

REINSTATEMENT BUSINESS PROCESSES

This document describes the detailed business process for reinstating a customer with their incumbent ESCO when a switch to another ESCO is pending for the customer. In developing these business processes, the New York EDI Collaborative reviewed the following documents:

- June 30, 1999 Report of the New York EDI Collaborative
- New York Uniform Business Practices (UBP), Case 98-M-1343, issued and effective 4/15/99 and as modified in Opinion 01-03, issued and effective 07/23/01 (see Interim Revised Uniform Business Practices issued November 16, 2001);
- New York Enrollment Business Process Document contained in Supplement F to Opinion 01-03;
- New York Drop Business Process Document contained in Supplement G to Opinion 01-03.
- Case 98-M-1343 and Case 98-M-0667, Order Granting Petition, issued and effective September 22, 2009.
- Order Taking Actions to Improve the Residential and Small Nonresidential Retail Access Markets, issued and effective February 25, 2014 in Case 12-M-0476 et.al.

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(M) = NY Uniform Business Practices as modified in Opinion 01- 03 (issued 11/16/01)
 - CWG = Collaborative Work Group or Case 12-M-0476 EDI Working Groups
- All Customer information is considered confidential.
- A separate Reinstatement Request transaction must be initiated for each commodity (i.e. electric or gas).
- For purposes of validating EDI transactions, the customer's utility account number (with check digit, if included) must be included on every transaction.
- A reinstatement request for an account will be considered a request to reinstate all meters on that account with the incumbent ESCO.

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- Enrollment transactions are handled on a “first in” basis and must be processed by the recipient Utility in the order (date/time stamp) they are received. Once the first valid enrollment request for a customer has been processed by the Utility, all subsequent enrollment requests for that customer will be rejected. When the pending enrollment for that customer is subsequently rescinded the Utility will NOT process the next earliest enrollment request for that customer from another ESCO but will reinstate the customer with their prior ESCO.

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PROCESS NUMBER:	RE0
PROCESS NAME:	<i>REINSTATEMENT (PARENT PROCESS)</i>
PROCESS DEFINITION:	<p>Process for reinstating a customer with their incumbent ESCO after an Enrollment pending for a new ESCO is canceled.</p> <p>This process does not apply when:</p> <ul style="list-style-type: none"> • The Utility is the customer’s current commodity supplier; • A Drop was pending for the incumbent ESCO prior to receipt of an Enrollment Request from the new ESCO; • The customer requests return to Utility bundled service.
TRIGGER(S):	The customer contacts the pending ESCO or the Utility to cancel an enrollment request from the pending ESCO; the ESCO cancels an enrollment request (drops the customer).
ESTIMATED / PEAK TRANSACTION RATE:	High during enrollment periods.
PROCESS INPUTS:	<i>(Utility Only)</i> Utility ID Information; ESCO ID Information; Customer’s Utility Account Number; Service Applicable (Electric or Gas) and Reinstatement Date
PROCESS OUTPUTS:	<p><u>Accept Responses to Reinstatement Request:</u></p> <p><i>(ESCO Only)</i> Utility ID Information; ESCO ID Information; Customer’s Utility Account Number, Service Applicable, and Status Indicator (Accept)</p> <p><u>Reject Responses to Reinstatement Requests:</u></p>

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PROCESS NAME:	<i>REINSTATEMENT (PARENT PROCESS)</i>
	<p><i>(ESCO Only)</i> Utility ID Information; ESCO ID Information; Customer’s Utility Account Number, Service Applicable (Electric or Gas), Status Indicator (Reject) and Rejection Reason.</p> <p>Reinstatement Requests may only be rejected for validation failures, service not offered, missing reinstatement date or for failure to comply with the 3-day notice requirement:</p> <p>Valid Rejection Reasons:</p> <p>A76 – Utility Account Invalid or Not Found</p> <p>A91 – Service is not offered (i.e. request pertains to electric service but account is gas account)</p> <p>NPD – Reinstatement Period Expired</p> <p>DIV – Date/Time Invalid or Missing (Date Segment is Missing)</p>
SUB OR PRECEDING PROCESSES:	<p>RE 1.0 Customer Is Reinstated After Contacting Utility to Rescind Pending Enrollment for New ESCO</p> <p>RE 2.0 Customer Is Reinstated After Contacting New ESCO to Rescind Pending Enrollment</p> <p>RE 3.0 Customer Is Reinstated After Incumbent ESCO Contacts Utility to Contest Pending Enrollment</p>
PROCESS RULES:	<p>[UBP(M)-RGS.D.1] Customers may contact either their Utility or their pending ESCO to rescind (nullify or cancel) an enrollment request during the pending stage.</p> <p>[UBP(M)-RGS.D.1] When the customer contacts there pending ESCO to rescind an enrollment, the ESCO must promptly notify the Utility via an 814-Drop Request transaction. When the customer contacts the Utility to rescind a pending enrollment, the Utility must promptly notify the pending ESCO via an 814-Drop Request transaction. The effective date for the Drop will be determined by the date the Utility is notified that the customer wishes to cancel a pending enrollment. Utility initiated drop requests will contain the effective drop date; the Utility must return the effective drop date on a response to an accepted 814-Drop request originated</p>

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	<p>by an ESCO.</p> <ul style="list-style-type: none"> (a) When the Utility is notified at least one <u>business</u> day in advance of the pending switch date that the customer wants to cancel a pending enrollment request, the customer may be reinstated with their incumbent ESCO, if any, or they may continue to take bundled service from the Utility. The effective date for the drop request will be coincident with the pending switch date. (b) When notice to the Utility occurs less than one <u>business</u> day in advance of the pending switch date, the customer must be enrolled with the pending ESCO on the switch date for at least one cycle. The effective date for the drop request would then be coincident with the customer's next regularly scheduled meter read date, or the first of the month for gas (as specified in the Utility Maintained EDI Guide), following the pending switch date. <p>[UBP(M)-SPP.A.4] When the customer notifies the utility or the pending ESCO that the request is not valid, the pending enrollment may be canceled or supply service with the ESCO may be discontinued depending upon the date the Utility is notified that the enrollment request was not valid:</p> <p>Pending Enrollment is Canceled</p> <ul style="list-style-type: none"> (i) When the customer notifies the ESCO that their pending enrollment was not authorized, the ESCO must promptly notify the Utility via an 814-Drop Request transaction. The Utility must return an 814-Drop Response transaction, containing the effective date of the drop within two business days of receipt of the Drop Request transaction.

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	<p>(ii) When the customer notifies the Utility that the pending enrollment was not authorized, the Utility must promptly notify the pending ESCO via an 814-Drop Request transaction. The 814-Drop Request transaction must contain the effective date of the drop.</p> <p>(iii) When the Utility is notified at least one <u>business</u> day in advance of the switch date that the pending enrollment was not authorized, the customer may be reinstated with their incumbent ESCO, if any, or they may continue to take bundled service from the Utility. The effective date for the drop request will be coincident with the pending switch date.</p> <p>Supply Service is Discontinued</p> <p>(i) When the Utility is notified <u>less than</u> one business day in advance of the switch date that a pending enrollment was not authorized, the customer must be enrolled with the pending ESCO for at least one cycle. Supply service with that ESCO would be discontinued coincident with the customer’s next regularly scheduled meter read date, or the first of the month for gas (as specified in the Utility Maintained EDI Guide), following the pending switch date.</p> <p>[CWG] Reinstatement Request transactions may only be initiated by the Utility</p> <p>[CWG] – DROP sub-process 1.3] When the customer contacts the Utility to rescind, the Utility will send a Drop Request to the ESCO a minimum of two business days in advance of the effective date for the pending enrollment.</p> <p>[CWG – DROP sub-process 1.1] The effective ‘Date of Drop’ is defined as the next eligible date and must be a date in the future. Drop requests may not be processed for a retroactive date.</p> <p>[CWG] Customers may not be reinstated with their incumbent ESCO when a pending enrollment request from a new ESCO is canceled when (1) a Drop Request, initiated by either the Customer or the ESCO, was</p>

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	<p>pending for the customer's incumbent ESCO prior to receipt of the Enrollment Request from the new ESCO, OR (2) the customer indicates they wish to return to bundled utility service.</p> <p>[CWG] When the customer does not rescind a pending enrollment for a new ESCO within the designated period (i.e. no later than one business day prior to the effective date for the pending enrollment), all pending orders become effective on the current cycle date and the Drop request received after the close of the rescission period becomes effective on the next cycle date or the first of the month for gas as specified in the Utility Maintained EDI Guide. If customer wants to return to their old ESCO and the rescission period has expired, the customer will have to contact the old ESCO and request re-enrollment for the following cycle.</p> <p>[CWG] The effective date for a reinstatement for the incumbent ESCO must coincide with the effective date for the pending Drop transaction for that ESCO.</p> <p>[CWG] When the incumbent ESCO receiving the Reinstatement Request no longer wishes to supply the customer, they must accept the Reinstatement Request and then issue an 814-Drop to the Utility.</p> <p>[CWG] All Reinstatement Request transactions require an 814 Response transaction; Responses must be transmitted within two business days of receipt of the Request.</p>
COMMENTS:	

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PROCESS NUMBER:	RE 1.0
PROCESS NAME:	<i>CUSTOMER IS REINSTATED AFTER CONTACTING UTILITY TO RESCIND PENDING ENROLLMENT FOR NEW ESCO</i>
PROCESS DEFINITION:	Process by which a customer may be reinstated with their current ESCO when the customer contacts the Utility to rescind a pending enrollment for a new ESCO.
TRIGGER(S):	Customer contacts the Utility to rescind a pending enrollment for a new ESCO.
ESTIMATED / PEAK TRANSACTION RATE:	High during enrollment periods.
PROCESS INPUTS:	See Parent Process
PROCESS OUTPUTS:	See Parent Process
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • Customer is an established customer of an ESCO • Utility receives Enrollment Request from a new ESCO • Utility validates Enrollment Request from new ESCO and sends new ESCO an Accept Response • Utility sends Drop Request to incumbent ESCO • Utility sends letter to customer verifying enrollment request from new ESCO • Customer contacts Utility within the rescission period to cancel the pending enrollment and requests reinstatement with their incumbent ESCO • Utility sends Drop Request to the new ESCO • Utility sends incumbent ESCO a Reinstatement Request • Incumbent ESCO sends Utility a Reinstatement Response

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PROCESS NUMBER:	RE 1.0
PROCESS NAME:	<i>CUSTOMER IS REINSTATED AFTER CONTACTING UTILITY TO RESCIND PENDING ENROLLMENT FOR NEW ESCO</i>
	<ul style="list-style-type: none">• Utility may send customer letter confirming rescission of pending enrollment for new ESCO and reinstatement with current ESCO
PROCESS RULES:	See Parent
COMMENTS:	

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PROCESS NUMBER:	RE 2.0
PROCESS NAME:	<i>CUSTOMER IS REINSTATED AFTER CONTACTING NEW ESCO TO RESCIND PENDING ENROLLMENT</i>
PROCESS DEFINITION:	Process by which a customer may be reinstated with their incumbent ESCO when the customer contacts the new ESCO to rescind a pending enrollment.
TRIGGER(S):	Customer contacts the pending new ESCO to indicate that they do not want to switch suppliers.
ESTIMATED / PEAK TRANSACTION RATE:	High during enrollment periods
PROCESS INPUTS:	See Parent Process
PROCESS OUTPUTS:	See Parent Process
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • Customer is an established customer of an ESCO • Utility receives Enrollment Request from a new ESCO • Utility validates Enrollment Request from new ESCO and sends new ESCO an Accept Response • Utility sends Drop Request to incumbent ESCO • Utility sends letter to customer verifying enrollment request from new ESCO • Customer contacts the new ESCO within the rescission period to cancel the pending enrollment • New ESCO sends Drop Request to the Utility • Utility sends Drop Response to new ESCO • Utility sends Reinstatement Request to the customer's incumbent ESCO • Incumbent ESCO sends Reinstatement Response to Utility

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PROCESS NUMBER:	RE 2.0
PROCESS NAME:	<i>CUSTOMER IS REINSTATED AFTER CONTACTING NEW ESCO TO RESCIND PENDING ENROLLMENT</i>
	<ul style="list-style-type: none">• Utility may send customer letter confirming rescission of pending enrollment for new ESCO and reinstatement with old ESCO
PROCESS RULES:	[CWG] When the Utility receives a Drop Request from an ESCO for whom an enrollment is pending, the customer will automatically be reinstated with their incumbent ESCO unless (1) the customer contacts the Utility directly to indicate they wish to return to Utility bundled service instead of being reinstated with their incumbent ESCO, OR (2) a Drop was pending for the incumbent ESCO prior to receipt of the Enrollment Request from the new ESCO.
COMMENTS:	

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PROCESS NUMBER:	RE 3.0
PROCESS NAME:	<i>CUSTOMER IS REINSTATED AFTER INCUMBENT ESCO CONTACTS UTILITY TO CONTEST PENDING ENROLLMENT</i>
PROCESS DEFINITION:	Process by which a customer may be reinstated with their current ESCO when that ESCO, with specific customer authorization for cancellation of a pending switch, contacts the Utility to contest a pending enrollment with another ESCO.
TRIGGER(S):	Customer contacts the Incumbent ESCO to indicate that they do not want to switch suppliers.
ESTIMATED / PEAK TRANSACTION RATE:	Low to moderate during enrollment periods
PROCESS INPUTS:	See Parent Process
PROCESS OUTPUTS:	See Parent Process
SUB OR PRECEDING PROCESSES:	<ul style="list-style-type: none"> • Customer is an established customer of an ESCO • Utility receives Enrollment Request from a new ESCO • Utility validates Enrollment Request from new ESCO and sends new ESCO an Accept Response • Utility sends Drop Request to incumbent ESCO • Utility sends letter to customer verifying enrollment request from new ESCO • Customer contacts their current ESCO within the verification period to cancel the pending enrollment • Incumbent ESCO sends Contest Period Drop Request to the Utility • Utility sends Drop Response to new ESCO • Utility sends Reinstatement Request to the customer's Incumbent ESCO

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PROCESS NUMBER:	RE 3.0
PROCESS NAME:	<i>CUSTOMER IS REINSTATED AFTER INCUMBENT ESCO CONTACTS UTILITY TO CONTEST PENDING ENROLLMENT</i>
	<ul style="list-style-type: none">• Incumbent ESCO sends Reinstatement Response to Utility• Utility may send customer letter confirming cancellation of pending enrollment for new ESCO and reinstatement with Incumbent ESCO
PROCESS RULES:	[CWG] When the Utility receives a Contest Period Drop Request from an Incumbent ESCO for which it has specific customer authorization for cancellation of a pending switch, the customer will automatically be reinstated with their incumbent ESCO unless (1) the customer contacts the Utility directly to indicate they wish to return to Utility bundled service instead of being reinstated with their incumbent ESCO.
COMMENTS:	