BUSINESS PROCESSES – PRICING HISTORY

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

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

NOTES:

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

  - [UBP] = NY Uniform Business Practices

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- [CWG] = Collaborative Work Group or Case 12-M-0476 EDI Working Groups[1]
- [CWG][UBP (insert paragraph cite)] = Collaborative Work Group clarification, interpretation, comment or recommended modification of the Practices to accommodate Electronic Data Interchange. The following abbreviations are used for UBP Section references:

– DEF	Section 1 Definitions
– ELIG	Section 2 Eligibility Requirements
– CRED	Section 3 Creditworthiness
– CI	Section 4 Customer Information
– CSP	Section 5 Changes in Service Providers
– CINQ	Section 6 Customer Inquiries
– UI	Section 7 Utility Invoices
– DISP	Section 8 Disputes Involving Distribution Utilities, ESCOs or Direct Customers
– B&PP	Section 9 Billing and Payment Processing

- Although transactions may be sent to Utilities at any time, they will only be processed during Utility normal business days and hours. Utilities are expected to respond to historical usage requests within two business days. For example, if the required response time is two business days and a Utility receives a valid historical usage request at its Web server at 3:00 AM on Day 1, the Utility must respond by the close of business on Day 2. If the request were received at 8:00 PM on Day 1, the Utility would respond by the close of business on Day 3.

  - The response to a successful request for Pricing History will be a 503 Accept Transaction containing Pricing History information (as available from the utility) for the months during which the requesting ESCO was the customer's supplier. An accepted Request for Pricing History will result in up to 24 months of a customer's historic full-service bill amount or for the life of the account if less than 24 months.

- If applicable, the Comments section for each business process is used to clarify how EDI processing rules may affect specific uniform business practices.

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

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PROCESS NUMBER:	**HP0**
PROCESS NAME:	**PROCESS PRICING HISTORY REQUEST -PARENT PROCESS**
PROCESS DEFINITION:	The process by which an ESCO may request, and the Utility may provide, customers' Pricing History data.
TRIGGER(S):	ESCO determines need for Pricing History information, e.g. an ESCO determines that it must provide an APP Credit to a customer and needs the utility full-service bill amounts to perform the calculation.
ESTIMATED / PEAK TRANSACTION RATE:	Moderately frequent, possiby varying by service territory and potentially spiking during periods when customer a qualified as Account Program Particpants.
PROCESS INPUTS:	Utility Information, ESCO Information, Customer Information, Service Information. Refer to the Data Dictionary of the 503 Pricing History Request & Response for a detailed description of the process input data elements.
PROCESS OUTPUTS:	An accepted 503 Request will result in receipt of a 503 Accept Transaction containing Pricing History for the most recent 24 months (or the life of the account if shorter) for months during which the ESCO was the customer's supplier. **Response to Request May Include:** Utility Information, ESCO Information, Customer Information , Service Information. See the 503 Pricing History Data Dictionary for details. <u>Negative Response to an 503 Request:</u> Appropriate rejection messages (see subprocesses for additional messages): • Account # Not Valid. • Account Does Not Have Service Requested • New account; no consumption upon which to calculate a full-service billing amount • Other

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BUSINESS PROCESSES – PRICING HISTORY

PROCESS NUMBER:	**HP0**
PROCESS NAME:	**PROCESS PRICING HISTORY REQUEST -PARENT PROCESS**
	Negative Response to an 503 transaction: The 503 transaction sent in response to an 503 Pricing History Request may be rejected (via a non-EDI response, e.g. an email message or a phone call) for the following errors: • Utility Account Invalid or Not Found • Invalid Relationship (i.e. ESCO did not request this customer's data) • Account Does Not Have Service Requested (transaction does not reflect the correct commodity type) • Duplicate Received • Other (must be accompanied by text explanation in an NTE segment)
SUB OR PRECEDING PROCESSES:	
PROCESS RULES:	[UBPs: CI B., CI B.3, CI C.1.b., CI E. & CI F.] [CWG] Customer Information Set. The distribution utility, to the extent it possesses the information, shall provide, upon an ESCO request, Pricing History for an electric account and Pricing History for a gas account. [CWG] Pricing History for an electric or gas account shall include, to the extent applicable: 1. Electric or gas account indicator; 2. Customer Account Numbers (ESCO, Utility, previous Utility); 3. Utility Account Number for ESCO; 4. Names (Customer, Utility, ESCO); and 5. 24 months, or the life of the account, whichever is less, of customer data consisting of Amounts (Utility Full Service Bill Amount, Total Billed Amount, Utility Supply Charges and ESCO Supply Charges) via EDI. [CWG] The response to a request for Pricing History for accounts which are generally billed off-line

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

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PRICING HISTORY BUSINESS PROCESS FLOWS

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

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

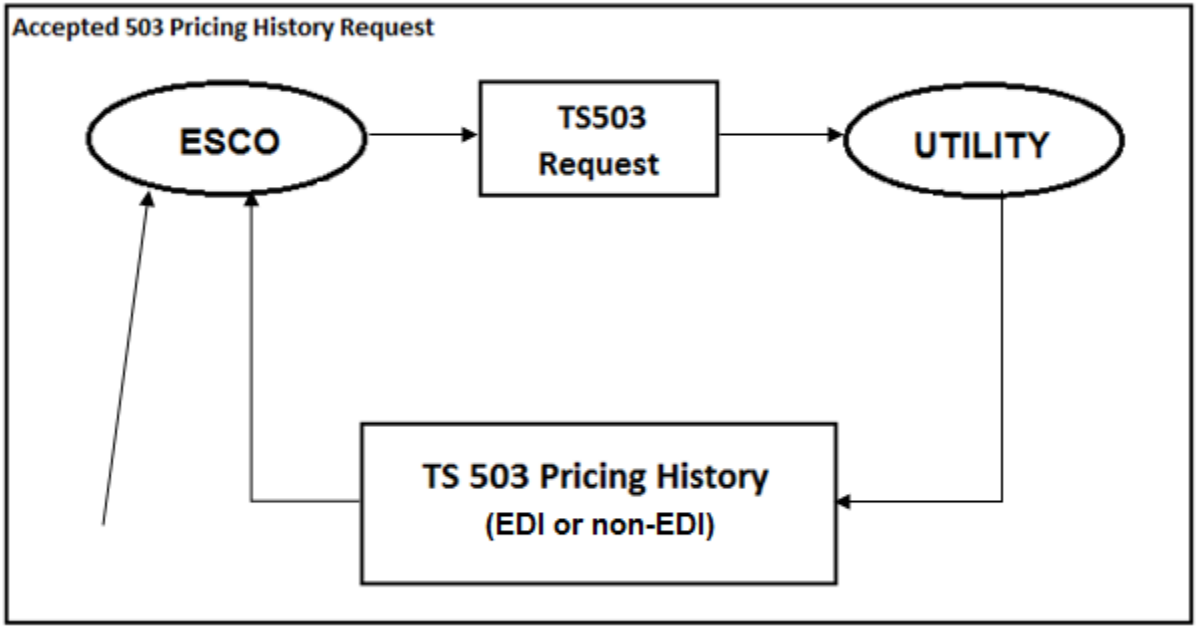
- The Request has been accepted (ASI=WQ) (a 503 containing the data will be sent).
- The Request has been acknowledged (ASI=AC) and details regarding the response and/or the data will be sent non-EDI.
- The Request has been rejected and the reason for the rejection.

This diagram depicts the process:

Notes:

Process Steps

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



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

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Scenario B – ESCO Rejection of Utility Pricing History Response Transaction

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

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

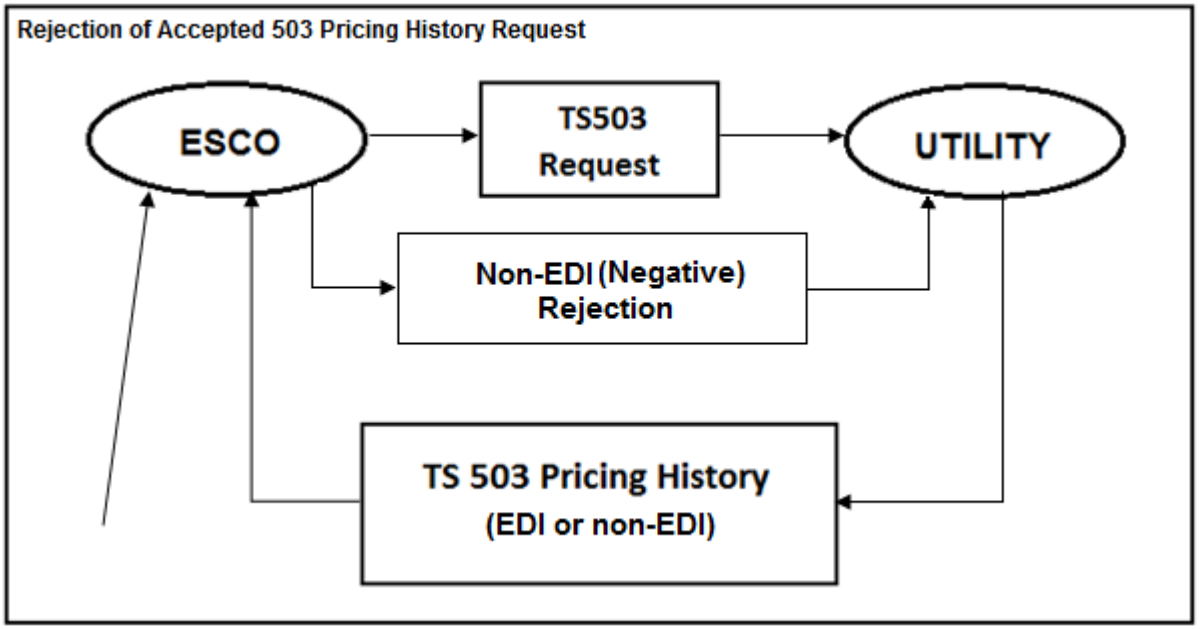
The ESCO, upon examination of the 503 Response, determines that the information provided is not a valid response to its initial request.

This diagram depicts the process:

Notes:

Process Steps

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



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