS****12*3105819800!	Utility customer account number
N9*11*AB91390!	ESCO customer account number
N9*AJ*3134597!	Utility account number for the ESCO
REF*QY*EL!	Service is <b>electric</b>
LX*1!	
N9*PHC*CS*CANCEL*20030204!	<b>Adjustment</b> Indicator; Adjustment Reason Text; Date Posted
AMT*KL*-100!	Amount
N1*8R*JOHN SMITH*BP*LT!	Customer Name; Customer is on a <b>Long Term Payment Plan</b>
SE*14*00000001!	Transaction Set trailer; segment count; control number

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

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*Since no utilities currently support this transaction, further development has been suspended as of Version 2.2.*

*This document describes the detailed business processes associated with billing party communication of customer payment information under the Utility Rate Ready Purchase of Receivables (POR) with Recourse Model. The scope of this document addresses processes associated with the disposition of payments received by the billing party on consolidated bills, including allocation of customer payments and notification of customer payments (or payment reversals) via a 568 Payment AdviseMENT to the non-billing party.*

*In developing these business processes, the following documents were reviewed:*

- June 30, 1999 Report of the New York EDI Collaborative
- Case 03-M-0117, In the Matter of the Implementation of Chapter 686 of the Laws of 2002, etc., Order on Petitions for Rehearing and Clarification, issued and effective December 5, 2003.
- Case 98-M-1343, In the Matter of Retail Access Business Practices, Order on Petitions for Rehearing and Clarification, issued and effective July 15, 2004.
- Case 98-M-1343, In the Matter of Retail Access Business Rules, Errata Notice, issued August 2, 2004.
- Case 98-M-1343 and Case 99-M-0631 and Case 03-M-0117, Order on Petitions for Rehearing and Clarification, issued and effective June 22, 2005.
- NY EDI TS810 Invoice for Utility Rate Ready Billing, version 1.1, published February 23, 2004.
- Consolidated Billing Business Processes – Utility Rate Ready, published June 21, 2002.
- Account Assignment Business Processes for All Consolidated Billing Models, published July 31, 2002.
- NY EDI TS824 Application Advice, published November 7, 2002.
- NY EDI TS824 Positive Notification, published November 7, 2002.
- NY EDI TS814 Change (Account Maintenance), published May 17, 2006.
- 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.

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

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NOTES:

- The source of various Process Rules listed in this document is indicated by the following annotations which precede each rule:
  - [UBP] = NY Uniform Business Practices
  - [CWG] = Collaborative Work Group or Case 12-M-0476 EDI Working Groups
  - [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
- 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 the Collaborative believes require elaboration, clarification, interpretation in light of other EDI standards or modification to accommodate EDI data exchange processes will be displayed in the Process Rules section AND/OR will 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.

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

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- For purposes of validating EDI transactions, the customer's utility account number (with check digit, if included) must be included on every transaction.
- A distribution utility and ESCO shall demonstrate the technical capability to exchange information electronically for their billing and payment processing options (UBP B&PP B. 8.).
- In New York State, the 820 Remittance Advice is used as a financial transaction, when a consolidated billing arrangement is in place, to provide details of customer payments and payment reversals remitted to the non-billing party. For the Utility Rate Ready POR with Recourse Model, an 820 Remittance Advice will not be used to communicate customer payment information. For this model, the billing party will remit to the ESCO amounts billed the customer on its behalf irrespective of any payments for those billed amounts received from the customer. Details on receivables purchased from the ESCO will be provided in an 820 Remittance Advice transaction. .
- In the POR with Recourse Model, the 568 Payment Advise is used by the billing party to provide details to the non-billing party of customer payments and payment reversals received by the billing party for non-billing party charges on consolidated bills.
- The 568 Payment Advise must be sent within 2 business days of receipt, allocation of a customer's payment (or payment reversal) and posting by the billing party.
- Each 568 Payment Advise may contain multiple accounts for multiple commodities.
- Where the billing party prepares a consolidated bill consisting of electric and gas charges, adjustments to receivables must be applied to electric and gas charges separately and should be communicated in the 568 accordingly.
- An 824 Application Advice must be sent within 1 business day to reject a 568 Payment Advise transaction.
- In the POR with Recourse Model, details of customer account payments received by the non-billing party will be communicated to the billing party via a method agreed upon between the parties and documented in the Billing Service Agreement (BSA).

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

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- A separate business process document describes how account receivables information originating with the non-billing party is to be communicated via a 568 Account Receivables Advise transaction when the Pay-As-You-Get-Paid model is in effect.
- Information on customer usage, billing, and credit is confidential. A distribution utility or MDSP may release such information, upon a customer's authorization, in accordance with the Uniform Business Practices [UBP CI]. The same level of accountability for data confidentiality will apply to any third party data service providers engaged by an ESCO or Utility. Parties utilizing third party data service providers must ensure that such providers adhere to this confidentiality policy, for example, by incorporating express terms regarding data confidentiality in a Billing Service Agreement and/or Trading Partner Agreement. Delivery service billing data for customers with negotiated delivery contracts may not be disclosed without the utility's consent, except as otherwise required by appropriate regulatory and other legal authorities.
- Although transactions may be sent at any time, they will be processed during normal business days and hours. Business days are Monday through Friday except for national holidays and days for which business cannot be performed due to force majeure events [see UBP definition for 'Business Day' and paragraph B&PP D.1.j.]. Since a billing party is required to send notification of receipt of customers payments within 2 days, if the payment is received/posted on Day 1 during business hours, the billing party must send the 568 Payment Advise by close of business on Day 3.

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

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***PAO PAYMENT INFORMATION IS PROCESSED UNDER THE UTILITY RATE READY POR WITH  
RECOURSE CONSOLIDATED BILLING MODEL (PARENT PROCESS)..... 6***

***PA 1.0 UTILITY PROCESSES 568 PAYMENT ADVISEMENT..... 11***

**FILED**

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

<b>PROCESS NUMBER:</b>	<i>PAO</i>
<b>PROCESS NAME:</b>	<i>PAYMENT INFORMATION IS PROCESSED UNDER THE UTILITY RATE READY POR WITH RECOURSE CONSOLIDATED BILLING MODEL (PARENT PROCESS)</i>
<b>PROCESS DEFINITION:</b>	<p>Process by which customer payments received by the billing party (Utility) are allocated and details of payments and reversed payments are provided to the non-billing party (ESCO) when the bill model is Utility Rate Ready POR with Recourse. In this model the billing party sends payments the non-billing party at predetermined intervals, as documented in a Billing Services Agreement (BSA) between the parties, regardless of whether or when the customer pays the billing party. In this model, the non-billing party reimburses the billing party for any amounts not received from the non-billing party's customers.</p> <p>A 568 Payment Advisement transaction is used to communicate details regarding payments and reversed payments in this model. Payments may be reversed under the following scenarios:</p> <ul style="list-style-type: none"> <li>• Returned check</li> <li>• Misapplied payment</li> <li>• Duplicate payment on individual account</li> </ul> <p>The process described in this document does <u>NOT</u> apply to either the Pay-As-You-Get-Paid or the POR <u>without</u> Recourse models.</p>
<b>TRIGGER(S):</b>	Customer payment is received or reversed payment occurs on account where Utility Rate Ready POR with Recourse Consolidated Billing is in effect.
<b>ESTIMATED / PEAK TRANSACTION RATE:</b>	Dependent on the number of customers enrolled in Utility Rate Ready POR with Recourse Consolidated Billing model.
<b>PROCESS INPUTS:</b>	Utility Billing Information; ESCO Billing Information, Customer Information, Payment Information.

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

<b>PROCESS NUMBER:</b>	<i>PAO</i>
<b>PROCESS NAME:</b>	<i>PAYMENT INFORMATION IS PROCESSED UNDER THE UTILITY RATE READY POR WITH RECOURSE CONSOLIDATED BILLING MODEL (PARENT PROCESS)</i>
<b>PROCESS OUTPUTS:</b>	Communication between the billing party and non-billing party describing payment or payment reversal on non-billing party customer's account.
<b>SUB OR PRECEDING PROCESSES:</b>	<ul style="list-style-type: none"> <li>• Customer is established on consolidated billing model.</li> <li>• Billing party issues consolidated bill.</li> <li>• Billing party transmits payment (purchases the ESCO receivable) in the manner agreed upon by the parties in the BSA.</li> <li>• Billing party receives customer's payment on consolidated bill.</li> <li>• Billing party allocates payment according to payment allocation rules [UBP B&amp;BP J.4.a.].</li> <li>• Where allocation results in an amount that should be remitted to the non-billing party, the billing party credits the customer's account and sends a 568 Payment Advise ment to the non-billing party.</li> </ul> <p style="text-align: center;">Or</p> <ul style="list-style-type: none"> <li>• The billing party determines that a customer's payment should be reversed.</li> <li>• The billing party debits the account and sends a 568 Payment Advise ment to the non-billing party to identify the amount of the customer's payment being reversed.</li> </ul> <p>1.0 Utility Processes 568 Payment Advise ment</p>
<b>PROCESS RULES:</b>	[UBPs B&PP.B.1., B&PP B.3., B&PP D.1., B&PP F.4., B&PP J.1., B&PP J.2.a., B&PP.J.2.c. Footnote 1., B&PP J.4., B&PP J.5., B&PP J.6a. and B&PP J.8.]

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

<b>PROCESS NUMBER:</b>	<i>PAO</i>
<b>PROCESS NAME:</b>	<i>PAYMENT INFORMATION IS PROCESSED UNDER THE UTILITY RATE READY POR WITH RECOURSE CONSOLIDATED BILLING MODEL (PARENT PROCESS)</i>
	<p>[CWG] [Regarding UBP B&amp;PP.J.4.d.] When a payment from the customer is received by either the billing or non-billing party without an account number or enough information for the recipient to identify the payer, the payment will be held and processed when sufficient information is obtained to identify the account.</p> <p>[CWG] [Regarding UBP B&amp;PP.J.4.d.] When a customer contacts the billing or non-billing party to inquire about a payment that may not have been identified, the party that received the unidentifiable payment, which may be either the billing or non-billing party, will investigate the payment.</p> <p>[CWG] [Regarding UBP B&amp;PP.J.4.d.] When a payment from the customer is received by the billing or non-billing party without sufficient information to identify the payer, the payment should be handled as follows in the Utility Consolidated Billing POR with Recourse Model.</p> <ul style="list-style-type: none"> <li>• <u>Billing Party is the Recipient of the Payment</u> When the billing party identifies the payer, the payment will be allocated, and where allocation results in an amount that should be remitted to the non-billing party, the billing party will credit the account and send a 568 Payment Advise ment.</li> <li>• <u>Non-billing Party is the Recipient of the Payment</u> When the non-billing party identifies the payer, the non-billing party will process as determined in the BSA.</li> </ul> <p>[CWG] A customer payment must be posted to the receiver's system(s) on the same date it is received.</p> <p>[CWG] When Utility Rate Ready POR with Recourse is in place, the Utility is responsible for administration of the ESCO account balance including maintenance of the ESCO balance, allocation of payments to the ESCO balance, and notification to the ESCO of payments and payment reversals received by the billing party for non-billing party charges on consolidated bills.</p> <p>[CWG] In the Utility Rate Ready POR with Recourse model, a 568 Payment Advise ment is used by the billing party to provide details to the non-billing party of payments and payment reversals received by the billing party for non-billing party charges on consolidated bills.</p>

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

<b>PROCESS NUMBER:</b>	<i><b>PAO</b></i>
<b>PROCESS NAME:</b>	<i><b>PAYMENT INFORMATION IS PROCESSED UNDER THE UTILITY RATE READY POR WITH RECOURSE CONSOLIDATED BILLING MODEL (PARENT PROCESS)</b></i>
	<p>[CWG] The 568 Payment Advise ment will contain customer payments (or reversed payments) detailed by individual customer account as well as the total amount of all payments/reversals contained in the transaction.</p> <p>[CWG] The 568 Payment Advise ment must be sent within 2 business days of receipt, allocation of a customer's payment (or payment reversal) and posting by the billing party.</p> <p>[CWG] Each 568 Payment Advise ment may contain multiple accounts for multiple commodities.</p> <p>[CWG] Where the billing party has prepared a consolidated bill consisting of electric and gas charges, payments or payment reversals must be applied to electric and gas charges separately and will be communicated via the 568 accordingly.</p> <p>[CWG] In the POR with Recourse model, details of customer account payments received by the non-billing party will be communicated to the billing party via a method agreed upon between the parties and documented in the BSA.</p> <p>[CWG] When the non-billing party rejects an account entry in a 568 Payment Advise ment transaction, it is the responsibility of the billing party to initiate a process to recover the funds from the receivables purchased.</p> <p>[CWG] In the Purchased Receivables with Recourse model, Utility purchase of ESCO receivables is unaffected by customer payments or payment reversals because amounts remitted to the ESCO are based on amounts billed on an account regardless of a customer's actual payment history. Where customer's checks are returned unpaid, the Utility would communicate the payment reversal in a 568 Payment Advise ment transaction. Should the amount of the returned item remain unpaid for a period defined in the BSA, the Utility would take action for recourse at that time and by the method agreed to in the BSA.</p> <p>[CWG] For customers enrolled in budget bill plans the amount of the receivable purchased from the ESCO will be based on the customer's actual charges and not the budget installment amount. Therefore, a 568 Payment Advise ment transaction may not be sent to the non-billing party when the customer pays installments in accordance with a budget plan. The non-billing party is notified of a customer's budget bill</p>

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

<b>PROCESS NUMBER:</b>	<i>PAO</i>
<b>PROCESS NAME:</b>	<i>PAYMENT INFORMATION IS PROCESSED UNDER THE UTILITY RATE READY POR WITH RECOURSE CONSOLIDATED BILLING MODEL (PARENT PROCESS)</i>
	status via an 814 Change transaction (REF*NR segment); when a customer defaults on a budget plan or chooses to no longer participate in budget billing the Utility will resume transmitting 568 Payment Advise ment transactions. The procedures for handling payments and payment reversals when customers are on budget billing plans must be mutually agreeable to the parties and documented in the BSA.
<b>COMMENTS:</b>	[CWG] [Regarding UBP B&PP.J.2.] This section establishes the timing and content of the notification to the non-billing party regarding billing party receipt of customer payments. The August 2, 2004 Errata Notice at page 49 [J.1.], however, makes it clear that the ESCO and distribution utility may establish payment procedures applicable to the Purchased Receivables payment processing method in a BSA that are different than the practices described in §B&PP.J.2. For the Purchased Accounts Receivable with Recourse Model, the information related to payment activity on an account to be provided in a 568 Payment Advise ment transaction will include: payment amounts allocated to electric or gas charges for the ESCO account, the date payments (or reversals) were posted, and a customer's payment agreement status (short term payment plan or long term payment plan), where applicable.

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

<b>PROCESS NUMBER:</b>	<i>PA 1.0</i>
<b>PROCESS NAME:</b>	<i>UTILITY PROCESSES 568 PAYMENT ADVISEMENT</i>
<b>PROCESS DEFINITION:</b>	Process by which the Utility provides detail to the ESCO of customer payments or payment reversals received on the ESCO account.
<b>TRIGGER(S):</b>	See parent.
<b>ESTIMATED / PEAK TRANSACTION RATE:</b>	Dependent on the number of customers enrolled in Utility Rate Ready POR with Recourse Consolidated Billing.
<b>PROCESS INPUTS:</b>	Utility Information; ESCO Information, Customer Information; Payment Information.
<b>PROCESS OUTPUTS:</b>	<p><b>Positive Response:</b> Not Applicable</p> <p><b>Negative Responses:</b> A 568 Payment Advise transaction may be rejected, via an 824 Application Advice transaction for the following reasons:</p> <ul style="list-style-type: none"> <li>• Account Number Not Valid (A76)</li> <li>• Account Does Not Have Service Requested (A91)</li> <li>• Billing Option Discrepancy (A13)</li> <li>• Duplicate Received (ABN)</li> <li>• Other (A13)</li> </ul>
<b>SUB OR PRECEDING PROCESSES:</b>	See Parent

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

<b>PROCESS NUMBER:</b>	<i>PA 1.0</i>
<b>PROCESS NAME:</b>	<i>UTILITY PROCESSES 568 PAYMENT ADVISEMENT</i>
<b>PROCESS RULES:</b>	<p>See Parent for General Rules</p> <p>[CWG] A 568 Payment Advise transaction is only used to communicate a payment reversal when payment information was previously sent by the Utility.</p> <p>[CWG] When a 568 Payment Advise is rejected, an 824 Application Advice must be sent within 1 business day.</p>
<b>COMMENTS:</b>	

# New York Implementation Standard

For

## Standard Electronic Transactions

TRANSACTION SET

# 568 Payment Advisement

Ver/Rel 004010

	<b>Summary of Changes</b>
<b>February 21, 2003</b>	<b>Initial Release</b>
<b>July 24, 2015</b>	<b>Version 1.1</b>
	<ul style="list-style-type: none"> <li>• Replaced references to Marketer and E/M with ESCO</li> <li>• Updated references to the Purchase of Receivable (POR) model.</li> </ul>
<b><u>June 30, 2016</u></b>	<b><u>Version 1.2</u></b>
	<ul style="list-style-type: none"> <li>• <u>Statement added noting suspension of development.</u></li> </ul>

FILLED

	<b>Notes pertaining to the use of this document</b>
Purpose	<ul style="list-style-type: none"> <li>• The 568 Payment Advise ment transaction is used by a Utility to communicate customer payment information to an ESCO when a customer receives a Utility Rate Ready consolidated bill and the payment processing method is Purchase of Receivables (POR) with Recourse.</li> <li>• The scope of this document addresses processes associated with Utility disposition of payments made on consolidated bills including payment allocation (between the billing and non-billing parties) and notification of customer payments (or payment reversals to the ESCO via an 568 Payment Advise ment).</li> <li>• These standards are based on the ASC X12 Ver/Rel 004010 standard and related UIG guidelines.</li> </ul>
BGN Segment	<ul style="list-style-type: none"> <li>• Codes sent in the BGN07 element in the BGN segment are sent to distinguish between a 568 Payment Advise ment transaction (code U9) and a 568 Account Receivables Advise ment transaction (code BT).</li> </ul>
Looping Structure	<ul style="list-style-type: none"> <li>• The detail section of this transaction contains segments/elements that identify the customer and the commodity and provide the payment/payment reversal information. The CS loop contains a REF loop, a LX loop and an N1 loop.</li> <li>• Each CS loop may contain only one LX loop. When data is being sent for more than one account, or multiple payments or payment reversals are being reported for the same account, a separate CS loop must be sent for each payment or payment reversal being reported.</li> </ul>
Multiple accounts/commodities per 568	<ul style="list-style-type: none"> <li>• Each 568 Payment Advise ment may contain multiple accounts for multiple commodities.</li> <li>• Where the billing party has prepared a consolidated bill consisting of electric and gas charges, payments or payment reversals must be applied to electric and gas charges separately and will be communicated via the 568 accordingly.</li> </ul>
Validation	<ul style="list-style-type: none"> <li>• Transactions will be validated based on the customer’s utility account number (with check digit, if included). In this standard the customer’s utility account number is sent in the CS segment in the detail section of the transaction.</li> </ul>
Max Use of three N9 Segments	<ul style="list-style-type: none"> <li>• This Implementation Guide provides for four (4) different types of N9 segments within a CS Loop:               <ul style="list-style-type: none"> <li>➢ ESCO Customer Account Number</li> <li>➢ Previous Utility Customer Account Number</li> <li>➢ Gas Pool ID, or</li> <li>➢ Utility Account Number for the ESCO.</li> </ul> </li> <li>• ANSI X12 standards permit no more than three N9 segments to be present at this level. Accordingly, the Utility (the sender) must select no more than three N9 segments to be transmitted in a transaction.</li> </ul>
Canceling a 568	<ul style="list-style-type: none"> <li>• In the event that a 568 was sent in error, or was inaccurate, a new 568 must be sent to correct the information.</li> </ul>
<u>Suspension of Development</u>	<ul style="list-style-type: none"> <li>• <u>Since no utilities currently support this transaction, further development was suspended as of Version 1.2.</u></li> </ul>

NY 568 Payment Advise ment

<p>Rejection</p>	<ul style="list-style-type: none"> <li>• A 568 Payment Advise ment transaction may be rejected for cause (i.e., validation or syntax errors or data segments/elements are missing or invalid).</li> <li>• An 824 Application Advice transaction is used to reject a 568 transaction. Please refer to instructions in the Implementation Guide for that standard for further details.</li> <li>• The recipient should not use information sent in a 568 Payment Advise ment transaction to update its customer account records. Changes in customer information must be reported via an 814 Account Maintenance (Change) transaction.</li> </ul>
<p>Data Element Attributes</p>	<ul style="list-style-type: none"> <li>• Data elements whose X12 attribute type is ‘R’ (for example the AMT02 element) are treated as real numbers. Real numbers are assumed to be positive numbers and a minus (-) sign must precede the amount when a negative number is being sent. Real numbers do NOT provide for an implied decimal position; therefore a decimal point must be sent when decimal precision is required. Note that in transmitting real numbers it is acceptable, but not necessary, to transmit digits that have no significance i.e. leading or trailing zeros:             <ul style="list-style-type: none"> <li>➤ a value of one hundred dollars and twenty cents (\$100.20) could be transmitted as 100.2 in an AMT02 element.  <div style="border: 1px solid black; padding: 2px; display: inline-block;">AMT~AT~100.2</div> </li> <li>➤ a value of one cent (\$0.01) could be transmitted as .01 in an AMT02 element.  <div style="border: 1px solid black; padding: 2px; display: inline-block;">AMT~AT~.01</div> </li> <li>➤ a value of one hundred dollars and zero cents (\$100.00) could be transmitted as 100 in an AMT02 element.  <div style="border: 1px solid black; padding: 2px; display: inline-block;">AMT~AT~100</div> </li> <li>➤ a value of minus one hundred dollars and zero cents (-\$100.00) could be transmitted as -100.00 in an AMT02 element.  <div style="border: 1px solid black; padding: 2px; display: inline-block;">AMT~AT~-100.00</div> </li> <li>➤ a value of minus one hundred dollars and twenty cents (-\$100.20) could be transmitted as -100.2 in an AMT02 element.  <div style="border: 1px solid black; padding: 2px; display: inline-block;">AMT~AT~-100.2</div> </li> </ul> </li> </ul>

<p>Payment Plans</p>	<ul style="list-style-type: none"> <li>• Conditional elements in the N1*8R segment (Customer Name) may be sent to communicate information about customers’ Payment Plans. The 03 element is used to report that the customer is on a payment plan with the Utility. The 04 element is used to identify the type of Payment Plan: <ul style="list-style-type: none"> <li>➢ <u>Long Term Agreement</u> A multi-month payment plan arrangement in which the customer will pay a portion of the arrears in a monthly installment amount along with each month's current charges.</li> <li>➢ <u>Short Term Agreement</u> An extension granted past the current month's late payment charge date. For example, the payment agreement may require half of the receivable to be paid at the time of the arrangement and the balance prior to the late payment charge date of the following month.</li> </ul> </li> <li>• The 568 Payment Advise ment is not used to communicate information about the status of customers’ budget plans. Budget Plan status is communicated in either an 814 Enrollment Response or an 814 Account Maintenance (Change) transaction.</li> </ul>
<p>Definitions</p>	<ul style="list-style-type: none"> <li>• The term Utility or LDC (Local Distribution Company) is used in this document to refer to the local gas or electric distribution company, i.e. the entity providing regulated bundled service. The term ESCO is used in this document to refer to either a gas or electric commodity supplier. The principal parties involved in this 568 Transaction Set Implementation Guide are: <ul style="list-style-type: none"> <li>➢ The end-use customer (Code 8R)</li> <li>➢ The Utility (LDC) (Code 8S)</li> <li>➢ The Supplier (ESCO or ESCO) (Code SJ).</li> </ul> </li> </ul>
<p>Companion Documents</p>	<ul style="list-style-type: none"> <li>• All of the applicable business rules for New York are not necessarily documented in this implementation guide. Accordingly, the following documents should be reviewed where further clarification is needed: <ul style="list-style-type: none"> <li>➢ <i>Consolidated Billing Business Processes - Utility Rate Ready</i></li> <li>➢ <i>Payment Advise ment Business Processes – Utility Rate Ready POR with Recourse Consolidated Billing Model</i></li> <li>➢ <i>Account Assignment Business Processes For All Consolidated Billing Models</i></li> <li>➢ <i>TS824 Application Advice Transaction Set Standard Implementation Guide</i></li> <li>➢ <i>TS568 Account Receivables Advise ment Transaction Set Standard Implementation Guide</i></li> <li>➢ <i>Account Receivables Advise ment Business Processes – Utility Rate Ready Consolidated Billing</i></li> </ul> </li> <li>• Further information regarding the processing of EDI transactions may be found in the <i>Technical Operating Profile for Electronic Data Interchange in New York</i>.</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:**

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 grayboxes below should also be reviewed for additional NY Rules.

**Notes:** Required  
 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>X12 Attributes</u>
Mand.	REF01	128	Reference Identification Qualifier 12 Billing Account REF02 contains the Utility-assigned account number for the customer.	M ID 2/3
Must Use	REF02	127	Reference Identification Utility assigned customer account number The utility account number must be supplied without intervening non-alphanumeric characters. (Characters added to aid in visibility 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

# 568 Payment Advise ment

Functional Group ID=**D5**

## Introduction:

This Draft Standard for Trial Use contains the format and establishes the data contents of the Contract Payment Management Report Transaction Set (568) for use within the context of an Electronic Data Interchange (EDI) environment. This transaction set can be used to enable the transmission of a management report to provide the details of payments and collections made against funds obligated on contracts, orders, and other services.

## Notes:

The 568 Payment Advise ment Standard prescribes the content and format for a Payment Advise ment transaction that is used by a Utility to communicate customers' payment information to the ESCO when the customer receives a Utility Rate Ready consolidated bill and the payment method is POR with Recourse.

The scope of this document addresses processes associated with the disposition of customer's payments for consolidated bills including payment allocation (between the billing and non-billing parties) and notification of payments (or payment reversals) to the ESCO via a 568 Payment Advise ment transaction.

## 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		n1
5	030	AMT	Monetary Amount	M	1		n2
						1	
6	040	N1	Name (Utility)	O	1		n3
						1	
7	040	N1	Name (ESCO)	O	1		n3

## Detail:

Page No.	Pos. No.	Seg. ID	Name	Req. Des.	Max.Use	Loop Repeat	Notes and Comments
						>1	
8	010	CS	Contract Summary (Utility Account Number)	O	1		n4
10	020	N9	Reference Identification (ESCO Customer Account Number)	O	1		
11	020	N9	Reference Identification (Previous Utility Customer Account Number)	O	1		
12	020	N9	Reference Identification (Gas Pool ID)	O	1		
13	020	N9	Reference Identification (Utility Account Number for the ESCO)	O	1		
						1	
14	060	REF	Reference Identification (Commodity Type)	O	1		
						1	

NY 568 Payment Advise

15	080	LX	Assigned Number	O	1	
16	090	N9	Reference Identification (Payment Indicator or Payment Reversal Reason and Posting Date)	M	1	
17	100	AMT	Monetary Amount (Payment or Payment Reversal Amount)	O	1	n5
					1	
18	140	N1	Name (Customer Name)	O	1	n3

Summary:

Page No.	Pos. No.	Seg. ID	Name	Req. Des.	Max.Use	Loop Repeat	Notes and Comments
20	020	SE	Transaction Set Trailer	M	1		
E-1			Examples				

Transaction Set Notes

1. The BGN segment identifies the transaction set purpose code, a unique number used to identify this transmission, and the date and time of transaction set creation.
2. This AMT segment identifies the total collected amount being reported in this transaction.
3. The N1 loops identify the transmitting and receiving parties and the end use customer.
4. The CS segment identifies the utility assigned account number for the customer for whom a payment (or payment reversal) is being reported.
5. This AMT segment identifies amounts collected (or reversed) for the account being reported.

**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~568~000000001

**Data Element Summary**

	<u>Ref.</u>	<u>Data</u>	<u>Attributes</u>
	<u>Des.</u>	<u>Element Name</u>	
Mand	ST01	143 Transaction Set Identifier Code 568 Contract Payment Management Report	M ID 3/3
Mand	ST02	329 Transaction Set Control Number	M AN 4/9

Identifying control number assigned by the originator of a transaction set. This identifier must be unique for each transaction set within a functional group.

**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~00~200301310001~20030131~~~~U9

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	BGN01	353	Transaction Set Purpose Code 00 Original	M ID 2/2
Mand	BGN02	127	Reference Identification A unique transaction reference number assigned by the originator of this transaction.	M AN 1/30
Mand	BGN03	373	Date The date the transaction was created by the sender's applications system in the form CCYYMMDD.	M DT 8/8
Must Use	BGN07	640	Transaction Type Code U9 Contract Payment Notice Payment Advise ment	O ID 2/2

**Segment:** **AMT** Monetary Amount  
**Position:** 030  
**Loop:**  
**Level:** Heading  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To indicate the total monetary amount

**Syntax Notes:**

**Semantic Notes:**

**Comments:**

**Notes:**

Required  
 AMT~AT~1500.00  
 AMT~AT~1500

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	AMT01	522	Amount Qualifier Code AT Total Received Total Monetary Amount of customers' payments (or reversals) that have been allocated to the non-billing party and reported in this transaction set.	M ID 1/3
Mand	AMT02	782	Monetary Amount Total Amount The amount sent in this AMT02 element is the sum of all AMT02 elements sent in LX loops at the detail level in this transaction. This element is a real number. Real numbers are assumed to be positive numbers and a minus (-) sign must precede the amount when a negative number is being sent. Real numbers do NOT provide for an implied decimal position; a decimal point must be sent when decimal precision is required. When transmitting a real number it is not necessary, but is acceptable, to transmit insignificant digits such as leading and/or trailing zeros.	M R 1/18

**Segment:** **N1 Name (Utility)**  
**Position:** 040  
**Loop:** N1 Optional (Must Use)  
**Level:** Heading  
**Usage:** Optional (Must Use)  
**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 NAME~1~012345678

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	N101	98	Entity Identifier Code 8S Consumer Service Provider (CSP) Identifies the Utility participating in this transaction.	M ID 2/3
Optiona 1	N102	93	Name Free Form Utility Company Name Supplemental text information that may be supplied to provide "eyeball" identification of the Utility. 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	N103	66	Identification Code Qualifier 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	X ID 1/2
Must Use	N104	67	Identification Code The D-U-N-S number or the Federal Tax ID	X AN 2/80

**Segment:** N1 Name (ESCO)  
**Position:** 040  
**Loop:** N1 Optional (Must Use)  
**Level:** Heading  
**Usage:** Optional (Must Use)  
**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~~24~123456789

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	N101	98	Entity Identifier Code SJ Service Provider Identifies the ESCO participating in this transaction.	M ID 2/3
Optiona l	N102	93	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.	X AN 1/60
Must Use	N103	66	Identification Code Qualifier 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	X ID 1/2
Must Use	N104	67	Identification Code The D-U-N-S number or the Federal Tax ID	X AN 2/80

- Segment:** **CS Contract Summary (Utility Account Number)**
- Position:** 010
- Loop:** CS Optional (Must Use)
- Level:** Detail
- Usage:** Optional (Must Use)
- Max Use:** 1
- Purpose:** To provide information about a contract
- Syntax Notes:** 1 If either CS04 or CS05 is present, then the other is required.
- Semantic Notes:**
  - 1 CS09 is the permissible overage as a percentage of the total contract line item number (CLIN) quantity.
  - 2 CS10 is the permissible shortage as a percentage of the total contract line item number (CLIN) quantity.
  - 3 CS11 is the permissible overage dollar value specified by the contract above which discrepancy action is taken.
  - 4 CS14 is the Unit of Measure stipulated in the contract.
  - 5 CS15 is the contract line item number (CLIN) unit price specified in the contract.
  - 6 CS17 conveys the Critical Application Indicator. A "Y" indicates that a Critical Application Indicator is specified in the contract; an "N" indicates that no Critical Application Indicator is specified in the contract.
  - 7 CS18 conveys the Special Requirements Indicator. A "Y" indicates that a Special Requirements Indicator (requiring special testing and or evaluation) is specified in the contract; an "N" indicates that no Special Requirements Indicator is specified in the contract.
- Comments:**
  - 1 CS04 may be used to identify the Contract Line Item Number (CLIN) or Extended (or Exhibit) Line Item Number (ELIN).
  - 2 CS07 and CS13 can be used to indicate two different types of special services required.

**Notes:** Required

Each CS loop may contain only one LX loop. When the transaction will contain data for more than one account or will contain more than one payment (or payment reversal) for an account, each payment (or payment reversal) must be sent in separate CS loops.

In this transaction a CS segment is used to transmit the Utility assigned account number for the customer. This number is used for validation and must be present in all transactions.

CS~~~~12~12345678988

**Data Element Summary**

<b>Must Use</b>	<b>Ref. Des.</b>	<b>Data Element Name</b>	<b>Attributes</b>
	<b>CS04</b>	<b>128 Reference Identification Qualifier</b>	<b>X ID 2/3</b>
		12 Billing Account	
		CS05 contains the Utility-assigned account number for the customer.	

Utility assigned customer account number

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)

**REMOVED**

**Segment:** **N9 Reference Identification (ESCO Customer Account Number)**

**Position:** 020

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

**Level:** Detail

**Usage:** Optional

**Max Use:** 1

**Purpose:** To transmit identifying information as specified by the Reference Identification Qualifier

- Syntax Notes:**
- 1 At least one of N902 or N903 is required.
  - 2 If N906 is present, then N905 is required.
  - 3 If either C04003 or C04004 is present, then the other is required.
  - 4 If either C04005 or C04006 is present, then the other is required.

- Semantic Notes:**
- 1 N906 reflects the time zone which the time reflects.
  - 2 N907 contains data relating to the value cited in N902.

**Comments:**

**Notes:** Optional

This N9 segment is the first of four (4) N9 segments provided for in this Implementation Guideline. ANSI X12 standards permit only 3 N9 segments to be present in each CS loop. The sender must select no more than 3 N9 segments to be sent for each CS loop.

N9~11~333444555666

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	N901	128	Reference Identification Qualifier 11 Account Number N902 is the ESCO Assigned account number for the customer.	M ID 2/3
Must Use	N902	127	Reference Identification ESCO's assigned account number for the customer.	X AN 1/30

**Segment:** **N9 Reference Identification (Previous Utility Customer Account Number)**  
**Position:** 020  
**Loop:** CS Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To transmit identifying information as specified by the Reference Identification Qualifier

- Syntax Notes:**
- 1 At least one of N902 or N903 is required.
  - 2 If N906 is present, then N905 is required.
  - 3 If either C04003 or C04004 is present, then the other is required.
  - 4 If either C04005 or C04006 is present, then the other is required.

- Semantic Notes:**
- 1 N906 reflects the time zone which the time reflects.
  - 2 N907 contains data relating to the value cited in N902.

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

Conditional

Required when the utility assigned account number for the customer has changed in the last 90 days. Otherwise, not used.

NOTE: No more than 3 N9 segments may be present in each CS loop.

N9~45~9194132485705971

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	N901	128	Reference Identification Qualifier 45 Old Account Number REF02 is the Utility's previous account number for the customer.	M ID 2/3
Must Use	N902	127	Reference Identification Previous utility assigned customer account number. Current utility assigned account number must be sent in the CS segment.	X AN 1/30

**Segment:** **N9 Reference Identification (Gas Pool ID)**  
**Position:** 020  
**Loop:** CS Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To transmit identifying information as specified by the Reference Identification Qualifier

- Syntax Notes:**
- 1 At least one of N902 or N903 is required.
  - 2 If N906 is present, then N905 is required.
  - 3 If either C04003 or C04004 is present, then the other is required.
  - 4 If either C04005 or C04006 is present, then the other is required.

- Semantic Notes:**
- 1 N906 reflects the time zone which the time reflects.
  - 2 N907 contains data relating to the value cited in N902.

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

NOTE: No more than 3 N9 segments may be present in each CS loop.

N9~VI~123456789

**Data Element Summary**

	<b>Ref. Des.</b>	<b>Data Element</b>	<b>Name</b>	<b>Attributes</b>
<b>Mand</b>	<b>N901</b>	<b>128</b>	<b>Reference Identification Qualifier</b> VI Pool Number	<b>M ID 2/3</b>
			Gas Pool ID's are assigned to a gas marketer by the Utility and are used to define a unique sub-grouping of customers.	
<b>Must Use</b>	<b>N902</b>	<b>127</b>	<b>Reference Identification</b> Gas Pool ID	<b>X AN 1/30</b>

**Segment:** **N9 Reference Identification (Utility Account Number for the ESCO)**

**Position:** 020

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

**Level:** Detail

**Usage:** Optional

**Max Use:** 1

**Purpose:** To transmit identifying information as specified by the Reference Identification Qualifier

- Syntax Notes:**
- 1 At least one of N902 or N903 is required.
  - 2 If N906 is present, then N905 is required.
  - 3 If either C04003 or C04004 is present, then the other is required.
  - 4 If either C04005 or C04006 is present, then the other is required.

- Semantic Notes:**
- 1 N906 reflects the time zone which the time reflects.
  - 2 N907 contains data relating to the value cited in N902.

**Comments:**

**Notes:** Optional

NOTE: No more than 3 N9 segments may be present in each CS loop.

N9~AJ~3134597

### Data Element Summary

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	N901	128	Reference Identification Qualifier AJ Accounts Receivable Customer Account N902 contains the Utility-assigned account number for the ESCO.	M ID 2/3
Must Use	N902	127	Reference Identification Utility assigned account number for the ESCO	X AN 1/30

**Segment:** **REF** Reference Identification (Commodity Type)  
**Position:** 060  
**Loop:** REF Optional (Must Use)  
**Level:** Detail  
**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

REF~QY~EL  
 REF~QY~GAS

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	REF01	128	Reference Identification Qualifier QY Service Performed Code	M ID 2/3
Must Use	REF02	127	Reference Identification EL Electric GAS Gas	X AN 1/30

**Segment:** **LX** Assigned Number  
**Position:** 080  
**Loop:** LX Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional (Must Use)  
**Max Use:** 1  
**Purpose:** To reference a line number in a transaction set

**Syntax Notes:**

**Semantic Notes:**

**Comments:**

**Notes:**

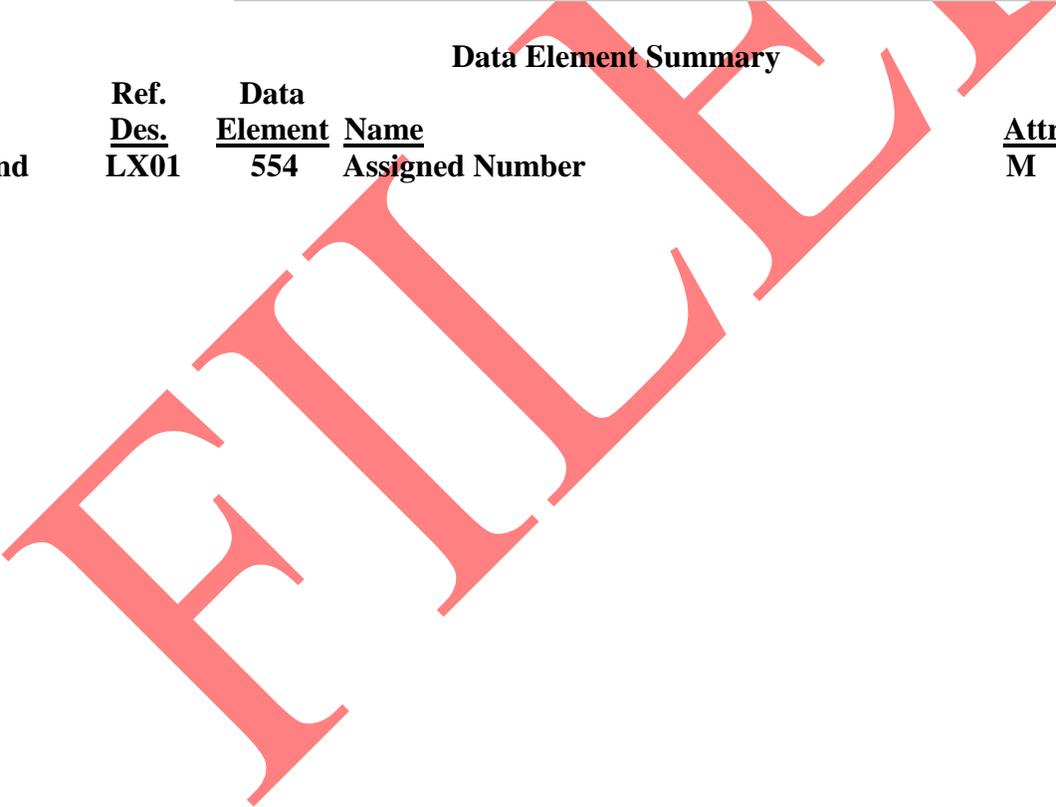
Required

No more than one LX loop may be sent in each CS loop. When there are multiple payments (or payment reversals) being reported in a transaction, each payment (or reversal) must be sent in a separate CS loop. The 'assigned number' sent in this segment will always be "1".

LX~1

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	LX01	554	Assigned Number	M N0 1/6



**Segment:** **N9 Reference Identification (Payment Indicator or Payment Reversal Reason and Posting Date)**

**Position:** 090

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

**Level:** Detail

**Usage:** Mandatory

**Max Use:** 1

**Purpose:** To transmit identifying information as specified by the Reference Identification Qualifier

- Syntax Notes:**
- 1 At least one of N902 or N903 is required.
  - 2 If N906 is present, then N905 is required.
  - 3 If either C04003 or C04004 is present, then the other is required.
  - 4 If either C04005 or C04006 is present, then the other is required.

- Semantic Notes:**
- 1 N906 reflects the time zone which the time reflects.
  - 2 N907 contains data relating to the value cited in N902.

**Comments:**

**Notes:**

Required

N9~PHC~PT~~20030201 (Payment)

N9~PHC~72~INSUFFICIENT FUNDS~~20030201 (Payment Reversal)

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	N901	128	Reference Identification Qualifier PHC	M ID 2/3 Process Handling Code Payment Indicator or Payment Reversal Reason
Must Use	N902	127	Reference Identification 72 74 86 CS PT RA	X AN 1/30 Returned Items Returned checks Cancel or Adjust Prior Credit/Debit Adjustment Duplicate Payment Adjustment Payment Retroactive Adjustment Mis-applied Payments
Optional	N903	369	Free-form Description Adjustment Reason Text	X AN 1/45
Must Use	N904	373	Date	O DT 8/8 Date the payment or payment reversal was posted by the billing party.

**Segment:** **AMT** Monetary Amount (Payment or Payment Reversal Amount)  
**Position:** 100  
**Loop:** LX Optional (Must Use)  
**Level:** Detail  
**Usage:** Optional (Must Use)  
**Max Use:** 1  
**Purpose:** To indicate the total monetary amount

**Syntax Notes:**

**Semantic Notes:**

**Comments:**

**Notes:**

Required  
 AMT~KL~25.00 (Payments are positive numbers)  
 AMT~KL~-130.55 (Payment reversals are negative numbers)

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
Mand	AMT01	522	Amount Qualifier Code KL Collected Amount Payment or Payment Reversals	M ID 1/3
Mand	AMT02	782	Monetary Amount Payment or Payment Reversal Amount	M R 1/18

The AMT02 element sent in the header must contain the sum of all AMT02 elements sent in the CS loops in the detail section of the transaction.

This element is a real number. Real numbers are assumed to be positive numbers and a minus (-) sign must precede the amount when a negative number is being sent. Real numbers do NOT provide for an implied decimal position; a decimal point must be sent when decimal precision is required. When transmitting a real number it is not necessary, but is acceptable, to transmit insignificant digits such as leading and/or trailing zeros.

**Segment:** **N1** Name (Customer Name)  
**Position:** 140  
**Loop:** N1 Optional  
**Level:** Detail  
**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:**

Optional  
 This segment may be used to send the customer name (use N101 and N102) and/or to indicate when a customer is on a payment plan (use N101 through N104).  
 N1~8R~CUSTOMER NAME  
 N1~8R~NAME~BP~LT

**Data Element Summary**

	<u>Ref. Des.</u>	<u>Data Element</u>	<u>Name</u>	<u>Attributes</u>
<b>Mand</b>	<b>N101</b>	<b>98</b>	<b>Entity Identifier Code</b> 8R Consumer Service Provider (CSP) Customer Identifies the end use customer targeted by this transaction.	<b>M ID 2/3</b>
<b>Must Use</b>	<b>N102</b>	<b>93</b>	<b>Name</b> The customer name may be provided by mutual agreement of the trading partners to provide "eyeball" identification of the customer involved in the transaction. This element may contain the actual customer name or the literal 'NAME'.	<b>X AN 1/60</b>
<b>Cond.</b>	<b>N103</b>	<b>66</b>	<b>Identification Code Qualifier</b> BP Benefit Plan If present, indicates that the customer is on a payment plan. The type of payment plan (Long Term vs. Short Term) will be provided in N104.	<b>X ID 1/2</b>

Cond. N104 67 Identification Code X AN 2/80

Required if customer is on a payment plan, otherwise not used.

LT Long Term Payment Arrangement
A multi-month payment plan arrangement.
The customer will pay a portion of the arrears in a monthly installment amount along with each month's current charges.

ST Short Term Payment Arrangement
An extension granted past the current month's late payment charge date. For example, the agreement may require half of the receivable to be paid at the time of the arrangement and the balance prior to the late payment charge date of the following month.

RECEIVED

**Segment:** SE Transaction Set Trailer

**Position:** 020

**Loop:**

**Level:** Summary

**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:**

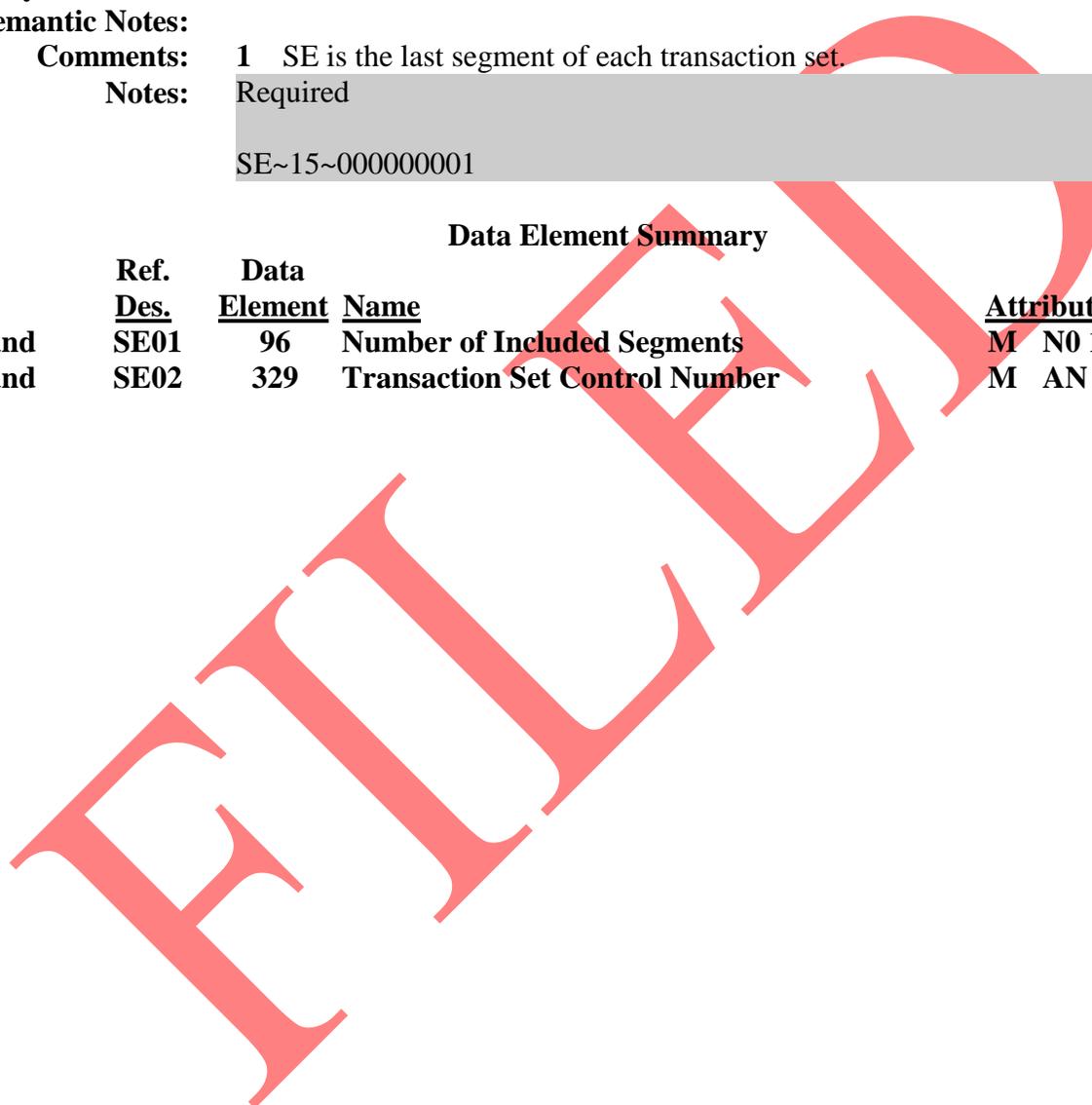
**Comments:** 1 SE is the last segment of each transaction set.

**Notes:** Required

SE~15~000000001

**Data Element Summary**

	<u>Ref.</u>	<u>Data</u>		<u>Attributes</u>
	<u>Des.</u>	<u>Element</u>	<u>Name</u>	
Mand	SE01	96	Number of Included Segments	M N0 1/10
Mand	SE02	329	Transaction Set Control Number	M AN 4/9



## EXAMPLES

These examples are presented for illustrative purposes only. Although they are syntactically correct with respect to the published transaction standard for TS568 Payment Advisement, it should be understood that these examples reflect certain assumptions regarding optional and conditional data segments in this standard. Accordingly, these examples are not necessarily indicative of the manner in which a specific Utility or ESCO would map a specific transaction.

### *Scenario 1 – Multiple Payments for Multiple Accounts and Multiple Commodities*

ST*568*00000001!	Transaction Set header; transaction defined is an <b>568</b> ; control number assigned by originator
BGN*00*200302020001*20030202****U9!	Transaction is an <b>Original</b> transaction; Unique id number for this transaction; transaction creation date; transaction is a <b>Payment Advisement</b>
AMT*AT*541.29!	Total Amount
N1*8S*UTILITY NAME*1*006977763!	Utility Name and DUNS number
N1*SJ*ESCO NAME*1*006886291!	ESCO Name and DUNS number
CS****12*3105819800!	Utility customer account number
N9*11*AB91390!	ESCO customer account number
N9*AJ*3134597!	Utility account number for the ESCO
REF*QY*EL!	Service is <b>electric</b>
LX*1!	
N9*PHC*PT**20030201!	<b>Payment</b> Indicator; Date Posted
AMT*KL*25!	Amount
N1*8R*JOHN SMITH!	Customer Name
CS****12*3105819800!	Utility customer account number
N9*11*AB91390!	ESCO customer account number
N9*AJ*3134597!	Utility account number for the ESCO
REF*QY*GAS!	Service is <b>gas</b>
LX*1!	
N9*PHC*PT**20030201!	<b>Payment</b> Indicator; Date Posted
AMT*KL*34.89!	Amount
N1*8R*JOHN SMITH!	Customer Name
CS****12*6575987400!	Utility customer account number
N9*11*AB91489!	ESCO customer account number
N9*AJ*3161821!	Utility account number for the ESCO
REF*QY*EL!	Service is <b>electric</b>
LX*1!	
N9*PHC*PT**20030201!	<b>Payment</b> Indicator; Date Posted
AMT*KL*481.4!	Amount
N1*8R*COMPANY NAME!	Customer Name
SE*30*00000001!	Transaction Set trailer; segment count; control number

**Scenario 2 – Multiple Payments including Payment Reversal**

ST*568*00000001!	Transaction Set header; transaction defined is an <b>568</b> ; control number assigned by originator
BGN*00*200302020001*20030202****U9!	Transaction is an <b>Original</b> transaction; Unique id number for this transaction; transaction creation date; transaction is a <b>Payment Advisement</b>
AMT*AT*-64.57!	Total Amount
N1*8S*UTILITY NAME*1*006977763!	Utility Name and DUNS number
N1*SJ*ESCO NAME*1*006886291!	ESCO Name and DUNS number
CS****12*3105819800!	Utility customer account number
N9*11*AB91390!	ESCO customer account number
N9*AJ*3134597!	Utility account number for the ESCO
REF*QY*EL!	Service is <b>electric</b>
LX*1!	
N9*PHC*PT**20030201!	<b>Payment</b> Indicator; Date Posted
AMT*KL*25!	Amount
N1*8R*JOHN SMITH!	Customer Name
CS****12*3105819800!	Utility customer account number
N9*11*AB91390!	ESCO customer account number
N9*AJ*3134597!	Utility account number for the ESCO
REF*QY*EL!	Service is <b>electric</b>
LX*1!	
N9*PHC*CS*ADJUSTMENT REASON*20030201!	<b>Adjustment</b> Indicator; Adjustment Reason Text; Date Posted
AMT*KL*-89.57!	Amount
N1*8R*JOHN SMITH!	Customer Name
SE*22*00000001!	Transaction Set trailer; segment count; control number

### Scenario 3 – Payment Plan Customer

ST*568*00000001!	Transaction Set header; transaction defined is an <b>568</b> ; control number assigned by originator
BGN*00*200302020001*20030202****U9!	Transaction is an <b>Original</b> transaction; Unique id number for this transaction; transaction creation date; transaction is a <b>Payment Advisement</b>
AMT*AT*100!	Total Amount
N1*8S*UTILITY NAME*1*006977763!	Utility Name and DUNS number
N1*SJ*ESCO NAME*1*006886291!	ESCO Name and DUNS number
CS****12*3105819800!	Utility customer account number
N9*11*AB91390!	ESCO customer account number
N9*AJ*3134597!	Utility account number for the ESCO
REF*QY*EL!	Service is <b>electric</b>
LX*1!	
N9*PHC*PT**20030201!	<b>Payment</b> Indicator; Date Posted
AMT*KL*100!	Amount
N1*8R*JOHN SMITH*BP*LT!	Customer Name; Customer is on a <b>Long Term Payment Plan</b>
SE*14*00000001!	Transaction Set trailer; segment count; control number

### Scenario 4 – Cancel of 568 in Scenario 3

ST*568*00000001!	Transaction Set header; transaction defined is an <b>568</b> ; control number assigned by originator
BGN*00*200302050040*20030205****U9!	Transaction is an <b>Original</b> transaction; Unique id number for this transaction; transaction creation date; transaction is a <b>Payment Advisement</b>
AMT*AT*-100!	Total Amount
N1*8S*UTILITY NAME*1*006977763!	Utility Name and DUNS number
N1*SJ*ESCO NAME*1*006886291!	ESCO Name and DUNS number
CS****12*3105819800!	Utility customer account number
N9*11*AB91390!	ESCO customer account number
N9*AJ*3134597!	Utility account number for the ESCO
REF*QY*EL!	Service is <b>electric</b>
LX*1!	
N9*PHC*CS*CANCEL*20030204!	<b>Adjustment</b> Indicator; Adjustment Reason Text; Date Posted
AMT*KL*-100!	Amount
N1*8R*JOHN SMITH*BP*LT!	Customer Name; Customer is on a <b>Long Term Payment Plan</b>
SE*14*00000001!	Transaction Set trailer; segment count; control number

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

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**Since no utilities currently support this transaction, further development has been suspended as of Version 2.2.**

*This document describes the detailed business processes associated with billing party communication of customer payment information under the Utility Rate Ready Purchase of Receivables (POR) with Recourse Model. The scope of this document addresses processes associated with the disposition of payments received by the billing party on consolidated bills, including allocation of customer payments and notification of customer payments (or payment reversals) via a 568 Payment AdviseMENT to the non-billing party.*

*In developing these business processes, the following documents were reviewed:*

- June 30, 1999 Report of the New York EDI Collaborative
- Case 03-M-0117, In the Matter of the Implementation of Chapter 686 of the Laws of 2002, etc., Order on Petitions for Rehearing and Clarification, issued and effective December 5, 2003.
- Case 98-M-1343, In the Matter of Retail Access Business Practices, Order on Petitions for Rehearing and Clarification, issued and effective July 15, 2004.
- Case 98-M-1343, In the Matter of Retail Access Business Rules, Errata Notice, issued August 2, 2004.
- Case 98-M-1343 and Case 99-M-0631 and Case 03-M-0117, Order on Petitions for Rehearing and Clarification, issued and effective June 22, 2005.
- NY EDI TS810 Invoice for Utility Rate Ready Billing, version 1.1, published February 23, 2004.
- Consolidated Billing Business Processes – Utility Rate Ready, published June 21, 2002.
- Account Assignment Business Processes for All Consolidated Billing Models, published July 31, 2002.
- NY EDI TS824 Application Advice, published November 7, 2002.
- NY EDI TS824 Positive Notification, published November 7, 2002.
- NY EDI TS814 Change (Account Maintenance), published May 17, 2006.
- 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.

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

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**NOTES:**

- The source of various Process Rules listed in this document is indicated by the following annotations which precede each rule:
  - [UBP] = NY Uniform Business Practices
  - [CWG] = Collaborative Work Group or Case 12-M-0476 EDI Working Groups
  - [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
- 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 the Collaborative believes require elaboration, clarification, interpretation in light of other EDI standards or modification to accommodate EDI data exchange processes will be displayed in the Process Rules section AND/OR will 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.

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

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- For purposes of validating EDI transactions, the customer's utility account number (with check digit, if included) must be included on every transaction.
- A distribution utility and ESCO shall demonstrate the technical capability to exchange information electronically for their billing and payment processing options (UBP B&PP B. 8.).
- In New York State, the 820 Remittance Advice is used as a financial transaction, when a consolidated billing arrangement is in place, to provide details of customer payments and payment reversals remitted to the non-billing party. For the Utility Rate Ready POR with Recourse Model, an 820 Remittance Advice will not be used to communicate customer payment information. For this model, the billing party will remit to the ESCO amounts billed the customer on its behalf irrespective of any payments for those billed amounts received from the customer. Details on receivables purchased from the ESCO will be provided in an 820 Remittance Advice transaction. .
- In the POR with Recourse Model, the 568 Payment Advise is used by the billing party to provide details to the non-billing party of customer payments and payment reversals received by the billing party for non-billing party charges on consolidated bills.
- The 568 Payment Advise must be sent within 2 business days of receipt, allocation of a customer's payment (or payment reversal) and posting by the billing party.
- Each 568 Payment Advise may contain multiple accounts for multiple commodities.
- Where the billing party prepares a consolidated bill consisting of electric and gas charges, adjustments to receivables must be applied to electric and gas charges separately and should be communicated in the 568 accordingly.
- An 824 Application Advice must be sent within 1 business day to reject a 568 Payment Advise transaction.
- In the POR with Recourse Model, details of customer account payments received by the non-billing party will be communicated to the billing party via a method agreed upon between the parties and documented in the Billing Service Agreement (BSA).

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

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- A separate business process document describes how account receivables information originating with the non-billing party is to be communicated via a 568 Account Receivables Advisement transaction when the Pay-As-You-Get-Paid model is in effect.
- Information on customer usage, billing, and credit is confidential. A distribution utility or MDSP may release such information, upon a customer's authorization, in accordance with the Uniform Business Practices [UBP CI]. The same level of accountability for data confidentiality will apply to any third party data service providers engaged by an ESCO or Utility. Parties utilizing third party data service providers must ensure that such providers adhere to this confidentiality policy, for example, by incorporating express terms regarding data confidentiality in a Billing Service Agreement and/or Trading Partner Agreement. Delivery service billing data for customers with negotiated delivery contracts may not be disclosed without the utility's consent, except as otherwise required by appropriate regulatory and other legal authorities.
- Although transactions may be sent at any time, they will be processed during normal business days and hours. Business days are Monday through Friday except for national holidays and days for which business cannot be performed due to force majeure events [see UBP definition for 'Business Day' and paragraph B&PP D.1.j.]. Since a billing party is required to send notification of receipt of customers payments within 2 days, if the payment is received/posted on Day 1 during business hours, the billing party must send the 568 Payment Advisement by close of business on Day 3.

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

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***PAO PAYMENT INFORMATION IS PROCESSED UNDER THE UTILITY RATE READY POR WITH  
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**FILED**

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

<b>PROCESS NUMBER:</b>	<i>PAO</i>
<b>PROCESS NAME:</b>	<i>PAYMENT INFORMATION IS PROCESSED UNDER THE UTILITY RATE READY POR WITH RECOURSE CONSOLIDATED BILLING MODEL (PARENT PROCESS)</i>
<b>PROCESS DEFINITION:</b>	<p>Process by which customer payments received by the billing party (Utility) are allocated and details of payments and reversed payments are provided to the non-billing party (ESCO) when the bill model is Utility Rate Ready POR with Recourse. In this model the billing party sends payments the non-billing party at predetermined intervals, as documented in a Billing Services Agreement (BSA) between the parties, regardless of whether or when the customer pays the billing party. In this model, the non-billing party reimburses the billing party for any amounts not received from the non-billing party's customers.</p> <p>A 568 Payment Advisement transaction is used to communicate details regarding payments and reversed payments in this model. Payments may be reversed under the following scenarios:</p> <ul style="list-style-type: none"> <li>• Returned check</li> <li>• Misapplied payment</li> <li>• Duplicate payment on individual account</li> </ul> <p>The process described in this document does <u>NOT</u> apply to either the Pay-As-You-Get-Paid or the POR <u>without</u> Recourse models.</p>
<b>TRIGGER(S):</b>	Customer payment is received or reversed payment occurs on account where Utility Rate Ready POR with Recourse Consolidated Billing is in effect.
<b>ESTIMATED / PEAK TRANSACTION RATE:</b>	Dependent on the number of customers enrolled in Utility Rate Ready POR with Recourse Consolidated Billing model.
<b>PROCESS INPUTS:</b>	Utility Billing Information; ESCO Billing Information, Customer Information, Payment Information.

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

<b>PROCESS NUMBER:</b>	<i>PAO</i>
<b>PROCESS NAME:</b>	<i>PAYMENT INFORMATION IS PROCESSED UNDER THE UTILITY RATE READY POR WITH RECOURSE CONSOLIDATED BILLING MODEL (PARENT PROCESS)</i>
<b>PROCESS OUTPUTS:</b>	Communication between the billing party and non-billing party describing payment or payment reversal on non-billing party customer's account.
<b>SUB OR PRECEDING PROCESSES:</b>	<ul style="list-style-type: none"> <li>• Customer is established on consolidated billing model.</li> <li>• Billing party issues consolidated bill.</li> <li>• Billing party transmits payment (purchases the ESCO receivable) in the manner agreed upon by the parties in the BSA.</li> <li>• Billing party receives customer's payment on consolidated bill.</li> <li>• Billing party allocates payment according to payment allocation rules [UBP B&amp;BP J.4.a.].</li> <li>• Where allocation results in an amount that should be remitted to the non-billing party, the billing party credits the customer's account and sends a 568 Payment Advise ment to the non-billing party.</li> </ul> <p style="text-align: center;">Or</p> <ul style="list-style-type: none"> <li>• The billing party determines that a customer's payment should be reversed.</li> <li>• The billing party debits the account and sends a 568 Payment Advise ment to the non-billing party to identify the amount of the customer's payment being reversed.</li> </ul> <p>1.0 Utility Processes 568 Payment Advise ment</p>
<b>PROCESS RULES:</b>	[UBPs B&PP.B.1., B&PP B.3., B&PP D.1., B&PP F.4., B&PP J.1., B&PP J.2.a., B&PP.J.2.c. Footnote 1., B&PP J.4., B&PP J.5., B&PP J.6a. and B&PP J.8.]

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

<b>PROCESS NUMBER:</b>	<i><b>PAO</b></i>
<b>PROCESS NAME:</b>	<i><b>PAYMENT INFORMATION IS PROCESSED UNDER THE UTILITY RATE READY POR WITH RECOURSE CONSOLIDATED BILLING MODEL (PARENT PROCESS)</b></i>
	<p>[CWG] [Regarding UBPP.B&amp;PP.J.4.d.] When a payment from the customer is received by either the billing or non-billing party without an account number or enough information for the recipient to identify the payer, the payment will be held and processed when sufficient information is obtained to identify the account.</p> <p>[CWG] [Regarding UBPP.B&amp;PP.J.4.d.] When a customer contacts the billing or non-billing party to inquire about a payment that may not have been identified, the party that received the unidentifiable payment, which may be either the billing or non-billing party, will investigate the payment.</p> <p>[CWG] [Regarding UBPP.B&amp;PP.J.4.d.] When a payment from the customer is received by the billing or non-billing party without sufficient information to identify the payer, the payment should be handled as follows in the Utility Consolidated Billing POR with Recourse Model.</p> <ul style="list-style-type: none"> <li>• <u>Billing Party is the Recipient of the Payment</u> When the billing party identifies the payer, the payment will be allocated, and where allocation results in an amount that should be remitted to the non-billing party, the billing party will credit the account and send a 568 Payment Advise ment.</li> <li>• <u>Non-billing Party is the Recipient of the Payment</u> When the non-billing party identifies the payer, the non-billing party will process as determined in the BSA.</li> </ul> <p>[CWG] A customer payment must be posted to the receiver's system(s) on the same date it is received.</p> <p>[CWG] When Utility Rate Ready POR with Recourse is in place, the Utility is responsible for administration of the ESCO account balance including maintenance of the ESCO balance, allocation of payments to the ESCO balance, and notification to the ESCO of payments and payment reversals received by the billing party for non-billing party charges on consolidated bills.</p> <p>[CWG] In the Utility Rate Ready POR with Recourse model, a 568 Payment Advise ment is used by the billing party to provide details to the non-billing party of payments and payment reversals received by the billing party for non-billing party charges on consolidated bills.</p>

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

<b>PROCESS NUMBER:</b>	<i><b>PAO</b></i>
<b>PROCESS NAME:</b>	<i><b>PAYMENT INFORMATION IS PROCESSED UNDER THE UTILITY RATE READY POR WITH RECOURSE CONSOLIDATED BILLING MODEL (PARENT PROCESS)</b></i>
	<p>[CWG] The 568 Payment Advise ment will contain customer payments (or reversed payments) detailed by individual customer account as well as the total amount of all payments/reversals contained in the transaction.</p> <p>[CWG] The 568 Payment Advise ment must be sent within 2 business days of receipt, allocation of a customer's payment (or payment reversal) and posting by the billing party.</p> <p>[CWG] Each 568 Payment Advise ment may contain multiple accounts for multiple commodities.</p> <p>[CWG] Where the billing party has prepared a consolidated bill consisting of electric and gas charges, payments or payment reversals must be applied to electric and gas charges separately and will be communicated via the 568 accordingly.</p> <p>[CWG] In the POR with Recourse model, details of customer account payments received by the non-billing party will be communicated to the billing party via a method agreed upon between the parties and documented in the BSA.</p> <p>[CWG] When the non-billing party rejects an account entry in a 568 Payment Advise ment transaction, it is the responsibility of the billing party to initiate a process to recover the funds from the receivables purchased.</p> <p>[CWG] In the Purchased Receivables with Recourse model, Utility purchase of ESCO receivables is unaffected by customer payments or payment reversals because amounts remitted to the ESCO are based on amounts billed on an account regardless of a customer's actual payment history. Where customer's checks are returned unpaid, the Utility would communicate the payment reversal in a 568 Payment Advise ment transaction. Should the amount of the returned item remain unpaid for a period defined in the BSA, the Utility would take action for recourse at that time and by the method agreed to in the BSA.</p> <p>[CWG] For customers enrolled in budget bill plans the amount of the receivable purchased from the ESCO will be based on the customer's actual charges and not the budget installment amount. Therefore, a 568 Payment Advise ment transaction may not be sent to the non-billing party when the customer pays installments in accordance with a budget plan. The non-billing party is notified of a customer's budget bill</p>

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<b>PROCESS NUMBER:</b>	<i>PAO</i>
<b>PROCESS NAME:</b>	<i>PAYMENT INFORMATION IS PROCESSED UNDER THE UTILITY RATE READY POR WITH RECOURSE CONSOLIDATED BILLING MODEL (PARENT PROCESS)</i>
	status via an 814 Change transaction (REF*NR segment); when a customer defaults on a budget plan or chooses to no longer participate in budget billing the Utility will resume transmitting 568 Payment Advise ment transactions. The procedures for handling payments and payment reversals when customers are on budget billing plans must be mutually agreeable to the parties and documented in the BSA.
<b>COMMENTS:</b>	[CWG] [Regarding UBP B&PP.J.2.] This section establishes the timing and content of the notification to the non-billing party regarding billing party receipt of customer payments. The August 2, 2004 Errata Notice at page 49 [J.1.], however, makes it clear that the ESCO and distribution utility may establish payment procedures applicable to the Purchased Receivables payment processing method in a BSA that are different than the practices described in §B&PP.J.2. For the Purchased Accounts Receivable with Recourse Model, the information related to payment activity on an account to be provided in a 568 Payment Advise ment transaction will include: payment amounts allocated to electric or gas charges for the ESCO account, the date payments (or reversals) were posted, and a customer's payment agreement status (short term payment plan or long term payment plan), where applicable.

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
UTILITY RATE READY PURCHASE RECEIVABLES WITH RECOURSE  
CONSOLIDATED BILLING MODEL**

<b>PROCESS NUMBER:</b>	<i>PA 1.0</i>
<b>PROCESS NAME:</b>	<i>UTILITY PROCESSES 568 PAYMENT ADVISEMENT</i>
<b>PROCESS DEFINITION:</b>	Process by which the Utility provides detail to the ESCO of customer payments or payment reversals received on the ESCO account.
<b>TRIGGER(S):</b>	See parent.
<b>ESTIMATED / PEAK TRANSACTION RATE:</b>	Dependent on the number of customers enrolled in Utility Rate Ready POR with Recourse Consolidated Billing.
<b>PROCESS INPUTS:</b>	Utility Information; ESCO Information, Customer Information; Payment Information.
<b>PROCESS OUTPUTS:</b>	<p><b>Positive Response:</b> Not Applicable</p> <p><b>Negative Responses:</b> A 568 Payment Advise transaction may be rejected, via an 824 Application Advice transaction for the following reasons:</p> <ul style="list-style-type: none"> <li>• Account Number Not Valid (A76)</li> <li>• Account Does Not Have Service Requested (A91)</li> <li>• Billing Option Discrepancy (A13)</li> <li>• Duplicate Received (ABN)</li> <li>• Other (A13)</li> </ul>
<b>SUB OR PRECEDING PROCESSES:</b>	See Parent

**PAYMENT ADVISEMENT BUSINESS PROCESSES  
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<b>PROCESS NUMBER:</b>	<i>PA 1.0</i>
<b>PROCESS NAME:</b>	<i>UTILITY PROCESSES 568 PAYMENT ADVISEMENT</i>
<b>PROCESS RULES:</b>	See Parent for General Rules [CWG] A 568 Payment Advise transaction is only used to communicate a payment reversal when payment information was previously sent by the Utility. [CWG] When a 568 Payment Advise is rejected, an 824 Application Advice must be sent within 1 business day.
<b>COMMENTS:</b>	