

DROP BUSINESS PROCESSES

This document describes the detailed Drop business processes for the State of New York. The Drop processes were initially developed by the NY EDI Collaborative and adopted by the Commission in Opinion 01-03, issued and effective July 23, 2001. Following release of Opinion 01-03, the Collaborative subsequently developed a Reinstatement Business Process Document, in conjunction with development of the EDI standards for the 814 Reinstatement Transaction Set. Those processes require the exchange of Drop request and/or response transactions to effect reinstatement. Accordingly, the documents subsequently approved for Reinstatement should also be reviewed for details regarding the use of the Drop transaction in that process. The Drop processes were subsequently revised to reflect modifications in the Uniform Business Practices and other relevant Commission orders. In developing these business processes, the content of the following documents was considered:

- June 30, 1999 Report of the New York EDI Collaborative
- Case 99-M-0631 and Case 03-M-0017, Order Relating to Implementation of Chapter 686 of the Laws of 2003 and Pro-ration of Consolidated Bills, issued and effective June 20, 2003
- Case 98-M-1343, Case 99-M-0631, and Case 03-M-0117, Order on Petitions for Rehearing and Clarification, issued and effective December 5, 2003.
- 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.
- Case 98-M-1343 and Case 98-M-0667, Order Modifying Electronic Data Interchange (EDI) Standards and Uniform Business Practices, issued and effective May 19, 2006
- NY EDI TS814 Enrollment Request and Response Standard v. 2.0
- Case 98-M-1343 and Case 98-M-0667, Order Granting Petition, issued and effective September 22, 2009.
- 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 Authorizing Accelerated Switching of Commodity Suppliers, issued and effective December 15, 2014 in Case 12-M-0476 et.al.
- Order Authorizing Accelerated Switching of Natural Gas Commodity Suppliers and Related Matters, Issued and Effective December 23, 2015.

NOTES:

- Any item displayed under a Process component, i.e. rules; etc. is also applicable for its sub-processes, unless otherwise noted.
- All Customer information is considered confidential.
- A separate drop request must be received for each commodity, (i.e. electric or gas).

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- 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 drop request will be rejected.
- Except as specified in a Utility Maintained EDI Guide, a drop request for an account is considered to be a request to drop all meters on that account. In that service territory, when both metered and un-metered electric service is present on an account the ESCO may separately enroll (or drop) the un-metered service on that account by transmitting an indicator in the Utility Account Number segment in Drop Request transactions.
- 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
 - [HEFPA (insert order reference)] = Orders issued in Case 03-M-0017 implementing Chapter 686.
- Drop requests must be received a minimum of 5 business days (or for gas switches, 10 business days) prior to the effective date with the following exceptions:
 - the customer moves and doesn't provide 5 business days notice;

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- the drop request is sent in response to a customer canceling a pending enrollment request; or
 - account is closed.
- When a customer is relocating to a different address, the Utility will send a drop request to the ESCO with an effective date coincident with the date of the move or the customer's request. When an account is closed, the Utility will send a drop request to the ESCO with an effective date coincident with the date of the account closing. Where a customer wants to continue taking service from their current supplier following cancellation of an enrollment request from a new supplier, the notice of cancellation must be received a minimum of three business days prior to the effective date of the pending enrollment. Where the customer contacts the Utility to cancel a pending enrollment, the Utility will send a Drop Request to the ESCO a minimum of two business days in advance of the effective date of the pending enrollment.
 - The effective date for a drop is determined by the Utility. Drop Requests sent by the Utility will contain the effective drop date; when a Drop Request is sent by the ESCO, the Utility Response transaction will contain the effective date for the drop. The effective date for a drop, under normal circumstances, will coincide with the date of the customer's next regularly scheduled meter read (or the first of the month for gas) unless an ESCO requests an off-cycle drop. Off-cycle changes of gas service providers are allowed if the incumbent and new ESCO agree on an effective date no later than 15 calendar days following the request. When a Drop Request is received less than 5 business days (10 business days for gas) in advance of the customer's next scheduled read or first of the month where applicable, the drop will be processed on the following cycle. Requests for off-cycle drops may not be processed via EDI; the ESCO must contact the Utility directly to affect an off-cycle drop.
 - The ESCO may not send a substantive drop response to a Utility drop request. The ESCO, however, may reject a drop request for validation or syntax errors.
 - When a response to a Drop Request is necessary, parties are expected to respond within two business days.
 - 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']. Utilities are expected to respond to drop requests within two business days. For example, if the required response time is two business days, and a Utility receives a valid drop 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 Utility receives a valid drop request at its Web server at 8:00 PM on Day 1, the Utility must respond by close of business on Day 3.
 - 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.

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PROCESS NUMBER:	<i>DRO</i>
PROCESS NAME:	<i>PROCESS DROP REQUEST</i>
PROCESS DEFINITION:	The process by which a customer is withdrawn from a supplier's services.
TRIGGER(S):	The customer or ESCO initiates ending the relationship between the customer and the ESCO.
ESTIMATED / PEAK TRANSACTION RATE:	High during enrollment periods.
PROCESS INPUTS:	Utility Information; ESCO information; Customer Information; Service Information; Reason Code. See 814 Drop Implementation Guide for details.
PROCESS OUTPUTS:	<p>Utility Positive Response: Utility Information; ESCO information; Customer Information; Service Information; Service Period End Date</p> <p>Utility Acknowledgement Response: Utility Information; ESCO information; Customer Information; Service Information.</p> <p>ESCO Positive Response: None</p> <p>Negative Responses: (applicable to both Utility and ESCO Marketer)</p> <ul style="list-style-type: none"> • Account Number Not Valid • Not the ESCO of record • Termination Reason Required but Not Sent • Account not active with requesting ESCO • Account not pending switch to new ESCO • Missed Contest Period Rescission Period • Other (See 814 Drop Implementation Guide for details)

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PROCESS NUMBER:	<i>DR0</i>
PROCESS NAME:	<i>PROCESS DROP REQUEST</i>
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • DR1.0 Process Drop or Rescind Request • DR2.0 Account Closed • DR3.0 Customer Switches From One ESCO to Another ESCO. • DR4.0 ESCO Initiated Drop • DR5.0 Process Request for Relocation Within Service Territory
PROCESS RULES:	See subprocesses
COMMENTS:	In certain circumstances, Drop Requests may include service and/or mailing address information.

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PROCESS NUMBER:	<i>DR 1.0</i>
PROCESS NAME:	<i>PROCESS DROP OR CANCEL PENDING ENROLLMENT REQUEST</i>
PROCESS DEFINITION:	Process by which a customer is withdrawn from a supplier's services, either before supply has started, or after the customer is established on active supply. This process is initiated by the customer contacting the Utility or ESCO.
TRIGGER(S):	Customer decides to withdraw from a supplier's services.
ESTIMATED / PEAK TRANSACTION RATE:	Moderate
PROCESS INPUTS:	See Parent (DR0).
PROCESS OUTPUTS:	See Parent (DR0).
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • Customer Contacts ESCO to Drop ESCO • Customer Contacts Utility to Drop ESCO • Customer Cancels Pending Enrollment Initiated by the ESCO • Customer authorizes incumbent ESCO to drop pending switch to new ESCO
PROCESS RULES:	<p>[UBPs CSP B.3., D.6., E.2. and E.3.]</p> <p>[CWG] Neither the ESCO nor Utility can reject a Drop Request on substance. A Drop transaction can be rejected for validation or syntax errors. Reject responses will require manual follow-up.</p> <p>[CWG] The 5 business day (10 business day for gas) notice requirement generally applicable to Drop Requests will not apply in instances in which a customer cancels a pending enrollment request and a Drop Request must then be sent to the pending ESCO.</p>

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PROCESS NUMBER:	<i>DR 1.0</i>
PROCESS NAME:	<i>PROCESS DROP OR CANCEL PENDING ENROLLMENT REQUEST</i>
COMMENTS:	

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PROCESS NUMBER:	<i>DR 1.1</i>
PROCESS NAME:	<i>CUSTOMER CONTACTS ESCO TO DROP ESCO</i>
PROCESS DEFINITION:	The process by which the customer is returned to Utility service after notifying the ESCO that they wish to withdraw from supply services .
TRIGGER(S):	See DR1.0.
ESTIMATED / PEAK TRANSACTION RATE:	Peak (hundreds per day) during promotions; low volume (10s per day) non-promotional period.
PROCESS INPUTS:	See parent (DR0).
PROCESS OUTPUTS:	See Parent (DR0).
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • Customer contacts ESCO. • ESCO notifies Utility of customer's voluntary termination of commodity service within two business days of customer contact. • Utility establishes effective date of drop based on customers next regularly scheduled meter reading date, the first of the following month (gas) or a special meter reading (where requested). • Utility changes the status of the customer account (i.e. drops the customer from the supplier). • Utility notifies ESCO of status change. • Utility processes fees for special meter reading where applicable. • Utility sends notification letter to customer advising of actions taken.

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PROCESS NUMBER:	<i>DR 1.1</i>
PROCESS NAME:	<i>CUSTOMER CONTACTS ESCO TO DROP ESCO</i>
PROCESS RULES:	<p>[UBPs CSP B.3., D.1., D.6., D.7., D.8., L.3. and L.4.]</p> <p>[CWG from UBP CSP H.1.] If a change to full utility service results in restrictions on the customer's right to choose another supplier or application of a rate that is different than the one applicable to other full service customers, the distribution utility shall provide advance notice to the customer.</p> <p>[CWG] A voluntary change in service providers is one initiated by the customer.</p> <p>[CWG] When a Drop Request is received by the Utility less than 5 business days (10 business days for gas) from the next scheduled read or first of the month where applicable, it will be processed on the following cycle unless the reason for the drop is a customer move and the customer does not provide sufficient notice.</p> <p>[CWG] The effective 'Date of Drop' is defined as the next eligible date and must be a date in the future. Drop requests may not be processed for a retroactive date. The effective date may be related to an ESCO request for a special meter read.</p> <p>[CWG] The Customer must contact the Utility when closing their account (e.g., [CR-2.4.3 pg. 42] i.e. Customer moves outside of the service territory.</p>
COMMENT:	

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PROCESS NUMBER:	<i>DR 1.2</i>
PROCESS NAME:	<i>CUSTOMER CONTACTS UTILITY TO DROP ESCO</i>
PROCESS DEFINITION:	The process by which the customer is returned to Utility service after notifying the Utility that they wish to withdraw from a supplier's services.
TRIGGER(S):	See DR1.0.
ESTIMATED / PEAK TRANSACTION RATE:	Peak (hundreds per day) during promotions; low volume (10 per day) non promotional period. Peaks occur within a few months subsequent to Enrollment peaks.
PROCESS INPUTS:	See parent (DR0).
PROCESS OUTPUTS:	See parent (DR0).
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • Customer contacts Utility. • Utility notifies ESCO within two days of customer's request to terminate commodity service with that ESCO. • Utility establishes effective date of drop. • Utility changes the status of the customer account (drops the customer from the supplier). • Utility processes meter reading fees where applicable. • Utility sends notification letter to customer confirming actions taken.
PROCESS RULES:	<p>[UBPs CSP D.7., D.8., L.3. and L.4.]</p> <p>[CWG from UBP CSP H. 1.] ...If a change to full utility service results in restrictions on the customer's right to choose another supplier or application of a rate that is different than the one applicable to other full service customers, the distribution utility shall provide advance notice to the customer.</p> <p>[CWG] A voluntary change of service providers is one initiated by the customer.</p> <p>[CWG] When a Drop Request is received by the Utility less than 5 business days (10 business days for gas) from the next scheduled read or first of the month where applicable, it will be processed on the following cycle unless the reason for the drop is a customer move and the customer does not provide</p>

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PROCESS NUMBER:	<i>DR 1.2</i>
PROCESS NAME:	<i>CUSTOMER CONTACTS UTILITY TO DROP ESCO</i>
	sufficient notice. [CWG] Upon receipt of a drop request from a customer, the utility should, within three calendar days, send a verification letter to the affected customer.
COMMENT:	

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PROCESS NUMBER:	<i>DR 1.3</i>
PROCESS NAME:	<i>CUSTOMER CANCELS ENROLLMENT REQUEST</i>
PROCESS DEFINITION:	<p>Process by which a Customer's pending enrollment is withdrawn from a supplier's services after the customer contacts either the ESCO or the Utility. Current supplier can be either the Utility or ESCO.</p> <p>[CR-2.4.1 pg. 33] Pending Stage – For ESCO initiated enrollments the pending stage commences with validation of the enrollment transaction and ends on the first day the customer receives service from the ESCO</p>
TRIGGER(S):	See DR1.0.
ESTIMATED / PEAK TRANSACTION RATE:	Higher volume during Enrollment peaks
PROCESS INPUTS:	See DR0
PROCESS OUTPUTS:	See DR0
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • DR1.3.1 Utility Customer contacts ESCO to Cancel Enrollment Request • DR1.3.2 Utility Customer contacts Utility to Cancel Enrollment Request • DR1.3.3 ESCO Customer contacts Utility to Cancel Enrollment Request • DR1.3.4 ESCO Customer contacts ESCO to Cancel Enrollment Request
PROCESS RULES:	See sub-processes.
COMMENTS:	

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PROCESS NUMBER:	<i>DR 1.3.1</i>
PROCESS NAME:	<i>UTILITY CUSTOMER CONTACTS ESCO TO CANCEL ENROLLMENT REQUEST</i>
PROCESS DEFINITION:	<p>Process by which a Customer's pending enrollment is withdraw from a supplier's services after the customer contacts the ESCO. Current supplier is the Utility.</p> <p>[CR-2.4.1 pg. 33] Pending Stage - For ESCO initiated enrollments the pending stage commences with validation of the enrollment transaction and ends on the first day the customer receives service from the ESCO.</p>
TRIGGER(S):	See DR1.0
ESTIMATED / PEAK TRANSACTION RATE:	Higher volume during Enrollment peaks
PROCESS INPUTS:	See parent (DR0)
PROCESS OUTPUTS:	See parent (DR0)
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • Customer contacts pending ESCO. • ESCO notifies Utility of customer request to cancel pending enrollment. • Utility establishes effective date of drop. • Utility removes Customer from pending queue. • Utility confirms withdrawal of enrollment with ESCO. • Utility may send notification letter to customer confirming actions taken.
PROCESS RULES:	<p>[UBPs CSP B.2.D.4., D.6. and E.2.]</p> <p>[CR-2.4.1 D-1] If the customer rescinds their enrollment request, the Utility sends a drop to the ESCO and the customer stays with its current supplier.</p> <p>[CWG] Rescission period – Customer has right to rescind an enrollment request during the pending stage.</p>

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PROCESS NUMBER:	<i>DR 1.3.1</i>
PROCESS NAME:	<i>UTILITY CUSTOMER CONTACTS ESCO TO CANCEL ENROLLMENT REQUEST</i>
COMMENTS	

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PROCESS NUMBER:	<i>DR 1.3.2</i>
PROCESS NAME:	<i>UTILITY CUSTOMER CONTACTS UTILITY TO CANCEL ENROLLMENT REQUEST</i>
PROCESS DEFINITION:	<p>Process by which a Customer contacts the Utility to withdraw their pending enrollment from Retail Choice. Current supplier is the Utility.</p> <p>[CR-2.4.1 pg. 33] Pending Stage - For ESCO initiated enrollments the pending stage commences with validation of the enrollment transaction and ends on the first day the customer receives service from the ESCO.</p>
TRIGGER(S):	See DR1.0
ESTIMATED / PEAK TRANSACTION RATE:	Higher volume during Enrollment peaks.
PROCESS INPUTS:	See parent (DR0)
PROCESS OUTPUTS:	See parent (DR0)
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • Customer contacts Utility. • Utility establishes effective date of drop. • Utility removes customer from pending queue. • Utility notifies ESCO of customer cancellation of pending enrollment. • Utility may send notification letter to customer confirming actions taken.
PROCESS RULES:	<p>[UBPs CSP B.3., E.2., D.4., D.6. and E.2]</p> <p>[CWG] Rescission period – Customer has right to rescind an enrollment request during the pending stage.</p> <p>[CWG] When the customer contacts the Utility to cancel, the Utility will send a Drop Request to the ESCO a minimum of two business days in advance of the effective date for the pending enrollment.</p>

DROP BUSINESS PROCESSES

PROCESS NUMBER:	<i>DR 1.3.2</i>
PROCESS NAME:	<i>UTILITY CUSTOMER CONTACTS UTILITY TO CANCEL ENROLLMENT REQUEST</i>
COMMENTS	

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PROCESS NUMBER:	<i>DR 1.3.3</i>
PROCESS NAME:	<i>ESCO CUSTOMER CONTACTS UTILITY TO CANCEL ENROLLMENT REQUEST</i>
PROCESS DEFINITION:	<p>Process by which an ESCO Customer's pending enrollment is withdrawn from supplier services after the customer contacts the Utility. Current supplier is an ESCO.</p> <p>[CR-2.4.1 pg. 33] Pending Stage - For ESCO initiated enrollments, the pending stage commences with validation of the enrollment transaction and ends on the first day the customer receives service from the ESCO.</p>
TRIGGER(S):	See DR1.0.
ESTIMATED / PEAK TRANSACTION RATE:	Higher volume during Enrollment peaks
PROCESS INPUTS:	See parent (DR0)
PROCESS OUTPUTS:	See parent (DR0); see also Reinstatement Business Process Document and/or Implementation Guide.
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • Customer contacts Utility. • Utility establishes effective date of drop. • Utility removes customer from pending queue. • Utility notifies pending ESCO of customer cancellation of pending enrollment. • Utility may send notification letter to customer confirming actions taken. • Customer may be reinstated with their current supplier (see Reinstatement Business Process Document).
PROCESS RULES:	See DR 1.3

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PROCESS NUMBER:	<i>DR 1.3.4</i>
PROCESS NAME:	<i>ESCO CUSTOMER CONTACTS ESCO TO CANCEL ENROLLMENT REQUEST</i>
PROCESS DEFINITION:	<p>Process by which an ESCO Customer's pending enrollment is withdrawn from supplier services after the customer contacts the ESCO. Current supplier is an ESCO.</p> <p>[CR-2.4.1 pg. 33] Pending Stage - For ESCO initiated enrollments, the pending stage commences with validation of the enrollment transaction and ends on the first day the customer receives service from the ESCO.</p>
TRIGGER(S):	See DR1.0
ESTIMATED / PEAK TRANSACTION RATE:	Higher volume during Enrollment peaks.
PROCESS INPUTS:	See parent (DR0)
PROCESS OUTPUTS:	See parent (DR0); see also Reinstatement Business Process Document.
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • Customer contacts ESCO. • ESCO notifies Utility of customer cancellation of pending enrollment. • Utility establishes effective date of drop. • Utility removes Customer from pending queue. • Utility confirms withdrawal of enrollment with ESCO. • Utility may send notification letter to customer confirming actions taken. • Customer may be reinstated with current supplier (see Reinstatement Business Process Document).
PROCESS RULES:	See DR 1.3

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PROCESS NUMBER:	<i>DR 1.3.4</i>
PROCESS NAME:	<i>ESCO CUSTOMER CONTACTS ESCO TO CANCEL ENROLLMENT REQUEST</i>
COMMENT:	

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PROCESS NUMBER:	<i>DR 1.4</i>
PROCESS NAME:	<i>CUSTOMER AUTHORIZES INCUMBENT ESCO TO CANCEL ENROLLMENT WITH PENDING ESCO</i>
PROCESS DEFINITION:	Process by which a Customer's pending enrollment is withdrawn from a supplier's services by incumbent ESCO after customer authorizes the incumbent ESCO to cancel the enrollment with the pending ESCO.
TRIGGER(S):	See DR1.0.
ESTIMATED / PEAK TRANSACTION RATE:	Low to moderate
PROCESS INPUTS:	See DR0
PROCESS OUTPUTS:	See DR0
SUB OR PRECEDING PROCESSES:	Customer pending enrollment with another ESCO
PROCESS RULES:	Incumbent ESCO, having obtained authorization from its customer to cancel a pending enrollment, transmits to the distribution utility an 814 Drop Request transaction with the drop reason code "CHA" that cancels the pending enrollment.
COMMENTS:	Incumbent ESCO must obtain written or electronic authorization of the customer

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PROCESS NUMBER:	<i>DR 2.0</i>
PROCESS NAME:	<i>ACCOUNT CLOSED</i>
PROCESS DEFINITION:	The process by which a customer is withdrawn from a supplier's services as a result of their account being closed.
TRIGGER(S):	The customer's account is closed.
ESTIMATED / PEAK TRANSACTION RATE:	Low to moderate.
PROCESS INPUTS:	See Parent (DR0)
PROCESS OUTPUTS:	See Parent (DR0)
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • Customer account is closed. • Utility establishes effective date of drop (date account is closed). • Utility notifies ESCO of account closing. • Utility may send notification letter to customer confirming actions taken.
PROCESS RULES:	<p>[CWG] Notice of an account closing may not conform to the 10 business day notice period generally applicable to Drop Requests.</p> <p>[CWG] A Utility may discontinue an ESCO's sales to an individual retail customer in their service territory, upon transmission of an 814 Drop Request transaction to the ESCO at least 15 calendar days prior to the effective date for the drop. The effective date of the discontinuance will be coincident with the customer's relocation or account closing.</p> <p>[CWG] Neither the ESCO nor Utility can reject a Drop Request on substance. A Drop transaction can be rejected for validation or syntax errors. Reject responses will require manual follow-up.</p>

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PROCESS NUMBER:	<i>DR 2.0</i>
PROCESS NAME:	<i>ACCOUNT CLOSED</i>
COMMENT:	

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PROCESS NUMBER:	<i>DR 3.0</i>
PROCESS NAME:	<i>CUSTOMER SWITCHES FROM ONE ESCO TO ANOTHER ESCO</i>
PROCESS DEFINITION:	<p>The process for switching a customer's service from one ESCO to another, when the customer is in the supply stage. This process does not apply to customers in the pending stage.</p> <p>[Collaborative Report June 30, 1999 -2.4.1 pg. 33] Pending Stage - For ESCO initiated enrollments, the pending stage commences with validation of the enrollment transaction and ends on the first day the customer receives service from the ESCO.</p> <p>[Collaborative Report June 30, 1999 -2.4.1 pg. 32] Supply Stage - The supply stage commences when the customer receives service from the ESCO.</p>
TRIGGER(S):	The customer decides to switch to another supplier.
ESTIMATED / PEAK TRANSACTION RATE:	<p>Moderate activity and fluctuation.</p> <p>Likely to increase as customer participation increases.</p>
PROCESS INPUTS:	<p>Enrollment Related Inputs – See Enrollment Business Process Document</p> <p>Drop Related Inputs -- See DR0</p>
PROCESS OUTPUTS:	<p>Enrollment Related Outputs – See Enrollment Business Process Document</p> <p>Drop Related Inputs -- See DR0</p>

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PROCESS NUMBER:	<i>DR 3.0</i>
PROCESS NAME:	<i>CUSTOMER SWITCHES FROM ONE ESCO TO ANOTHER ESCO</i>
SUB OR PRECEDING PROCESSES:	<p><u>Enrollment Related Processes</u></p> <ul style="list-style-type: none"> a) New ESCO sends TS814 Enrollment Request to Utility. b) Utility sends TS814 Enrollment Response to New ESCO. c) If step (a) is a valid enrollment, Utility sends TS814-Drop Request to the incumbent ESCO. d) If step (a) is valid enrollment, the Utility sends the customer a letter confirming the ESCO selected, noting the expected start date, and informing the customer of their right of rescission.
PROCESS RULES:	<p><u>Enrollment Related Rules</u> (Enrollment related rules may affect the timing of the Drop)</p> <p>[UBP CSP D.1., D.7., D.8. and L.4.]</p> <p>[CWG] Unless a special meter read is requested, the effective date will be the cycle date or first of the month.</p> <p>[CWG] When a Drop Request is received by the Utility less than 5 business days (10 business days for gas) from the next scheduled read or first of the month where applicable, it will be processed on the following cycle unless the reason for the drop is a customer move and the customer does not provide sufficient notice.</p> <p>[CWG] The effective ‘Date of Drop’ is defined as the next eligible date and must be a date in the future. Drop requests may not be processed for a retroactive date. Note: Alternatively, the date would be related to an ESCO request for a special meter read.</p> <p>[CWG] If the customer switches from one ESCO to another, the receipt of the Enrollment Request transaction from the new supplier will cause a Drop Request transaction to be sent to the incumbent supplier for that customer. The effective date of the drop will be coincident with the effective date of the enrollment.</p>
COMMENTS:	

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PROCESS NUMBER:	<i>DR 4.0</i>
PROCESS NAME:	<i>ESCO DROPS CUSTOMER</i>
PROCESS DEFINITION:	The process by which an ESCO may discontinue supply service to an individual customer(s) on their initiative. Discontinuance of supply service by an ESCO will result in a return of the customer to bundled utility service unless the customer chooses to enroll with another marketer.
TRIGGER(S):	Trigger: ESCO action.
ESTIMATED / PEAK TRANSACTION RATE:	Low volume.
PROCESS INPUTS:	See parent (DR0).
PROCESS OUTPUTS:	See parent (DR0).
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • ESCO must notify Customer of drop [UBP CSP H.4.a.]. • ESCO notifies Utility of drop at least 5 business days (10 business days for gas) prior to the effective date of the drop. • Utility changes the status of the Customer account (drops the customer from the supplier). • Utility confirms status change with ESCO. • Utility may notify Customer by letter of actions taken.
PROCESS RULES:	<p>[UBPs CSP D.7., D.8. and H.4.a.]</p> <p>[HEFPA, Order on Petitions for Rehearing, 12/5/03, p. 18] Prior to terminating their customers' commodity service, ESCOs must comply with PSL §32. That section requires ESCOs to offer a DPA to their customers, to provide notice of the charges that must be paid to avoid termination, and to comply with procedures for special needs customers and cold weather periods. An ESCO terminating a customer must also provide the customer a notice of the termination that informs the customer that</p>

DROP BUSINESS PROCESSES

PROCESS NUMBER:	<i>DR 4.0</i>
PROCESS NAME:	<i>ESCO DROPS CUSTOMER</i>
	<p>suspension of delivery service may occur (PSL§32(5)(b)).</p> <p>[HEFPA Order Implementing Chapter 686, 6/20/03, p. 17] An ESCO may request suspension of a delinquent customer's delivery service within one year after its termination of commodity service, assuming the customer is receiving a single bill for commodity and delivery (PSL §32(5)(a)(vi)).</p> <p>[HEFPA, Order on Petitions for Rehearing, 12/5/03, p. 18] ESCOs are required under HEFPA to determine whether a customer subject to termination or suspension qualifies for special protections pursuant to PSL §32(3) and 16 NYCRR §11.5... an ESCO that identifies a customer eligible for HEFPA special protections and chooses to go forward with termination or suspension is required to follow all procedures set out by PSL §32(3) and 16 NYCRR §11.5.</p> <p>[HEFPA, Order on Petitions for Rehearing, 6/22/05] ESCOs must independently obtain from their customers sufficient information to determine whether the special protections afforded by HEFPA are applicable.</p> <p>[CWG] Upon receipt of an enrollment request from a subsequent ESCO following the discontinuance notice, the utility will verify the intended enrollment with the customer in accordance with the "Customer Notification" requirements (e.g., the utility must notify the customer within three calendar days of receipt of the new enrollment request).</p> <p>[CWG] Neither the ESCO nor Utility can reject a Drop Request on substance. A Drop transaction can be rejected for validation or syntax errors. Reject responses will require manual follow-up.</p> <p>[CWG] When a Drop Request is received by the Utility less than 5 business days (15 calendar days for gas) from the next scheduled read or first of the month where applicable, it will be processed on the following cycle unless the reason for the drop is a customer move and the customer does not provide sufficient notice.</p> <p>[CWG] The effective 'Date of Drop' is defined as the next eligible date and must be a date in the future. Drop requests may not be processed for a retroactive date. Note: Alternatively, the date would be related to an ESCO request for a special meter read.</p> <p>[CWG] A Customer cannot rescind a drop request by an ESCO.</p>

DROP BUSINESS PROCESSES

PROCESS NUMBER:	<i>DR 4.0</i>
PROCESS NAME:	<i>ESCO DROPS CUSTOMER</i>
COMMENTS:	

DROP BUSINESS PROCESSES

PROCESS NUMBER:	<i>DR 5.0</i>
PROCESS NAME:	<i>PROCESS REQUEST FOR RELOCATION WITHIN SERVICE TERRITORY</i>
PROCESS DEFINITION:	The process by which a customer moves within the service territory and wants to continue in retail choice with the same ESCO at a new location. Delivery and supply service at the old location must be terminated (account is closed) and both delivery and commodity service must be initiated at the new location (new delivery service).
TRIGGER(S):	Trigger: Customer call to either Utility and ESCO.
ESTIMATED / PEAK TRANSACTION RATE:	Accurate: Low volume (10s) all times; volume will increase as enrollment grows.
PROCESS INPUTS:	<p>Drop (By Utility): See Parent (DR0). Service period end date is the customer's last day of service at the customer's old location. Drop reason is 'customer move'.</p> <p>Enroll (By ESCO): Utility processes enrollment for the new location using existing and any new customer information (new address, new SC, etc. p) provided by the customer or ESCO.</p>
PROCESS OUTPUTS:	<p>Drop (By Utility): See Parent (DR0)</p> <p>Enroll (By Utility): Utility Manually Processes Enrollment for a New Delivery Utility Customer (EN 2.0)</p>

DROP BUSINESS PROCESSES

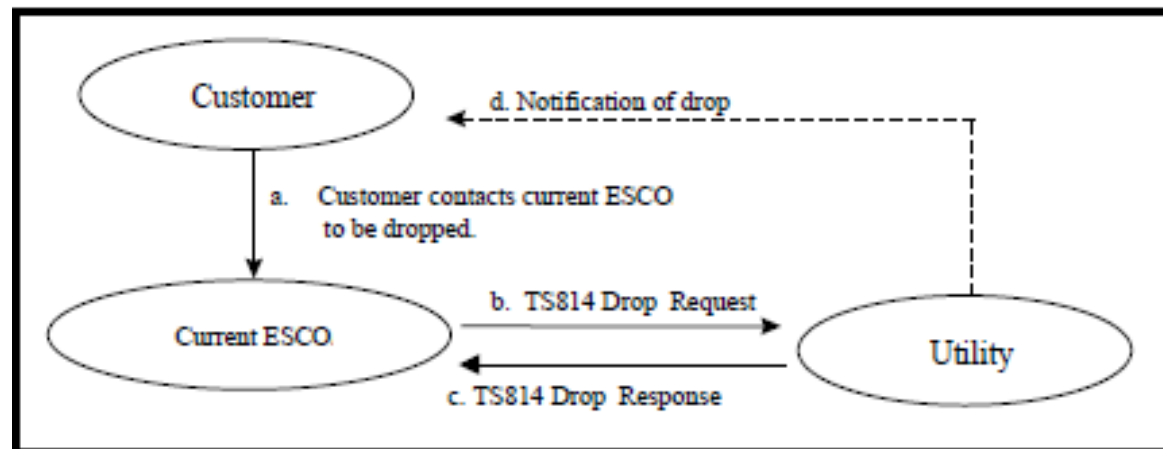
PROCESS NUMBER:	<i>DR 5.0</i>
PROCESS NAME:	<i>PROCESS REQUEST FOR RELOCATION WITHIN SERVICE TERRITORY</i>
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • Utility is advised that customer is relocating. • Utility drops customer from supplier at old location (see DR1.1 and DR1.2). • Utility processes customer's turn-on at new location. • Utility concurrently establishes new delivery service and enrolls customer with ESCO for commodity service at the customer's new location. • Utility provides ESCO with account details for customer's new location via an Enrollment Response transaction.
PROCESS RULES:	[UBPs CSP G.1., G.2. and G.3.] See DR 1.2
COMMENTS:	Utilities will handle the account set-up at the new location internally to avoid a break in service with the current ESCO; this is a low volume process and is best accommodated manually.

DROP BUSINESS PROCESSES

DROP BUSINESS PROCESS FLOW DIAGRAMS

DR 1.1 Customer Contacts ESCO to Drop the ESCO

The following represents the steps necessary to process a customer's request to terminate supply service from a specific ESCO when the customer initiates the request through the ESCO. In this case, the Utility will return the customer to the Utility. If the customer wishes to select another ESCO, the customer must contact the new ESCO.



- a) Customer contacts ESCO to terminate supply service with that ESCO.
- b) ESCO sends TS814 Drop Request to Utility.
- c) Utility returns a TS814 Drop Response to ESCO with the actual effective date of the termination or Utility may reject ESCO Drop Request for validation or syntax errors.
- d) If ESCO TS814 Drop Request is accepted, the Utility may send a letter to the customer confirming the termination of supply service with that E?M.

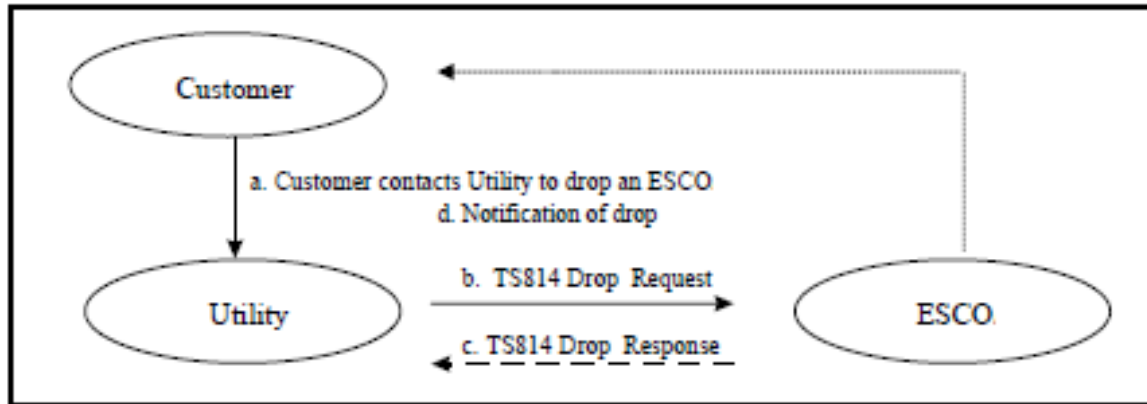
Notes:

- The recipient of an EDI transaction must return TS 997.
- A customer cannot rescind a termination. If the customer changes his/her mind and wishes to reinstate the ESCO the customer must contact the ESCO to re-enroll. The ESCO will send a TS814 Enrollment Request.
- If the reason for the termination is a customer move, the Utility will shut off the service.

DROP BUSINESS PROCESSES

DR 1.2 Customer Contacts Utility to Drop an ESCO

The following represents the steps necessary to process a customer's request to terminate service from a specific ESCO when the customer contacts the Utility. In this case, the Utility will return the customer to the Utility. If the customer wishes to select another ESCO, the customer must contact that ESCO.



- a) Customer contacts Utility to terminate service with ESCO.
- b) Utility sends TS814 Drop Request to ESCO containing the effective date of the switch.
- c) TS814 Drop Reject Response to Utility (if applicable).
- d) Utility may send notification letter to customer confirming action taken.

Notes:

- The recipient of an EDI transaction must return TS 997. The TS 997 will be used by the Utility to confirm the ESCOs receipt of the TS814 Drop. ESCOs may not reject a TS814 for reasons other than validation or syntax errors.
- A customer cannot rescind a drop. Should the customer wish to reinstate the ESCO, the customer must contact the ESCO and request to be re-enrolled. The ESCO would then submit a new TS814 Enrollment Request.

DROP BUSINESS PROCESSES

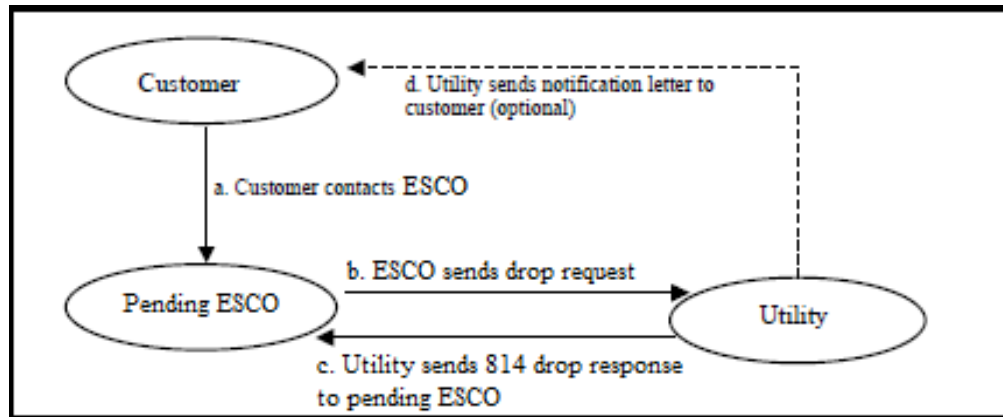
DR 1.3 Customer Rescinds Pending Enrollment Initiated by ESCO

After a customer selects an ESCO or switches from one ESCO to another, the customer will receive a confirmation letter from the Utility notifying them of the change in his/her ESCO selection, the effective date, and the rescission period. The customer may rescind this selection by contacting the Utility or ESCO before supply services start

There are four scenarios regarding rescissions:

DR 1.3.1 Utility Customer Contacts ESCO to Rescind Pending Enrollment Initiated by ESCO

If the customer rescinds its switch request with the pending ESCO, the customer continues to take bundled service with the Utility.



- a) Customer contacts ESCO to rescind ESCO selection
- b) ESCO sends TS814 drop request to Utility
- c) Utility send TS814 drop response to pending ESCO
- d) Utility sends notification letter to customer (optional)

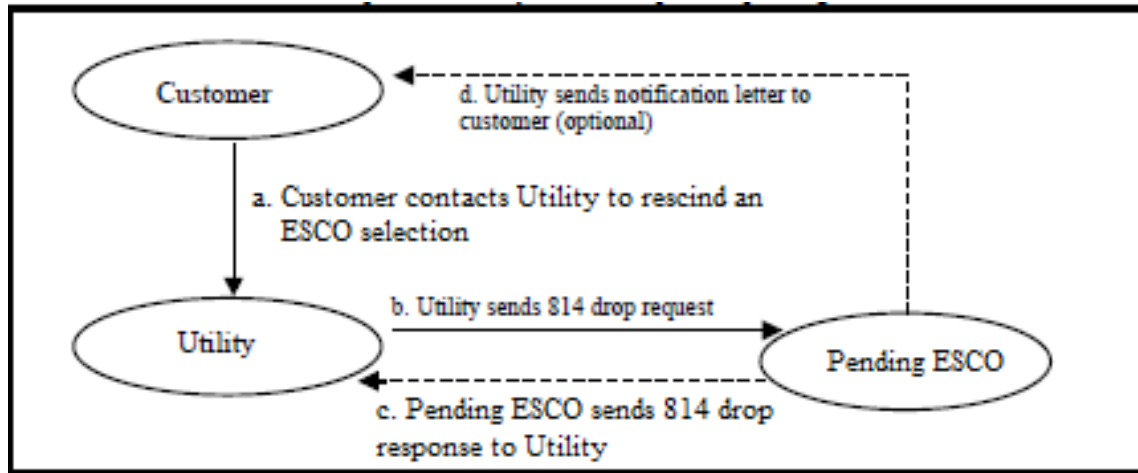
Note:

- The recipient of an EDI transaction must return TS 997.

DROP BUSINESS PROCESSES

DR 1.3.2 Utility Customer Contacts Utility to Rescind Pending Enrollment Initiated by ESCO

If the customer rescinds the enrollment request the Utility sends a drop to the pending ESCO and the customer stays with the Utility.



- a) Customer contacts Utility to rescind an ESCO selection.
- b) Utility sends TS814 Drop Request containing the effective date to the Pending ESCO.
- c) ESCO returns a reject response only when drop transaction cannot be validated or contains syntax errors. No other drop responses will be accepted by the Utility.
- d) Utility sends notification letter to customer (optional)

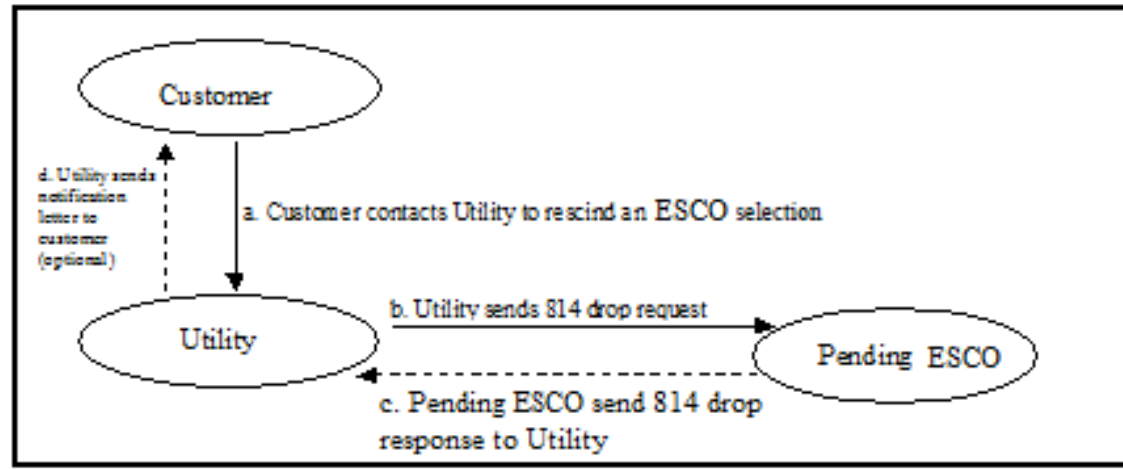
Notes:

- The recipient of an EDI transaction must return TS 997. The TS 997 will be used by the Utility to confirm the ESCOs receipt of the TS814 Drop. ESCOs may not reject a TS814 for reasons other than validation or syntax errors.

DROP BUSINESS PROCESSES

DR 1.3.3 ESCO Customer Contacts Utility to Rescind Pending Enrollment Initiated by ESCO

ESCO Customer's pending enrollment is withdrawn from supplier services after the customer contacts the Utility. Current supplier is an ESCO. Utility may assume supply service or customer may be reinstated with current ESCO (see Reinstatement Business Process Document).



- a) Customer contacts Utility.
- b) Utility sends TS814 Drop request containing the effective date to the pending ESCO.
- c) Pending ESCO sends TS814 Drop response to Utility only if ESCO rejects.
- d) Utility may send notification letter to customer confirming actions taken.

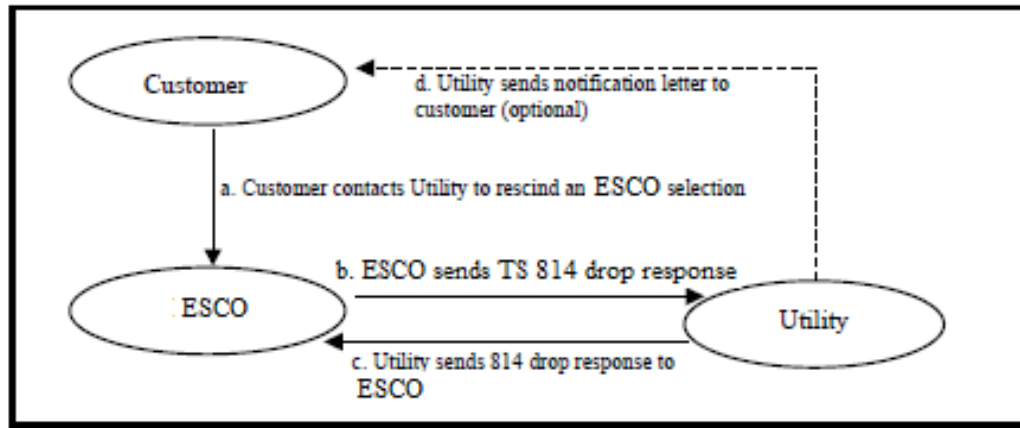
Notes:

- The recipient of an EDI transaction must return TS 997. The TS 997 will be used by the Utility to confirm the ESCOs receipt of the TS814 Drop. ESCOs may not reject a TS814 for reasons other than validation or syntax errors.

DROP BUSINESS PROCESSES

DR 1.3.4 ESCO Customer Contacts ESCO to Rescind Pending Enrollment Initiated by ESCO

ESCO Customer's pending enrollment is withdrawn from supplier services after the customer contacts the ESCO. Current supplier is an ESCO. Utility may assume supply service or customer may be reinstated with their current supplier (refer to Reinstatement Business Process Document).



- a) Customer contacts ESCO.
- b) ESCO sends TS814drop request to Utility
- c) Utility sends TS814 drop response to pending ESCO with the actual effective date of the termination or Utility may reject the ESCO Drop request for validation or syntax errors.
- d) Utility sends notification letter to customer (optional)

Notes:

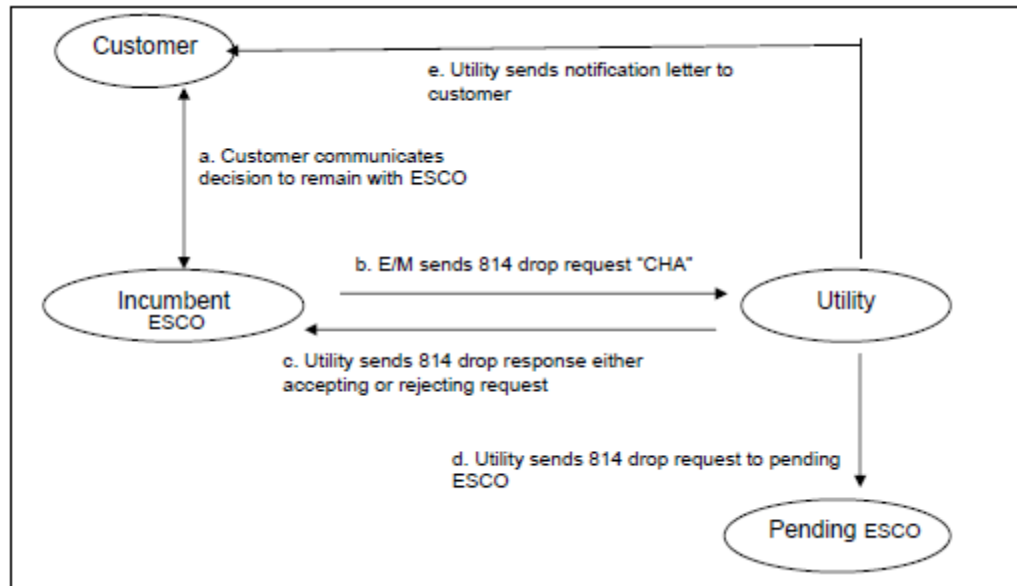
- The recipient of an EDI transaction must return TS 997. The TS 997 will be used by the Utility to confirm the ESCOs receipt of the TS814 Drop. ESCOs may not reject a TS814 for reasons other than validation or syntax errors.

DROP BUSINESS PROCESSES

DR 1.4 Incumbent ESCO Drops Switch to Pending ESCO

After a customer switches from one ESCO/Marketer to another, the customer will receive a confirmation letter from the Utility notifying them of the pending change, and the incumbent ESCO receives an 814 Drop from the Utility. The Incumbent ESCO may contact the customer in an attempt to retain the customer, and on the customer behalf initiate an inbound 814 Drop request transaction of pending switch.

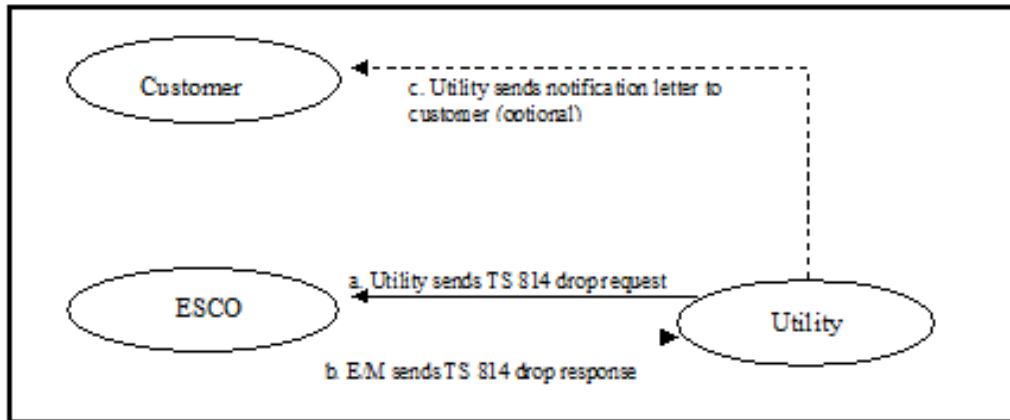
If the customer decides to stay with their incumbent ESCO and not to switch to new ESCO



- a. Customer communicates decision to remain with Incumbent ESCO
- b. Incumbent ESCO sends 814 drop request "CHA"
- c. Utility sends 814 drop response either accepting or rejecting request
- d. Utility sends 814 drop request to pending ESCO
- e. Utility sends notification letter to customer (optional)
- f. Utility sends 814 reinstatement to Incumbent ESCO

DROP BUSINESS PROCESSES**DR 2.0 Account Closed**

The process by which a customer is withdrawn from a supplier's services as a result of their account being closed.



- Utility sends TS 814 Drop request to ESCO
- ESCO sends TS 814-drop response to Utility if rejected.
- Utility may send notification letter to customer confirming actions.

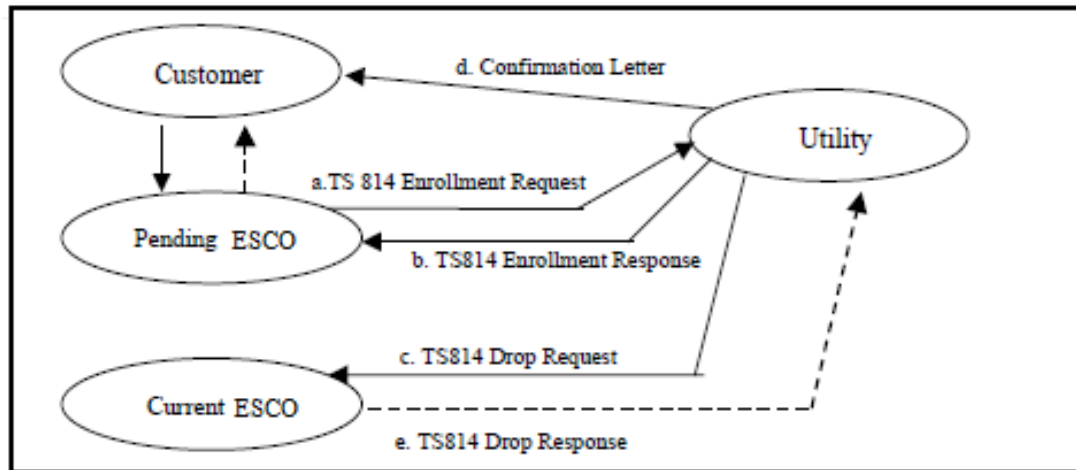
Notes:

- The recipient of an EDI transaction must return TS 997. The TS997 will be used by the Utility to confirm the ESCO receipt of the TS814 drop. ESCOs may not reject a TS814 for reasons other than validation or syntax errors.

DROP BUSINESS PROCESSES

DR 3.0 Customer Switches from one ESCO to Another ESCO

The following represents the steps necessary to process a customer's request to switch service from an ESCO when the customer is currently receiving service from another ESCO. In this scenario, the customer must contact the new ESCO to initiate the change. Should the customer contact the Utility to switch to another ESCO, the Utility will tell the customer to contact the new ESCO.



- a) Pending ESCO sends TS814 Enrollment Request to Utility.
- b) Utility sends TS814 Enrollment Response to Pending ESCO.
- c) If enrollment is valid, Utility sends TS814-Drop Request to current ESCO.
- d) If enrollment is valid, the Utility sends the customer a letter confirming the ESCO selected, noting the expected start date, and informing the customer of the right of rescission.
- e) Current ESCO sends TS 814-Drop Response to Utility if rejected.

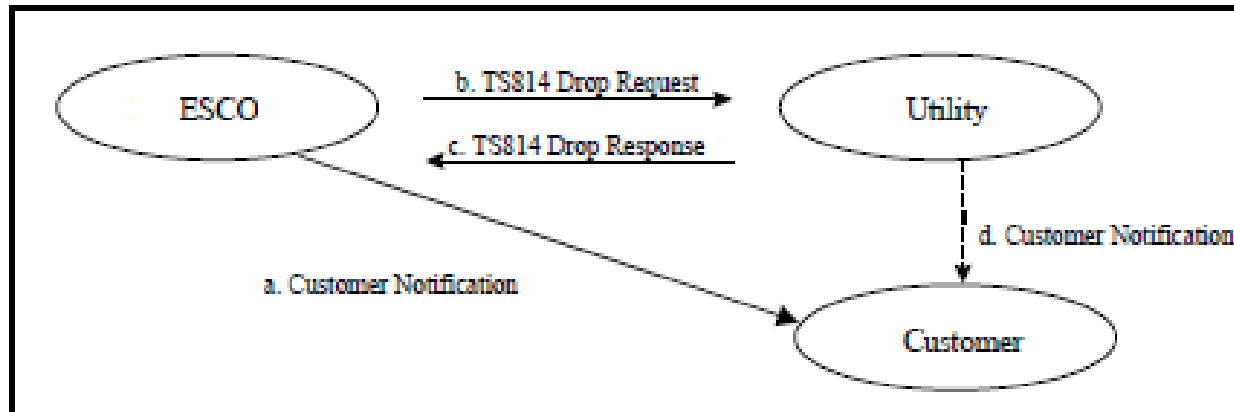
Notes:

- The recipient of an EDI transaction must return TS 997. The TS997 will be used by the Utility to confirm the ESCO receipt of the TS814 drop. ESCOs may not reject a TS814 for reasons other than validation or syntax errors.

DROP BUSINESS PROCESSES

DR 4.0 ESCO Drops Customer

The following represents the steps necessary to process an ESCO's request to discontinue supply for a customer. In this case, the Utility will return the customer to the Utility.



- a) ESCO sends applicable notices to customers whose service is subject to HEFPA requirements within the time frames established for such notices.
- b) ESCO provides notice to the customer at least 5 business days (10 business days for gas) prior to the date of discontinuance.
- c) ESCO sends a TS814 Drop Request to the Utility
- d) Utility returns a TS814 Drop Response to ESCO with the actual effective date of the discontinuance or Utility may reject ESCO Drop Request for validation or syntax errors.
- e) If ESCO TS814 Drop Request is accepted, the Utility may send a letter to the customer confirming the discontinuance with that ESCO.

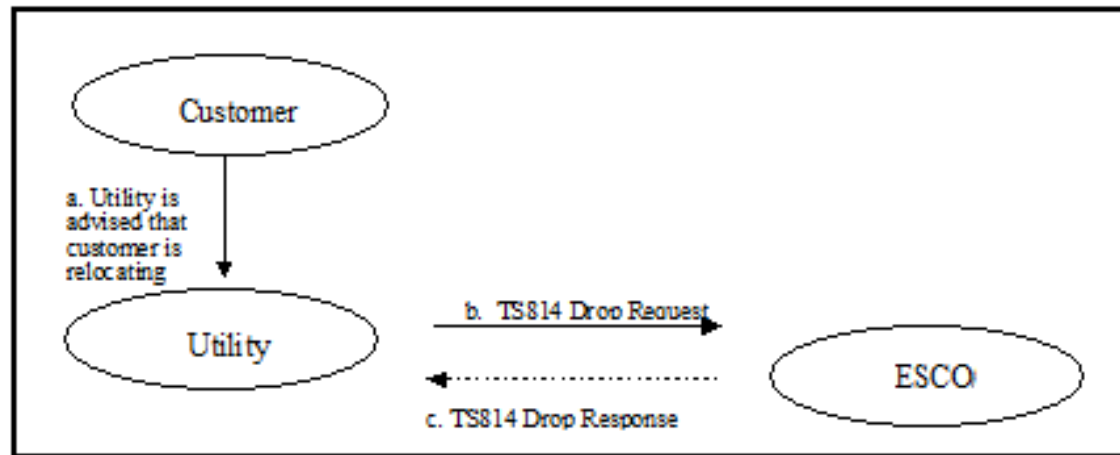
Notes:

- The recipient of an EDI transaction must return TS 997.
- The date of discontinuance will be either the meter read cycle date or the first of the month (for gas), provided the 814-Drop Request was received at least 5 business days (10 business days for gas) in advance of the date.

DROP BUSINESS PROCESSES

DR 5.0 Process Request for Relocation Within Service Territory (non-EDI)

The process by which a customer moving within the service territory requests retail choice enrollment with the same ESCO at a new location. This process involves a drop at the old location and an enrollment at the new location. Customer's Retail Choice enrollment is terminated on their old account and started on their new account.



- a) Utility is advised that customer is relocating and wants to retain current ESCO.
- b) Utility drops customer from supplier at old location (see DR1.1 and DR1.2).
- c) ESCO sends TS 814-drop response to Utility if they are rejecting the drop.

Notes:

- Utility processes enrollment of customer at new address (see Enrollment Business Processes Document).
- The recipient of an EDI transaction must return TS 997. The TS997 will be used by the Utility to confirm the ESCO receipt of the TS814 drop. ESCOs may not reject a TS814 for reasons other than validation or syntax errors.