

## REINSTATEMENT BUSINESS PROCESSES

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*This document describes the detailed business process for reinstating a customer with their incumbent ESCO/Marketer when a switch to another ESCO/Marketer 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.

### 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
- 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 E/M.

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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 When the pending enrollment for that customer is subsequently rescinded the Utility will NOT process the next earliest enrollment request for that customer from another E/M but will reinstate the customer with their prior E/M.

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

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<p><b>PROCESS OUTPUTS:</b></p>	<p><u>Accept Responses to Reinstatement Request:</u></p> <p><i>(ESCO/Marketer Only)</i> Utility ID Information; E/M ID Information; Customer’s Utility Account Number, Service Applicable, and Status Indicator (Accept)</p> <p><u>Reject Responses to Reinstatement Requests:</u></p> <p><i>(ESCO/Marketer Only)</i> Utility ID Information; E/M 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>A96 – Reinstatement Period Expired</p> <p>DIV – Date/Time Invalid or Missing (Date Segment is Missing)</p>
<p><b>SUB OR PRECEDING PROCESSES:</b></p>	<p>RE 1.0 Customer Is Reinstated After Contacting Utility to Rescind Pending Enrollment for New E/M</p> <p>RE 2.0 Customer Is Reinstated After Contacting New E/M to Rescind Pending Enrollment</p>

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<p><b>PROCESS RULES:</b></p>	<p>[UBP(M)-RGS.D.1] Customers may contact either their Utility or their pending ESCO/Marketer 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/Marketer to rescind an enrollment, the ESCO/Marketer 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/Marketer 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 by an ESCO/Marketer.</p> <ul style="list-style-type: none"><li>(a) When the Utility is notified at least three <u>business</u> days 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/Marketer, 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.</li><li>(b) When notice to the Utility occurs less than three <u>business</u> days in advance of the pending switch date, the customer must be enrolled with the pending ESCO/Marketer 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, following the pending switch date.</li></ul> <p>[UBP(M)-SPP.A.4] When the customer notifies the utility or the pending ESCO/Marketer that the request is not valid, the pending enrollment may be canceled or supply service with the ESCO/Marketer may be discontinued depending upon the date the Utility is notified that the enrollment request was not valid:</p>
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### Pending Enrollment is Canceled

- (i) When the customer notifies the ESCO/Marketer that their pending enrollment was not authorized, the ESCO/Marketer 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.
- (ii) When the customer notifies the Utility that the pending enrollment was not authorized, the Utility must promptly notify the pending ESCO/Marketer via an 814-Drop Request transaction. The 814-Drop Request transaction must contain the effective date of the drop.
- (iii) When the Utility is notified at least three business days in advance of the switch date that the pending enrollment was not authorized, the customer may be reinstated with their incumbent ESCO/Marketer, 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.

### Supply Service is Discontinued

- (i) When the Utility is notified less than three business days in advance of the switch date that a pending enrollment was not authorized, the customer must be enrolled with the pending ESCO/Marketer for at least one cycle. Supply service with that ESCO/Marketer would be discontinued coincident with the customer's next regularly scheduled meter read date, or the first of the month for gas, following the pending switch date.

[CWG] Reinstatement Request transactions may only be initiated by the Utility

[CWG] – DROP sub-process 1.3] When the customer contacts the Utility to rescind, the Utility will send a Drop Request to the E/M a minimum of two business days in advance of the effective date for the pending enrollment.

[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.

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	<p>[CWG] Customers may not be reinstated with their incumbent E/M when a pending enrollment request from a new E/M is canceled when (1) a Drop Request, initiated by either the Customer or the E/M, was pending for the customer's incumbent E/M prior to receipt of the Enrollment Request from the new E/M, 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 E/M within the designated period (i.e. no later than 3 business days 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's tariffs. If customer wants to return to their old E/M and the rescission period has expired, the customer will have to contact the old E/M and request re-enrollment for the following cycle.</p> <p>[CWG] The effective date for a reinstatement for the incumbent E/M must coincide with the effective date for the pending Drop transaction for that E/M.</p> <p>[CWG] When the incumbent E/M 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>
<b>COMMENTS:</b>	

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

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

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

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<b>PROCESS NUMBER:</b>	<b>RE 2.0</b>
<b>PROCESS NAME:</b>	<b><i>CUSTOMER IS REINSTATED AFTER CONTACTING NEW E/M TO RESCIND PENDING ENROLLMENT</i></b>
	<ul style="list-style-type: none"><li>• Incumbent E/M sends Reinstatement Response to Utility</li><li>• Utility may send customer letter confirming rescission of pending enrollment for new E/M and reinstatement with old E/M</li></ul>
<b>PROCESS RULES:</b>	[CWG] When the Utility receives a Drop Request from an E/M for whom an enrollment is pending, the customer will automatically be reinstated with their incumbent E/M 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 E/M, OR (2) a Drop was pending for the incumbent E/M prior to receipt of the Enrollment Request from the new E/M.
<b>COMMENTS:</b>	