CONSOLIDATED BILLING BUSINESS PROCESSES
(Utility Bill Ready)

This document describes the detailed business processes associated with rendering consolidated bills for end use retail customers under the Utility Bill Ready Model. The scope of this document addresses processes associated with the ESCO transmitting an 810 Consolidated Billing Invoice to the Utility and the Utility rendering a consolidated customer bill. In developing these business processes, the following documents were reviewed:

- June 30, 1999 Report of the New York EDI Collaborative
- New York Uniform Business Practices (UBP), Order Granting Portions of Petitions for Rehearing , issued and effective April 15, 1999 in Case 98-M-1343 - In the Matter of Retail Access Business Rules
- Order Establishing Uniform Retail Access Billing and Payment Processing Practices, issued and effective 5/18/01 in Case 99-M-0631, In the Matter of Customer Billing Arrangements and Case 99-M-1343, In the Matter of Retail Access Business Practices
- Opinion 01-03, Opinion and Order Approving EDI Data Standards and Data Protocols and Modifying the New York Uniform Business Practices for EDI Implementation, Case 98-M-0667, issued and effective July 23, 2001
- New York Uniform Business Practices (UBP), as modified in Opinion 01-03 in Case 98-M-0667 issued and effective July 23, 2001 (as displayed in the Interim Document published 11/16/01)
- Order Resolving Petitions for Rehearing, issued and effective March 14, 2002 in Case 99-M-0631 - In the Matter of Customer Billing Arrangements and Case 98-M-1343 - In the Matter of Retail Access Business Practices
- Order approving EDI Test Plans and Data Standards, issued and effective November 8, 2001 in Case 98-M-0667 - In the Matter of Electronic Data Interchange
- Order Approving Electronic Data Interchange Transactions for Utility Bill Ready and Rate Ready Billing, issued and effective June 21, 2002 in Case 98-M-0667
- Order Approving Electronic Data Interchange Standards Regarding Remittance and Account Assignment and Modifying the Application Advice Standards and all Type 814 Standards, issued and effective July 31, 2002 in Case 98-M-0667
- NY EDI TS814 Change (Account Maintenance) Business Process issued November 8, 2001
- NY EDI TS814 Enrollment Request & Response Business Process issued August 7, 2002
- NY EDI TS867 Monthly Usage Business Process issued August 7, 2002
- Notification Advice for Consolidated Billing Business Processes – Bill Ready Models
- 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.

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NOTES:

- Any item displayed under a Process component (i.e. rules, etc.) is also applicable for its sub-processes, unless otherwise noted.

- The source of various Process Rules listed in this document is indicated by the following annotations which precede each rule:
  - B&PP= Uniform Business Practices for Billing and Payment Processing issued 3/14/02
  - CWG = Collaborative Work Group or Case 12-M-0476 EDI Working Groups

- Utilities and ESCOs must demonstrate the technical capability to exchange information electronically for the billing and payment processing options offered by each party and meet the operational time frames that support the billing options used [B&PP B.10.].

- For purposes of validating EDI transactions, the customer's utility account number (with check digit, if included) must be included on every transaction unless otherwise specified in an Implementation Guide for a specific EDI data standard.

- When the Utility Bill Ready consolidated billing arrangement is in place, an 810 Invoice will be used by the ESCO to communicate ESCO billing information to the Utility. The Utility will present charges as calculated by the ESCO on the consolidated bill.

- A separate 810 Invoice will be received for each commodity (i.e. electric or gas).

- In this model, an 810 Original Invoice will contain billing information for the current bill period and may contain information on charges canceled by the ESCO. For example, if charges for the month of March are cancelled as a result of the April meter reading, the cancelled charges should be sent in the April 810 Invoice in addition to the re-billed charges for March period and the new charges for April. An 810 Cancel Invoice will not be used in this model.

- For the Bill Ready method, the ESCO's current charges will appear on the consolidated bill when the 810 Invoice containing their charges, and other pertinent information, is received by the Utility within 2 business days of the date the ESCO received valid usage data for a customer. This two-day period will be referred to as the "bill window." When an 810 Invoice is not received within the bill window, or is rejected for cause, the ESCO's current charges will not appear on the consolidated bill.

- Utilities will render the consolidated bill to the customer within two business days from receipt of the incoming ESCO 810 Invoice when the Invoice is received within the bill window.

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- This process assumes that the transmission date and receipt date of the 867 MU is the same.

- Customer usage, billing, and credit data is to be considered confidential and may not be shared with anyone without the express authorization of the customer, unless disclosure is required by appropriate legal or regulatory authority or is authorized in accordance with the Uniform Business Practices to facilitate the customer's retail access or billing and payment choice. 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 [seeB&PP B.7.].

- 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 for days for which business cannot be performed due to force majeure events [B&PP C.2.a.10, Footnote 11]. For example, the billing party must reject an 810 Invoice within one business day of receipt (via an 824 Application Advice). If the 810 Invoice transaction were received at the Utility Web server at 3:00 a.m. on Day 1, the Utility must send the 824 Application Advice transaction to the ESCO by the close of business on Day 2.

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PROCESS NAME:	***UTILITY PROCESSES CONSOLIDATED BILLS USING UTILITY BILL READY MODEL (PARENT PROCESS)***
PROCESS DEFINITION:	Process by which the Utility (billing party) uses data from the meter reading entity, charges calculated by the Utility (billing party) for delivery service and charges calculated by the ESCO (non-billing party) to issue a consolidated bill to the end use Customer.
TRIGGER(S):	Reported usage results in a bill and/or a billing has been scheduled for a customer (e.g. budget plan customers).
ESTIMATED / PEAK TRANSACTION RATE:	Dependent on the number of customers enrolled in Utility Bill Ready Consolidated billing per ESCO.
PROCESS INPUTS:	Usage information which can be Actual recorded usage obtained from the meter, or Estimated usage calculated at bill cycle or Customer read data; Customer Information; Service Information; Utility Bill Information; ESCO Bill Information.
PROCESS OUTPUTS:	Consolidated bill to end use customer displaying both Utility and ESCO charges for a billing period.
SUB OR PRECEDING	• ESCO enters a Billing Services Agreement (BSA) with the Utility and provides necessary generic information for example, an ESCO toll free or local number for billing inquiries. This information is exchanged non-EDI.

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PROCESSES:	• ESCO transmits an EDI Enrollment or Change transaction to request Utility Bill Ready Consolidated billing option for individual customers. • Utility validates the request (e.g. customer eligibility) in accordance with Enrollment and Change transaction rules. (See applicable documents.) • If a valid request, the Utility establishes customer on the Utility Bill Ready billing option on the Utility system and provides a positive response to the ESCO. 1.0 Utility Processes 810 Invoice – ESCO Charges Appear On Consolidated Bill 2.0 Utility Processes 810 Invoice – ESCO Charges Will Not Appear On Consolidated Bill ➢ 2.1 Utility Rejects 810 Invoice For Cause ➢ 2.2 Utility Rejects 810 Invoice For Missed Bill Window 3.0 Utility Processes 810 Invoice That Contains Cancelled Charges
PROCESS RULES:	[B&PP B.3.] Billing and payment processing options available in a service territory, including any additional or expanded options, and any variations on the practices identified herein . . . that may be developed, must be made available by the utility to eligible ESCOs for their customers' use and must be provided in a non-discriminatory manner, subject to general credit practices and the creditworthiness provisions of the Commission's Uniform Business Practices. [B&PP B.4.] Regulated utilities offering retail access using the multi-retailer model shall provide mechanisms that will allow customers to choose, through their ESCOs, the manner in which they wish to be billed and make payments, i.e., either the dual billing or consolidated billing options. [B&PP B.5.] Eligible ESCOs may select from the options available which billing option to offer their customers. Using any option, customers shall have the right to direct the billing party to send their bills to

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	any other entity for processing and payment, using the appropriate authorization mechanism. [B&PP B.6.] Validated usage information necessary for billing will be made available by the meter reading entity to both the billing and non-billing parties when it is deemed appropriate for billing purposes. [B&PP C.3.a. (1)] ESCOs must provide advance notice to utilities of plans to offer their customers a consolidated billing option. The option may not be available until the adequacy of the data interchange is successfully demonstrated to staff of the Department of Public Service and to the specific utility through testing. A minimum of 60 calendar days notice is required for such notices. The 60 calendar day notice may be waived or shortened by utilities if the time is not needed by the utility or where testing of data exchange capability was previously conducted successfully. The 60-day notice shall not impose any obligation on any party to proceed without a successful test of data exchange capability and the fulfillment of other obligations described herein. If an ESCO later changes its system in such a way that affects data interchange, adequate advance notice must also be given, and additional testing may be required. [B&PP C.3.b.] ESCOs and utilities must provide at least 15 calendar days advance notice (prior to a meter reading date or the first of a calendar month for gas utilities, where applicable) to each other of any decision to change billing options offered to customers, if the change would impact the other party. If the change would affect data exchange, the notification and testing provisions of section C.3.a. (1) apply. [B&PP C.3.c.(1)] ESCOs and utilities must provide at least 15 calendar days advance notice (prior to a meter reading date of the first of a calendar month for gas utilities, where applicable) to each other of any decision to terminate a billing option available to customers. [B&PP C.4.a.] A retail access customer may elect to initiate or change a billing option (including termination of consolidated billing) by requesting such action from an eligible ESCO. The ESCO shall

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	then notify the customer's utility at least 15 calendar days prior to the customer's next meter read date (or the first of a month for gas utilities, where applicable) of any action that the ESCO requires the utility to take on behalf of the customer. An EDI enrollment request is used to initiate a billing service and an EDI change request is used to modify the billing service or terminate consolidated billing. The utility must acknowledge receipt of the requests and send responses within two business days of the receipt, indicating that the request is processed or rejected. The utility may notify the retail access customer that its request for consolidated billing to commence or to terminate is processed. [B&PP B.13.] Disputes between billing and non-billing parties pertaining to billing and/or payment processing must be resolved in accordance with the Commission's Uniform Business Practices unless the parties agree to other procedures. [B&PP C.1.c.] The consolidated billing and payment processing arrangements between utilities and ESCOs are defined by this document except to the extent the parties agree to other provisions within the bounds of otherwise applicable laws, regulations, or Commission orders. The detailed expectations for the responsibilities of parties, including treatment for failure to meet obligations, shall be codified in Billing Service Agreements. [B&PP C.1.d.] … The bill ready method requires each non-billing party, after receiving the customers' usage data, to calculate its own charges and send the charges, billing information, and bill messages in a form that allows the billing party to transfer the information to the billing party's bill in a format selected by the billing party. [B&PP C.1.d.] …Using utility consolidated billing, the utilities may specify which methods they are capable of using…. ESCOs must also be prepared to issue separate bills in the event their consolidated billing rights are suspended or terminated. [B&PP C.1. f.] Unless a billing party's billing system cannot accommodate it, combination retail access

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	customers may have their natural gas and electricity accounts split and receive two separate consolidated bills (one for each commodity) or dual bills for one energy type and consolidated bills for the other. A fee may be charged to the party requesting the account splitting. Provisions for any such charge shall be set forth in the tariff. [B&PP C.1.h.] The utilities' tariffs will identify the credits customers will receive if consolidated billing is undertaken and the billing costs that utilities recover from ESCOs that choose to have the utilities perform consolidated billing. Such billing costs may be guaranteed by the ESCOs' portion of amounts received from customers by utilities (also see section C.3.a. (4)). [B&PP C.1.i.] Bill cycle and payment due dates shall be set by utilities unless agreement is reached between the utilities and the ESCOs to establish alternative dates that do not adversely affect customers. [B&PP C.2.a.] The specific functions that must be undertaken by either the utility or the ESCO, as the consolidated billing party, include: (1) Receiving bill charges and other billing information for consolidated billing customers from the non-billing party(using the bill ready method); (2) Not Applicable to Bill Ready (3) Receiving bill messages and bill inserts from the non-billing party; (4) Acknowledging receipt of the non-billing party's data and advising that its data is accepted or rejected (using the bill ready method); (5) Not Applicable to Bill Ready (6) Printing (or making available electronically) consolidated bills that reflect the non-billing party's billed charges (including taxes, arrearages, and late fees) and bill messages;

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	(7) Stuffing envelopes with the consolidated bill and any required bill inserts; (8) Stamping, sorting and mailing the consolidated bills or sending the bills electronically to the customer, if applicable; (9) Canceling and rebilling; (10) Notifying the non-billing party of amounts billed, by account, within two business days of rendering the bill to customers; (11) Receiving and recording customer payments; (12) Allocating and transmitting the non-billing party's share of receipts, by account, to the non-billing party; (13) Responding to general inquiries and complaints about the overall bill and its format; customers are to be referred to the non-billing party for inquiries and complaints related to the non-billing party's rates, charges, and services; and (14) Maintaining records of billing information, including billed amounts, amounts collected, amounts remaining, amounts transferred, and dates. [B&PP C.2.b.] The billing and non-billing parties may enter into mutually agreeable contracts setting forth terms for transferring other billing functions, subject to limitations of law and regulations. [B&PP C.2.c.] No party is required to perform collection activities with regard to another party's unpaid charges (i.e., beyond the standard billing and payment processing activities described . . . [in the referenced Order]). … A bill message stating a past due balance is not considered a collection activity. [B&PP C.2.d] Using the bill ready method, each party is responsible for calculating and identifying the sales and use taxes applicable to its own charges; … . The non-billing party is responsible for payment of

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	its own tax expenses. [B&PP C.2.e] If a customer deposit is required by any party, that party is responsible solely for originating and administering the deposit. If a customer's deposit is to be applied to a customer's outstanding balance by a non-billing party, the non-billing party holding the deposit must advise the billing party that the deposit has been applied. [B&PP C.2(i)] The party rendering a consolidated bill may agree to, and be responsible for processing special handling requests from customers, provided that it informs and obtains acquiescence from the non-billing party for requests that affect the non-billing party. [B&PP C.2(j)] The billing party is not responsible for providing statements to customers concerning gross receipts taxes related to the non-billing party's charges. The non-billing party may provide such a statement in a bill message (or as a line item on the bill using the bill ready method). [B&PP C.2(k)] Special billing features that have no effect on the non-billing party may be implemented by the billing party to the extent not prohibited by law, regulation or order. The non-billing party may offer special billing features (such as budget billing or average payments plans) using the bill ready method. [B&PP C.4.b] A utility may not assess charges on customers or their ESCOs for initiating or changing billing options (including termination of consolidated billing). [B&PP C.3.c.(2)] An ESCO's right to offer a consolidated bill (either as the billing party or the non-billing party) may be suspended and/or terminated by the utility if the ESCO fails to comply with the Billing Services Agreement, fails to comply with its own written procedures supplied to the utility, fails to remain in compliance with data interchange standards, fails to comply with these business practices, fails to meet applicable creditworthiness and/or security requirements, is suspended of terminated as an eligible ESCO under other provisions, or there are an excessive number of customer complaints about the clarity,

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	timeliness, or accuracy of the consolidated bill of an ESCO's responsiveness to inquiries. If the utility determines that the ESCO has failed to meet any of its obligations, it may notify the ESCO that its right to initiate consolidated billing for additional customers is temporarily suspended and give the ESCO at least 15 calendar days from the date of the notice to cure the identified deficiency. If the deficiency is not cured within the specified period, the utility may commence dual billing for the ESCO's customers after it submits a change request in accordance with section C.3.b. above. [B&PP C.3.c.(3)] After termination (either voluntary or involuntary) of consolidated billing rights, an ESCO wishing to resume consolidated billing to its customers must reapply to the utility using the same process as used for new entrants (see section C.3.a. (1)). Utilities shall expedite consideration of such applications. Customers may begin receiving consolidated bills again after requirements are met, including submission of the EDI transaction requests to establish consolidated billing for customers. Such a process is not required for suspensions that do not result in terminations of consolidated billing. [B&PP C.4.c] When more than one request to change a customer's billing option is transmitted for a billing cycle, the last request received, if submitted at least 15 calendar days prior to the customer's meter read date (or first of the month, where applicable) shall control. [B&PP C.4.d.] A utility may deny a request for initiation of, or may discontinue, consolidated billing for a customer with a past due amount outstanding at least 38 calendar days, unless the past due amount is subject to a deferred payment agreement and the customer is fulfilling the deferred payment obligations. [B&PP C.4.d.) [FOOTNOTE 17] Payment processing for consolidated bills will continue for 23 days after a final bill is issued, or payment of the final bill, whichever is sooner. [B&PP C.5.a.] The billing party must render a consolidated bill in accordance with applicable legal and consumer disclosure requirements and agreed-upon standards documented in the Billing Service Agreement. The billing party shall issue a bill directly to the customer or the customer's representative

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	and the customer or its representative must pay the billing party. [B&PP C.5.b.] The consolidated bill format shall be within the billing party's discretion, subject to the provisions. . . [described in the referenced Order]. [B&PP C.5.c.] The consolidated bill shall provide a summary total of charges and itemize utility and ESCO charges separately, each in enough detail to provide the customer enough information to judge the accuracy of the bill. Such itemizations shall be in clearly separated portions of the bill with the source of the charges (utility or an ESCO) clearly identified. [B&PP C.5.d.(1)] The following information shall be displayed on each bill, preferably in a <u>summary</u> section: (a) Customer name; (b) Service address; (c) Billing address (if different than service address); (d) Billing party account number, if any; (e) Start of billing cycle period (prior meter reading date for metered customers); (f) Starting period meter reading (for metered customers); (g) End of billing cycle period (current meter reading date for metered customers); (h) Ending period meter reading (for metered customers); (i) Billing period metered usage, any multiplier necessary to convert usage to billing units and resulting billing units (for metered customers);

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	(j) Billing period demand (if applicable); (k) Indicators, if usage is estimated, actual or customer provided; (l) Total current charges (total of billing and non-billing party charges, including late charges and taxes); (m) Total prior bill charges (total of billing and non-billing party prior bill charges, including prior late charges and taxes); (n) Total credits since last bill (total of billing and non-billing party credits); (o) Date through which credits are applied; (p) Total current bill (total of billing and non-billing party charges plus prior bill charges less credits); (q) Billing party name (and billing party logo if billing party wishes it shown); (r) Billing party address; (s) Billing party toll-free or local telephone number; [FOOTNOTE 19] Billing parties that enroll and communicate primarily with customers through the internet may specify their internet address and customer service office telephone number with an area code in lieu of a toll-free or local telephone number. (t) Utility toll-free or local telephone number for natural gas or electric emergencies; (u) Method and location for payments; (v) Date of bill; (w) Payment due date; (x) General billing party bill messages of any length, that apply in general to the overall bill and the

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	services provided by billing and non-billing parties and are not reasonably objectionable to the non-billing parties. [B&PP C.5.d.(3)] The following information shall be displayed on the ESCO portion of combined bills. If more than one ESCO, it must be separately displayed for each ESCO. (Some information may be duplicative of information on the utility portion of the bill). (a) ESCO name (and logo if the parties agree); (b) ESCO address, if the ESCO is not the billing party; (c) ESCO toll-free or local telephone number for billing inquiries, if the ESCO is not the billing party; (d) ESCO account number, it the ESCO is not the billing party and has a unique account number; (e) ESCO rate classification, if applicable; (f) ESCO rate per billing unit, where applicable; (g) ESCO rate not based on utility unit, if applicable; (h) ESCO charge adjustments and adders, if any separately stated; (i) Taxes on ESCO charges, if required to be separately stated; (j) Billing period total ESCO charges; (k) Prior billing period total ESCO charges, including any prior late charges; [FOOTNOTE 23] Accounts receivables purchased by utilities shall be treated for bill display purposes as receivables due the ESCO and shown on the ESCO portion of the bill. If there is a switch of ESCOs or to dual utility billing, the purchased amount may be shown as a separate line on the utility bill. As previously noted, utilities may not disconnect, or threaten to disconnect customers for failure to pay charges on

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	balances assessed as a result of purchasing receivables from ESCOs. (l) Credits on prior ESCO charges; (m) Net prior ESCO balance remaining; (n) Late charge for unpaid prior ESCO balance; (o) Total amount due for ESCO services; (p) If a budget bill, applicable billing information and resulting budget bill amount due; (q) The ESCO's bill message, if any, up to 480 characters, if the ESCO is not the billing party. There is no limit for the billing party. Non-billing party bill messages shall be related to the services provided for the charges on the bill. The billing party shall print the messages on the bill requested by the non-billing party, provided that the billing party and other parties to the bill do not have any reasonable objections to the message. [B&PP C.5.i.] The billing party may not include charges on the utility portion of consolidated bills that are not authorized in a tariff and neither party may include charges on bills for services not authorized or received by customers (cramming); [B&PP C.5.j.] As noted, bill messages by a non-billing party up to 480 characters in length are allowed, unless the parties agree upon longer messages. There is no limit for the billing party. The billing party shall print the messages on the bill requested by the non-billing party, provided that the billing party and other parties to the bill do not have any reasonable objections to the message. When the bill ready method is used, the text of the messages may be transmitted in the same EDI transaction as the billed charges. [B&PP C.5.k.] The billing party shall be responsible for delivering information to customers that is required by statute, regulation, or Commission order to be printed on or inserted into bills. The party

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	obligated by statute, regulation or Commission order to provide such information to customers shall submit the required information to the billing entity. If the information is inserted in the billing envelope, the inserts must be submitted to the billing party in preprinted bulk form of an appropriate size to fit in the billing envelope at least 15 calendar days before the date they are to be included with customer bills. The parties may agree upon inclusion of additional inserts or for the printing of separate mailing of the required inserts by the billing party. Notice and prior discussion of the size and weight of the inserts is necessary to ensure that the billing party provides the proper size envelope and affixes the proper postage. The billing party may not assess charges for inclusion of inserts required by statute, regulation or Commission order, provided that the inserts do not exceed one-half ounce in weight. [B&PP C.5.l.] Due dates and other general payment terms and conditions shall be identical for ESCO and utility charges when a consolidated bill is rendered unless different terms and conditions would have no impact on either of them. [Footnote 25] In the event of conflicts, the payment terms and conditions of the utility shall be used. [B&PP C.6.b.] Using the bill ready method, the non-billing party's charges and other information must be received by the billing party within two business days following receipt by the non-billing party of valid usage data for a customer account. [B&PP C.6.c.] Using bill ready billing, if the non-billing party's transaction is received within the appropriate time frame, but the transaction is rejected for cause, the billing party must send the non-billing party an EDI transaction reject notice, identifying the reason for the rejection, within one business day of receipt of the non-billing party's transaction. The non-billing party may, if time permits, submit a corrected file containing billing charges for inclusion in the current billing statement. [B&PP C.6.d.] If a non-billing party's transactions is sent to the billing party outside the appropriate time frame, then the billing party may reject the transaction and shall notify the non-billing party within two

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	business days that the charges were not billed. The non-billing party may resubmit its charges the following billing period in accordance with the time requirements stated above and without added late charges. If the bill ready method is used, the non-billing party may submit a separate bill to the customer with an explanation and directions to send the supplemental payment to the billing party's address. The non-billing party shall notify the billing party that a supplemental bill was sent to the customer. The parties may also agree that the billing party shall hold the non-billing party's charges for inclusion in the next bill. [B&PP C.6.e.] If a non-billing party's file is accepted using a bill ready method, the billing party must present or render a bill to the customer within two business days of receipt of the file. A bill is presented or rendered when it is transferred to the custody of the U.S. Postal Service or presented to an overnight delivery service or, if authorized by the customer, sent electronically to a valid e-mail address or telefax number, displayed on a secure website, or presented directly to the customer or his representative. [B&PP C.6.f.] If the billing party has not purchased a non-billing party's accounts receivables, is able to process the non-billing party's file, but unable to render a bill within the allotted time, the billing party shall notify the non-billing party immediately. Customers shall be afforded the same grace period to pay bills as they would if the delay had not occurred. [B&PP C.7.a.] The cancel and rebill process for consolidated bills shall be non-discriminatory, clear and reproducible, and communicated to affected parties. [B&PP C.7.b.] If non-billing party errors occur and are not corrected before the bill is issued, the bills will not be cancelled or new bills issued, unless the billing and non-billing parties agree. [B&PP C.7.c.] If billing party errors occur and cause the non-billing party charges to miss the billing window, the billing party shall cancel and reissue the bills within two business days of notification, unless the billing party and non-billing party arrange an alternative bill correction process. Customers shall be

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	afforded the same grace period to pay bills as they would if the error had not occurred. [B&PP C.7.d.] If neither party has erred, the parties may agree to cancel and rebill. [B&PP C.7.e.] Whenever a consolidated bill is cancelled, the following practices will be followed, to the extent practicable (1) Cancelled usage will be by billing cycle period; (2) The consumption sent in the cancel transaction will match the consumption sent in the original transaction; (3) Cancelled usage will be sent at the same level of detail as the original usage, unless the parties agree to a different level of detail; (4) In order to restate usage for a period, the Meter Data Service Provider will first completely cancel usage for that period and then send the full set of restatement transactions; (5) When credits or debits are created during a cancel/rebill event using the bill ready method, the non-billing party shall not transmit the credit or debit to the billing party until the associated rebill debit or credit transaction is completed and sent to the billing party; (6) Not Applicable (7) Using the bill ready method, if a bill is to be cancelled and reissued, the billing party shall issue the revised bill to customers within two business days of receipt of the corrected data. [B&PP C.8.b.(6)(a)] Unless the customer specifies otherwise [FOOTNOTE 30], the billing party shall allocate customer payments first to utility charges that are not in dispute, past due and current

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	[FOOTNOTE 31], and then to the non billing party's charges, past due and current. The parties may agree to other allocations as long as customers are not disadvantaged. At the time notice of payment is provided to the non-billing party, the billing party shall also notify the non-billing party of any customer designated payment allocations that are inconsistent with the payment allocation requirements specified above. [B&PP C.8.b.(6)(a) Footnote 30] Customers authorizing other payment allocations must provide written instruction to the billing party separate from any notation on the bill payment stub or check. The billing party, however, may honor a customer's notation on a bill payment stub or check, or a verbal or electronic request, if it retains clear proof of the customer's instructions. [B&PP C.8.b.(6)(a) Footnote 31] Utilities supplying delivery service for both natural gas and electricity to customers receiving consolidated bills shall apply the receipts to the separate services in accordance with their normal procedures. Where a consolidated bill displays delivery charges for separate gas and electric utilities, the customer's payments shall be first prorated between the utility accounts in accordance with the amount each is due compared with the total amount due both utilities. [B&PP C.8.b.(6)(b)] The billing party may retain any payment amounts in excess of the amounts due as prepayments for future charges or return the excess amounts to customers. For customers on utility deferred payment or budget plans, the billing party shall apply amounts in excess of the amount due (which includes the deferred or budget installment payment) to the balance of outstanding deferred charges, if applicable, or credited as additional payments under the customer's budget plan. [B&PP C.8.b. (6)(c)] When the billing or non-billing party enters into a multi-month payment agreement with a customer or waives any charges, that party shall notify the other party of such action, if the other party is affected. When accounts receivable are purchased, such agreements or waivers shall involve only the receivables of the entity making the agreement, unless the other party to the billing arrangement

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	agrees that its receivables can be included. [B&PP C.8.b.(8) (a)] When a final bill is issued, the billing party shall maintain a current and past due balance for each account of the non-billing party until payment of the last bill issued for service provided by the non-billing party or 23 days after issuance of such bill, whichever is sooner. After such time, the account shall be considered "inactive". [B&PP C.8.b.(8) (b)] In the pay-as-you-get-paid method, following a customer's change to a new ESCO, the billing party shall continue to receive and apply customer's payments for the active account of the prior ESCO. If the customer does not pay the outstanding balance owed to the prior ESCO by the end of 23 days after the final bill containing the prior ESCO's charges is issued, the billing party shall notify the ESCO and report the balance due. [B&PP C.8.b.(8) (c)] With regard to a new utility/ESCO relationship following a change of ESCOs or a change in utilities, the new billing party shall, upon request of the new non-billing party, bill for the balances that may have existed at the time of the change. The new billing party may include the arrears on current bills or in a separate bill if the billing system cannot accept prior charges. If a change of ESCOs occurs, any arrears of the prior ESCO need not be shown on consolidated bills issued after the final billing of the prior ESCO's charges, unless the arrears become the property of the new ESCO. [B&PP C.8.(9) (a), (b) & (c)] (a) <u>Initiating a Bill Complaint</u> Customers or their authorized representatives may initiate customer complaints regarding some or all of the charges on the customer bills at any time. When a complaint impacts the entire bill or is specific to only the billing party's services or charges, the customer should contact the billing party (or should be referred to the billing party). The billing party will address the complaint and, if appropriate, place the customer's account in dispute. In the event the inquiry concerns only a non-billing party's services or

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	charges, the billing party shall refer the customer to the non-billing party. Billing and non-billing parties shall address complaints related only to their own services and charges, except as noted in the previous paragraph, unless the parties have agreed in the Billing Services Agreement specifically to resolve other parties' complaints, or except to the extent necessary to explain calculations performed using the rate ready method. Inquiries related to another party's services and charges shall be referred to the appropriate party, except as noted above. (b) Notification of Customer Complaints The billing party, upon determining that complaint exists that will impact the entire bill, shall notify the non-billing party of the subject and amount in dispute, if known. The non-billing party shall inform the billing party of disputes related to non-billing party charges that would affect the billing process. Once such complaints are resolved and the billed amounts are no longer in dispute, the other party shall be notified. (c) Call Centers for Consolidated Billing Parties issuing consolidated bills shall provide call centers with toll-free or local telephone access available 24 hours a day. Voice mail service shall be accessible when call center staff is not available. The parties shall maintain adequate staff to respond to customers' inquiries or refer inquiries to the non-billing party, where appropriate, within 24 hours. [CWG] [B&PP C.5.c.] The consolidated bill will include a summary section which will display as of the bill date: the total beginning balance, total payments applied since previous bill, total current period charges, total current period adjustments and the total balance due on the consolidated bill. The consolidated bill will also contain a detail section itemizing utility current period charges, and a detail section itemizing ESCO current period charges. Such itemizations will be in clearly separated portions of the bill with the source of the charges (utility or ESCO) clearly identified.

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	[CWG] The Utility will maintain a balance on each account on behalf of the ESCO for both payment allocation and bill presentation purposes. The Utility will use information sent by the ESCO in the 810 Invoice and payment information in the Utility system, through the date the Utility assigns, to generate the consolidated bill summary and detail sections. The customer will receive a bill that displays activity dates for each part of the consolidated bill and will be able to easily understand where new charges and adjustments were generated and where payments were applied. [CWG] The ESCO will notify the Utility of generic ESCO information via non-EDI methods. This non-EDI means will be identified in a Billing Services Agreement (BSA) to be executed between the parties. Generic information may include ESCO logo (if used on the consolidated bill), ESCO phone number, and ESCO address. If parties agree that other information is to be presented on the consolidated bill on behalf of the ESCO, arrangements to accommodate that additional information will be documented in the Billing Services Agreement. [CWG] When Utility Bill Ready consolidated billing is in place, an 810 Invoice is used by an ESCO to communicate their billing information to the Utility for presentation on the customer's consolidated bill. [CWG] At the time the account switches to bill ready consolidated billing, the ESCO may send the ESCO Beginning Balance to the Utility to communicate the customer's balance, if any, prior to the switch to Bill Ready billing. The Utility will establish this amount in its records as the starting balance for that customer. [CWG] Where the Utility is the meter reading entity, the Utility will send usage when the data is acceptable by the utility to bill its customers. For accounts on a bi-monthly meter read cycle that are billed monthly, for example customers enrolled in budget bill plans, and no usage information is available for the interim month, the Utility will send an 867MU transaction to notify the ESCO that an interim bill will be issued. In this instance, the 867MU transaction will not contain usage data, but only an Interim

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	Bill Notice segment to indicate that a bill window is open for the customer. The ESCO may, but is not required to, bill the customer. If the ESCO chooses to bill the customer, they must return an 810 Invoice containing their charges for the interim month consolidated bill within the current bill window. [CWG] When an account is scheduled to be read bimonthly, but a monthly budget bill is being provided by the Utility, the ESCO may bill the account bimonthly based upon the bimonthly consumption or bill the account monthly using either estimated consumption or establishing its own budget billing plan. [CWG] Customers are billed at the time collection of usage information is scheduled and/or when the customer is scheduled for billing. Transmission of an 867MU transaction initiates a bill window for that customer. Following receipt of valid usage data or an 867MU Interim Bill Notice for a customer account, the ESCO has two business days to transmit to the billing party an 810 Invoice transaction containing their charges. [CWG] The ESCO will transmit information on current period charges/adjustments, other than tax information, in an SAC segment in the 810 Invoice transaction. Each charge or adjustment sent in the Invoice transaction may be described through the assignment of a specific code in the standard used to identify charge/adjustment types. Although a specific text description is associated with each code, by agreement between the Utility and ESCO, alternate text may be substituted and presented in the customer bill. [CWG] The ESCO will send tax information in a TXI segment in the 810 Invoice. [CWG] Information on payments received by the ESCO for its own charges and/or a refund issued by the ESCO to its customer must be communicated to the billing party via a PAM segment in the 810 Invoice. Payments on a consolidated bill received by the Utility would be allocated between the Utility and ESCO accounts for the customer in the manner prescribed in the UBP. The amount of the customer's payment allocated to the ESCO, and remitted by the Utility to the ESCO, should not be included in a subsequent

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	810 Invoice sent by the ESCO. Information presented in the ESCO detail portion of the consolidated bill on payments applied to the customer's account with the ESCO will be amounts posted in the Utility system as of the bill date. When an ESCO receives a customers' payment on the consolidated bill , the ESCO must contact the Utility immediately (non-EDI means). The process for handling payments on a consolidated bill that are misdirected to the ESCO must be agreed upon and documented in the BSA. [CWG] Bill messages to be displayed on the ESCO's portion of the customer's consolidated bill may be communicated in one of two ways. The 810 Invoice transaction may contain either the actual text of the bill message to be displayed on the bill or may contain code(s) that the parties have previously agreed to associate with specific pre-approved bill message text. The method to be used for handling text messages is at the discretion of the Utility. [CWG] To date, laws, rules and Commission orders applicable to bill inserts require ESCO's to provide only one bill insert, an environmental disclosure label. Inclusion of additional inserts is subject to negotiation by the Utility and ESCO and details of such arrangement will be included in the BSA. [CWG] When the Utility and ESCO agree that the ESCO may offer budget billing to its' customers then the Utility must present in the consolidated bill the budget plan amount sent by the ESCO in the 810 Invoice transaction. [CWG] The ESCO may send additional budget information to the Utility for presentation on the customer's bill such as: • budget plan cumulative difference (budget amount and actual charges billed, to date, for budget balance information purposes) • budget plan current month difference (difference between actual charges and budget charges, for budget balance information purposes)

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	• settlement amount (total amount due if the budget is ended) • actual charges [CWG] The Utility (as the billing party) must maintain the balance for the customers' account with the ESCO for the purpose of payment allocation and to accurately prepare the summary and ESCO detail section of the consolidated bill. To establish and maintain a record of the customers' account balance with the ESCO the Utility will use information sent by the ESCO as well as payment information from the Utility system including: • the ESCO Beginning Balance (if sent by the ESCO when Bill Ready billing is initially established), • ESCO charges (which may consist of either budget installment plan amounts or actual charges where a budget plan is not in effect), • ESCO adjustments (payments received by ESCO for its charges, refunds issued to customers, security deposits collected and applied by the ESCO, rebates or waivers of previously billed amounts, or canceled charges), and • and payments on consolidated bills received, allocated and posted by the Utility. [CWG] When the customer's account is on ESCO budget billing, the Utility will use the budget installment amount to establish and maintain the ESCO balance. [CWG] To present the ESCO <u>detail</u> portion of the consolidated bill, the Utility will use data provided by the ESCO in the 810 Invoice transaction, generic information previously provided non-EDI, information on payments made to, and apportioned by, the Utility to the customer's account with the ESCO and past due balance information, if any, as shown in the Utility's system. The information will be reflected in the aggregate line item amounts that are displayed in the summary section of the consolidated bill.

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	[CWG] Should the ESCO receive a payment directly for ESCO-only charges (i.e. not a payment on a consolidated bill), the ESCO must include the amount of the payment in the 810 Invoice in a PAM segment so that the Utility may adjust its balance, if necessary, on the customer's account with the ESCO and be able to present this information as an adjustment in the ESCO portion of the consolidated bill. The summary section of the consolidated bill will not recognize this amount as a 'payment' because this amount was not a payment received by the Utility on a previous consolidated bill and was not subject to the payment allocation process. The summary section of the consolidated bill will reflect the effect of the ESCOs receipt of this payment in the presentation of the total adjustments and in the total amount due. [CWG] For bill presentation purposes, the customer's total balance due for the ESCO detail section of the bill will be equal to: Beginning Balance on the ESCO account for the customer (from Utility system which may include an amount provided by the ESCO in its initial 810 Invoice for this customer) +/- Current period charges/adjustments (sent in the 810 invoice) - Payments received and credited on or before the "as of" date displayed on the consolidated bill (from Utility system) +/- Payments received or refunds issued by the ESCO for their charges (sent in a PAM segment in the 810 invoice) = Total Balance Due [CWG] The Utility will determine the bill date (the 'as of' date) to be presented on the consolidated bill. The bill date will be either (1) as of the date usage data was sent to the ESCO (867MU) or (2) as of the date the 810 Invoice transaction is received by the Utility. For option 1, payments received by the Utility during the bill window would not be reflected in the consolidated bill; for option 2, payments received

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	and allocated by the Utility after the 867MU transaction was sent but before the consolidated bill is generated may be reflected in the consolidated bill. [CWG] The Utility will respond to all ESCO 810 Invoices. The response will either be a notification of amounts billed (an 824 Positive Notification) or a response indicating that ESCO charges have not been presented on the consolidated bill (an 824 Application Advice). See Processes 1.0 and 2.0 for more detail. [CWG] When the ESCO does not transmit an 810 Invoice to the Utility within the bill window (the Invoice has been rejected), the bill for the period would reflect balance information in the ESCO detail portion but will not reflect current period charges. When this occurs, the Utility will indicate that there are no current period charges being billed for the ESCO in this consolidated bill. [CWG] A single 810 Invoice will be used to communicate both billing information and cancellation of charges on behalf of the ESCO. For example, if charges for the month of March are cancelled as a result of the April meter reading, the cancelled charges will appear on the April 810 Invoice in addition to the re-billed charges for March period and the new charges for April. [CWG][B&PP C.6.d.] The process for handling ESCO issuance of separate bills should be carefully documented in advance in the Billing Services Agreement between the parties. When an ESCO sends a bill directly to the customer, the ESCO must notify the Utility via a non-EDI method. [CWG] [B&PP C.6.f.] When the Utility is unable to render a bill within the allotted time, the Utility will notify the ESCO immediately. This notification will be non-EDI. [CWG] For the Bill Ready method, the ESCOs current charges will appear on the consolidated bill when the 810 Invoice containing those charges and other pertinent information is received by the Utility within 2 business days of the date the ESCO received valid usage data for a customer. This two-day period is referred to as the "bill window." When the 810 Invoice is not received within the bill window

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	or is rejected for other reasons, the ESCO's billing information will not appear on the consolidated bill. [CWG] [B&PP C.2.a.(10)] [B&PP C.6.c.] [B&PP C.6.d.] The Billing Practices prescribe time frames in which information must be exchanged between the billing and non-billing parties that may be longer than necessary and/or are inconsistent with the parties' existing processing routines: within two business days – notify the non-billing party of amounts billed (824 Positive Notification) within two business days – notify the non-billing party that their charges were not billed when a transaction was received outside the bill window (824 Application Advice) within one business day – send the non-billing party a reject notice when a transaction is rejected for cause (824 Application Advice) Therefore, the following guidelines will apply to all billing party responses to receipt of an 810 Bill Ready Invoice: • 824 Positive Notification -- will be created on the same day as the consolidated bill is created • 824 Application Advice -- will be created within one business day of receipt of the 810 Invoice. [CWG] A separate 824 Application Advice transaction will be sent for each 810 Invoice being rejected. The Advice transaction will indicate the reason for the rejection. [CWG] When an 810 Invoice is received outside of the bill window, the 824 Application Advice transaction will indicate that the reason for rejection is "Outside Bill Window"(OBW). [CWG] The billing and non-billing parties must agree in advance, and document in their Billing Services Agreement (BSA), how 810 Invoices received outside the bill window will be handled.

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	When an 810 Invoice is rejected for a missed bill window the parties may agree either that: • An 810 Invoice containing bill information for the missed cycle will be sent during the subsequent bill cycle; or • The billing party will hold bill information from the rejected 810 Invoice for presentation on the next bill. [CWG] When an 810 Invoice is rejected for a missed bill window the Utility will indicate in the 824 Application Advice rejecting the Invoice either that: • An 810 Invoice containing bill information for the missed cycle should be sent during a subsequent bill cycle (BGN code in 824 Application Advice is "82=Follow Up"); or • The Utility will hold bill information from the rejected 810 Invoice for presentation on the next bill (BGN code in 824 Application Advice is "EV=Evaluate"). [CWG] [B&PP C.6.d.] When the Utility has rejected an 810 Invoice and bill information in that Invoice must be resent during the next bill window for the customer, the ESCO must send *two* 810 Invoices – one containing bill information for the prior period and one for the current period. [CWG] [B&PP C.6.d.] When an 810 Invoice transaction is rejected and bill information from that Invoice will be held by the billing party, the ESCO must send, during the next bill window for that customer, a new 810 Invoice containing charges for the current bill period but should not retransmit the rejected 810 Invoice. The Utility will use the bill information from the "held" 810 Invoice and the current 810 Invoice to prepare the current bill (s). [CWG] When the Utility receives more than one 810 Invoice for a customer during a bill window and each invoice is for a different bill period, the Utility may either present amounts from <u>each</u> invoice in

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	separate bills or present all amounts in a single bill. [CWG] [B&PP C.2.a.] When an 810 Invoice has been accepted the Utility will send the ESCO an 824 Positive Notification transaction to confirm that the ESCOs bill information has been presented on the consolidated bill. The Positive Notification transaction will contain the following bill information from the ESCO section of the consolidated bill: ➢ Total Payments Applied (To ESCO Account) ➢ Payment Applied Through Date ➢ Total Amount Due (For ESCO Charges) ➢ Payment Due Date [CWG] When the Utility has accepted more than one 810 Invoice transaction for a customer during a bill window and bill information from each Invoice will be presented in the current bill(s), the Utility may respond either with separate 824 Positive Notification transactions for each Invoice or a single 824 Positive Notification that references all 810 Invoices. When a Positive Notification is sent in response to each 810 Invoice received, the content of each Notification transaction (i.e. total payments applied, applied through date, payment due date and total amount due) will be the same when the bill information was presented in a single consolidated bill.
COMMENTS:	

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CONSOLIDATED BILLING BUSINESS PROCESSES
(Utility Bill Ready)

PROCESS NUMBER:	***UBR 1.0***
PROCESS NAME:	***UTILITY PROCESSES 810 INVOICE – ESCO CHARGES APPEAR ON CONSOLIDATED BILL***
PROCESS DEFINITION:	Process by which the Utility receives calculated charges from the ESCO, consolidates Utility and ESCO charges, and issues the consolidated bill to the customer.
TRIGGER(S):	The meter reading entity sends an 867 MU transaction for a customer's account to the ESCO.
ESTIMATED / PEAK TRANSACTION RATE:	Dependent on the number of customers enrolled in Utility Bill Ready Consolidated billing per ESCO.
PROCESS INPUTS:	Usage information which can be actual recorded usage obtained from the meter, or estimated usage calculated at bill cycle or customer read data; Customer Information; Service Information; Meter Information (where applicable), Utility Bill Data, ESCO Bill Data (from 810 Invoice and Utility records).
PROCESS OUTPUTS:	Consolidated bill to end use customer displaying both Utility and ESCO charges for the billing period.
SUB OR PRECEDING PROCESSES:	• Meter is read or usage is estimated • Usage is validated • 867 MU containing usage or an Interim Bill Notice is sent to the ESCO • Utility calculates its charges/adjustments • ESCO calculates its charges/adjustments • ESCO sends an 810 Invoice to the Utility within two business days of receipt of the 867 MU transaction. • Utility checks for payments/adjustments posted since 867MU was sent and updates customers' balances as necessary

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	OR • Utility compiles consolidated bill based on balance information as of the date the 867MU transaction was sent and extends the due date for payment by two days • Utility issues a consolidated bill to the end use customer that includes both Utility charges and the ESCO's charges sent in the 810 Invoice. • Utility notifies the ESCO of bill information presented in the consolidated bill via an 824 Positive Notification transaction. • Utility receives and allocates customer payments between the customers' Utility and ESCO accounts. • Utility remits to the ESCO their portion of the customers' payment via an 820 Remittance transaction.
PROCESS RULES:	See UBR 0 for general rules and information. [CWG][B&PP C.6.b.] Using the bill ready method, the ESCO's charges and other information must be received by the billing party within two business days following receipt by the ESCO of valid usage data for a customer account *in order to appear in the current period's bill*. [B&PP C.6.e.] If a non-billing party's file is accepted using a bill ready method, the billing party must present or render a bill to the customer within two business days of receipt of the file. Using the rate ready method, the bill must be presented or rendered in accordance with the utility's normal bill issuance schedule. A bill is presented or rendered when it is transferred to the custody of the U.S. Postal Service or presented to an overnight delivery service or, if authorized by the customer, sent electronically to a valid e-mail address or telefax number, displayed on a secure website, or presented directly to the customer or his representative.

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	[CWG] [B&PP C.2.a.(10)] On the same day the consolidated bill is created, the Utility will send an 824 Positive Notification transaction to advise the ESCO of bill information presented in the current bill. [CWG] [B&PP C.2.a.] The 824 Positive Notification transaction sent by the Utility will contain the following bill information from the ESCO's section of the consolidated bill: ➢ Total Payments Applied (To ESCO Account) ➢ Payment Applied Through Date ➢ Total Amount Due (For ESCO Charges) ➢ Payment Due Date [CWG] When the Utility receives and accepts more than one 810 Invoice for a customer during a bill window and each invoice is for a different bill period, the Utility may either present amounts from <u>each</u> invoice in separate bills or present all amounts in a single bill. [CWG] When the Utility has accepted more than one 810 Invoice transaction for a customer during a bill window and bill information from each Invoice will be presented in the current bill(s), the Utility may respond either with separate 824 Positive Notification transactions for each Invoice or a single 824 Positive Notification that references both 810 Invoices. When a Positive Notification is sent in response to each 810 Invoice received, the content of each Notification transaction (i.e. total payments applied, applied through date, payment due date and total amount due) will be the same when the bill information was presented in a single consolidated bill.
COMMENTS:	

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CONSOLIDATED BILLING BUSINESS PROCESSES
(Utility Bill Ready)

PROCESS NUMBER:	***UBR 2.0***
PROCESS NAME:	***UTILITY PROCESSES 810 INVOICE – ESCO CHARGES WILL NOT APPEAR ON CONSOLIDATED BILL***
PROCESS DEFINITION:	Process by which the Utility receives an 810 Invoice from the ESCO but the Invoice transaction is rejected and the ESCOs current charges/adjustments will not be presented on the consolidated bill.
TRIGGER(S):	ESCO 810 Invoice is received outside of the 2-day billing window. ESCO 810 Invoice is rejected for content or cause.
ESTIMATED / PEAK TRANSACTION RATE:	Dependent on the number of customers enrolled in Utility Bill Ready Consolidated billing per ESCO.
PROCESS INPUTS:	810 Invoice transaction containing Customer Information; ESCO Information; Service Information; and Bill Data is received from ESCO.
PROCESS OUTPUTS:	An 824 Application Advice transaction will be sent by the Utility to notify the ESCO that their 810 Invoice has been rejected and their charges will not be presented in the consolidated bill. The Application Advice will describe the reason for the rejection.
SUB OR PRECEDING PROCESSES:	• Meter is read or usage is estimated • Usage is validated • 867 MU containing usage or an Interim Bill Notice is sent to the ESCO • Utility calculates its charges/adjustments • ESCO calculates its charges/adjustments • ESCO sends an 810 Invoice to the Utility

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PROCESS NUMBER:	***UBR 2.0***
PROCESS NAME:	***UTILITY PROCESSES 810 INVOICE – ESCO CHARGES WILL NOT APPEAR ON CONSOLIDATED BILL***
	• Utility processes 810 Invoice • Utility rejects 810 Invoice for cause or for missed bill window • Utility processes 824 Application Advice to notify ESCO that the 810 Invoice has been rejected 2.1 Utility Rejects 810 Invoice for Cause 2.2 Utility Rejects 810 Invoice for Missed Bill Window
PROCESS RULES:	See UBR0 for general rules and information [B&PP C.6.c.] Using bill ready billing, if the non-billing part's transaction is received within the appropriate time frame, but the transaction is rejected for cause, the billing party must send the non-billing party an EDI transaction reject notice, identifying the reason for the rejection, within one business day of receipt of the non-billing party's transaction. The non-billing party may, if time permits, submit a corrected file containing billing charges for inclusion in the current billing statement. [B&PP C.6.d.] If a non-billing party's transaction is sent to the billing party outside the appropriate time frame, then the billing party may reject the transaction and shall notify the non-billing party within two business days that the charges were not billed. The non-billing party may resubmit its charges the following billing period in accordance with the time requirements stated above and without added late charges. If the bill ready method is used, the non-billing party may submit a separate bill to the customer with an explanation and directions to send the supplemental payment to the billing party's address. The non-billing party shall notify the billing party that a supplemental bill was sent to the customer. The parties may also agree that the billing party shall hold the non-billing party's charges for inclusion in the next bill. [CWG] An 810 Bill Ready Invoice may be rejected for some or all of the following reasons:

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PROCESS NUMBER:	***UBR 2.0***
PROCESS NAME:	***UTILITY PROCESSES 810 INVOICE – ESCO CHARGES WILL NOT APPEAR ON CONSOLIDATED BILL***
	• Outside Bill Window • Account Number not valid • Account does not have service requested • Invalid Bill Option (Account not enrolled in Utility Bill Ready option) • Invoice errors [CWG] [B&PP C.6.c.] When an 810 Invoice is rejected, the Utility will notify the ESCO, via an 824 Application Advice, within one business day of receipt of the 810 Invoice. The Application Advice will indicate the reason for the rejection. [CWG] A separate 824 Application Advice transaction will be sent for each 810 Invoice that is rejected. [CWG] The 824 Application Advice rejecting the 810 Invoice will indicate whether bill information in the rejected 810 Invoice should be resent during a subsequent bill cycle or the bill information will be held by the Utility for presentation in a subsequent bill. [CWG] When the 824 Application Advice indicates that charges in the rejected 810 Invoice should be resent in a subsequent bill window, the ESCO must send two 810 Invoice transactions – one for the bill period for which a previously sent 810 Invoice was rejected and a second 810 Invoice for the current bill period. [CWG] [B&PP C.6.d.] When an 810 Invoice transaction is rejected and the 824 Application Advice indicates that bill information from that Invoice will be held by the billing party, the ESCO must send, during the next bill window for that customer, a new 810 Invoice containing charges for the current bill period but should not retransmit bill information from the rejected 810 Invoice. The Utility will use the bill information from the "held" 810 Invoice and the current 810 Invoice to prepare the current bill(s).

FILED

CONSOLIDATED BILLING BUSINESS PROCESSES
(Utility Bill Ready)

PROCESS NUMBER:	***UBR 2.0***
PROCESS NAME:	***UTILITY PROCESSES 810 INVOICE – ESCO CHARGES WILL NOT APPEAR ON CONSOLIDATED BILL***
	[CWG] [B&PP C.6.d.] The parties may agree, and must document in their Billing Services Agreement, that when the ESCO's bill information could not be presented in the current consolidated bill that the ESCO might send a separate bill directly to the customer. When this occurs, the ESCO must notify the Utility via a non-EDI method agreed to by the parties. [CWG] When the 810 Invoice containing the ESCO's charges has been rejected for cause and amounts in the Invoice will not be presented, the Utility will issue a consolidated bill that reflects only balance information in the ESCO's detail section of the consolidated bill.
COMMENTS:	

FILED

CONSOLIDATED BILLING BUSINESS PROCESSES
(Utility Bill Ready)

PROCESS NUMBER:	***UBR 2.1***
PROCESS NAME:	***UTILITY REJECTS 810 INVOICE FOR CAUSE***
PROCESS DEFINITION:	Process by which the Utility receives an 810 Invoice from the ESCO but the Invoice transaction is rejected for cause and the ESCOs current charges/adjustments will not be presented on the consolidated bill.
TRIGGER(S):	An 810 (Bill Ready) Invoice is rejected for one or more of the following reasons: • Account Number Not Valid • Account Does Not Have Service Requested • Invalid Bill Option (Account not enrolled in Bill Ready Model) • Invoice errors
ESTIMATED / PEAK TRANSACTION RATE:	Dependent on the number of customers enrolled in Utility Bill Ready consolidated billing.
PROCESS INPUTS:	An 810 Invoice transaction containing Customer Information, ESCO Information, Utility Information, Service Information and Bill Data.
PROCESS OUTPUTS:	An 824 Application Advice transaction will be sent by the Utility to notify the ESCO that their 810 Invoice has been rejected for cause. The Application Advice will describe the reason for the rejection.
SUB OR PRECEDING	• Meter is read or usage is estimated • Usage is validated • 867 MU containing usage or an Interim Bill Notice is sent to the ESCO

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CONSOLIDATED BILLING BUSINESS PROCESSES
(Utility Bill Ready)

PROCESS NUMBER:	***UBR 2.1***
PROCESS NAME:	***UTILITY REJECTS 810 INVOICE FOR CAUSE***
PROCESSES:	• ESCO calculates charges and transmits an 810 Invoice to the Utility • Utility processes 810 Invoice • Utility rejects ESCO 810 Invoice for cause • Utility processes and transmits an 824 Application Advice to notify the ESCO that the 810 Invoice has been rejected for cause • ESCO sends a corrected file within the current bill window containing billed charges for presentation on the current bill. Utility presents charges from the corrected Invoice on the current bill. **OR** • ESCO sends customer a supplemental bill containing their charges and notifies billing party. **OR** • ESCO sends two 810 Invoices in a subsequent bill window – one Invoice containing corrected charges for the bill period for which an 810 Invoice was previously rejected and a second Invoice containing the current period charges. If accepted, amounts from both Invoices are presented on the customer's current bill(s).
PROCESS RULES:	See UBR 0 and UBR 2.0 for general rules and information [B&PP C.6.c.] Using bill ready billing, if the non-billing party's transaction is received within the appropriate time frame, but the transaction is rejected for cause, the billing party must send the non-billing party an EDI transaction reject notice, identifying the reason for the rejection, within one business day of receipt of the non-billing party's transaction. The non-billing party may, if time permits, submit a corrected file containing billing charges for inclusion in the current billing statement. [CWG] [B&PP C.6.c.] When an 810 Invoice is rejected for cause, the Utility will notify the ESCO, via an 824 Application Advice, within one business day of receipt of the 810 Invoice. The

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PROCESS NUMBER:	***UBR 2.1***
PROCESS NAME:	***UTILITY REJECTS 810 INVOICE FOR CAUSE***
	Application Advice will indicate the reason for the rejection. [CWG] A separate 824 Application Advice transaction will be sent for each 810 Invoice that is rejected. [CWG][B&PP C.6.d.] When an 810 Invoice has been rejected for cause and the ESCO is unable to send a new 810 Invoice containing corrected charges within the current bill window, the ESCO may issue a separate bill to the customer with an explanation and directions to send the supplemental payment to the billing party address. The ESCO shall notify the Utility that a supplemental bill was sent to the customer via a non-EDI method. The process for handling ESCO issuance of separate bills must be carefully documented in advance in the Billing Services Agreement between the parties. [CWG] When the 810 Invoice containing the ESCO's charges has been rejected for cause and amounts in the Invoice will not be presented, the Utility will issue a consolidated bill that reflects only balance information in the ESCO's detail section of the consolidated bill. [CWG] [B&PP C.6.d.] When the Utility has rejected an 810 Invoice and bill information in that Invoice must be resent during the next bill window for the customer, the ESCO must send *two* 810 Invoices – one containing bill information for the prior period and one for the current period.
COMMENTS:	

FILED

CONSOLIDATED BILLING BUSINESS PROCESSES
(Utility Bill Ready)

PROCESS NUMBER:	***UBR 2.2***
PROCESS NAME:	***UTILITY REJECTS 810 INVOICE FOR MISSED BILL WINDOW***
PROCESS DEFINITION:	Process by which the Utility receives an 810 Invoice from the ESCO but the Utility rejects the Invoice because it was not received within the bill window. The ESCOs current charges/adjustments will not be presented on the current consolidated bill.
TRIGGER(S):	Utility does not receive the ESCO's 810 Invoice within the bill window.
ESTIMATED / PEAK TRANSACTION RATE:	Dependent on the number of customers enrolled in Utility Bill Ready consolidated billing.
PROCESS INPUTS:	An 810 Invoice transaction containing Customer Information, ESCO Information, Utility Information, Service Information and Bill Data.
PROCESS OUTPUTS:	An 824 Application Advice transaction is sent by the Utility to notify the ESCO that their 810 Invoice has been rejected and their charges will not be presented in the current bill. The code "OBW" (Outside Bill Window) in the 824 Advice transaction is used to indicate that the Invoice was rejected due to missed bill window. The BGN segment in the Advice transaction will indicate the action the ESCO is expected to take regarding the rejected 810 Invoice: ➢ Code "82" indicates that the ESCO must resubmit the bill data in the next billing cycle. ➢ Code "EV" indicates that the Utility will hold the bill information sent in the rejected Invoice for the next billing cycle.
SUB OR PRECEDING PROCESSES:	• Meter is read or usage is estimated • Usage is validated

FILED

PROCESS NUMBER:	***UBR 2.2***
PROCESS NAME:	***UTILITY REJECTS 810 INVOICE FOR MISSED BILL WINDOW***
	• 867 MU containing usage or an Interim Bill Notice is sent to the ESCO • ESCO calculates charges and transmits an 810 Invoice to the Utility. • Utility processes 810 Invoice. • Utility rejects ESCO 810 Invoice for missed bill window. • Utility processes 824 Application Advice to notify ESCO that their 810 Invoice has been rejected. ➢ <u>The 824 Advice indicates bill information must be resent</u> → ESCO sends two 810 Invoices during a subsequent bill window (one Invoice for the missed cycle period and a second invoice for the current period) → If accepted, Utility presents bill information from both Invoices in the current bill(s) **Or** → ESCO sends customer a supplemental bill containing their charges and notifies billing party **OR** ➢ <u>The 824 Advice indicates that bill information will be held for presentation on a subsequent bill.</u> → ESCO sends 810 Invoice during the next bill window which contains bill information for the current bill cycle → Utility presents bill information from the held Invoice and the current Invoice in the current bill (s).
PROCESS RULES:	[B&PP C.5.l.] Due dates and other general payment terms and conditions shall be identical for ESCO and utility charges when a consolidated bill is rendered unless different terms and conditions would have no impact on either of them. [Footnote 25] In the event of conflicts, the payment terms and conditions of the utility shall be used. [B&PP C.6.b.] Using the bill ready method, the non-billing party's charges and other information

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PROCESS NUMBER:	***UBR 2.2***
PROCESS NAME:	***UTILITY REJECTS 810 INVOICE FOR MISSED BILL WINDOW***
	must be received by the billing party within two business days following receipt by the non-billing party of valid usage data for a customer account. [B&PP C.6.d.] If a non-billing party's transaction is sent to the billing party outside the appropriate time frame, then the billing party may reject the transaction and shall notify the non-billing party within two business days that the charges were not billed. The non-billing party may resubmit its charges the following billing period in accordance with the time requirements stated above and without added late charges. If the bill ready method is used, the non-billing party may submit a separate bill to the customer with an explanation and directions to send the supplemental payment to the billing party's address. The non-billing party shall notify the billing party that a supplemental bill was sent to the customer. The parties may also agree that the billing party shall hold the non-billing party's charges for inclusion in the next bill. [B&PP C.7.c.] If billing party errors occur and cause the non-billing party charges to miss the billing window, the billing party shall cancel and reissue the bills within two business days of notification, unless the billing party and non-billing party arrange an alternative bill correction process. Customers shall be afforded the same grace period to pay bills as they would if the error had not occurred. [CWG] When an 810 Invoice is received outside of the bill window, the Utility will notify the ESCO via an 824 Application Advice within one business day of receipt of the 810 Invoice. The Advice transaction will indicate that the reason for rejection is "Outside Bill Window" (OBW). [CWG] A separate 824 Application Advice transaction will be sent for each 810 Invoice that is rejected. [CWG] The Utility and ESCO must agree in advance, and document in their Billing Services Agreement (BSA), how 810 Invoices received outside the bill window will be handled. When an 810 Invoice is rejected for a missed bill window the parties may agree either that: • An 810 Invoice containing bill information for the missed cycle will be sent during the

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PROCESS NUMBER:	***UBR 2.2***
PROCESS NAME:	***UTILITY REJECTS 810 INVOICE FOR MISSED BILL WINDOW***
	subsequent bill cycle (BGN code in 824 Application Advice is "82=Follow Up"); or • The billing party will hold bill information from the rejected 810 Invoice for presentation on the next bill (BGN code in 824 Application Advice is "EV=Evaluate"). [CWG] [B&PP C.6.d.] When the Utility has rejected an 810 Invoice and bill information in that Invoice must be resent during a subsequent bill window, the ESCO will send *two* 810 Invoices – one for the prior period (the bill period reflected in the previously rejected 810 Invoice) and one for the current period. [CWG] [B&PP C.6.d.] When an 810 Invoice transaction is rejected and bill information from that Invoice will be held by the Utility, the ESCO must send a new 810 Invoice containing charges for the current bill period during the next bill window but should not retransmit the rejected 810 Invoice during that bill window. The Utility will use bill information from the "held" 810 Invoice and the current 810 Invoice to prepare the current bill (s). [CWG] When a billing party receives more than one 810 Invoice for a customer during a bill window and each invoice is for a different bill period, the billing party may either present amounts from <u>each</u> invoice in separate bills or present all amounts in a single bill. [CWG] When the Utility has accepted more than one 810 Invoice transaction for a customer during a bill window and bill information from each Invoice will be presented in the current bill(s), the Utility may respond either with separate 824 Positive Notification transactions for each Invoice or a single 824 Positive Notification that references both 810 Invoices. When a Positive Notification is sent in response to each 810 Invoice received, the content of each Notification transaction (i.e. total payments applied, applied through date, payment due date and total amount due) will be the same when the bill information was presented in a single consolidated bill.

FILED

CONSOLIDATED BILLING BUSINESS PROCESSES
(Utility Bill Ready)

PROCESS NUMBER:	***UBR 2.2***
PROCESS NAME:	***UTILITY REJECTS 810 INVOICE FOR MISSED BILL WINDOW***
COMMENTS:	

FILED

CONSOLIDATED BILLING BUSINESS PROCESSES
(Utility Bill Ready)

PROCESS NUMBER:	***UBR 3.0***
PROCESS NAME:	***UTILITY PROCESSES 810 INVOICE THAT CONTAINS CANCELLED CHARGES***
PROCESS DEFINITION:	Process by which the Utility receives an 810 Invoice containing cancelled charges from the ESCO, consolidates Utility charges and ESCO charges, and issues the consolidated bill to the customer.
TRIGGER(S):	The meter reading entity sends cancelled 867 MU to the ESCO. The ESCO cancels previously billed charges.
ESTIMATED / PEAK TRANSACTION RATE:	Dependent on the number of customers enrolled in Utility Bill Ready Consolidated billing per ESCO.
PROCESS INPUTS:	Canceled usage information; restated usage for the cancel period and/or usage for the current period; Customer Information; Service Information; Meter Information (where applicable), Utility Bill Data, ESCO Invoice which may reflect cancellation of previously billed charges.
PROCESS OUTPUTS:	Consolidated bill to end use customer displaying Utility charges (may include both canceled and new charges) and ESCO charges (may include both canceled and new charges) for the billing period.
SUB OR PRECEDING PROCESSES:	**Usage Canceled-Charges Canceled:** • Meter reading entity sends 867 MU Cancel transaction (s) to ESCO • Meter reading entity sends 867 MU Original transaction(s) to ESCO containing restated usage for the cancel period(s) • ESCO chooses to cancel previously billed charges and determines the total amount of the charges to be canceled for the cancel period(s)

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PROCESS NUMBER:	***UBR 3.0***
PROCESS NAME:	***UTILITY PROCESSES 810 INVOICE THAT CONTAINS CANCELLED CHARGES***
	• ESCO sends an 810 Invoice to the Utility, in response to receipt of 867 MU Original transaction (s), which contains a separate segment for the total amount of the canceled charges and one or more segments containing new charges for the current bill period • Utility issues a consolidated bill to the end use customer that includes both Utility charges and the ESCO's charges (both canceled and current) that were sent in the 810 Invoice. • Utility notifies the ESCO of the amount billed and due date of the consolidated invoice via an 824 Positive Notification transaction. **Usage Not Canceled – Charges Canceled:** • Meter reading entity sends 867 MU Original transaction(s) to ESCO • ESCO determines that charges billed in prior periods should be canceled • ESCO determines the total amount of the charges to be canceled • ESCO sends an 810 Invoice to the Utility which contains a separate segment for the total amount of the canceled charges and one or more segments containing new charges for the current bill period • Utility issues a consolidated bill to the end use customer that includes both Utility charges and the ESCO's charges (both canceled and current) that were sent in the 810 Invoice. • Utility notifies the ESCO of the amount billed and due date of the consolidated invoice via an 824 Positive Notification transaction.
PROCESS RULES:	See UBR 0 for general rules and information. [B&PP C.7.a.] The cancel and rebill process for consolidated bills shall be non-discriminatory, clear and reproducible, and communicated to affected parties. [B&PP C.7.b.] If non-billing party errors occur and are not corrected before the bill is issued, the bills will not be cancelled or new bills issued, unless the billing and non-billing parties agree. [B&PP C.7.c.& d.] If billing party errors occur and cause the non-billing party charges to miss the billing

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PROCESS NUMBER:	***UBR 3.0***
PROCESS NAME:	***UTILITY PROCESSES 810 INVOICE THAT CONTAINS CANCELLED CHARGES***
	window, the billing party shall cancel and reissue the bills within two business days of notification, unless the billing party and non-billing party arrange an alternative bill correction process. Customer shall be afforded the same grace period to pay bills as they would if the error had not occurred. If neither party has erred, the parties may agree to cancel and rebill. [B&PP C.7.e.] Whenever a consolidated bill is cancelled, the following practices will be followed, to the extent practicable: (1) Cancelled usage will be by billing cycle period; (2) The consumption sent in the cancel transaction will match the consumption sent in the original transaction; (3) Cancelled usage will be sent at the same level of detail as the original usage, unless the parties agree to a different level of detail; (4) In order to restate usage for a period, the Meter Data Service Provider will first completely cancel usage for that period and then send the full set of restatement transactions; (5) When credits or debits are created during a cancel/rebill event using the bill ready method, the non-billing party shall not transmit the credit or debit to the billing party until the associated rebill debit or credit transaction is completed and sent to the billing party; (6) Not Applicable; and (7) Using the bill ready method, if a bill is to be cancelled and reissued, the billing party shall issue the revised bill to customers within two business days of receipt of the corrected data. [CWG] The usage being canceled may span several previous consumption periods and may result in a single bill or multiple bills.

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PROCESS NUMBER:	***UBR 3.0***
PROCESS NAME:	***UTILITY PROCESSES 810 INVOICE THAT CONTAINS CANCELLED CHARGES***
	[CWG] Both the Utility and ESCO must process all 867 Cancel transactions prior to processing 867MU original usage transactions. [CWG] When usage has been canceled (867 MU Cancel transaction(s) sent), the Utility will not send an 810 Cancel transaction to cancel the ESCO charges for the corresponding bill periods. To cancel previously billed charges, the ESCO must send a lump sum amount, equal to the total of the cancelled charges, in the next 810 Invoice transaction. The allowance/charge code of ADJ010 must be used to clearly identify the canceled charge amount in this Invoice. [CWG] ESCO charges will not be cancelled on a line item basis. A single allowance/charge amount will be sent for all charges being cancelled. [CWG] The ESCO must use a single 810 Invoice to communicate both current period bill data and canceled charges. For example, if charges for the month of March are cancelled as a result of the April meter reading, the 810 Invoice for the April bill period would include the total amount of the cancelled charges for March, restated charges for the March bill period and new charges for the April bill period. [CWG] In the Utility Bill Ready model, if the customer was enrolled with the same ESCO during the period for which usage is now being canceled but the customer's bill option changed during that period, the Utility may agree to present restated charges on behalf of the current ESCO using the Bill Ready method. For example, when the customer's bill option changed from dual to Utility Bill Ready during the period affected by the cancellation, the ESCO may send restated charges for the entire cancel period in the next 810 Invoice generated following receipt of the 867 MU cancel transaction(s). [CWG][B&PP C.7.e.] Where the customer has changed ESCOs within a period in which previously reported usage, and related charges, must be canceled, the Utility will report the canceled usage to each ESCO for the period they served the customer (see Business Processes for Monthly Usage). The Utility will only present restated charges in a consolidated bill on behalf of the customer's current ESCO when

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PROCESS NUMBER:	***UBR 3.0***
PROCESS NAME:	***UTILITY PROCESSES 810 INVOICE THAT CONTAINS CANCELLED CHARGES***
	the current bill option for that customer is Utility Bill Ready. The Utility will not issue a consolidated bill for the customer on behalf of a previous ESCO for periods affected by the cancellation. The prior ESCO is responsible for issuing refunds to, or collecting charges from, the customer for that portion of the cancellation period in which the customer was enrolled with that ESCO.
COMMENTS:	

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