

## NEW YORK ESCO TRIENNIAL CHECKLIST

- Completed RAAF (including listing of entities with ownership interests; sanctions; contact info)
- NYS Dept of State Proof of Registration (if DBA: Assumed Name Certificate Required)
- Sales Agreements with Terms and Conditions and Disclosure Statement (Commercial Only-see note in Cover Letter)
- Sample Notices (UBP Section 5)
  - Assignment
  - Discontinuance
  - Transfer
- Sample ESCO Dual Bill (UBP Section 9)
- Procedures to authorize access to customer historical information (UBP Section 4)
- Sample copies of mass marketing promotional materials – N/A (see note in Cover Letter)
- Procedures for prevention of slamming and cramming (UBP Definitions)
- A list of the entities, including contractors and sub contractors, that will market to customers on behalf of your ESCO. – N/A
- Trade Secret request (if applicable) – N/A
- Quality Assurance Program (must contain)
  - Description of training program (Note whether In-person or Telephonic)
  - Code of Conduct
  - Marketing representative identification badge
  - Monitoring program and quality assurance procedures
  - Internal dispute resolution process
- OCS Service Provider Contact Form
- HEFPA Documents (Residential Only) - N/A. (see note in Cover Letter)
  - Residential Payment Agreement
  - Asset Evaluation
  - Budget Billing Plan
  - Quarterly Billing
  - Past Due Reminder
  - Notification to Social Services of Customers Inability to Pay
  - Final Termination Notice
  - Final Suspension Notice
- Attestation to comply with the Environmental Disclosure Program (Electric Only)