# ACCOUNT CHANGE BUSINESS PROCESS

*This document describes the detailed Account Change business processes for the State of New York. It was developed from recommendations made by the NY EDI Collaborative Workgroup (CWG)1 and subsequently adopted by the New York Commission. This document describes the detailed processes to be followed to address changes in a customer's account data. In developing its business processes, the Collaborative reviewed the NY Retail Access Uniform Business Practices (UBP), issued and effective 4/15/99 to determine the applicability of these rules to the account change process. In this instance, the Collaborative Work Group found no specific business practices addressing the processing of account change data. On May 18, 2001 the Commission issued Uniform Business Practices governing Billing and Payment Processing. To the extent that these rules are applicable to the business processes described in this document they have been reproduced here and can be identified by the notation (UBP-B&PP). -In developing these business processes, the following documents were reviewed:*

- 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.*

**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.
- For purposes of validating EDI transactions, the ~~E/M~~ESCO must provide the customer's utility account number (with check digit, if included).
- The effective date of change will be communicated by the Utility on Change Request transactions and on certain Change Response transactions. Some utilities ~~(RG&E)~~ may require the ~~E/M~~ESCO to provide an effective date of change on some change requests. For change responses where there are no rules regarding effective date, the default date will be the date the positive response was sent, indicating the recipient has accepted the responsibility of making any necessary changes in their system. Rules for effective date of change are addressed in the sub-processes where applicable.

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

- Each change transaction may contain only one account for one commodity. Each transaction may contain multiple changes for an individual account.

- Only the Utility can change the effective service start or end dates.

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

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*AC1.0 Change In Service Start/ End Date* ..... *8*
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| **PROCESS NUMBER:** | AC0 |
| **PROCESS NAME:** | ***PROCESS ACCOUNT CHANGE REQUEST*** |
| **PROCESS DEFINITION:** | The process by which a Utility or ESCO~~/Marketer (E/M)~~ communicates a change in the service effective dates, the customer's billing option or other customer information. Depending on the type of change requested, changes may be communicated during the period an enrollment is pending for a customer, after the customer has been established with an ~~E/M~~ESCO or during the period a drop is pending for a customer. |
| **TRIGGER(S):** | Customer advises Utility or ~~E/M~~ESCO of change to customer information; Utility makes a change to customer account/service; ~~E/M~~ESCO makes a change to customer account/service. |
| **ESTIMATED / PEAK TRANSACTION RATE:** | Varies: high during promotional periods; lower during open enrollment. The volume is expected to fluctuate during enrollment activity, but may also be affected by internal Utility activity such as periods in which meter reading cycles are being changed. |
| **PROCESS INPUTS:** | Utility Information; ~~E/M~~ESCO information; Customer Information; Service Information; reason for change, change data including original data where applicable, effective date of change (see Change Implementation Guide).<br>A change in one data element may necessitate changes in dependent data elements. For example, if a change in service Start/End Date occurs due to a change in the customers meter cycle date, a change to the cycle code will also be sent in the Change Request. |

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| **PROCESS OUTPUTS:** | **Positive Response:** See Sub-processes.<br>**Negative Response:**<br>Account Not Found (this includes inactive account numbers as well as no account number found).<br>Account Does Not Have Service Requested.<br>Required Information Missing<br>Change Reason Missing Or Invalid<br>Meter Number Invalid or Not Found |
| **SUB OR PRECEDING PROCESSES:** | • Utility or ~~E/M~~ESCO makes a change to a customer account.<br>• Utility or ~~E/M~~ESCO reports the change to the other party.<br>• Utility or ~~E/M~~ESCO processes update to customer account as applicable.<br>• Utility or ~~E/M~~ESCO responds to change request.<br>The following sub-processes are described in this document:<br>• AC1.0 Change In Service Start/ End Date.<br>• AC2.0 Change in Billing Option.<br>• AC3.0 Change In Customer/Account Data. |
| **PROCESS RULES:** | Each 814 Change transaction may contain changes applicable to only one account for one commodity, but several changes for that account and commodity may be communicated in each 814 Change transaction.<br>Multiple responses to a change request may be initiated as each individual change is processed.<br>The Utility must always communicate the effective date of change on a Change Request transaction.<br>The Utility Change Response transaction may contain an "effective date of change".<br>In the Single Retailer Model, the ~~E/M~~ESCO may be required to communicate an effective date for |

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| | certain changes in their Change Request transactions.<br><br>Change Request transactions initiated by an ~~E/M~~ESCO may contain an effective date when a change in ~~E/M~~ESCO Commodity Price, Fixed Charge or Rate Code is being requested, the Utility is the Bill Presenter and Bill Calculator (Rate Ready consolidated billing) and the applicable Utility has agreed to process such changes on a date other than the regularly scheduled bill cycle date. The Effective Date of Change indicated in the Utility Response transaction sent in response to these requests will govern the actual date that the change in ~~E/M~~ESCO prices, charges or rates is, or will be, processed.<br><br>For Change Response transactions where there are no rules governing the effective date, the default date is the date the positive Response transaction was sent, indicating that the recipient has accepted the responsibility of making any necessary changes in their system.<br><br>The recipient of an 814 Change Request transaction is responsible for making any changes in their system as necessary. A positive or negative Change Response transaction must be sent in response to each Change Request transaction. A positive response will indicate only that the Change Request transaction was valid and that the change information was present. The recipient of the Change Request transaction will determine whether to update their system with the change data.<br><br>Only the Utility can initiate a Change Request transaction to modify the effective service start or end dates for a customer enrollment. A change in the service start date can only be made when an enrollment is pending; likewise, a change to the service end date can only be made when a drop is pending.<br><br>The Utility can request a change in the Service Start Date, Service End Date, Billing Option and Customer/Account Data.<br><br>The ESCO~~/Marketer~~ can request a change in Customer/Account Data and Billing Option.<br><br>A Change Request transaction pertaining to Customer/Account Data and Billing Option may be sent at any time. However there may be other process rules that control the effective date of change ( see sub process rules). |

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| | Agreements between the Utility and a participating ESCO~~/Marketer~~ should document the specific data elements that must be reported and/or updated by each party. |
| **COMMENTS :** | |

# ACCOUNT CHANGE BUSINESS PROCESS

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| **PROCESS NUMBER:** | AC 1.0 |
| **PROCESS NAME:** | ***CHANGE IN SERVICE START/ END DATE*** |
| **PROCESS DEFINITION:** | The process by which the Utility communicates a change in service start date or service end date. |
| **TRIGGER(S):** | A change in a previously provided effective date due to administrative or operational conditions (e.g., unable to obtain an actual meter read for a scheduled switch date). |
| **ESTIMATED / PEAK TRANSACTION RATE:** | High during promotional periods; moderate during open enrollment. |
| **PROCESS INPUTS:** | See Parent |
| **PROCESS OUTPUTS:** | **Positive Response:** Utility Information, ~~E/M~~ESCO information, Customer Information, Service Information.<br><br>**Negative Response:**<br><br>See parent. |

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| **SUB OR PRECEDING PROCESSES:** | See Parent. |
| **PROCESS RULES:** | A Change Request transaction to communicate a change in service start or end date can only be sent by the Utility.<br>The ~~E/M~~ESCO cannot send a Change Request transaction to communicate a change in the service start or service end date.<br>A change in the service start date can only be requested when an enrollment is pending.<br>A change in the service end date can only be requested when a drop is pending. |
| **COMMENTS:** | |

# ACCOUNT CHANGE BUSINESS PROCESS

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| **PROCESS NUMBER:** | AC 2.0 |
| **PROCESS NAME:** | ***CHANGE IN BILLING OPTION*** |
| **PROCESS DEFINITION:** | The process by which a Utility or ~~E/M~~ESCO communicates a change to a customer's Billing Option. A change in bill option would require, at a minimum, a change in the designation of bill presenter and/or bill calculator. In addition, it may be necessary for the entity requesting the change to also send several additional data segments that may be dependent upon the choice of bill option such as Commodity Price, ESCO Rate Code, etc. |
| **TRIGGER(S):** | A change in billing relationship with the customer. |
| **ESTIMATED / PEAK TRANSACTION RATE:** | Low to moderate. |
| **PROCESS INPUTS:** | See Parent. |

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| **PROCESS OUTPUTS:** | **Positive Response:** Utility Information, ~~E/M~~ESCO information, Customer Information, Service Information, effective date of change (Utility only).<br>**Negative Response:**<br>See parent for other applicable negative responses<br>Incorrect billing option requested.<br>Incorrect bill calculation type<br>Requested rate not found<br>Other |
| **SUB OR PRECEDING PROCESSES:** | See parent. |
| **PROCESS RULES:** | Change transactions may be sent for either a pending or an established customer.<br>(UBP- B&PP B.3) Billing and payment processing options available in a service territory, including any additional or expanded options, and all variations on the practices identified herein that may be developed, must be made available by the utility to all 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.<br>(UBP- B&PP B.5) Eligible ESCOs may select, from the options available [in a service territory], which billing option(s) to offer their customers.<br>(UBP- B&PP B.8. & 9.) ~~E/Ms~~ESCOs must provide advance notice to utilities of plans to offer their customers an approved billing option that would impact the utility. The option may not be operational until the adequacy of data interchange for that option has been successfully demonstrated to the utility |

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| | through testing. ~~E/Ms~~ESCOs must provide advance notice (prior to the start of a billing cycle period) to utilities and customers of any decision to terminate a billing option that would impact the utilities and/or the customers.<br><br>(UBP- B&PP C.1.d.) The Consolidated Billing option may involve use of either "Bill Ready" or "Rate Ready" methods for handling the non-billing party's billing data. ESCOs intending to issue consolidated bills containing utility data ("ESCO Consolidated Billing") must use the "Bill Ready" method (unless the parties agree to another method).<br><br>(UBP- B&PP C.1.h.) Bill Cycle and payment due dates shall be set by utilities unless agreement is reached between the utilities and the ~~E/M~~ESCO to establish alternative dates that do not adversely affect customers.<br><br>(UBP- B&PP C.2.d.) Under the "Bill Ready" method, each party is responsible for calculating and identifying the sales and use taxes applicable to its own charges; under the "Rate Ready" method, the billing party will calculate the sales and use taxes to be added to customers' bills based on tax rate information acceptable to the non-billing party (the non-billing party is responsible ultimately for its own tax liabilities).<br><br>(UBP- B&PP C.2.h.) Under the "Rate Ready" approach, the non-billing party must provide the billing party with the rates, rate codes, and/or prices (fixed and/or variable) to be used to calculate the non-billing party's customers' bills. The billing party shall specify in the Billing Services Agreement how many prices per service class per commodity it will accept, when they must be submitted, and how often they may be changed. The new prices will all become effective beginning with a meter reading date (or month, for gas utilities, if applicable) set by the non-billing party. The billing party will designate which prices apply to which customers at least 15 calendar days before the customers' meter reading date (or the first of the applicable month for gas utilities, as appropriate). Absent such notifications, customers' charges and rates will remain unchanged for the consolidated bill.<br><br>(UBP- 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- |

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| | billing party may offer special billing features (such as budget billing or average payment plans) where the "Bill Ready" method is used.<br><br>(UBP- B&PP C.2.l.) When the "Rate Ready" method is used, the non-billing party may offer such special features if both the billing and non-billing parties agree and address the mechanism in the Billing Agreement.<br><br>(UBP- B&PP C.3.a. (1)) ~~E/Ms~~ESCOs must provide advance notice to utilities of plans to offer their customers a Consolidated Billing option. The option may not be operational until the adequacy of the data interchange has been successfully demonstrated to Staff of the Department of Public Service and to the specific utility through testing.<br><br>(UBP- B&PP C.3.b) ~~E/Ms~~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.<br><br>(UBP- B&PP C.3.c. (1)) ~~E/Ms~~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 terminate a billing option available to customers.<br><br>A change in Billing option will take place on the bill cycle date.<br><br>The Change Request transaction containing a billing option change must be received at least 15 calender days prior to the customer's meter cycle date. Valid change request transactions containing a change in bill option that do not comply with the 15 day requirement will not be rejected but the change in bill option will not become effective until the next succeeding meter read date for that customer.<br><br>The general rule is that the recipient of the change request will determine whether to update their system with the change data (see AC0). When, however, a Change Request transaction containing a billing option change is accepted, the recipient must update their system to reflect the new bill option. Receipt of a positive 814 Change Response transaction will indicate that the update was made. |

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| | Change Request transactions may be inititated by either the Utility or ~~E/M~~ESCO. Any changes in customers' billing option is limited to the billing options currently available in the Utility's service territory. |
| **COMMENTS:** | COMMENT: During the period this document was being developed, an order on uniform business practices for billing and payment processing was pending release. Accordingly, it may be necessary to subsequently revise the business process rules in this document, regarding EDI processing for change requests pertaining to bill options, following the Collaborative's development of business processes to support various billing scenarios. |

# ACCOUNT CHANGE BUSINESS PROCESS

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| **PROCESS NUMBER:** | AC 3.0 |
| **PROCESS NAME:** | ***CHANGE IN CUSTOMER/ACCOUNT DATA*** |
| **PROCESS DEFINITION:** | The process by which the Utility or ~~E/M~~ESCO communicates a change in customer or account information. |
| **TRIGGER(S):** | Customer advises Utility or ~~E/M~~ESCO of change to customer information (e.g., mailing address); Utility makes a change to customer account data (e.g. account number, meter number, rate); ~~E/M~~ESCO makes a change to customer account (e.g. ESCO rate). |
| **ESTIMATED / PEAK TRANSACTION RATE:** | Moderate. |
| **PROCESS INPUTS:** | See Parent. |
| **PROCESS OUTPUTS:** | **Positive Response:** Utility Information, ~~E/M~~ESCO information, Customer Information, Service Information, effective date of change where applicable.<br>**Negative Response:**<br>See parent for other applicable negative responses<br>Requested rate not found<br>Other |
| **SUB OR PRECEDING** | See Parent |

# ACCOUNT CHANGE BUSINESS PROCESS

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| **PROCESS NUMBER:** | AC 3.0 |
| **PROCESS NAME:** | ***CHANGE IN CUSTOMER/ACCOUNT DATA*** |
| **PROCESSES:** | |
| **PROCESS RULES:** | Changes may be sent on either a pending or an established customer..<br>An 814 Change Request transaction may be initiated by either the Utility or the ~~E/M~~ESCO.<br>A change in Life Support status must be communicated by an ~~E/M~~ESCO under the Single Retailer Model.<br>Meter removal(s) will only be reported on a Change Request transaction when the account is remaining active.<br>(UBP- B&PP C.1.h.) Bill Cycle and payment due dates shall be set by utilities unless agreement is reached between the utilities and the ~~E/M~~ESCO to establish alternative dates that do not adversely affect customers.<br>Only the Utility can change a bill cycle. The Utility must notify the ESCO~~/Marketer~~ when the bill cycle changes.<br>(UBP- 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 payment plans) where the "Bill Ready" method is used.<br>(UBP- B&PP C.2.l.) When the "Rate Ready" method is used, the non-billing party may offer such special features if both the billing and non-billing parties agree and address the mechanism in the |

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| **PROCESS NUMBER:** | AC 3.0 |
| **PROCESS NAME:** | ***CHANGE IN CUSTOMER/ACCOUNT DATA*** |
| | Billing Agreement.<br><br>When the Utility or the ~~E/M~~ESCO is rendering a consolidated bill, and the billing party offers budget-billing arrangements, the non-billing party must report to the billing party a change in the customer's budget billing status with respect to their charges. The billing party must update their records to note this change.<br><br>Data subject to change:<br><br>Account Level:<br>Customer name, Customer Service Address, Name for Mailing Address, Mailing Address, Customer Phone Number, Utility Account Number, ESCO~~/Marketer~~ Customer Account Number, Meter Cycle Code, Bill Cycle Code, Bill Presenter, Bill Calculator, Current Budget Billing Status, Partial Participation Portion, Customer on Life Support (Single Retailer Model Only), Gas Pool ID, Gas Capacity Assignment/Obligation, Gas Supply Service Option, ISO Location Based Marginal Pricing Zone, Portion Taxed Residential, Tax Exemption Percent, ~~E/M~~ESCO Commodity Price, ~~E/M~~ESCO Fixed Charge and Electric Capacity Assignment.<br><br>Meter Level:<br>Metered or Unmetered service points, Meter Number, Utility Rate Service Class, Rate Sub Class, Utility Load Profile Group Code, Measurement Type and Reporting Interval, Use Time of Day, ~~E/M~~ESCO Rate Code. |

# ACCOUNT CHANGE BUSINESS PROCESS

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| **PROCESS NUMBER:** | AC 3.0 |
| **PROCESS NAME:** | ***CHANGE IN CUSTOMER/ACCOUNT DATA*** |
| **COMMENTS:** | |