

ENROLLMENT BUSINESS PROCESSES

This document describes the detailed Enrollment business processes for the State of New York. It was developed by the NY EDI Collaborative and adopted by the Commission in Opinion 01-03, issued and effective July 23, 2001. The EDI Collaborative, in developing their initial recommendations, considered the content of the following documents:

- New York Retail Access Uniform Business Practices (UBP), Case 98-M-1343, issued and effective 4/15/99, and
- The Report of NY EDI Collaborative, Case 98-M-0667, dated 6/30/99.
- 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.
- The source of various Process Rules listed in this document is indicated by the following annotations which precede each rule:
 - UBP = NY Uniform Business Practices (effective 4/15/99)
 - UBP(M) = NY Uniform Business Practices as modified in Opinion 01-03
 - CR = The Report of the NY EDI Collaborative (issued 6/30/99)
 - CWG = Collaborative Work Group or Case 12-M-0476 EDI Working Groups¹
- All Customer information is considered confidential, and customers may request that the Utility block the release of data to all ESCOs.
- A separate enrollment request must be received for each commodity (i.e. electric or gas).
- For purposes of validating initial and subsequent EDI transactions, the ESCO must provide the customer's utility account number (with check digit, if included).

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

ENROLLMENT BUSINESS PROCESSES

- An enrollment request for an account will be considered a request to enroll all meters on that account; in most cases the ESCO does not need to send meter level information in an Enrollment Request. When, however, the billing option on an Enrollment Request is Utility Rate Ready consolidated billing AND the ESCO wants to charge different prices for different meters and/or a different price for unmetered versus metered service, the Enrollment Request must contain an identification code for each service end point (where metered) and/or the literal “UNMETERED” where applicable. This is necessary in order to differentiate between the rates or prices that should be charged for each service end point.
- Enrollment transactions will be handled on a “first in” basis. Utilities will reject all subsequent enrollments when service is pending with another ESCO. Transactions must be processed by the recipient Utility in the order (date/time stamp) they are received. Receipt will be documented by the date and time the server post function is complete. The first transaction is the earliest valid enrollment transaction processed and accepted by the recipient’s application system. A pending Enrollment for a specific ESCO that is subsequently rescinded by the Customer will not result in the Utility processing the next earliest request for that customer from another ESCO.
- 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 enrollment requests within two business days. For example, if the required response time is two business days and a Utility receives a valid enrollment 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 is received at 8:00 PM on Day 1, the Utility would respond by the close of business on Day 3.
- If applicable, the Comments section for each business process is used to clarify how EDI processing rules may affect specific uniform business practices.

ENROLLMENT BUSINESS PROCESSES

ENO PROCESS ENROLLMENT RELATED REQUEST (PARENT PROCESS) 4

EN 1.0 PROCESS ENROLLMENT REQUEST FOR AN ESTABLISHED UTILITY CUSTOMER..... 8

EN 2.0 PROCESS ENROLLMENT REQUEST FOR A NEW DELIVERY / UTILITY CUSTOMER (NON-EDI)..... 11

EN 3.0 CUSTOMER SWITCHES FROM ONE ESCO TO ANOTHER ESCO 16

EN 4.0 PROCESS REQUEST FOR RELOCATION WITHIN SERVICE TERRITORY (NON-EDI) 18

EN 5.0 OTHER REQUESTS 19

ENROLLMENT BUSINESS PROCESS FLOWS..... 21

DRAFT

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	EN0
PROCESS NAME:	<i>PROCESS ENROLLMENT RELATED REQUEST (PARENT PROCESS)</i>
PROCESS DEFINITION:	The process by which a New or Existing Customer is enrolled with a Supplier in Retail Choice, or by which a Retail Choice Customer switches from one ESCO to another.
TRIGGER(S):	See sub-processes.
ESTIMATED / PEAK TRANSACTION RATE:	See sub-processes.
PROCESS INPUTS:	See sub-processes.
PROCESS OUTPUTS:	See sub-processes.
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • Process Enrollment Request for an established utility customer (EN 1.0) • Process Enrollment Request for a new delivery utility customer (EN 2.0) • Customer Switches from one ESCO to another ESCO (EN 3.0) • Process Request for relocation within service territory (EN 4.0) • Other Requests coincident with an enrollment request (EN5.0)
PROCESS RULES:	<p>[CR-2.4.1 pg. 32] Should the customer contact the Utility to switch to another ESCO, the Utility will tell the customer to contact the new ESCO.</p> <p>[CWG] An Enrollment request is valid for one and only one service (e.g. electric).</p> <p>[UBP-SPP.C] – ESCOs must retain for six years documentation of a customer’s authorizations to switch. Such documentation must be in the form of one of the following: (1) written agreements signed by the customers; (2) written statements by independent third parties that witnessed or heard verbal</p>

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	EN0
PROCESS NAME:	<i>PROCESS ENROLLMENT RELATED REQUEST (PARENT PROCESS)</i>
	<p>commitments by the customers; (3) tape recordings made by ESCO of the customers' verbal commitments; or; (4) electronic transmittals that can be shown to have originated with the customers.</p> <p>[CWG] ESCO must be authorized to enroll customers.</p> <p>[CWG] ESCO requesting to enroll a Customer is authorized to enroll that Customer.</p> <p>[CWG] The Customer must be eligible (e.g., must be submitted during enrollment period if such exists).</p> <p>[CWG] For Gas Enrollments Only, the ESCO Gas Pool ID is sent by the ESCO to request a pooling area for the customer being enrolled. Where required by the utility, this data segment must appear on the Enrollment Request. If not provided these utilities will reject the enrollment.</p> <p>[[UBP (M)-SR.A.1] ESCOs may enroll customers for supply service by transmitting an 814 Enrollment Request transaction to the Utility at least 15 calendar days prior to the effective date of the enrollment.</p> <p>[UBP (M)-SR.C.1] An enrollment request for electric service must be submitted at least 15 calendar days before the customer's next regularly scheduled meter reading date or a requested special meter reading date.</p> <p>UBP(M) SR.C.2] A special meter reading for switching electric customers may be requested for a fee if the regular reading would not occur on the 15th calendar day after receipt of an enrollment request.</p> <p>[UBP (M) -SR.C.4] – An enrollment request for gas service must be submitted at least 15 calendar days before either the customer's next regularly scheduled meter read date or the first of the calendar month, as specified in each utility's tariff.</p> <p>[UBP(M)-SR.G.1] The Utilities shall acknowledge receipt of an 814 Enrollment Request within one business day via a 997 Functional Acknowledgement transaction.</p>

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	EN0
PROCESS NAME:	<i>PROCESS ENROLLMENT RELATED REQUEST (PARENT PROCESS)</i>
	<p>[UBP(M)-SPP.A.2] The Customer has the right to rescind an enrollment request during the pending stage. Upon receipt of a valid 814 Enrollment Request from an ESCO, the utility must, within three calendar days of receipt of the valid request, send a verification letter to the affected customer. Within two business days of receipt of a valid 814 Enrollment Request from an ESCO, the Utility must send the customer's incumbent ESCO, if any, an 814-Drop Request.</p> <p>[UBP(M)-SPP.A.3] The verification letter must advise the customer of the enrollment request and ask that he/she contact the designated utility at least three business days in advance of the pending switch date if they want to rescind the enrollment and remain with their current supplier. The general content of the letter must be filed with Department of Public Service for review before it is used for this purpose.</p> <p>[UBP-SR.B.2] – ESCOs/Direct Customers shall also provide information about the customers' special needs, if any (mandatory if reselling delivery services; optional otherwise).</p>
COMMENTS:	<p>Under the NYUBP issued 4/15/99 customers' could request that the Utility block the release of history data to all suppliers but it was not clear whether customers could request that the Utility prohibit all switching activity on their account. Customers' may block the release of history data and/or prohibit switching activity on their accounts.</p> <p>The NY EDI Collaborative did not address the business processes related to receipt of an Enrollment Request for a Customer Account on direct voucher DSS (Dept. of Social Services). Policies regarding if, when and how DSS-vouchered customers can be enrolled with an ESCO need to be articulated.</p> <p>The rescission period, or the amount of time the customer has to cancel a pending enrollment, was not clearly defined in the 4/15/99 NYUBP. Customers must rescind an Enrollment Request at least three business days in advance of the effective date of a pending enrollment.</p> <p>Although the current UBP requires ESCOs to provide customers' special needs information for the Single Retailer Model, the CWG clarifies that only life support information will be conveyed via EDI.</p>

ENROLLMENT BUSINESS PROCESSES

DRAFT

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	EN 1.0
PROCESS NAME:	<i>PROCESS ENROLLMENT REQUEST FOR AN ESTABLISHED UTILITY CUSTOMER</i>
PROCESS DEFINITION:	<p>Process by which a Utility Customer (i.e., a Customer that already has a Utility account) is enrolled in Retail Choice. This process described below does not apply when there is an incumbent ESCO.</p> <p>[CR-2.4.1, pg. 31] – At the time of the New Service request, the Customer cannot have any pending service with an ESCO.</p>
TRIGGER(S):	ESCO request on behalf of Customer.
ESTIMATED / PEAK TRANSACTION RATE:	Peak: High (hundreds per day) during promotional periods (utility or ESCO). Lower volumes (under 10 per day) during open enrollment.
PROCESS INPUTS:	<p>Customer Information on input from the ESCO presents the customer's preferences and consists of Utility Information; ESCO information; Customer Information; Service Information; Bill Information; and Rate/Price information (if ESCO requests that Utility render rate-ready consolidated bill).</p> <p>See the Enrollment Data Dictionary for a description of the specific data elements.</p>
PROCESS OUTPUTS:	<p>Positive Response:</p> <p>Customer Information on output from the Utility is information describing the relationship between the customer and the Utility and consists of Utility Information; ESCO information; Customer Information; Service Information; Meter Information; Bill Information; and the Assigned Service Start Date.</p> <p>See the Enrollment Data Dictionary for a description of the specific data elements.</p> <p>Negative Responses:</p> <ul style="list-style-type: none"> • Account Number not valid • Meter Number not valid or missing

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	EN 1.0
PROCESS NAME:	<i>PROCESS ENROLLMENT REQUEST FOR AN ESTABLISHED UTILITY CUSTOMER</i>
	<ul style="list-style-type: none"> • Account does not have service requested • Ineligible Customer • Account pending with this ESCO • ESCO not eligible to enroll customer (e.g., exceeds credit limit) • Not first in • Invalid Gas Pool ID • Account Already Active for Marketer • Service Requested is Not Available • Customer Account Blocked • Incorrect Billing Option Requested • Required Information Missing • Other <p>Enrollment transactions for customers participating in an economic incentive program which do not indicate the portion of the load to be served by the ESCO may be rejected.</p>
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • ESCO submits enrollment • Utility validates ESCO and customer identifying information • Utility validates request (customer eligibility factors, etc.) • Utility processes (including special meter reading charge, if applicable) • Utility responds to ESCO request(s) • If an enrollment transaction has been accepted a verification letter is sent to the customer. If the Enrollment Request is rejected an acknowledgment letter may or may not be sent to the customer at the option of the Utility.
PROCESS RULES:	<p>[UBP-SR.E.1] – There may be no charge for a customer's switch from utility bundled service at any time, (i.e., each switch away from the utility).</p> <p>[UBP-SR.H] – Utility budget billings shall be adjusted at the switch dates as required to reflect changes</p>

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	EN 1.0
PROCESS NAME:	<i>PROCESS ENROLLMENT REQUEST FOR AN ESTABLISHED UTILITY CUSTOMER</i>
	in utility service and shall be reflected in the customers' next bills.
COMMENTS:	

DRAFT

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	EN 2.0
PROCESS NAME:	<i>PROCESS ENROLLMENT REQUEST FOR A NEW DELIVERY / UTILITY CUSTOMER (NON-EDI)</i>
PROCESS DEFINITION:	<p>The process by which a Customer initiates new delivery service and ESCO selection concurrently. Based on recommendation [CR-5.2.7 New Delivery Customer Requirements – Recommendations pg. 89] from the NY Collaborative Report, the NY EDI Collaborative:</p> <ul style="list-style-type: none"> • Determined that the request itself must be manual, and therefore will have manual associated responses (see output section), and • Devised this process to handle both new delivery service and EM selection concurrently, through the use of manual and automated sub-processes.
TRIGGER(S):	Customer contacts ESCO.
ESTIMATED / PEAK TRANSACTION RATE:	Low activity.
PROCESS INPUTS:	<p>New Delivery request from the ESCO</p> <ul style="list-style-type: none"> • [UBP-NDCR.B.1] ESCOs shall provide the name, service address, mailing address, and telephone number (and universal account number when established) of new customers that will need delivery service from utilities. • [UBP-NDCR.B.3] ESCOs shall also provide information about the customer's special needs, if any, including life support equipment. • [CWG] ESCO must provide customer's expected service start date with the utility. • [CWG] ESCO must provide all data necessary for the Utility to process an application for utility service.

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	EN 2.0
PROCESS NAME:	<i>PROCESS ENROLLMENT REQUEST FOR A NEW DELIVERY / UTILITY CUSTOMER (NON-EDI)</i>
PROCESS OUTPUTS:	<p>The Utility will process both the service application for the customer and the enrollment for the pending marketer manually so that a new customer may participate in retail access coincident with the service turn-on date.</p> <ul style="list-style-type: none"> • Positive Response: Utility provides acknowledgement that the customer has been established on utility distribution and ESCO supply service. • Negative Responses: Various denials of service may occur due to administrative issues including non-payment of construction fees or deposits, credit issues, etc., or service related issues.
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • The ESCO contacts Utility to establish a new delivery account and enroll the new delivery Customer. • The ESCO provides the Utility with customer name, service address, mailing address, telephone number and any other information required by the Utility. • Utility validates ESCO and customer identifying information. • Utility validates request (SC # eligibility, room in program). • Utility processes non-EDI enrollment for ESCO • Utility provides enrollment response to ESCO • Utility sends enrollment acknowledgement letter to customer
PROCESS RULES:	<p>[UBP-NDCR.A.4.] The point to which this information is to be submitted (e.g., person, number, and/or office) shall be identified in the utility's operating procedures.</p> <p>[UBP-NDCR.E. Special Meter Reading Fees] There will be no utility fees for special meter readings if performed in conjunction with the initiation of new delivery service.</p> <p>[CR-5.2.7 New Delivery Customer Requirements – Recommendations pg. 89] The Subgroup believes that this process would be most efficient if ESCOs have on-line access (via the Utility's web site) to the script or questionnaire currently used by Utility representatives when interviewing / signing-up potential applicants for service. This would guide ESCOs in completing service application forms, which ideally,</p>

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	EN 2.0
PROCESS NAME:	<i>PROCESS ENROLLMENT REQUEST FOR A NEW DELIVERY / UTILITY CUSTOMER (NON-EDI)</i>
	<p>also should be accessible on the Utility’s web site. Further, an interactive application would enable the ESCO to complete the form and submit it directly to the Utility in one step. Completed application forms then could be transmitted as email attachments to a designated Utility representative. If more information or clarification is required, the Utility then could contact the ESCO.</p> <p>[UBP-NDCR.A.1.] New delivery customers may initiate service by contacting the utility and/or an ESCO. ESCOs shall provide utilities notices of new delivery customers choosing the ESCOs for supply with the ESCOs/Direct Customers’ authorized signatures or unique identifiers. The utilities shall acknowledge receipt of the notices within five calendar days.</p> <p>[CR-5.2.7 New Delivery Customer Requirements – General Steps 5] The Utility shall notify the ESCO electronically within 3 (residential) or 5 (non-residential) business days of receipt of the application form whether an application has been accepted or denied. All incomplete applications will be denied. In a denial of an application, the Utility will provide the reason(s) for denial, including what information is missing and/or how the application is incomplete. In an acceptance of an application, the Utility will provide the ESCO with the Utility number assigned to this customer and the effective date of service turn-on.</p> <p>[UBP-NDCR.A.2.] The notices for new residential service for applicants whose previous utility bills, if any, have been paid or are covered by a deferred payment plan, and that do not require construction must be submitted at least five business days prior to the requested service date; other notices must be submitted at least 10 calendar days prior to the requested service date. All notices shall contain the information identified below.</p> <p>[UBP-NDCR.B.2] ESCOs acting as the customer’s agent in establishing utility delivery services shall provide the information about the customer that the utility needs to establish service, as specified in the utilities’ tariffs.</p> <p>[UBP-NDCR.C. Commencement of Service] For new delivery customers, services will commence after all connections are complete in accordance with provisions of the utility’s non-retail access tariff. A</p>

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	EN 2.0
PROCESS NAME:	<i>PROCESS ENROLLMENT REQUEST FOR A NEW DELIVERY / UTILITY CUSTOMER (NON-EDI)</i>
	<p>special meter reading as applicable will then be performed at no charge.</p> <p>[UBP-NDCR.C. (Continued)] Except for the “pure Single Retailer” model, new delivery customers must be accepted by the utility before service may commence; any conditions set forth in the tariffs for the initiation of service to such new delivery customers apply.</p> <p>[UBP-NDCR.D. Initiation of Service Fees, Deposits, or Other Requirements] Any fees, deposit requirements, or other charges identified in a utility’s tariff will apply to initiation of service to new delivery customers.</p> <p>[CR-5.2.7 New Delivery Customer Requirements – General Steps 1.] The ESCO obtains authorization from the customer to apply for delivery service on its behalf. The ESCO agrees to keep proof of customer authorization and positive identification as required by the Utility tariff and Commission regulations.</p>
COMMENTS:	<p>[CWG] Gas supply service will commence at the beginning of the gas day on the morning of the effective date.</p> <p>[CR-5.2.7 New Delivery Customer Requirements - Definition pg. 88] – This rule requires that new delivery applications for service be completed prior to ESCO submission of an enrollment request. However, during collaborative business process efforts occurring after issuance of the Collaborative Report, the Collaborative determined that application for service and enrollment can occur concurrently, as outlined herein.</p> <p>[CR-5.2.7 New Delivery Customer Requirements – General Steps 5] The following statement from this rule no longer applies since the Utility will input the enrollment on behalf of the ESCO: “In an acceptance of an application, the Utility will provide the ESCO with the Utility number assigned to this customer and the effective date of service turn-on.”</p> <p>Although the processing for new delivery customers must remain essentially a manual process that cannot be accommodated via EDI, this does not preclude the development of an electronic means for</p>

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	EN 2.0
PROCESS NAME:	<i>PROCESS ENROLLMENT REQUEST FOR A NEW DELIVERY / UTILITY CUSTOMER (NON-EDI)</i>
	facilitating the exchange of data.

DRAFT

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	EN 3.0
PROCESS NAME:	<i>CUSTOMER SWITCHES FROM ONE ESCO TO ANOTHER ESCO</i>
PROCESS DEFINITION:	<p>The process by which the customer's supply service is switched from one ESCO to another. This process does not apply to customers whose enrollment is in the pending stage.</p> <p>[CR-2.4.1 pg. 32] Supply Stage – The supply stage commences when the customer receives service from the ESCO.</p> <p>[CR-2.4.1 pg. 33] Pending Stage – The pending stage commences with validation of the enrollment transaction and ends on the first day the customer receives service from the ESCO.</p> <p>The process described below reflects only the Enrollment component for this type of switch. The Drop component is described in the Drop Business Process document.</p>
TRIGGER(S):	Enrollment Trigger: ESCO request on behalf of Customer
ESTIMATED / PEAK TRANSACTION RATE:	<p>Moderate activity and fluctuation.</p> <p>Likely to increase as customer participation increases.</p>
PROCESS INPUTS:	See EN 1.0
PROCESS OUTPUTS:	<p>Positive Response: see EN 1.0</p> <p>Negative Responses: see EN 1.0</p>
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • Process Enrollment Request (see EN 1.0) • Process Drop of old ESCO (see Drop Business Process Document, DR 3.0)

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	EN 3.0
PROCESS NAME:	<i>CUSTOMER SWITCHES FROM ONE ESCO TO ANOTHER ESCO</i>
PROCESS RULES:	See Enrollment Parent (EN0) See Drop Business Process document (DR0, DR 3.0)
COMMENTS:	These processes may be modified when the EDI standard and business processes associated with the Reinstatement Transaction have been adopted. See <i>NOTES</i> on the first page regarding customer recission.

DRAFT

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	EN 4.0
PROCESS NAME:	<i>PROCESS REQUEST FOR RELOCATION WITHIN SERVICE TERRITORY (NON-EDI)</i>
PROCESS DEFINITION:	<p>The process by which a customer moves within the service territory and wants to continue in retail choice with the same ESCO at the new location. Delivery and supply service at the old location must be terminated (account is closed) and both delivery and commodity service must be initiated at the new location. This process is described in detail in the Drop Business Document (DR 5.0).</p> <p>This process will not apply to the pure single retailer model (see the Comment section of DR 5.0 for further details).</p>

DRAFT

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	<i>EN 5.0</i>
PROCESS NAME:	<i>OTHER REQUESTS</i>
PROCESS DEFINITION:	<p>The process by which an ESCO or Utility requests other or additional services for a customer. This could include special utility-specific programs based on utility tariffs. The processes described below include: (1) a request for a special meter read for the purpose of enrolling a customer on a date other than the regularly scheduled meter read date, and (2) a request for history data for the customer being enrolled.</p> <p>Note: The “Other Requests” business process may be further defined based on subsequent Commission orders pertaining to competitive Billing, Metering, etc.</p>
TRIGGER(S):	Trigger: Customer request.
ESTIMATED / PEAK TRANSACTION RATE:	<p>Special Meter Read Requests – Low</p> <p>Requests for History Data – High (hundreds per day) during promotional periods (utility or ESCO). Lower volumes (under 10 per day) during open enrollment.</p>
PROCESS INPUTS:	<p>A request for a special meter read for the purpose of enrolling a customer on a date other than that customer’s next regularly scheduled meter read date will not be processed via EDI until the appropriate transaction standard has been developed.</p> <p>See Request for History data elements Other inputs to be determined</p>
PROCESS OUTPUTS:	<p>Special Meter Read – see Process Inputs above.</p> <p>If the Enrollment Request is rejected, the Utility will reject any related requests for history data.</p> <p>Consumption History or Gas Profile Data will be provided in an 867 transaction.</p>

ENROLLMENT BUSINESS PROCESSES

PROCESS NUMBER:	<i>EN 5.0</i>
PROCESS NAME:	<i>OTHER REQUESTS</i>
SUB OR PRECEDING PROCESSES:	<p>Request for History Data</p> <ul style="list-style-type: none"> • Customer is enrolled or pending enrollment in Retail Choice • ESCO submits a request • Utility responds to request • Utility sends 867 containing history data (for accepted requests where history is available) • ESCO or Utility notes the account if applicable
PROCESS RULES:	[CWG] Requests will be accepted based on utility tariff and ESCO established rules.
COMMENTS:	This process may be modified when special read requests can be processed via EDI.

DRAFT

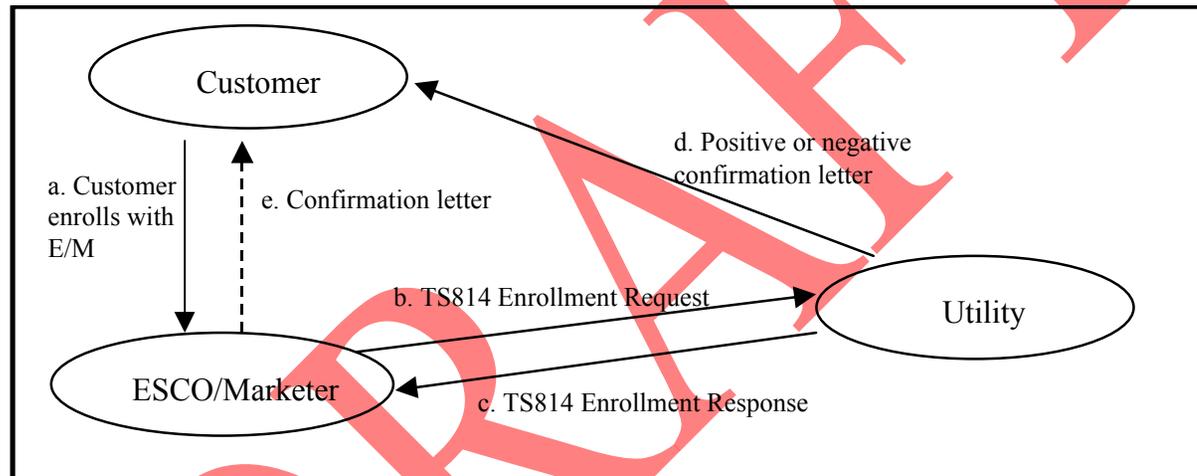
ENROLLMENT BUSINESS PROCESSES

ENROLLMENT BUSINESS PROCESS FLOWS

The following is a list of scenarios and procedures to be followed to ensure proper management of customer ESCO selections and changes to those selections.

EN 1.0 Process Enrollment Request for an Established Utility Customer

The following represents the steps necessary to process a customer's request for service from a specific ESCO, when the ESCO initiates the request electronically, and the customer is not currently receiving service or does not have any pending service with another ESCO. Should the customer contact the Utility to initially enroll with an ESCO, the Utility will tell the customer to contact that ESCO.



- a) Customer enrolls with ESCO.
- b) ESCO sends TS814 Enrollment Request to Utility.
- c) Utility sends TS814 Enrollment Response to ESCO.
- d) The Utility sends the customer a letter confirming the enrollment status (positive or negative).
- e) If step (c) is a valid enrollment response, the ESCO may send the customer a confirmation letter confirming their enrollment.

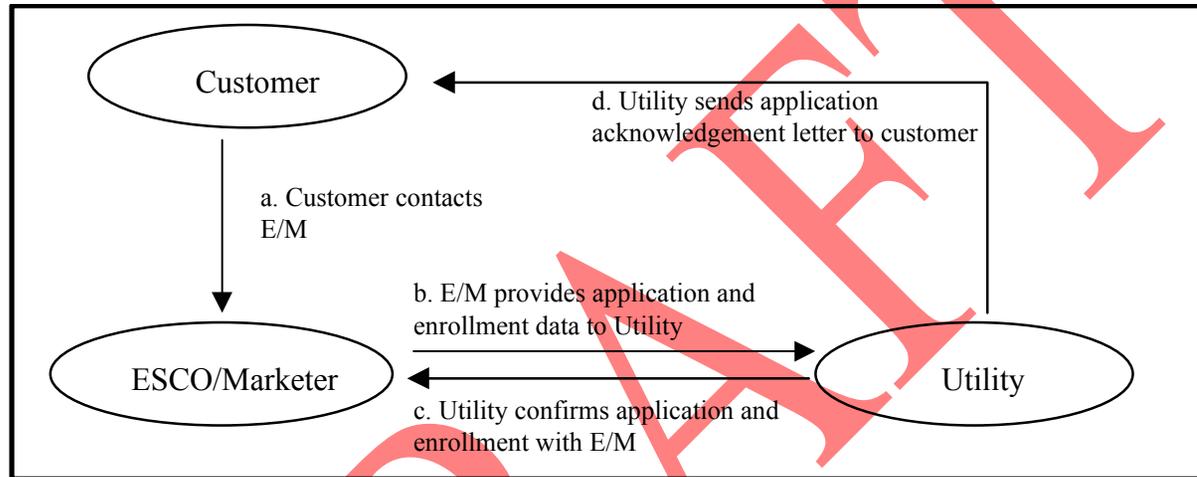
Notes:

- All EDI transactions require that the recipient return a TS997 Acknowledgement.
- Enrollments may only be submitted by the ESCO.
- The Utility determines the effective date based on the date the request is received in relation to the customer's meter reading cycle date.

ENROLLMENT BUSINESS PROCESSES

EN 2.0 Process Enrollment Request for a New Delivery / Utility Customer (non-EDI)

As described in EN 2.0 of this document, the customer contacting the ESCO initiates this process. This is the process by which a Customer initiates new delivery service and ESCO selection **concurrently**.



- a) Customer contacts ESCO, providing delivery service application data
- b) ESCO provides application and enrollment data to Utility
- c) Utility confirms application and enrollment with ESCO
- d) Utility sends application acknowledgment letter to customer

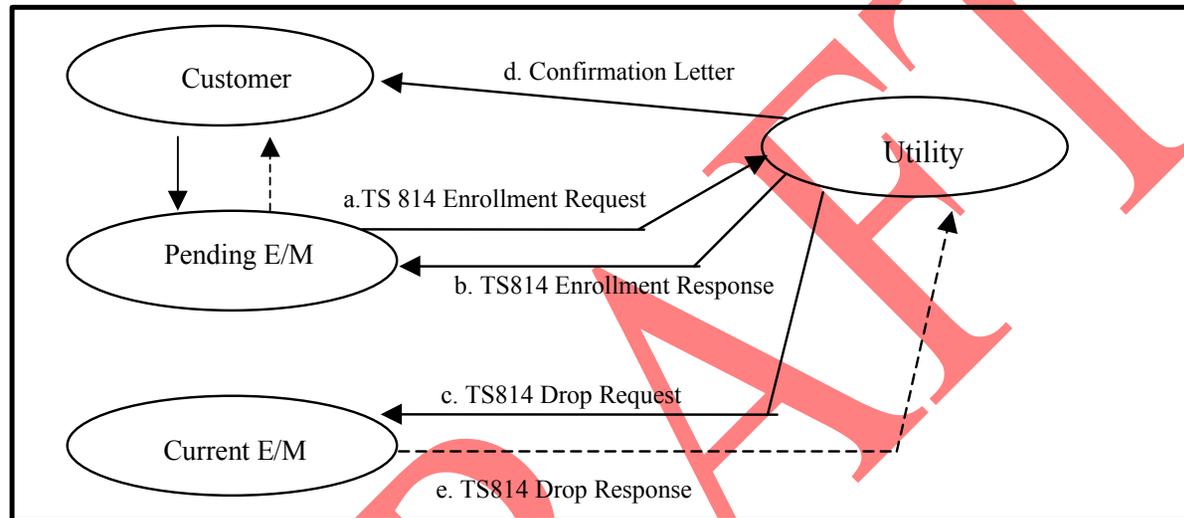
Notes:

- All EDI transactions require that the recipient return a TS997 Acknowledgement.
- If the customer contacts the Utility to apply for new delivery service and ESCO supply service concurrently, the customer will be advised to contact the ESCO.

ENROLLMENT BUSINESS PROCESSES

EN 3.0 Customer Switches from one ESCO to Another ESCO

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



- a) Pending ESCO sends TS814 Enrollment Request to Utility.
- b) Utility sends TS814 Enrollment Response to Pending ESCO.
- c) If enrollment is valid, Utility sends TS814 Drop Request to current ESCO.
- d) If enrollment is valid, the Utility sends the customer a letter confirming the ESCO selection, noting the expected start date, and informing the customer of their right of rescission.
- e) Current ESCO returns a reject response only when drop transaction cannot be validated. No other drop responses will be accepted by the Utility.

Notes:

- The recipient of an EDI transaction must return TS 997. The TS 997 will be used by the Utility to confirm the ESCOs receipt of the TS814 Drop. ESCOs may not reject a TS814 for reasons other than validation or syntax errors.
- The Utility will determine the effective date for the new enrollment and the drop based on the date the new Enrollment Request was received and customer's meter read cycle date.

ENROLLMENT BUSINESS PROCESSES

EN 4.0 Process Request for Relocation within Service Territory - NON-EDI

See Drop Business Process (process DR 5.0)

DRAFT