

NYSEG/RG&E Electric Supplier Manual



ESM

About This Manual

NYSEG and RG&E retain full responsibility for and final authority over the terms and provisions of this Electric Supplier Manual except to the extent that:

- (a) The Schedule for Electric Distribution Service (the Distribution Tariff is subject to the supervision and approval of the Public Service Commission; and
- (b) The Operating Agreement may be amended by agreement between NYSEG or RG&E and their Direct Customers (DCs).

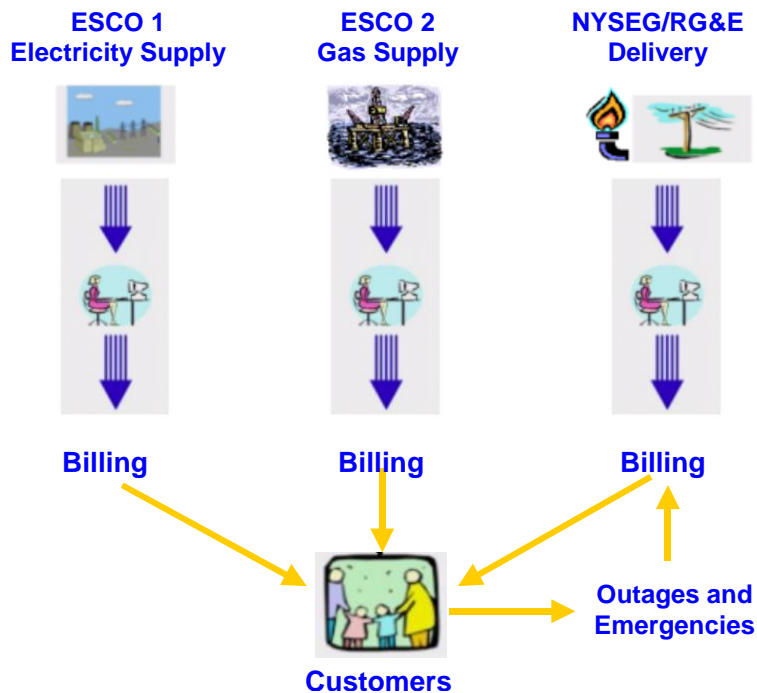
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SUMMARY OF CHANGES

Chapter	Date Revised
Table of Contents	1/25/14
Section 1 – Introduction	1/25/14
Section 2 - Overview of Companies	1/7/19
Section 3 - Roles & Responsibilities	7/1/16
Section 4 - ESCO Qualification & Discontinuance	10/1/18
Section 5 - Customer Enrollment	7/7/15
Section 6 - Electric Settlement	7/1/16
Section 7 - Communication Protocol	1/25/14
Section 8 - Metering, Billing & Payments	7/7/15
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Appendix B: Glossary of Terms	1/25/14

Under the Multi-Retailer Model, ESCOs serve customers for energy supply (commodity) while NYSEG/RG&E serves customers for energy transmission and distribution. The customer selects the desired billing and payment option (Dual or Utility-Consolidated) from the options offered NYSEG/RG&E customers, with the designated billing party processing the customer's bills and payments.



All ESCOs will offer the Dual Billing option. With this option, customers will be NYSEG's/RG&E's customer for delivery charges and the ESCO's customer for energy supply (commodity) charges. As the billing option's name indicates, the customer will receive two bills: one from NYSEG/RG&E for delivery charges and one from the ESCO for supply charges.

In addition, some ESCOs will offer the Utility-Consolidated Billing option. With this option, the customer will only receive one bill. NYSEG/RG&E will send the customer a bill, which includes both delivery charges and supply charges (sent to NYSEG/RG&E via EDI). Under the Multi-Retailer Model, the customer will have the option of participating in billing programs that are available to regulated customers for their delivery charges. Such programs include Budget Billing, Electronic Funds Transfer (EFT), and Electronic Bill Payment and Presentment (EBPP).

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1. INTRODUCTION

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1.1. Scope/Purpose¹

The purpose of this manual is to provide Energy Service Companies (ESCOs) and Direct Customers (DC) with a single source for accessing electric retail access policies and procedures, which are consistent with current Uniform Business Practices (UBP). These policies and procedures have been designed to provide ESCO's/DCs, who supply electricity, an operating environment in which to smoothly and efficiently conduct business with New York State Electric and Gas (NYSEG), Rochester Gas and Electric Corporation (RG&E), and eligible Retail Access Customers (customers)².

¹ For additional information about the Retail Access Program in New York State, contact the New York State Department of Public Service at <http://www.dps.ny.gov/>.

² For purposes of this manual, a *customer* is deemed eligible in accordance with prescribed tariffs.

1.2. Objective

This section:

- Defines the scope and purpose of this manual;
- Describes the Retail Access Program;
- Describes how to use this manual;
- Summarizes the contents of each section of this manual;
- Provides instructions for accessing the manual on the web; and
- Provides customer relations information.

1.3. The Electric Retail Access Program

The Retail Access Program is a group of electric supply, delivery, and management services offered to NYSEG and RG&E customers who meet specific supplier requirements. With this program, the DC or the customer's ESCO is responsible for arranging electricity deliveries into the distribution system. Once this electricity reaches the distribution system, NYSEG/RG&E delivers it from the supply interconnect to the customer's facilities in accordance with the provisions of the selected service class.

1.4. Using This Manual

This manual has been designed for use as a quick reference tool to simplify and expedite the processes you regularly use in the course of business. Of particular note:

- Important terms are italicized, with their definitions provided in Appendix B - Glossary.
- Forms, agreements, and tariffs are referenced as blue underlined hypertext links for quick access to the web.
- A description of available services that NYSEG/RG&E provides to their ESCOs, DCs, and customers may be found in Section 2 - Overview of Companies.
- A description of roles and responsibilities may be found in Section 3 - Roles and Responsibilities.

If you have questions about your roles and responsibilities as referenced in this manual, please contact your Supplier Relations Lead Analyst (Appendix A - Contact Information). Your ease of doing business is important to us; therefore, we welcome suggestions.

1.5. Summary of Contents

This manual consists of nine sections and two appendices. In addition to this section:

2 Overview of Companies

This section describes NYSEG's/RG&E's service territories and service classifications.

3 Roles and Responsibilities

This section describes the roles and responsibilities of the ESCO/DC, the customer, and NYSEG/RG&E Supplier Relations and Supplier Services.

4 ESCO Qualification and Discontinuance

This section outlines the steps that ESCOs must follow to qualify as an electricity supplier for customers within NYSEG's/RG&E's service territory. To participate in the NYSEG/RGE program, DCs must also adhere to requirements in this section.

5 Customer Enrollment

This section provides information about customer enrollment, including eligibility criteria, the enrollment process, switching ESCOs, and slamming prevention.

6 Electric Settlement

This section describes the policies associated with the Electric Settlement process, including load balancing and settlement, load profiles, system losses, unforced capacity (UCAP), ancillary reimbursement, and load busses.

7 Communication Protocols

This section describes the policies associated with developing and maintaining communication between NYSEG/RG&E, ESCOs/DCs, and customers.

Communications includes identifying communication channels and points of contacts; communicating with ESCOs/DCs and customers; requesting information; reporting customer status changes; communicating scheduled outages; providing emergency services; and providing street lighting, area lighting, and traffic signal services.

8 Metering, Billing, and Payments

This section describes the policies associated with the Delivery Company Metering, Billing, and Payment processes. It also describes the customer account structure; available billing services; billing history, and the Customer List File.

9 Data Exchange

This section describes the policies associated with Electronic Data Interchange (EDI) and non-EDI transactions.

A Contact Information

This section provides contact information at NYSEG, RG&E, and NYISO

B Glossary of Terms

This section provides a glossary of supplier-specific terms, along with their definition

1.6. Availability of Manual

This manual is located on the following web sites:

- [NYSEG web site:](http://www.nyseg.com/)
<http://www.nyseg.com/>
- [RG&E web site:](http://www.rge.com/)
<http://www.rge.com/>

Sections may be viewed, printed, or downloaded using Adobe Acrobat Reader software (<http://www.adobe.com/products/acrobat/readstep2.html>).

1.7. Changes

Modifications are made to this manual from time-to-time to reflect changes in processes and procedures. As such, be sure to check NYSEG's or RG&E's web site frequently for the most current version of this manual. In subsequent releases of this manual, a summary of the most recent changes may be found in the front section of this manual just prior to the table of contents. NYSEG/RG&E welcome comments from users of the manual at any time. For questions and comments, contact your Supplier Relations Lead Analyst.

1.8. Customer Relations

Customer relations, sales, revenues, and profits are built on the customers' awareness of the value of the products and services sold. In exchange for the opportunity to build long-term business relationships with customers in your target market, you have agreed to assume certain responsibilities. These responsibilities are outlined in the Operating Agreement. For a copy of the Operating Agreement go to:

- [NYSEG web site](#)
- [RG&E web site](#)
<http://www.rge.com/>

2. OVERVIEW OF COMPANIES

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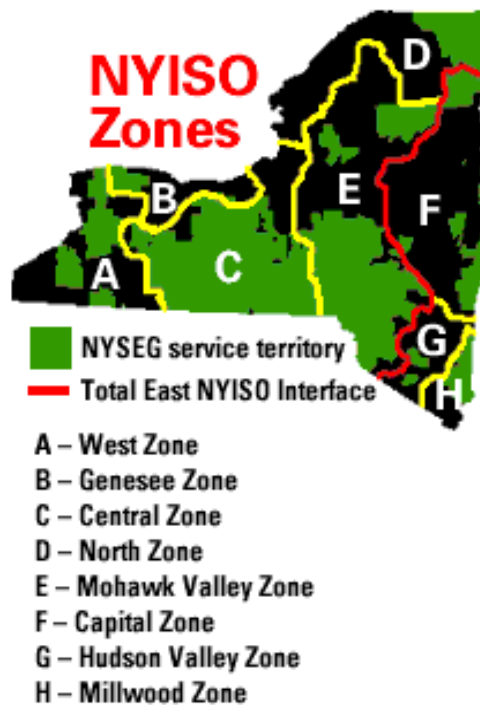
2.1. Objective

This section describes NYSEG's/RG&E's service territories and service classifications.

2.2. Service Territories

2.2.1 NYSEG Electric Service Territory

NYSEG's service territory is as follows:



Disclaimer: The zones specified herein are approximates. There are customers who are on the fringe of one or more service territories. As such, they may be served through a zone other than the one listed here.

BINGHAMTON AREA¹**BROOME COUNTY:****City:**

Binghamton (C - Central)

Villages:

Endicott (C - Central)

Johnson City (C - Central)

Lisle (C - Central)

Port Dickinson (C - Central)

Whitney Point (C - Central)

Windsor (C - Central)

Towns:

Barker (C - Central)

Binghamton (C - Central)

Chenango (C - Central)

Colesville (C - Central)

Conklin (C - Central)

Dickinson (C - Central)

Fenton (C - Central)

Kirkwood (C - Central)

Lisle (C - Central)

Maine (C - Central)

Nanticoke (C - Central)

Triangle (C - Central)

Union (C - Central)

Vestal (C - Central)

Windsor (C - Central)

CHENANGO COUNTY:**Village:**

Afton (E - Mohawk Valley)

Towns:

Afton (E - Mohawk Valley)

Coventry (C - Central)

German (C - Central)

Greene (C - Central)

CHENANGO COUNTY: (cont'd)**Towns: (Cont'd)**

McDonough (C - Central)

Otselic (C - Central)

Pharsalia (C - Central)

Pitcher (C - Central)

Smithville E - Mohawk Valley)

CORTLAND COUNTY:**Towns:**

Cincinnatus (C - Central)

Freetown (C - Central)

Harford (C - Central)

Lapeer (C - Central)

Marathon - Except portion served by Village of Marathon Municipal Lighting Plant (C - Central)

Taylor (C - Central)

Virgil - Southeastern portion - (C - Central)

Willett (C - Central)

TIOGA COUNTY:**Villages:**

Newark Valley (C - Central)

Nichols (C - Central)

Owego (C - Central)

Towns:

Barton - Eastern Portion (C - Central)

Berkshire (C - Central)

Newark Valley (C - Central)

Nichols (C - Central)

Owego (C - Central)

Richford (C - Central)

Tioga (C - Central)

Candor - Portion between north & south borderlines & within 1/2 mile of west branch of Owego Creek) (C - Central)

¹ Issued under authority of order of the Public Service Commission dated April 9, 1985 in Case No. 28824.

EAST CENTRAL AREA²**BROOME COUNTY:****Village:**

Deposit (E - Mohawk Valley)

Town:

Sanford (E - Mohawk Valley)

CHENANGO COUNTY:**City:**

Norwich (E - Mohawk Valley)

Villages

Bainbridge (E - Mohawk Valley)

Greene (C - Central)

New Berlin (E - Mohawk Valley)

Oxford (E - Mohawk Valley)

Smyrna (E - Mohawk Valley)

Towns:

Bainbridge (E - Mohawk Valley)

Columbus (E - Mohawk Valley)

Greene (C - Central)

Guilford (E - Mohawk Valley)

New Berlin (E - Mohawk Valley)

Norwich (E - Mohawk Valley)

North Norwich (E - Mohawk Valley)

Oxford (E - Mohawk Valley)

Plymouth (E - Mohawk Valley)

Preston (E - Mohawk Valley)

Smerburne (E - Mohawk Valley)

Smyrna (E - Mohawk Valley)

COLUMBIA COUNTY:**Villages:**

Chatham (F- Capital Zone)

Philmont (F- Capital Zone)

Towns:

Austerlitz (F- Capital Zone)

Canaan (F- Capital Zone)

Chatham - Except Northwest Corner (F- Capital Zone)

Claverack - Eastern Portion (F- Capital Zone)

COLUMBIA COUNTY: (cont'd)**Towns: (cont'd)**

Copake (F- Capital Zone)

Ghent (F- Capital Zone)

Hillsdale (F- Capital Zone)

New Lebanon (F- Capital Zone)

Taghkanic - Eastern Portion (F- Capital Zone)

DELAWARE COUNTY:**Villages:**

Andes (E - Mohawk Valley)

Delhi (E - Mohawk Valley)

Fleischmanns (E - Mohawk Valley)

Franklin (E - Mohawk Valley)

Hancock (E - Mohawk Valley)

Hobart (E - Mohawk Valley)

Margaretville (E - Mohawk Valley)

Sidney (E - Mohawk Valley)

Stamford (E - Mohawk Valley)

Walton (E - Mohawk Valley)

Towns:

Andes-Northern Portion (E - Mohawk Valley)

Bovina (E - Mohawk Valley)

Colchester-Northern Portion (E-Mohawk Valley)

Davenport (E-Mohawk Valley)

Delhi (E - Mohawk Valley)

Deposit (E - Mohawk Valley)

Franklin (E - Mohawk Valley)

Hamden (E - Mohawk Valley)

Hancock-Northern Portion (E-Mohawk Valley)

Harpersfield (E - Mohawk Valley)

Kortright (E - Mohawk Valley)

Masonville (E - Mohawk Valley)

Meredith (E - Mohawk Valley)

Middleown (E - Mohawk Valley)

Roxbury (E - Mohawk Valley)

Sidney (E - Mohawk Valley)

Stamford (E - Mohawk Valley)

Tompkins (E - Mohawk Valley)

Walton (E - Mohawk Valley)

² Effective October 21, 1975 under authority of Public Service Commission, State of New York. Special Permission Order No. EL-1599 dated October 17, 1975.

EAST CENTRAL AREA (Cont'd)³**GREENE COUNTY:****Towns:**

Ashland (E- Mohawk Valley)
 Halcott (E- Mohawk Valley)
 Jewett - Northern Portion (E- Mohawk Valley)
 Prattsville (E- Mohawk Valley)
 Windham (E- Mohawk Valley)

HERKIMER COUNTY:**Village:**

West Winfield (E- Mohawk Valley)

Towns:

Columbia - Southern Portion (E- Mohawk Valley)
 Litchfield - Southern Portion (E- Mohawk Valley)
 Warren (E- Mohawk Valley)
 Winfield (E- Mohawk Valley)

MADISON COUNTY:**Villages:**

Earlville (E- Mohawk Valley)
 Madison (E- Mohawk Valley)
 Morrisville (E- Mohawk Valley)

Towns:

Brookefield (E- Mohawk Valley)
 Eaton (E- Mohawk Valley)
 Georgetown (E- Mohawk Valley)
 Hamilton (E- Mohawk Valley)
 Lebanon (E- Mohawk Valley)
 Madison (E- Mohawk Valley)
 Smithfield (E- Mohawk Valley)

ONEIDA COUNTY:**Villages:**

Bridgewater (E- Mohawk Valley)
 Oriskany Falls (E- Mohawk Valley)
 Waterville (E- Mohawk Valley)

Towns:

Augusta (E- Mohawk Valley)
 Bridgewater (E- Mohawk Valley)

ONEIDA COUNTY: (cont'd)**Towns: (cont'd)**

Kirkland - Southern Portion (E- Mohawk Valley)
 Marshall (E- Mohawk Valley)
 Sangerfield (E- Mohawk Valley)

OSTEGO COUNTY:**City:**

Oneonta (E- Mohawk Valley)

Villages:

Cooperstown (E- Mohawk Valley)
 Gilbertsville (E- Mohawk Valley)
 Laurens (E- Mohawk Valley)
 Milford (E- Mohawk Valley)
 Morris (E- Mohawk Valley)
 Otego (E- Mohawk Valley)
 Richfield Springs (E- Mohawk Valley)
 Unadilla (E- Mohawk Valley)

Towns:

Burlington (E- Mohawk Valley)
 Butternuts (E- Mohawk Valley)
 Edmeston (E- Mohawk Valley)
 Exeter (E- Mohawk Valley)
 Hartwick (E- Mohawk Valley)
 Laurens (E- Mohawk Valley)
 Middlefield (E- Mohawk Valley)
 Milford (E- Mohawk Valley)
 Morris (E- Mohawk Valley)
 New Lisbon (E- Mohawk Valley)
 Oneonta (E- Mohawk Valley)
 Otego (E- Mohawk Valley)
 Otsego (E- Mohawk Valley)
 Pittsfield (E- Mohawk Valley)
 Plainfield (E- Mohawk Valley)
 Richfield (E- Mohawk Valley)
 Springfield (E- Mohawk Valley)
 Unadilla (E- Mohawk Valley)
 Westford (E- Mohawk Valley)

³ Effective October 21, 1975, under authority of Public Service Commission, State of New York. Special Permission Order No. EL-1599 dated October 17, 1975.

EAST CENTRAL AREA (Cont'd)⁴**RENSSELAER COUNTY:****Towns:**

Berlin (F - Capital Zone)
 North Greenbush (F - Capital Zone)
 Petersburg (F - Capital Zone)
 Sand Lake (F - Capital Zone)
 Stephentown (F - Capital Zone)
 Nassau - Southeast Corner (F - Capital Zone)

SCHOHARIE COUNTY:**Towns:**

Conesville (E- Mohawk Valley)
 Gilboa (E- Mohawk Valley)
 Jefferson (E- Mohawk Valley)

ULSTER COUNTY:**Towns:**

Hardenbergh - Eastern Portion (E- Mohawk Valley)
 Shandaken (E- Mohawk Valley)

GRANVILLE DISTRICT**WASHINGTON COUNTY:****Villages:**

Granville (F - Capital Zone)
 Salem (F - Capital Zone)

Towns:

Granville (F - Capital Zone)
 Greenwich (F - Capital Zone)

WASHINGTON COUNTY: (cont'd)**Towns: (cont'd)**

Hebron (F - Capital Zone)
 Jackson (F - Capital Zone)
 Salem (F - Capital Zone)

MECHANICVILLE DISTRICT**RENSSELAER COUNTY:****Town:**

Schaghticoke - Western Portion (F - Capital Zone)

SARATOGA COUNTY:**City:**

Mechanicville (F - Capital Zone)

Village:

Round Lake (F - Capital Zone)
 Stillwater (F - Capital Zone)

SARATOGA COUNTY: (cont'd)**Towns:**

Clifton Park - Northeastern Portion (F - Capital Zone)
 Half Moon - Northern Portion (F - Capital Zone)
 Malta - Southern Portion (F - Capital Zone)
 Stillwater (F - Capital Zone)

⁴ Effective October 21, 1975, under authority of Public Service Commission, State of New York. Special Permission Order No. EL-1599 dated October 17, 1975.

ELMIRA AREA⁵**ALLEGANY COUNTY:****Villages:**

Alfred (C - Central)
Almond (C - Central)
Canaseraga (C - Central)

Towns:

Alfred (C - Central)
Almond (C - Central)
Birdsall (C - Central)
Burns (C - Central)
Grove (C - Central)
Ward (C - Central)
West Almond (C - Central)

CHEMUNG COUNTY:**City:**

Elmira (C - Central)

Villages:

Elmira Heights (C - Central)
Horseheads (C - Central)
Millport (C - Central)
Wellsburg (C - Central)

Towns:

Ashland (E- Mohawk Valley)
Baldwin (C - Central)
Big Flats (C - Central)
Catlin (C - Central)
Chemung (C - Central)
Elmira (C - Central)
Erin (C - Central)
Horseheads (C - Central)
Southport (C - Central)
Veteran (C - Central)

LIVINGSTON COUNTY:**Villages:**

Dansville (C - Central)
Leicester (C - Central)

**LIVINGSTON COUNTY:
(cont'd)****Towns:**

Leicester (C - Central)
Mount Morris (C - Central)
Ossian (C - Central)
Sparta (C - Central)
Springwater (C - Central)
West Sparta (C - Central)

ONTARIO COUNTY:**Village:**

Naples (C - Central)

Towns:

Naples (C - Central)

SCHUYLER COUNTY:**Villages:**

Montour Falls (C - Central)
Odessa (C - Central)

Towns:

Catharine (C - Central)
Cayuta (C - Central)
Dix (C - Central)
Montour (C - Central)
Orange (C - Central)
Reading (C - Central)
Tyrone (C - Central)

STEUBEN COUNTY:**Cities:**

Corning (C - Central)
Hornell (C - Central)

Villages:

Addison (C - Central)
Arkport (C - Central)
Avoca (C - Central)
Canisteo (C - Central)
Cohocton (C - Central)

STEUBEN COUNTY: (cont'd)**Villages: (cont'd)**

Hammondsport (C - Central)
North Hornell (C - Central)
Painted Post (C - Central)
Prattsburg (C - Central)
Riverside (C - Central)
Savona (C - Central)
South Corning (C - Central)
Wayland (C - Central)

Towns:

Addison (C - Central)
Avoca (C - Central)
Bath (C - Central)
Bradford (C - Central)
Cameron (C - Central)
Campbell (C - Central)
Canisteo (C - Central)
Caton (C - Central)
Cohocton (C - Central)
Corning (C - Central)
Dansville (C - Central)
Erwin (C - Central)
Fremont (C - Central)
Greenwood (C - Central)
Hartsville (C - Central)
Hornby (C - Central)
Hornellsville (C - Central)
Howard (C - Central)
Jasper (C - Central)
Lindley (C - Central)
Prattsburg (C - Central)
Pulteney (C - Central)
Rathbone (C - Central)
Thurston (C - Central)
Troupsburg (C - Central)
Tuscarora (C - Central)
Urbana (C - Central)
Wayland (C - Central)

⁵ Issued under authority of order of the Public Service Commission dated April 9, 1985 in Case No. 28824.

ELMIRA AREA (cont'd)⁶*STEUBEN COUNTY: (cont'd)***Towns: (cont'd)**

Wayne - Except Northeast Portion
(C - Central)
West Union (C - Central)
Wheeler (C - Central)
Woodhull (C - Central)

*WYOMING COUNTY:***Villages:**

Gainesville (C - Central)
Perry (C - Central)
Warsaw (C - Central)
Wyoming (C - Central)

*WYOMING COUNTY: (cont'd)***Towns:**

Castille (C - Central)
Gainesville (C - Central)
Genesee Falls (C - Central)
Middlebury (C - Central)
Perry (C - Central)
Warsaw (C - Central)

ITHACA AREA

*CAYUGA COUNTY:***Village:**

Moravia (C - Central)

Towns:

Locke (C - Central)
Moravia (C - Central)
Sempronius (C - Central)
Summerhill (C - Central)

*CHEMUNG COUNTY:***Village:**

Van Etten (C - Central)

Town:

Van Etten (C - Central)

*SCHUYLER COUNTY:***Village:**

Burdett (C - Central)

Town:

Hector (C - Central)

*SENECA COUNTY:***Villages:**

Interlaken (C - Central)
Lodi (C - Central)
Ovid (C - Central)

Towns:

Covert (C - Central)
Lodi (C - Central)
Ovid (C - Central)
Romulus - Southern Portion (C - Central)

*TIOGA COUNTY:***Villages:**

Candor (C - Central)
Spencer (C - Central)

Towns:

Barton - Northern Portion (C - Central)
Candor - Except portion between north &
south borderline & within 1/2 mile of
West Branch of Owego Creek
(C - Central)
Spencer (C - Central)

⁶ Effective October 21, 1975 under authority of Public Service Commission, State of New York. Special Permission Order No. EL-1599 dated October 17, 1975.

ITHACA AREA (cont'd)⁷**TOMPKINS COUNTY:****City:**

Ithaca (C - Central)

Villages:

Cayuga Heights (C - Central)

Dryden (C - Central)

Freeville (C - Central)

Lansing (C - Central)

Trumansburg (C - Central)

Towns:

Caroline (C - Central)

Danby (C - Central)

Dryden (C - Central)

Enfield (C - Central)

Groton (C - Central)

Ithaca (C - Central)

Lansing (C - Central)

Newfield (C - Central)

Ulysses (C - Central)

NORTH CENTRAL AREA

CAYUGA COUNTY:**City:**

Auburn (C - Central)

Villages:

Aurora (C - Central)

Cayuga (C - Central)

Port Byron (C - Central)

Union Springs (C - Central)

Weedsport (C - Central)

Towns:

Aurelius (C - Central)

Brutus (C - Central)

Fleming (C - Central)

Genoa (C - Central)

Ledyard (C - Central)

Mentz (C - Central)

Montezuma (C - Central)

Owasco (C - Central)

Scipio (C - Central)

Sennett (C - Central)

Springport (C - Central)

Throop (C - Central)

Venice (C - Central)

ONONDAGA COUNTY:**Villages:**

Elbridge (C - Central)

Jordan (C - Central)

Marcellus (C - Central)

Towns:

Camillus (C - Central)

Elbridge (C - Central)

Marcellus (C - Central)

Otisco - Northwestern Portion (C - Central)

Spafford (C - Central)

VanBuren - Southern Portion (C - Central)

ONTARIO COUNTY:**City:**

Geneva (C - Central)

Villages:

Clifton Spring (C - Central)

Phelps (C - Central)

Rushville (C - Central)

Towns:

Geneva (C - Central)

Gorham (C - Central)

Hopewell - Eastern Portion (C - Central)

Manchester - Eastern Portion (C - Central)

Phelps (C - Central)

Seneca (C - Central)

⁷ Effective November 1, 1977, under authority of Public Service Commission, State of New York, by Order dated October 31, 1977 in Case No. 27103.

NORTH CENTRAL AREA⁸ (cont'd)**SENECA COUNTY:****Villages:**

Seneca Falls (C - Central)
Waterloo (C - Central)

Towns:

Fayette (C - Central)
Junius (C - Central)
Romulus - Northern Portion (C - Central)
Seneca Falls (C - Central)
Tyre (C - Central)
Varick (C - Central)
Waterloo (C - Central)

STEUBEN COUNTY:**Town:**

Wayne - Northeastern Portion (C - Central)

WAYNE COUNTY:**Villages:**

Clyde (C - Central)
Lyons (C - Central)
Macedon (C - Central)
Newark (C - Central)
Palmyra (C - Central)
Savannah (C - Central)

WAYNE COUNTY: (cont'd)**Towns:**

Arcadia (C - Central)
Galen (C - Central)
Lyons (C - Central)
Macedon (C - Central)
Palmyra (C - Central)
Savannah - Adjacent to Village (C - Central)
Walworth (C - Central)

YATES COUNTY:**Villages:**

Dresden (C - Central)
Dundee (C - Central)
Penn Yan (C - Central)
Rushville (C - Central)

Towns:

Barrington (C - Central)
Benton (C - Central)
Italy (C - Central)
Jerusalem (C - Central)
Middlesex (C - Central)
Milo (C - Central)
Potter (C - Central)
Starkey (C - Central)
Torrey (C - Central)

NORTHEAST AREA

CLINTON COUNTY:**Villages:**

Champlain (D- North)
Dannemora (D- North)
Keeseville (D- North)
Mooers (D- North)

Towns:

Altona (D- North)
Ausable (D- North)
Beekmantown (D- North)
Black Brook - Northeast and Southeast
Corners (D- North)

CLINTON COUNTY: (cont'd)**Towns: (cont'd)**

Champlain (D- North)
Chazy (D- North)
Clinton (D- North)
Dannemora (D- North)
Ellenburg (D- North)
Mooers (D- North)
Peru (D- North)
Plattsburgh (D- North)
Saranac (D- North)
Schuyler Falls (D- North)

⁸ Effective October 21, 1975 under authority of Public Service Commission, State of New York. Special Permission Order No. EL-1599 dated October 17, 1975.

NORTHEAST AREA (cont'd)**ESSEX COUNTY:****Towns:**

Chesterfield (D - North)
 Elizabethtown (F - Capital Zone)
 Essex (D - North & F - Capital Zone)
 Jay (D - North)
 Keene (D - North & F - Capital Zone)
 Lewis (D - North & F - Capital Zone)
 Newcomb (E - Mohawk Valley)
 Willsboro (D - North)
 Wilmington (D - North)

FRANKLIN COUNTY:**Villages:**

Burke (D - North)
 Chateaugay (D - North)

Towns:

Belmont - Eastern and Southern
 Portions
 (D - North)
 Burke (D - North)
 Chateaugay (D - North)
 Constable - Except Northwest Corner
 (D - North)
 Malone - Highway Northeast Portion
 (D - North)

HAMILTON COUNTY:**Towns:**

Indian Lake - Northern Portion (E-
 Mohawk
 Valley)
 Long Lake (E- Mohawk Valley)

SOUTHEAST AREA**DELAWARE COUNTY:****Towns:**

Andes - Southern Portion (E- Mohawk
 Valley)
 Colchester - Southern Portion (E- Mohawk
 Valley)
 Hancock - Southern Portion (E- Mohawk
 Valley)

DUTCHESS COUNTY:**Village**

Pawling (H - Millwood)

Towns:

Amenia (H - Millwood)
 Beekman (H - Millwood)
 Dover (H - Millwood)
 Pawling (H - Millwood)

PUTNAM COUNTY:**Village:**

Brewster (H - Millwood)

PUTNAM COUNTY: (cont'd)**Towns:**

Carmel (H - Millwood)
 Kent (H - Millwood)
 Patterson (H - Millwood)
 Putnam Valley (H - Millwood)
 Southeast (H - Millwood)

SULLIVAN COUNTY:**Villages:**

Jeffersonville (E- Mohawk Valley)
 Liberty (E- Mohawk Valley)
 Monticello (E- Mohawk Valley)
 Woodridge (E- Mohawk Valley)

Towns:

Bethel (E- Mohawk Valley)
 Callicoon (E- Mohawk Valley)
 Cohecton (E- Mohawk Valley)
 Delaware (E- Mohawk Valley)

SOUTHEAST AREA (cont'd)***SULLIVAN COUNTY: (cont'd)*****Towns: (cont'd)**

Fallsburg (E- Mohawk Valley)
Fremont (E- Mohawk Valley)
Highland (E- Mohawk Valley)
Liberty (E- Mohawk Valley)
Neversink - Western Portion (E- Mohawk Valley)
Rockland (E- Mohawk Valley)
Thompson (E- Mohawk Valley)
Tusten (E- Mohawk Valley)

ULSTER COUNTY:**Town:**

Hardenbergh - Western Portion (E- Mohawk Valley)

WESTCHESTER COUNTY:**Towns:**

Bedford (H - Millwood)
Lewisboro (H - Millwood)
North Salen (H - Millwood)
Poundridge (H - Millwood)
Somers (H - Millwood)
Yorktown (H - Millwood)

WALDEN DISTRICT***ORANGE COUNTY:*****Village:**

Walden (G- Hudson Valley)

Towns:

Crawford - Northeastern Portion (G- Hudson Valley)
Montgomery - Western Portion (G- Hudson Valley)

ULSTER COUNTY:**Town:**

Shawangunk - Western Portion (G- Hudson Valley)

WESTERN AREA⁹**CATTARAUGUS COUNTY:****Villages:**

East Randolph (A- West)
 Gowanda (A- West)
 Perrysburg (A- West)
 Randolph (A- West)
 South Dayton (A- West)

Towns:

Conewango (A- West)
 Dayton (A- West)
 Leon (A- West)
 Napoli (A- West)
 New Albion (A- West)
 Perrysburg - Eastern Portion (A- West)
 Persia (A- West)

CHAUTAUQUA COUNTY:**Villages:**

Cherry Creek (A- West)
 Forestville (A- West)
 Silver Creek (A- West)

Towns:

Cherry Creek (A- West)
 Ellington (A- West)
 Hanover (A- West)
 Villenova (A- West)

ERIE COUNTY:**Villages:**

Alden (A- West)
 Depew (A- West)
 East Aurora (A- West)
 Gowanda (A- West)
 Hamburg (A- West)
 Lancaster (A- West)
 Orchard Park (A- West)
 Sloan (A- West)

ERIE COUNTY: (cont'd)**Towns:**

Alden (A- West)
 Amherst (A- West)
 Aurora (A- West)
 Boston (A- West)
 Cheektowaga - Eastern and Southern Portion
 (A- West)
 Clarence (A- West)
 Colden (A- West)
 Collins - Southwestern Portion (A- West)
 Concord - Except Southeastern Corner
 (A- West)
 Elma (A- West)
 Hamburg - Eastern Portion (A- West)
 Holland (A- West)
 Lancaster (A- West)
 Marilla (A- West)
 Orchard Park (A- West)
 Sardinia - Except Southeastern Corner (A- West)
 Wales (A- West)
 West Seneca - Eastern Portion (A- West)

NIAGARA COUNTY:**City:**

Lockport (A- West)

Towns:

Lockport (A- West)
 Newfane - Portion adjacent to Town of Lockport
 (A- West)
 Pendleton - Portion adjacent to Town of Lockport
 (A- West)

WYOMING COUNTY:**Towns:**

Bennington (A- West)
 Java (A- West)
 Sheldon (A- West)

⁹ Effective October 21, 1975 under authority of Public Service Commission, State of New York. Special Permission Order No. EL-1599 dated October 17, 1975.

2.2.2 RG&E Electric Service Territory

RG&E supplies electric and gas service wholly within the State of New York and is engaged in the production, transmission, distribution and sales of these services in a seven-county area centering around the City of Rochester.

RG&E's 2,700 square mile service territory, which has a population of approximately one million, is well diversified among residential, commercial and industrial consumers. In addition to the City of Rochester, which is the third largest city and a major industrial center in the State, it includes a substantial suburban area and a large farming area. Many of the Company's industrial customers are nationally known, such as Xerox Corporation, Eastman Kodak Company, and Bausch & Lomb Incorporated.

On the next few pages are a listing of the counties, with the cities, villages, and towns served by RG&E.

RG&E Territory NYISO Zone "B" - Sub-Zone Genesee

GENERAL INFORMATION PART I - TERRITORY TO WHICH SCHEDULE APPLIES

ROCHESTER DISTRICT					
Monroe County					Wayne
County	City	Villages	Towns		Towns
	Rochester	East Rochester	Brighton	Henrietta*	Penfield*
	Walworth*	Hilton	Chili	Irondequoit	Perinton*
		Pittsford	Gates	Mendon*	Pittsford
		Webster	Greece	Ogden*	Webster
			Parma*		
					Macedon*
CANANDAIGUA-FINGER LAKES DISTRICT					
Ontario County					
	City	Villages	Towns		
	Canandaigua	Bloomfield	Bristol	Hopewell*	
		Holcomb	Canandaigua	Manchester*	
		Manchester	East Bloomfield	South Bristol	
		Shortsville	Farmington	Victor	
		Victor			
LAKE SHORE DISTRICT					
Wayne County			Cayuga County		
Villages	Towns		Villages	Towns	
Red Creek	Butler	Savannah*	Cato	Cato	
Sodus	Huron	Sodus	Fair Haven	Conquest	
Sodus Point	Marion	Williamson	Meridian	Ira	
Wolcott	Ontario	Wolcott		Sterling	
		Rose		Victory	
GENESEE DISTRICT					
Allegany County			Livingston County		
Villages	Towns		Villages	Towns	
Belmont	Allen	Friendship	Geneseo	Geneseo*	
Bolivar	Amity	Genesee	Mr. Morris	Leicester*	
Fillmore	Angelica*	Granger	Nunda	Mt. Morris*	
Friendship	Belfast	Hume		Nunda	
Richburg	Bolivar	Rushford		Portage	
	Caneadea	Wirt			
	Clarksville				
Wyoming County					
Village	Towns				
Pike	Arcade*				
	Eagle				
	Genesee Falls *				
	Pike				

*Portion

2.3. Service Classifications

A *service classification* is an identification code, which NYSEG or RG&E assigns to a specific type of customer service as defined in the appropriate tariff. Eligibility requirements are associated with each service classification.

Tariff References:

- [For a description of service classifications for NYSEG, refer to link](#)
- [For a description of service classifications for RG&E, refer to link](#)

2.4. Holiday Schedule

NYSEG & RG&E Holiday Schedule
New Year's Day
Memorial Day
Independence Day
Labor Day
Thanksgiving Day
Thanksgiving Friday
Christmas Day

3. ROLES & RESPONSIBILITIES

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3.3	ESCO/DC Responsibilities	3-3
3.4	Customer Responsibilities	3-5
3.5	NYSEG/RG&E Responsibilities	3-6

3.1. Objective

This section describes the roles and responsibilities of the ESCO/DC, the customer, and NYSEG/RG&E Supplier Relations and Supplier Services.

3.2. Relevant Terms

An Energy Services Company (ESCO) is an entity who is eligible to sell electricity to end-use customers using the transmission or distribution system of a utility. ESCOs may perform other retail service functions.

A Direct Customer (DC) is an entity who purchases and schedules delivery of electricity for its own consumption and not for resale. A customer with a minimum peak connected load of 1 MW at a single service point qualifies for direct purchase and scheduling of electricity provided the customer complies with ISO requirements.

Purchase of Receivables (POR) is a program in which NYSEG/RG&E will purchase accounts receivable at a discount and without recourse for commodity sales by ESCOs who provide commodity service within NYSEG's or RG&E's territory. This program, which is outlined in the Rate Joint Proposal and settles issues as specified in Cases 05-M-0453 and 05-E-1222 and 07-E-0479 for NYSEG and Cases 03-E-0765 AND 03-G-0766 for RG&E. The POR may be modified or extended to continue beyond the term of the Rate Joint Proposals by mutual agreement of the parties.

3.3. ESCO/DC Responsibilities

ESCOs/DCs must:

- Comply with procedures and rules of the NYISO.
- Comply with applicable tariffs, rules, regulations, orders, and procedures specifically referenced in this manual
- Meet eligibility and compliance requirements as defined in the appropriate tariffs
- Meet creditworthiness and operating standards, where applicable
- Execute an Operating Agreement with NYSEG/RG&E
- Comply with the operating rules and procedures outlined in this manual and in the Operating Agreement
- Successfully test for EDI core transactions with NYSEG/RG&E
- Contact potential customers and sign the customer up for service.
- Provide customer enrollment information to NYSEG/RG&E via EDI.
- Receive meter read data from NYSEG/RG&E for its POD IDs
- Refer meter read investigations as a last resort to NYSEG/RG&E after performing analysis of usage/billing with customer.
- Provide a bill to the customers for electric supply service, where applicable.
- Respond to and work to resolve any billing inquiries from retail customer, where appropriate

- Receive payment from the customer for electric supply service, where applicable.
- Assure that financial obligations are current and proper security is in place.
- Comply with NYS Uniform Business Practices (UBP) in effect and as they may be revised from time to time.
- Resolve any potential disputes with NYSEG/RG&E.
- Work with NYSEG/RG&E regarding requests for non-emergency services.
Customers have the option to work directly with NYSEG/RG&E on these requests without ESCO/DC involvement.
- Refer any electric emergency calls directly to NYSEG/RG&E

3.4. Customer Responsibilities

A customer must:

- Enroll in the Retail Access Program through an approved ESCO using the procedures included in Section 5 - Customer Enrollment of this manual, or if a DC, enroll with NYSEG/RG&E as a customer acting on its own behalf.
- Agree to share billing data with their chosen ESCO.
- Provide and permit the collection of data and information necessary to evaluate the Retail Access Program.

3.5. NYSEG/RG&E Responsibilities

NYSEG/RG&E will:

- Receive customer enrollment information from the ESCO/DC.
- Transfer customer points of delivery from NYSEG/RG&E retail service to service by the ESCO/DC.
- Transfer customers from one ESCO/DC to another, or back to NYSEG/RG&E upon request.
- Provide customer lists to the ESCO/DC on a regular basis.
- Provide meter read, billed history, and/or customer credit history data as requested by the ESCO/DC.
- Operate, maintain, and upgrade as necessary the transmission and distribution system.
- Extend the distribution system to accommodate new customers, at the request of the customer, the ESCO/DC, or a third party (i.e. a builder or contractor), where economically feasible and in accordance with filed tariff.
- Connect new customers to the distribution system at the request of the customer, the ESCO/DC, or a third party (i.e. a builder or contractor) in accordance with filed tariff.
- Install and maintain meters at customer locations (unless done by a competitive Meter Service Provider under competitive metering).
- Collect meter data and develop estimated reads as appropriate (unless done by a competitive Meter Data Service Provider under competitive metering).
- Respond to and work to resolve any billing inquiries from the ESCO/DC.

- Respond to all electric or gas emergency calls (i.e. customer is to be directly referred to NYSEG/RG&E for all emergency calls).
- Act as Provider of Last Resort (POLR) for all customers whose ESCO/DC no longer desires to serve them.
- Perform any physical shut-offs for non-payment in accordance with filed tariff.
- Resolve any potential disputes with the ESCO/DC.
- Working with customers and/or ESCO/DC regarding requests for non-emergency service, as necessary.
- Deliver Electric Power Supply across NYSEG's/RG&E's transmission and distribution system for each ESCO/DC and to each customer location
- Respond to service interruptions
- Investigate and address power quality issues
- Provide customer service support for delivery service
- Address physical connections to NYSEG's/RG&E's facilities
- Answer questions regarding transmission and local distribution service
- Be responsible for Utility Consolidated Billing collection activities

NOTES:

4. ESCO QUALIFICATION & DISCONTINUANCE

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4.1. Objective

This section outlines the steps that ESCOs must follow to qualify as an electricity supplier for customers within NYSEG's/RG&E's service territory. To participate in the NYSEG/RGE program, DCs must also adhere to requirements in this section. An ESCO's/DC's participation in the Retail Access Program is contingent upon the ESCO/DC meeting the credit requirements set forth in the NYISO tariffs and continued qualification by the NYISO as a load-serving entity. These standards do not apply to circumstances involving credit risk requirements of the NYISO, any applicable Power Exchange, or Wholesale Energy Suppliers.

4.2. Application Process

4.2.1. Eligibility

4.2.1.1. Overview

This section defines the process that:

- An applicant must follow to become eligible to sell electricity as an ESCO, and
- An ESCO must follow to maintain eligibility.

4.2.1.2. PSC Filing Requirements

To be eligible to participate in the Retail Access program for both NYSEG and RG&E, an ESCO must comply with the following PSC filing requirements in accordance with PSC Opinion No. 97-5:

1. Name and address of corporate headquarters, as well as any Energy affiliates located or operating in New York State;
2. Name, address, and contact person of any entity that holds an ownership interest of 10% or more in those affiliates listed in (1) above;
3. Proof of registration with New York State Public Service Commission;
4. Proof that the applicant has met all applicable requirements of the New York Independent System Operator (NYISO);
5. A description of the customers the applicant intends to serve by type (i.e., residential, small commercial, large commercial, industrial), and geographic region of New York State;
6. A description of how the applicant intends to comply with the required consumer protection;

7. If the applicant intends to render bills to customers, a sample copy of the applicant billing form sufficient to display the proposed format and content;
8. A description of the procedures the applicant intends to follow to protect customers from any unauthorized switch of provider;
9. A description of the applicant's procedures for handling and resolving customers complaints; and
10. A copy of the applicant's disclosure statement to be provided to customers prior to a contract offer.

4.2.1.3. NYSEG/RG&E Requirements

To participate in NYSEG's/RG&E's Retail Access Program, an ESCO must apply to both the PSC and to the NYISO to become a participant. The required information to be filed with the PSC is listed in Section 4.2.1.2. This allows them to act as a commodity supplier as well as to purchase distribution services from NYSEG/RG&E for resale to its customers within New York State. However, it is recommended that the ESCO contact the PSC to obtain the full eligibility requirements as well as to all forms required by the PSC. Refer to Appendix A - Contact Information of this manual for information on how to contact the PSC.

To participate in NYSEG's/RG&E's Retail Access Program, an ESCO/DC must also meet eligibility requirements set forth in the appropriate tariffs.

Tariff References:

- For NYSEG, refer to [PSC No. 120 - Electric](#)
- For RG&E, refer to [PSC No. 19 - Electric](#)

4.2.2. Application Requirements

Each ESCO/DC seeking eligibility to sell electricity must submit its application package to the PSC. In addition, each ESCO will submit designated EDI transactions required for EDI Phase I verification and testing to the PSC. Upon completion of their review and EDI Phase 1 testing, the PSC will advise the ESCO in writing whether the submitted application and follow up EDI testing were successful.

Upon the PSC's affirmative determination of eligibility on such application, the ESCO/DC requests qualification with NYSEG/RG&E by requesting phase 3 EDI testing and submitting the required agreements as detailed in attachments A and B located at the end of this section. Copies of these agreements may be found at the following web sites:

- [For NYSEG](#)
- [For RG&E](#)

After executing the required agreements, EDI testing, receiving notification from NYISO that the ESCO has been established as a load-serving entity, and obtaining formal NYSEG/RG&E approval, the ESCO/DC may proceed with Customer Sign-Up/Enrollment according to the appropriate tariff. Refer to the following approval checklists for disclosing the documentation required to become a NYSEG-approved or an RG&E approved ESCO.

- For NYSEG's checklist, refer to Attachment A located at the end of this section.
- For RG&E's checklist, refer to Attachment B located at the end of this section.

Tariff References:

- [Case 98-M-1343](#) - In the Matter of Retail Access
- For NYSEG, refer to [PSC No. 120 - Electric](#)
- For RG&E, refer to [PSC No. 19 - Electric](#)

4.2.3. Maintaining Eligibility

To maintain eligibility, an ESCO/DC must give notice of any major change in their business information or processes. The term, "major change," means a revision in the terms and conditions applicable to the business relationship between the ESCO/DC and its customers, including provisions governing the process for termination of sales agreements. In addition, an ESCO/DC must submit any changes in their business and customer service information displayed on the PSC web site.

An ESCO's/DC's eligibility to serve customers is valid:

- Unless revoked by the PSC, after notice and opportunity for response;
- Unless the ESCO/DC abandons its eligibility status; or,
- Unless a court of competent jurisdiction issues a final order authorizing discontinuance of the ESCO's/DC's participation in NYSEG's/RG&E's Retail Access Program.

Tariff References:

- [Case 98-M-1343](#) - In the Matter of Retail Access

4.3. Credit Worthiness

4.3.1. Overview

This section establishes creditworthiness standards, which apply to ESCOs/DCs. An ESCO's/DC's participation in NYSEG's/RG&E's Retail Access Program is contingent upon satisfying creditworthiness requirements with the NYISO.

4.3.2. Credit Requirements

An ESCO's/DC's participation in NYSEG's/RG&E's Retail Access Program is contingent upon the ESCO/DC meeting the credit requirements set forth in the NYISO Tariffs and continued qualification by the NYISO as a serving entity.

Tariff References:

- [Case 98-M-1343](#) - In the Matter of Retail Access
- For NYSEG, refer to [PSC No. 120 - Electric](#)
- For RG&E, refer to [PSC No. 19 - Electric](#)

4.3.3. Compliance Requirements

ESCO/DCs have on-going compliance requirements and are as follows:

1. Meet any applicable PSC, FERC, and NYISO requirements;
2. Comply with applicable PSC consumer protection requirements;
3. Comply with any applicable reporting requirements;
4. Keep the PSC informed of any material change in the data contained in the ESCO's/DC's initial eligibility application filing;
5. Adhere to the description of the ESCO's/DC's own policies and procedures as set forth in its disclosure statement to customers;
6. Become qualified as a load serving entity as determined by the NYISO, and maintain such status.
7. Comply with NYSEG/RG&E operating rules and procedures as outlined in this manual and in the Operating Agreement;
8. Have authority to act as the customer's agent and attorney-in-fact for the purpose of scheduling, balancing, settlement, and billing.
9. Plan to meet the full Electric Power Supply requirements of the customer. In the event there is a material change or an anticipated substantial increase in the Electric Power Supply requirement of a customer, the ESCO/DC will notify NYSEG/RG&E of such change, prior to such change or increase, according to the details set forth in this manual, and will cooperate with NYSEG/RG&E as reasonably required to accommodate such change or increase; and
10. Provide NYSEG/RG&E with proof of customer eligibility. Obtaining and retaining reasonable proof of customer eligibility will be the responsibility of the ESCO/DC.

4.4. EDI Certification

4.4.1. Overview

Generally, prior to commencement of EDI Phase 3 testing with NYSEG/RG&E, ESCOs/DCs must obtain the following approvals:

1. NYISO approval
2. NY PSC approval as an ESCO/DC
3. NY PSC approval for certain transactions (Core and/or Billing Phase 1 testing)

NYSEG/RG&E expects to have all approvals completed at least 30 days prior to beginning EDI Phase 3 testing. EDI testing is performed in compliance with Section 9 - Data Exchange of this manual. Contact your Supplier Relations Lead Analyst for more information.

4.4.2. EDI Testing

ESCOs/DCs that choose to only perform basic Retail Access Data Exchange via EDI need to only test and certify Core transactions. ESCOs/DCs that choose to additionally perform Utility Consolidated Billing will need to test and certify Core transactions as well as test and attest to the Billing and Payment transactions.

ESCOs/DCs and NYSEG/RG&E must both meet NY PSC Ordered EDI standards for all transactions.

Note: For NYSEG, the EDI test program and schedule are located at

<http://www.nyseg.com/SuppliersAndPartners/edi/default.html> NYSEG EDI TESTING

For RG&E, the EDI test program and schedule are located at

[RG&E EDI TESTING.](#)

Core transactions from the New York EDI standards are:

- TS814c Change (Account Maintenance)
- TS814d Drop Request & Response
- TS814e Enrollment Request & Response
- TS814hu Consumption History Request & Response
- TS814r Reinstatement Request & Response
- TS824aa Application Advice
- TS867hu Consumption History/Gas Profile
- TS867mu Monthly Usage
- TS997 Functional Acknowledgement

Single Bill transactions from the New York EDI standards are:

- TS810ubr Invoice – Utility Bill Ready Billing
- TS824pn Application Advice - Positive Notification
- TS820 Remittance Advice – Utility Consolidated Billing

*** A shorter version of the Phase 3 testing is available to those ESCOs who are using an experienced third party provider of EDI services. An experienced third party provider is one that is already active in our area and has tested with NYSEG/RG&E in the past. Questions should be directed to the Supplier Relations team at the start of the approval process.

4.5. ESCO Assignment of Customers

An ESCO may assign its customer contracts to and transfer the rights to serve those customers to other ESCOs provided that the ESCO's contracts and disclosure statements clearly state that such assignments and transfers may occur. Such assignments and transfers must conform to the requirements and procedures set forth in:

- Agreements between the ESCO and the customer;
- Agreements between the ESCO and NYSEG/RG&E; and
- Case 98-M-1343 - In the Matter of Retail Access. The same may be revised, modified, amended, clarified, supplemented or superseded from time to time.

Assignments and transfers may be initiated upon submission of a notice to NYSEG/RG&E, the Commission, and the ESCO's customers at least fifteen (15) calendar days prior to the transfer date.

Tariff References:

- [Case 98-M-1343](#) - In the Matter of Retail Access

4.6. Dispute Resolution

NYSEG/RG&E and ESCOs/DCs will, in good faith, use reasonable efforts to resolve any dispute. In the event a dispute cannot be readily resolved, a general dispute resolution process (described in the Operating Agreement and the appropriate tariffs) will be used when addressing all disputes/complaints between ESCOs/DCs and NYSEG/RG&E with respect to Retail Access Program issues.

NYSEG/RG&E and each ESCO/DC will designate specific personnel to be responsible for responding to complaints and disputes under this process. Refer to Appendix A - Contact Information of this manual for NYSEG and RG&E contacts handling disputes/complaints. The parties may also pursue other legal mechanisms to address complaints and disputes.

Tariff References:

- [Case 98-M-1343](#) - In the Matter of Retail Access
- For NYSEG, refer to [PSC No. 120 - Electric](#)
- For RG&E, refer to [PSC No. 19 - Electric](#)

4.7. Discontinuance of an ESCO/DC

4.7.1. Overview

There are two main forms of discontinuance:

- Voluntary
- Involuntary

4.7.2. Voluntary Discontinuance

An ESCO/DC may discontinue operations (in whole or significant part) within NYSEG's/RG&E's service territory at will upon notice to NYSEG/RG&E and to the ESCO's/DC's customers in accordance with [Case 98-M-1343](#) - In the Matter of Retail Access.

If NYSEG/RG&E learns that an ESCO/DC has discontinued operations in its service territory without giving the proper notice to their customers and to NYSEG/RG&E in accordance with the appropriate tariff prior to discontinuing operations, then NYSEG/RG&E will immediately inform the PSC. If the PSC directs them to do so, NYSEG/RG&E will also notify all of the ESCO's/DC's customers that, effective immediately, their service is being provided by NYSEG/RG&E under the appropriate tariff. Further, that payment for such service from the date of the notice until a subsequent switch takes place must be made to NYSEG/RG&E.

Tariff References:

- [Case 98-M-1343](#) - In the Matter of Retail Access
- For NYSEG, refer to [PSC No. 120 - Electric](#)
- For RG&E, refer to [PSC No. 19 - Electric](#)

4.7.3. Involuntary Discontinuance

NYSEG/RG&E may discontinue an ESCO's/DCs participation in its Retail Access Program (involuntary discontinuance) for the reasons listed in [Case 98-M-1343](#) - In the Matter of Retail Access, which includes:

- Failure on the part of the ESCO/DC to act, which is likely to cause, or has caused, a significant risk or condition. Such lack of action compromises the safety, system security, or operational reliability of NYSEG's/RG&E's system. In addition, the ESCO/DC failed to immediately eliminate the risk or condition upon verified receipt of a non-EDI notice.
- Failure on the part of the ESCO/DC or its customer to comply with the terms and conditions of NYSEG's/RG&E's tariff or Operating Agreement.
- A continuous pattern of attempting to transfer customers without proper customer authorization (slamming).
- NYISO discontinuance of service to the ESCO/DC under the NYISO Transmission tariffs.
- A court of competent jurisdiction issues an order authorizing discontinuance of the ESCO/DC or customer.
- PSC determination that an ESCO is not eligible to sell electricity to customers.

To initiate the discontinuance process, NYSEG/RG&E will send a non-EDI discontinuance notice via overnight mail and a verified receipt to the ESCO/DC and the PSC. Content of this notice will be in accordance with the [Case 98-M-1343](#) - In the Matter of Retail Access.

Upon any discontinuance, an ESCO/DC will remain responsible for payment or reimbursement of any and all sums owed under the appropriate tariffs, any tariffs on file with the FERC, and service agreements relating thereto, or any agreements between the ESCO/DC and NYSEG/RG&E.

NYSEG/RG&E may request permission from the PSC to expedite the discontinuance process, upon a showing that it is necessary for safe and adequate service or in the public interest. Any expeditious discontinuance process will include the ESCO/DC and NYSEG/RG&E.

Tariff References:

- [Case 98-M-1343](#) - In the Matter of Retail Access
- For NYSEG, refer to [PSC No. 120 - Electric](#)
- For RG&E, refer to [PSC No. 19 - Electric](#)

4.8. Agreements

4.8.1. Designation of Agency Agreement

An ESCO/DC will execute the Designation of Agency Agreement when an ESCO elects an agent to act on their behalf in any way in connection with the Retail Access Program.

References:

- [NYSEG web site](#)
- [RG&E web site](#)

4.8.2. Operating Agreement (OA)

An ESCO/DC will execute an Operating Agreement (OA) at the time they enroll as an ESCO providing service in NYSEG's/RG&E's service territory under the Retail Access Program.

References:

- [NYSEG web site](#)
- <http://www.nyseg.com/SuppliersAndPartners/electricityescos/default.html> [RG&E web site](#)
<http://www.rge.com/SuppliersAndPartners/electricityescos/default.html>

4.8.3. Billing Services Agreement (BSA)

When an ESCO chooses to provide service under NYSEG's/RG&E's consolidated billing and payment program, they must sign and conform to the terms and conditions described in the Billing Services Agreement (BSA). Failure to comply with the BSA will result in discontinued participation in the consolidated billing and payment program. In addition, it may result in discontinuance of service.

References:

- [NYSEG web site](#)
- [RG&E web site](#)

4.8.4. Technical Billing Specification

The Technical Billing Specification identifies the specific order transaction set for EDI, customized by each facility. A copy of this document may be found as an attachment to the Billing Services Agreement on either the NYSEG or RG&E website.

References:

- [NYSEG web site](#)
- <http://www.nyseg.com/SuppliersAndPartners/electricityescos/default.html> [RG&E web site](#)

4.8.5. Trading Partner Agreement (TPA)

The Trading Partner Agreement provides the framework for conducting business in accordance with PSC orders for the transmission and receipt of data in accordance with Electronic Data Interchange (EDI) standards. The TPA may require a third-party signature when an EDI provider is used. A copy of this document may be found on either the NYSEG or RG&E website. The TPA found on our website will need to be filled in by NYSEG/RG&E first and then sent to ESCO's for their signature. It is not sent out for ESCO execution until after EDI testing has been successfully completed.

References:

- [NYSEG web site](#)
- <http://www.nyseg.com/SuppliersAndPartners/electricityescos/default.html>RG&E web site

4.9. Records Management

NYSEG/RG&E records will be retained according to Generally Accepted Accounting Practices/Financial Accounting Standards Board (GAAP/FASB) rules and guidelines as well as with applicable State and Federal Law. Billed history, which includes NYSEG/RG&E Retail Customer's identifier, type of service, and associated billed amount for each bill rendered, will be retained for six (6) years.

**ATTACHMENT A:
NYSEG General Retail Access Program
ESCO APPROVAL CHECKLIST**

To ensure your qualification package is complete, please verify the following materials are included and/or accurately completed:

- ☐ Copy of your New York Public Service Commission (NYSPSC) Certification Letter
- ☐ Copy of your New York Independent System Operator (NYISO) Acceptance Letter
- ☐ Completed EDI Test Application
- ☐ W-9
- ☐ ACH or Wire Authorization Form
- ☐ Vendor Registration/Update Form
- ☐ Signed [Operating Agreement \(OA\)](#)
- ☐ Signed [Billing Services Agreement \(BSA\)](#) (For utility consolidated billing option only)
- ☐ Signed [Data Security Agreement \(DSA\)](#)
- ☐ Signed [Designation of Agent Agreement](#) (Required if designating another entity to act on Supplier's behalf)
- ☐ Signed [Designation of Agent for Service Process](#) (Required when the ESCO does not have an office within New York State)

**ATTACHMENT B:
Rochester Gas and Electric Corporation
ESCO Qualification Checklist**

To ensure your qualification package is complete, please verify the following materials are included and/or accurately completed:

- ☐ Copy of your New York Public Service Commission (NYSPSC) Certification Letter
- ☐ Copy of your New York Independent System Operator (NYISO) Acceptance Letter
- ☐ Completed EDI Test Application
- ☐ W-9
- ☐ ACH or Wire Authorization Form
- ☐ Vendor Registration/Update Form
- ☐ Signed [Operating Agreement \(OA\)](#)
- ☐ Signed [Billing Services Agreement \(BSA\)](#) (For Utility consolidated billing option only)
- ☐ Signed [Data Security Agreement \(DSA\)](#)
- ☐ Signed [Designation of Agent Agreement](#) (Required if designating another entity to act on Supplier's behalf)
- ☐ Signed [Designation of Agent for Service Process](#) (Required when the ESCO does not have an office within New York State)

NOTES:

5. CUSTOMER ENROLLMENT

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5.1. Objective

This section provides information about customer enrollment, including eligibility criteria, the enrollment process, switching ESCOs, and slamming prevention.

5.2. Eligibility Criteria

5.2.1. Overview

This section defines eligibility criteria for participating in NYSEG's/RG&E's Retail Access Program.

5.2.2. Criteria

All customers are eligible to participate in NYSEG's/RG&E's Retail Access Program, subject to requirements set forth in the appropriate tariff for selection of Retail Access Rates. New residential or non-residential customers who wish to initiate electric service through the Retail Access Program may contact NYSEG/RG&E or an ESCO/DC.

Note: For NYSEG/RG&E, Partial Requirement customers must include a partial requirements indicator in their electric service enrollment request. This is set forth in

[Case 98-M-1343](#) - In the Matter of Retail Access. Partial Requirements customers are customers who take service for a portion of their load under Interruptible Service, or New York Power Authority (NYPA) services.

Tariff References:

- For NYSEG, refer to [PSC No. 120 - Electric](#)
- For RG&E, refer to [PSC 19 - Electric](#)

5.3. Customer Enrollment

5.3.1. General Enrollment Process

A customer may initiate enrollment into the Retail Access Program by contacting an ESCO. Before such service may begin, a new customer must be accepted into and participate in the Retail Access Program as well as meet eligibility requirements (see Section 5.2). A customer contacting NYSEG/RG&E to participate in the Retail Access Program will be directed to NYSEG's/RG&E's respective web sites to obtain a list of qualified ESCOs.

If a customer initiates such a service request, then the ESCO will transmit the enrollment request to NYSEG/RG&E as follows:

1. The customer chooses an ESCO by directly contacting an ESCO that the PSC has determined to be eligible and that NYSEG/RG&E has approved to participate in their Retail Access Program.
 - [List of NYSEG Electric suppliers](#)
 - [List of RG&E Electric suppliers](#)

2. Upon customer authorization, the ESCO will electronically send the enrollment request to NYSEG/RG&E in EDI format (refer to Section 5.3.3). Such a request will not be sent less than five (5) business days prior to the next scheduled meter read if the ESCO wants the switch to occur as of the next meter read date.

Note 1: While the process for enrolling most customers is handled electronically through EDI, other programs may require additional forms for manual enrollments (see Section 5.3.2).

Note 2: If the ESCO requests that a special meter read be performed on a day other than the customer's regularly-scheduled meter reading date, the meter read will occur 15 days after the request is submitted to NYSEG/RGE. NYSEG/RG&E will apply a special meter reading fee to the requesting party. Special meter reading requests must be submitted to NYSEG/RG&E at supplier_relations@rge.com. Please refer to [PSC No. 120](#) for the special meter read fee.

3. After receiving an enrollment request, NYSEG/RG&E will:

- Process enrollment requests in the order received.

Note: NYSEG/RG&E will not process enrollments for new accounts of an ESCO unless the ESCO is a qualified supplier in good standing, with all payments current and complete.

- Only accept one valid enrollment request for each point of delivery during a switching cycle. If NYSEG/RG&E receives multiple enrollment requests for the same customer during a switching cycle, then it will only accept the first valid enrollment request; subsequent requests will be rejected.

- Acknowledge its receipt according to EDI Standards ([Case 98-M-0667](#)).
 - Provide a response to the request within two (2) business days. One of three (3) responses will be received: a rejection response with a reason given, an acceptance response with an effective date, or an acknowledged response with additional information.
4. Upon accepting an enrollment request, NYSEG/RG&E will send a notice to any incumbent ESCO that the customer's service with that ESCO will be terminated on the effective date of the new enrollment. In the event that NYSEG/RG&E receives notice prior to the effective date that a pending enrollment is cancelled, NYSEG/RG&E will transmit a request to reinstate service to any incumbent ESCO. The exception is when the ESCO previously terminated service to the customer or the customer requests a return to full utility service.
5. With the exception of a new installation, use of an interim estimate of consumption, or a special meter reading, a change of provider is effective on the next regularly scheduled meter reading date. NYSEG/RG&E will set the effective date, which will be no sooner than five (5) business days after receipt of an enrollment request. Service to new customers is effective after the installation is complete and, if necessary, inspected.

Note: Before service is supplied at any location, the ESCO may be required to furnish to RG&E, at its own expense, satisfactory evidence as to the safe condition of the wiring and equipment at that location. Such evidence will be in the form of an approval from the New York Board of Fire Underwriters, Middle Department Inspection Agency, and/or any legally constituted authorities having jurisdiction. If additional wiring or equipment is later installed on such premises, then the ESCO will notify and secure approval from RG&E prior to its connection to RG&E's service.

5.3.2. Required Forms

5.3.2.1. NYSEG

If the premise for new customer requires new construction, then such a customer request is considered a *Service Application*. An ESCO processing a Service Application must complete an online Service Application Form, along with a Retail Access Form.

If the premise for the new customer requires service at an existing meter, then the customer request is considered a *Service Request*. An ESCO processing a Service Request must complete an online Service Request Form, along with a Retail Access Form.

To initiate service, go to

<https://ebiz1.nyseg.com/cusweb/TurnOnServiceDefault.aspx> for more information.

An ESCO/DC must identify any customer who is blind, elderly, or disabled, or who depends on electrically powered life support systems. Such life support systems include, but are not limited to respirators or dialysis machines. Identification is accomplished by completing and submitting a Life Support and Special Needs Customer Status Form to NYSEG. For copies of the appropriate forms, contact NYSEG at 1-800-572-1111. In addition, the ESCO/DC will maintain and update associated record(s) identifying each such customer at least annually. Lastly, the ESCO/DC will immediately inform NYSEG of any change in such information.

If a new customer is also a Special Needs Customer, then it is imperative that the ESCO inform NYSEG. A *Special Needs Customer* is a customer who, as defined by the Home Energy Fair Practices Act (HEFPA) has documented medical conditions, or who is elderly, blind or physically challenged. HEFPA makes available to these customers special protections regarding utility service and life threatening situations.

Tariff References:

For NYSEG, refer to:

- [PSC No. 119 -Electric](#)

For RG&E, refer to:

- [PSC No. 19 - Electric](#)

5.3.2.2. RG&E

If the premise for new customer requires new construction, then such a customer request is considered a *Service Application*. An ESCO processing a Service Application must complete an online Service Application Form, along with a Retail Access Form.

If the premise for the new customer requires service at an existing meter, then the customer request is considered a *Service Request*. An ESCO processing a Service Request must complete an online Service Request Form, along with a Retail Access Form.

To initiate service, go to:

<https://ebiz1.rge.com/cusweb/TurnOnServiceDefault.aspx>

An ESCO/DC must identify any customer who is blind, elderly, or disabled, or who depends on electrically powered life support systems. Such life support systems include, but are not limited to respirators or dialysis machines. Identification is accomplished by completing and submitting a Life Support and Special Needs Customer Status Form to RG&E. For copies of the appropriate forms, contact RGE at 1-800-743-2110. In addition, the ESCO/DC will maintain and update associated record(s) identifying each such customer at least annually. Lastly, the ESCO/DC will immediately inform RG&E of any change in such information.

If a new customer is also a Special Needs Customer, then it is imperative that the ESCO inform RG&E. A *Special Needs Customer* is a customer who, as defined by the Home Energy Fair Practices Act (HEFPA) has documented medical conditions, or who is elderly, blind or physically challenged. HEFPA makes available to these customers special protections regarding utility service and life threatening situations.

Tariff References:

For RG&E, refer to [PSC No. 19 - Electric](#)

5.3.3. Electronic Enrollments

In accordance with EDI Standards ([Case 98-M-0667](#)) electronic enrollments will be handled as follows:

1. For each valid enrollment, an anti-slamming letter will be generated and mailed to the customer.
2. Customers will be allowed up to the switch date to stop the transfer before the switch is to occur.
3. Customers who call in to stop the switch will be sent a letter, which confirms the cancellation of the transfer. Customers who call in to stop the transfer after the scheduled switch will be switched to the ESCO/DC. When this occurs, the customer must remain with the ESCO/DC for at least one monthly billing cycle.
4. NYSEG/RG&E completes the transfer (turn-on) effective on the next regularly scheduled actual or estimated meter read date.

5.4. Switching

5.4.1. Overview

This section establishes practices for receiving, processing, and fulfilling requests for changing a customer's electricity ESCO and for obtaining a customer's authorization for the change. A change in a provider includes transfer from:

- One ESCO to another;
- An ESCO to NYSEG/RG&E; and
- NYSEG/RG&E to an ESCO.

This section also establishes practices for:

- An ESCO's drop of a customer,
- A customer's drop of an ESCO,
- Retention of an ESCO after a customer's relocation within NYSEG's/RG&E's service area,
- Assignment of a customer, and
- Initiation or discontinuance of procurement of electricity supplies by a DC.

The process of changing a service provider is comprised of two steps.

1. Obtain customer agreement to accept electric service according to the terms and conditions of an offer. A service agreement establishes the terms and conditions of the customer's business arrangement with the ESCO.
2. Enroll and then have NYSEG/RG&E modify its records to list the customer's transfer to an ESCO on a specific date. This transaction is primarily between the ESCO and NYSEG/RG&E.

5.4.2. Obtain Customer Agreement

NYSEG/RG&E will provide a customer who requests initiation into the Retail Access Program with a current list of ESCOs. Further, this list will be provided at any time upon customer request.

- [List of electric NYSEG suppliers](#)
- [List of electric RG&E suppliers](#)

An ESCO, or its agent, may solicit and enter into a sales agreement with a customer provided that the ESCO:

- Obtains a customer's authorization to initiate service, to submit an enrollment request on the customer's behalf, and to disclose information to the ESCO.
- Provides residential customers the right to cancel a sales agreement.

5.4.3. Enroll and Update Records

Refer to Section 5.3 of this manual for enrollment policies.

5.4.4. Customer Notification

Upon acceptance of an enrollment request, NYSEG/RG&E will acknowledge its receipt to the customer within one business day and provide a response within two (2) business days. If the enrollment is unauthorized, or if the customer decides to cancel it, then the customer is required to immediately notify NYSEG/RG&E and the pending ESCO.

Upon receipt of a cancellation, NYSEG/RG&E will cancel the pending enrollment. The customer will then be reinstated with the incumbent ESCO, if any, or NYSEG/RG&E.

If the switch has already occurred, then the change to the new ESCO will occur and will remain effective for one billing cycle. At the end of the next switching cycle, the customer may return to full utility service unless the customer is enrolled by another ESCO at least five (5) business days prior to the start of the next switching cycle.

If a customer notifies the pending ESCO of the cancellation, then the pending ESCO will send an 814 drop transaction via EDI prior to the effective date for the pending enrollment.

Upon acceptance of an enrollment request, NYSEG/RGE will send a drop to the incumbent ESCO that the customer's service with that ESCO will be terminated on the effective date of the new enrollment. In the event that NYSEG/RGE receives notice from the pending ESCO, the incumbent ESCO or the customer before the effective date that a pending enrollment is cancelled, NYSEG/RGE will transmit a request to reinstate service to the incumbent ESCO, unless the ESCO previously terminated service to the customer or the customer requests a return to full utility service.

5.4.5. Rejection of Enrollment Requests

NYSEG/RG&E may reject an enrollment request for reasons including, but not limited to:

- Inability to validate the transaction;
- Missing or inaccurate data in the enrollment request;
- ESCO's ineligibility to provide service in the specified territory;
- No active or pending distribution service;
- A pending valid prior enrollment request; or
- The account is coded as ineligible for switching.

5.4.6. Customer Relocations within a Service Territory

A customer may request relocation of service within NYSEG's/RG&E's service territory and continuation of its ESCO service by making arrangements for continuation of service at the new location. For continuation of distribution service, the customer will contact NYSEG/RG&E. Refer to Appendix A - Contact Information of this manual. For continuation of supply service, the customer will contact the ESCO. NYSEG/RG&E or the ESCO will notify the other party that a customer requested relocation of service and will remind the customer of the need to contact the other party to initiate the change within two business days.

NYSEG/RG&E will inform the customer and the ESCO of the effective dates, contingent upon the customer's approval, for discontinuance of service at one location and commencement of service at the new location. The ESCO will confirm with NYSEG/RG&E that it will continue service to the customer at the new location.

In the event that the ESCO is unable, or does not wish, to continue service to the customer at the new location, NYSEG/RG&E will provide full utility service to the customer.

5.4.7. Customers Returning to Full Utility Service

A customer may arrange for a return to full utility service by contacting NYSEG/RG&E and the ESCO. When contacted by the customer, NYSEG/RG&E or the ESCO will notify the other party that a customer requested a change of service and will remind the customer to contact the other party to initiate the change in service within two business days. An ESCO, acting as a customer's agent, may contact NYSEG/RG&E to initiate a return to full utility service from ESCO service. If a change to full utility service results in restrictions on the customer's right to choose another ESCO, or if application of a rate is different from the one applicable to other full service customers, then NYSEG/RG&E will provide advance notice to the customer.

A DC who intends to change from procuring its own supplies to full utility service will notify NYSEG/RG&E.

ESCOs will not transfer more than 5,000 customers during a single billing cycle to full utility service unless it provides at least sixty (60) calendar days notice to NYSEG/RG&E and the PSC. Transfers will occur on the customers' regularly scheduled meter reading dates unless NYSEG/RG&E and ESCO agree to a different schedule.

An ESCO may discontinue service to a customer and return the customer to full utility service provided that the ESCO notifies the customer and NYSEG/RG&E at least five (5) business days before the effective date of the drop. The ESCO's right to discontinue service to any customer is subject to any limitations contained in its sales agreement.

5.4.8. New Delivery Customers

A customer may initiate service within NYSEG's/RG&E's Retail Access Program and subsequently initiate a customer agreement with an ESCO for supply service, or arrange for both services at the same time. Supply service may be initiated through NYSEG's/RG&E's Retail Access Program, which involve the customer assignment to an ESCO who has agreed to accept additional customers.

A customer may authorize an ESCO to act as the customer's agent (ESCO agent) when establishing distribution service with NYSEG/RG&E. The ESCO agent will retain and produce supporting documentation upon request, which shows evidence of the customer giving authorization to the ESCO to act as the customer's agent. The ESCO agent will establish a new delivery account on behalf of the customer and will enroll the customer with NYSEG/RG&E so that ESCO supply service begins when NYSEG's/RG&E's distribution service begins. An ESCO agent is also authorized to submit the customer's application for new delivery service in compliance with requirements for such applications stated in the law, rules, and NYSEG/RG&E tariffs.

An ESCO will provide customer information for initiation of distribution service as well as information about special need customers (including any need for life support equipment) to NYSEG/RG&E. Additionally, an ESCO will refer a customer directly to NYSEG/RG&E for arranging distribution-related matters. Such matters include, but are not limited to, the contribution-in aid for construction (CIAC) of the facilities necessary to provide distribution service as well as settlement of arrears and posting of security.

Upon a customer's application for service, NYSEG/RG&E will provide an ESCO with the effective date for initiation of distribution service as well as any other customer information provided to an ESCO in an acceptance of an enrollment request. NYSEG/RG&E will notify the customer of the acceptance.

5.4.9. Multiple Assignments of Sales Agreements

An ESCO may assign all or a portion of its sales agreements to other ESCOs provided that:

- The assigned sales agreements clearly authorize such assignments, or the ESCO provides notice to its customers prior to the assignments;
- An opportunity exists for each customer to choose another ESCO, or return to full utility service; and
- Such assignment is done in accordance with NYSEG's/RG&E's signed agreements (i.e., Operating Agreement, Billing Services Agreement, etc.).

An ESCO will provide a written notice to each customer, NYSEG/RG&E and the PSC no later than fifteen (15) calendar days prior to the assignment or transfer date. Such notice to NYSEG/RG&E will include a copy of the assignment document, along with a copy of the notice sent to the customer. In the case of a form notice, a list of recipients will be included with the copy of the form.

Assignment documents will specify the party who is responsible for paying or reimbursing any sums owed. Such sums will be owed under any NYSEG/RG&E or FERC tariff as well as under any service agreements made between ESCOs and NYSEG/RG&E and between ESCOs and their customers.

NYSEG/RG&E will acknowledge and initiate processing of the request as well as send a written notice of the request to the ESCO's assigned customer within two (2) business days of receiving an assignment request.

5.4.10. Lists of ESCO Customers; Budget Billing: Charges and Fees

Upon an ESCO's request, NYSEG/RG&E will provide a list of the ESCO's customers once per quarter at no charge. Such a list will be current as of the time of the request. Also, upon an ESCO's request, NYSEG/RG&E will provide the number of accounts enrolled with an ESCO and the ESCO's sales (kWh) monthly at no charge. ESCOs may obtain such customer lists at other times for cost-based fees set forth in the appropriate NYSEG/RG&E tariffs.

NYSEG/RG&E will adjust its bills rendered under a Budget Billing Plan on the effective date for changing an ESCO and will include the adjustments in the customer's next bill.

NYSEG/RG&E does not impose any restrictions on the number or frequency of changes of ESCOs, except where specified in the appropriate tariff or in this manual. Further, NYSEG/RG&E will only accept one valid enrollment request for each supply per customer during a switching cycle. If multiple requests are received for the same customer during a switching cycle, then NYSEG/RG&E will only accept the first valid enrollment request; subsequent enrollment requests will be rejected.

NYSEG/RG&E will not impose a fee when a customer changes their ESCO. However, NYSEG/RG&E will assess a \$20 fee as defined in its tariff for performing a special meter reading.

Tariff References:

- For NYSEG, refer to [PSC No. 120 - Electric](#)
- For RG&E, refer to [PSC 19 - Electric](#)

5.5. Slamming Prevention

Changing a customer from one ESCO to another without the customer's authorization, except where allowed under the "Discontinuance of Service" provisions of the appropriate tariffs, is known as *slamming*. As slamming is not permitted, all ESCOs must adhere to the slamming prevention process as set forth in the appropriate tariffs. NYSEG/RG&E will report all slamming allegations to the PSC.

An ESCO who engages in slamming will refund the affected customer(s) equal to the difference between charges imposed by the slamming ESCO and the amount the customer would have paid its incumbent ESCO. In addition, the offending ESCO will also pay any reasonable costs that NYSEG/RG&E incurs to switch the customer's ESCO from the one engaged in slamming to another ESCO.

Lastly, ESCOs will retain documentation of a customer's authorization to change providers for two years. Such documentation will comply with the requirements described in Attachments 1, 2, or 3 of the [Case 98-M-1343](#)

Tariff References:

- For NYSEG, refer to [PSC No. 120 - Electric](#)
- For RG&E, refer to [PSC 19 - Electric](#)

6. Electric Settlement

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6.1. Objective

This section describes the policies associated with the Electric Settlement process, including interval metering, load balancing and settlement, load profiles, system losses, unaccounted for energy, unforced capacity (UCAP), and load busses.

6.2. Interval Metering

Interval metering data is available to any electric customer under the hourly pricing programs. This includes both mandatory hourly pricing (MHP) and voluntary hourly pricing (VHP). If a customer qualifies for MHP, or chooses to participate in VHP, the interval data will be used when calculating the ESCO's hourly energy for reporting to the NYISO. The hourly interval-metered data will be posted to the ESCO's secured web site at the time of billing.

6.3. Load Balancing and Settlement

6.3.1. Overview

Load Balancing and Settlement is a reconciliation process, which the New York Independent System Operator (NYISO) performs to reconcile:

1. The ESCO's/DCs scheduled deliveries of electric power supply to serve their own needs or the needs of their customers.
2. The ESCO's combined customer load, or the DC's load on an hourly basis. This load is the sum of aggregate consumption, losses, and unaccounted for energy (UFE).

Settlement is completed by the NYISO when the following is known:

- Total load (including losses) within a zone or sub-zone.
- Quantity of energy the ESCO's customers or DC consumed.
- How that consumption compares with the ESCO's/DC's schedule of energy deliveries.
- The associated costs/credit of the imbalance.

6.3.2. Load Calculation Process

NYSEG/RG&E performs the load calculation process, which uses readings from billing kWh meters as well as static load profiles or interval meters, when applicable (for MHP or VHP customers) to determine ESCO/DC hourly loads. They calculate these ESCO/DC hourly loads in accordance with NYISO's billing schedule. These resulting calculations are sent to the NYISO for the purpose of balancing and settlement.

Periodically, NYSEG/RG&E examines their Load Balancing and Settlement process to implement improvements. These improvements may include, but are not limited to:

- Updating load profiles
- Adding new segments and load profiles to ensure a more accurate reflection of customer usage
- Instituting a weather normalization process
- Updating loss factors

Any major change to load profiling methodology will be submitted for information to ESCOs at least 60 days prior to implementation.

6.3.3. Settlement with NYISO and Settlement Charges

In accordance with NYISO rules:

1. ESCOs/DCs will schedule Electric Power Supply directly with the NYISO.
2. NYSEG/RG&E will calculate customer load (including system losses and UFE) by hour and combine accounts by ESCO/DC and by NYISO sub-zone. Losses and UFE will apply to both load profile and interval metered customers.
3. NYSEG/RG&E will allocate Unaccounted for Energy (UFE) on an hourly basis for the monthly loads submitted to the NYISO based on the individual ESCO's pro-rata share of overall system load. Effective July 2016, the UFE allocation reported to the NYISO will exclude MHP customer load. All sub zonal UFE will be allocated to ESCOs based on each ESCO's share of non-MHP load in a given hour.
4. NYSEG/RG&E will communicate the hourly load calculations to the NYISO in accordance with the NYISO billing schedule requirements for true-up purposes.
5. The NYISO will balance these hourly loads with the ESCO/DC bulk power deliveries; price the imbalance; and invoice or credit the ESCO/DC for the cost of the imbalance.

6.4. Load Profiles

6.4.1. Overview

A *load profile* or *load shape* is a reflection of a customer's energy use and is defined as electric power consumption (kWh) measured in one-hour intervals. Load profiles are used in the balancing and settlement process to assess customer monthly billing usage on an hourly basis.

6.4.2. Using Static Profiles

NYSEG/RG&E use static profiles to determine a customer's hourly energy use, based upon their meter configurations and service classifications. A static profile is applied to customers who have a billing (kWh) meter on their premise. Customers are grouped into segments based on similar consumption patterns. The *static profile* is a statistically valid representation of the load profile for the customers in that segment. The profiles used are specific to that customer's service classification and voltage class, where applicable.

6.4.3. Developing Load Profiles

6.4.3.1 NYSEG

NYSEG has defined 20 segments, which are based on historic load data. These segments are based on existing service classifications. A *service classification* is an identification code, which is assigned to a type of customer service as defined by the tariff. Eligibility requirements are associated with each service classification.

6.4.3.2. RG&E

RG&E commissioned Primen Inc. (an affiliate of EPRI) to develop load profiles based on RG&E's service class definitions, Rochester weather conditions, and actual billing consumption. RG&E has defined 15 segments based on service class and voltage class, where applicable.

6.4.4. Using MV90 Hourly Loads

MV90 hourly loads will be used in place of static profiles for ESCOs who have customers on an hourly pricing option.

6.4.5. Accessing Load Profile Data

6.4.5.1. Overview

All data and information that is furnished to the ESCO/DC by or on behalf of NYSEG/RG&E are solely for the ESCO's/DC's internal use relative to maintaining customer accounts under this Retail Access Program. No other use is authorized.

6.4.5.2. NYSEG

[NYSEG provides static profiles for all customer segments on the NYSEG website](#)

6.4.5.3. RG&E

[RG&E provides static profiles for all customer segments on the RG&E website.](#)

6.5. System Losses

Electric Power Supply is defined as the electricity required to meet the customer's needs, including Energy, Energy Losses, UFE, Unforced Capacity (UCAP), UCAP Losses, and UCAP Reserves (including additional reserves required by NYISO demand curve).

ESCOs/DCs must meet the full Electric Power Supply requirements of their customer to cover Energy Losses, UFE, and UCAP Losses associated with their load.

NYSEG/RG&E will notify the ESCO/DC of the category applicable to each customer's load. The following multipliable factors represent line losses only.

Voltage Level	Service Classification	Energy/ Loss Factor	Capacity Loss Factor
Transmission	7-4	1.0000	1.0000
Sub-transmission	3S, 7-3	1.0150	1.0200
Primary	3P, 7-2	1.0377	1.0480
Secondary	1, 2, 6, 7-1, 8, 9, 12 Outdoor/Street Lighting	1.0728	1.0738

RG&E categorizes all retail loads as primary or secondary, where:

- *Primary load* applies to customers taking service above 600 volts.
- *Secondary load* applies to customers taking service at 600 volts or less.

Loss factors for energy and capacity are set forth in the following table:

Voltage Level	Service Classification	Energy Loss Factor	Capacity Loss Factor
Primary	3, 8, 9	1.0491	1.0491
Secondary	1, 2, 3, 4, 6, 7, 8, 9, SL	1.0693	1.0693

Tariff References:

- For NYSEG, system losses will be determined in accordance with [PSC No. 120](#) - Electricity.
- For RG&E, system losses will be determined in accordance with [PSC No. 19](#) - Electricity.

6.6. Unforced Capacity (UCAP)

Individual customer capacity requirements are established in April each year and effective May 1st. It is based on the NYISO peak during the previous May –April period.

Each customer will be assigned a UCAP tag (capacity obligation). For hourly priced customers, the customer's actual hourly data coincident with the NYISO's peak will be used. If hourly data is not available, and for all load profile customers, the appropriate service class profile will be used. All service class load profile developed tags will be adjusted for a UFE growth factor.

Every month NYSEG/RG&E will track customer switching and provide the NYISO with the aggregated ESCO's/DC's UCAP requirement. Early in the month, a run will be performed and submitted to the NYISO in accordance with their schedule. Three-month true-ups will be run in accordance with NYISO procedures.

6.7. Ancillary Services

6.7.1. Overview

Ancillary Services Collection are those services that are necessary to support the transmission of capacity and energy from generation resources to loads while maintaining reliable operation of the New York State transmission system in accordance with good utility practice. These services are described and provided for in the NYISO's Federal Energy Regulatory Commission (FERC) Open Access Transmission Tariff (OATT) and NYISO's Market Service Tariff (MST).

Effective on 1/1/2010, both the NYSEG and RGE Supply Charge (via the Supply Adjustment Charge), will include ancillary charges and NYPA Transmission Access Charges (NTAC). Previous to 1/1/2010, these charges were collected through the Transition Charge. ESCOs are responsible for collecting these charges from their customers; and the NYSEG/RGE's practice of reimbursing ESCOs for ancillary and NTAC costs has ended.

6.8. Load Buses

A *load bus* is an identifier by marketing participant, by sub-zone to identify the amount of energy consumed. Load busses are requested through and assigned to ESCOs/DCs through the NYISO. Each ESCO/DC must acquire a Load Bus ID (referred to by the NYISO as sub-zone PTID) from the NYISO and supply the numbers to NYSEG/RG&E for all applicable sub-zones. NYSEG requires that the ESCO/DC provide PTIDs for all seven sub-zones.

6.9 Unaccounted for Energy

Unaccounted for Energy (UFE) is the difference between the NYISO sub zonal load adjusted for load modifier generation and Municipal /Co-Op load and the sum of the calculated supplier loads. UFE is applied on an hourly basis by NYISO sub zone prior to finalizing loads for delivery to the NYISO for the 4 month invoice and close-out invoice. The actual hourly UFE values for the 4 month invoice (in MWhs) will be posted to the ESCO's secure website.

7. COMMUNICATION PROTOCOL

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7.1 Objective

This section describes the policies associated with developing and maintaining communication between NYSEG/RG&E, ESCOs/DCs, and customers. Communications includes identifying communication channels and points of contacts; communicating with ESCOs/DCs and customers; requesting information; reporting customer status changes; communicating scheduled outages; providing emergency services; and providing street lighting, area lighting, and traffic signal services.

7.2. Identifying Communication Channels and Points of Contact

7.2.1. Overview

This section describes the means by which communication will take place among NYSEG/RG&E, ESCOs/DCs, and customers who are participating in the Retail Access Program. This minimizes errors and allows effective sharing of critical information.

The following general principles form the foundation for the specific elements of the protocol:

- Where possible, NYSEG/RG&E, ESCOs/DCs, and customers will verify their understanding of messages transmitted. Each party will accept the responsibility for clarifying and understanding the messages being exchanged.
- Communication will take place using a variety of channels. The channel selected is based on the nature of the message that needs to be transmitted.
- Communication within an organization will be consistent, ensuring that messages do not differ from one department to another. In addition, to the best extent practical, communication will be consistent over time.
- Communications will take place regularly and with the appropriate frequency based on the information that is to be transmitted.

Many of the details necessary for successful communication among NYSEG/RG&E, the ESCOs/DCs, and their customers are defined in this manual. These details provide a “road map” for effective communications.

7.2.2. Procedure

To enhance the efficiency of communication between NYSEG's/RG&E's Supplier Relations and ESCOs/DCs, the following Communications Point of Contact procedure will be followed by all parties. This procedure has been designed so that NYSEG/RG&E meets their goal of acknowledging all ESCO/DC inquiries within 2 business days and responding within 5 business days.

An ESCO's/DC's primary point of contact is through the Supplier Relations Lead Analyst.

7.2.3. Customer Service Issues

ESCOs/DCs will refer all retail access or customer service questions and/or issues to their Supplier Relations Lead Analyst. Each Supplier Relations Lead Analyst will have a basic knowledge of the Retail Access Program, along with its associated policies, electric billing/rates, enrollment issues, and tariffs. The Supplier Relations Lead Analyst will be able to answer the majority of questions the ESCO/DC may have as well as respond to the ESCO's/DC's issues. The Supplier Relations Lead Analyst will be available by calling their office number, or by contacting them via e-mail. See Appendix A - Contact Information for more information.

In addition, the Supplier Relations Lead Analyst will take the following steps to ensure their accessibility:

- Provide their schedule on a daily basis as a voice mail greeting.
- Provide names and contact information of backups when they will be unavailable

An ESCO/DC must confirm voice communications with an e-mail message to provide a written record. This enhances communications within NYSEG/RG&E.

To provide a final backup to the Supplier Relations Lead Analyst, ESCOs/DCs will be able to contact any other Supplier Relations Lead Analyst on the team. The backup for these individuals is the Manager – Supplier Relations.

The Supplier Relations Lead Analyst relies on his/her ESCO/DC Primary Point of Contact for all customer service issues. In accordance with other sections of this Communications Protocol, ESCOs/DCs are required to furnish NYSEG/RG&E with emergency contact information, which will allow 24x7 contact. It is the ESCO's/DC's responsibility to update their contact information with their Supplier Relations Lead Analyst as well as to notify NYSEG/RG&E of any changes noted on the list of qualified ESCOs on NYSEG's/RG&E's web site.

7.2.4. Summary

To provide additional backup for the Manager – Supplier Relations, NYSEG/RG&E has two additional points of contact: the Manager - Customer Service Transition, and the Vice President - Customer Service.

By using this communications procedure, NYSEG/RG&E and ESCOs/DCs will be able to communicate effectively and efficiently with one another.

As part of its application, each ESCO/DC will provide the names of personnel serving in the following functions:

- ESCO Operating Group representative and alternate
- Contract Administration/Credit and security contact
- Operations staff and analysts
- Regulatory contact
- Invoice/billing contact
- Emergency and backup emergency contacts
- Information Systems/data processing contact (includes EDI)
- News Media Contact

Each ESCO/DC will notify NYSEG/RG&E of personnel changes as they occur.

ESCOs/DCs will be responsible for providing emergency contact information, which will allow NYSEG/RG&E to contact them on a 24x7-basis.

7.3. Communicating with ESCOs/DCs and Customers

7.3.1. Overview

Over the course of an operating day, operational data and information is posted and exchanged. This includes, but is not limited to:

- Customer consumption (meter reads)
- UFE
- Customer Lists

Other daily operational data exchange is described in NYSEG's/RG&E's tariff and in this manual. Supplier Relations will be the first point of contact for handling daily operational issues. NYSEG/RG&E and ESCOs will exchange information as set forth in Sections 7.3.2 and 7.3.3 with less frequency.

7.3.2. Information Provided to ESCOs/DCs

Information that NYSEG/RG&E provides to ESCOs/DCs includes, but is not limited to:

- Meter reading schedule changes
- Billing schedule changes
- Special billing situations
- Meter exchanges
- Computer system outage (planned or unplanned)
- Enrollment and switching questions
- Rate or tax changes
- Missing meter read data information
- Proposed procedure changes
- General information of interest
- EDI-related issues
- Amount of purchased ESCO receivables (RG&E only)
- Notice of disconnect/reconnect in event of shut off for non-payment
- Retail Access customer moves

7.3.3. Information Provided to NYSEG/RG&E

Information that ESCOs/DCs provide to NYSEG/RG&E includes, but is not limited to:

- Billing inquiries
- Clarification on rates, fees, and charges
- Enrollment and switching questions
- Clarification of operating procedures
- Requests for assistance regarding EDI formats
- Changes in contact names and numbers
- Customer service classification issues
- Inquiries with regards to supplier invoices
- Changes in ESCO/DC customer load
- Changes in customer status or supply choice
- Retail Access customer moves

In general, this type of information is communicated via telephone and/or e-mail to the Supplier Relations Lead Analyst.

7.3.4. Other Communications

In addition, special meetings or telephone conferences will be held as necessary.

7.4. Requesting Information

NYSEG/RG&E and ESCOs/DCs will respond to customer inquiries sent by telephone, received via e-mails, or established in meetings. NYSEG/RG&E will directly respond to all customer inquiries with regards to delivery services. Customers will be encouraged to contact their ESCO/DC to resolve issues related to commodity or supply. If the ESCO/DC is unable to resolve the commodity or supply issues, then NYSEG/RG&E will work cooperatively to resolve the customer's commodity or supply issues.

If an ESCO calls NYSEG/RG&E seeking information, then it is recommended that they follow up the call with a confirming e-mail to that effect.

The entity responsible for the accuracy of meter readings will respond to customer inquiries related to usage.

The entity responsible for providing a consolidated bill will respond to customer inquiries about billing and payment processing.

NYSEG/RG&E will respond to tariff-related inquiries in accordance with the [UBP](#) as well as to the appropriate tariff(s).

7.5. Communicating Scheduled Outages

7.5.1. Overview

This section describes the policies associated with scheduled outages requested by NYSEG/RG&E, ESCOs/DCs, or customers.

7.5.2. NYSEG/RG&E

NYSEG/RGE cannot guarantee uninterrupted service to any Life Support Customer. An account is determined to be “Life Support” if the unplanned failure of equipment due to an electrical outage would result in a predictable and an immediate threat to the patient. NYSEG/RGE will notify critical customers of planned interruptions so that appropriate arrangements can be made. When unplanned outages occur, service will be restored as quickly as possible, however life support customers are encouraged to have an alternate plan in place to ensure their needs continue to be met.

7.5.3. NYSEG/RG&E

A representative from NYSEG/RG&E will directly coordinate with the customer for scheduled power outages. For proposed outages affecting large commercial and industrial customers, NYSEG/RG&E may request assistance from the ESCO/DC in coordinating a date and time with the customers to minimize the impact that a scheduled outage would cause on customer operations.

The ESCO/DC or its customer may request a power outage to provide isolated work areas for maintenance or modification of customer facilities. In the event NYSEG/RG&E incurs costs and expenses to ensure a requested outage date and/or time is satisfied, NYSEG/RG&E will consult with the ESCO/DC and the customer to consider rescheduling the outage to avoid or reduce costs. The ESCO/DC will compensate NYSEG/RG&E for any costs and expenses incurred to support the requested outage.

7.6. Providing Emergency Services

7.6.1. Overview

This section describes the policies associated with responding to and restoring electric service to customers who requested emergency services.

7.6.2. Customer Emergency Calls

In response to an Emergency Service call, the ESCO/DC will ask their customers to use NYSEG's emergency phone number 1-800-572-1131 or RG&E's emergency phone number 1-800-743-1701 for reporting any emergency situations involving the electric distribution or transmission system. If an Emergency Service call is received, then the ESCO/DC will automatically transfer the call to NYSEG's/RG&E's emergency phone number on a 24x7 basis, as specified in the Operating Agreement (OA). Non-emergency calls will not be transferred.

NYSEG/RG&E will assess and correct any service problem involving their facilities. If a customer or an ESCO/DC requests further repairs, then the costs and expenses of such further repairs will be the responsibility of the customer or ESCO/DC as applicable.

7.6.3. Restoration

The ESCO/DC and their customers may obtain available information on the status of restoration efforts by contacting NYSEG/RG&E.

7.7. Power Quality

7.7.1. Overview

Power quality refers to the characteristics associated with electric power that the customer receives. It refers to the condition of the power used by our customers. When power is free of disturbances and irregularities, then the condition of power quality is good. Power quality problems include momentary interruptions lasting less than five minutes.

7.7.2. NYSEG

Customers who are experiencing power quality problems are asked to call the NYSEG Customer Service Call Center at 1 (800) 572-1111. The Call Center Representative completes then forwards a service request to Engineering, who in turn, investigates the problem. Depending on the customer's location, the request is sent to the Engineering Department in the particular division.

7.7.3. RG&E

At the customer's request, RG&E will initiate an investigation into power quality problems. If it is determined that the power quality problems are the result of electric supply services that RG&E provides, then RG&E will continue the investigation to determine then repair the equipment or facility causing the degradation in power quality. If, however, it is determined that the power quality problem is not the result of electric supply services that RG&E provides, then any continued investigation to determine the customer-owned equipment or facility causing the degradation in power quality will be the customer's responsibility.

7.8. Providing Street Lighting, Area Lighting, and Traffic Signal Services

NYSEG/RG&E will provide delivery service to ESCOs/DCs who serve customers with street lighting and/or area lighting facilities. Such lighting facilities may be owned or leased by the customer in accordance with the appropriate NYSEG/RG&E tariffs.

NYSEG/RG&E will provide delivery service to ESCOs/DCs who service customers with traffic signal facilities. Such facilities may be owned or leased by the ESCO, DC, or the customer.

Tariff References

- NYSEG:
 - For street lighting, refer to [PSC No. 121 - Electric](#)
 - For area lighting, refer to [PSC No. 120 - Electric](#)
 - For traffic signals, refer to [PSC No. 120 - Electric](#)
- RG&E:
 - For street and area lighting as well as traffic signals, refer to [PSC No.18 - Electric](#)

8. METERING, BILLING & PAYMENTS

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8.1. Objective

This section describes the policies associated with the NYSEG/RGE's Metering, Billing, and Payment processes. It also describes the customer account structure; available billing services; billing history, and the Customer List File.

8.2 Metering

8.2.1 Overview

Customers (including DCs) may continue to use their existing meters. Existing meters installed at the customer site will be used to derive basic billing determinants.

NYSEG/RG&E may elect to replace an existing meter or install additional metering equipment at the customer's site to obtain load profile data (see Section 6.3 of this manual). If such replacement or additional installation is done to serve NYSEG's/RG&E's needs, then NYSEG/RG&E will be responsible for the cost of this work.

Control of metering ownership is defined such that NYSEG/RG&E will install, operate, and control metering at the DC or customer premises. As an alternative, an ESCO, DC, or customer may request alternative metering from NYSEG/RG&E. Alternative metering may include the competitive metering option (Section 8.2.3) or a metering upgrade (Section 8.2.5). Such alternative metering will be done at the ESCO's, DC's, or customer's expense, as applicable. In addition, a customer may hire an independent Metering Service Provider (MSP) to perform metering services.

8.2.2 Meter Ownership

For NYSEG/RG&E or customer-owned meters, NYSEG/RG&E will continue to perform any operations, including but not limited to programming, installing, reading, disconnecting, reconnecting, sealing, testing, and removing meters and metering equipment in accordance with company-filed tariffs. Customers and ESCOs may request NYSEG/RG&E to make special Meter Accuracy tests at the ESCO's expense. The meter may be tested in place, or at NYSEG's/RG&E's central test facility at the company's discretion.

NYSEG/RG&E will install meters at customer's facilities so as to provide basic billing determinants consistent with the customer's Service Classification and connect its distribution lines with the customer's service entrance.

Eligible large commercial and industrial time-of-use customers have the option of owning a Commission-approved meter. These meters will remain under control of NYSEG/RG&E. Eligible large commercial and industrial time-of-use customers are defined as follows:

Note: For NYSEG, a customer must have a basic demand equal to or greater than 500 KW during any two of the previous twelve months.

For RG&E, a customer must have a basic demand of not less than 300 kilowatts during any three of the previous 12 months.

Tariff References:

- For NYSEG, metering ownership will be defined in accordance with [PSC No. 119 - Electric](#).
- For RG&E, metering ownership will be defined in accordance with [PSC No. 19 - Electric](#).

8.2.3 Competitive Metering Option

Qualified customers who have a metered demand of at least 50 kW at each meter in any two consecutive months during the most recent 12 month period may select the Competitive Metering Option.

Note: For RG&E, this service is only available to customers taking service under Service Classification 3, 7, 8, or 9.

To participate in the Competitive Metering Program, a customer must contact a qualified Meter Service Provider (MSP) or a Meter Data Service Provider (MDSP) to enroll them in NYSEG's/RG&E's program.

To participate in the Competitive Metering Program, a prospective MSP/MDSP must meet eligibility requirements as specified in the [New York Practices and Procedures for the Provisioning of Electric Metering in a Competitive Environment](#)

Tariff References:

- For NYSEG, competitive metering will be defined in accordance with [PSC No. 120](#)
- For RG&E, competitive metering will be defined in accordance with [PSC No. 19](#)

8.2.4 Obtaining Time-of-Use Data

Large commercial and industrial time-of-use customers, or their designees, will be allowed to receive meter data on a real-time or other basis. This is provided, without incurring a fee, as long as such customers install and maintain, at their own expense, the necessary ancillary equipment required to receive such data. Such access may require NYSEG/RG&E to install a different type of meter/recorder. The customer will bear the cost responsibility of such meter/recorder and installation, with NYSEG/RG&E retaining sole control of the meter and responsibility for the installation and maintenance of the meter and compliance with applicable Commission regulations.

NYSEG/RG&E will provide a schedule of meter upgrade charges upon the request of the customer or its authorized designee. NYSEG/RG&E maintains a schedule of meter upgrade charges, which covers standard metering options. This schedule is available upon request.

8.2.5 Metering Upgrades

All customers (including DCs) or ESCOs on behalf of their customers may request the installation of a PSC-approved, NYSEG/RG&E-owned meter, which is compatible with NYSEG/RG&E metering infrastructure.

All metering upgrades are subject to the availability of equipment, and will be installed, operated and controlled by NYSEG/RG&E at the ESCO's, DC's, or customer's expense. It is the responsibility of the ESCO, DC, or customer to ensure that all site preparation work has been completed before the installation of the upgrade occurs.

Current upgrade equipment includes, but is not necessarily limited to:

1. Pulse output from an Energy meter, which interfaces, to a pulse recorder or Energy management system.
2. Solid state, multi-channel pulse recorder with telephone modem for remote interrogation;
3. Time-of-use meter which displays cumulative Energy use in predetermined time periods; and
4. Demand or time-of-use and demand meter with integral load profile recorder with or without a modem.

NYSEG/RG&E will provide, upon request, a list of PSC-approved, NYSEG/RG&E compatible meters and specifications. In addition, NYSEG/RG&E will update the list of upgrade options available from time to time. NYSEG/RG&E will provide a schedule of meter upgrade charges upon the request of the customer or its authorized designee. Other options not specifically mentioned above will be considered on a case-by-case basis.

Direct requests to Supplier Relations as included in Appendix A - Contact Information of this manual.

Customers who wish to restore installations to the pre-upgrade configuration must notify NYSEG/RG&E in writing. Customers are responsible for all expenses that NYSEG/RG&E incurs to remove equipment, and if necessary, to install a replacement meter commensurate with other customers taking the same or similar service.

Applications for meter upgrades by all customers (including DCs) or ESCOs on behalf of their customers must specify the functionality required and the specific location(s) and account number(s) at which the meter(s) will be installed.

Upon receipt of the written application, NYSEG/RG&E will determine the cost of the upgrade, as well as the expenses related to installation, and will issue an invoice containing a customer acknowledgment. A customer must sign and return the acknowledgment, along with payment for the invoiced amount, to NYSEG/RG&E.

Meters purchased directly from vendors or distributors must first be sent to NYSEG/RG&E for testing and programming. A packing list will contain the name of the customer and the location(s) and account number(s) where the meter(s) are to be installed. NYSEG/RG&E will proceed with installation after testing and programming the meter. Any costs that NYSEG/RG&E incurs for the testing or transportation of such meters will be the responsibility of the DC or customer.

Contacts for applications for meter upgrades are included in Appendix A - Contact Information of this manual.

8.2.6 Telemetry and Communications

In addition to responsibility for all ongoing costs and related expenses, the ESCO, or customer (including DC) is also responsible for scheduling installation, testing, and commissioning of any communications media related to the installation of metering upgrades.

8.3 Billing Services Agreement (BSA)

The Billing Services Agreement (BSA) provides NYSEG/RG&E with contractual requirements for consolidated billing and payment processing. For a copy of the Billing Services Agreement (BSA), refer to:

- [NYSEG web site:](#)
- [RG&E web site:](#)

8.4 Technical Billing Specifications (TBS)

The Technical Billing Specification (TBS) defines terms and conditions as well as processing requirements associated with the use of Electronic Data Interchange (EDI) for the rendering of a Consolidated Bill. The Technical Billing Specification can be found in Exhibit A of the Billing Services Agreement.

8.5 Account Structure

The account structure for NYSEG/RG&E is provided in the Billing Service Agreement (BSA). For a copy of the BSA, refer to section 8.3.

.

8.6 Purchase of ESCO Receivables

8.6.1 Overview

NYSEG/RG&E will purchase accounts receivable at a discount and without recourse for commodity sales by ESCOs who provide commodity service in NYSEG's/RG&E's service territory. The Purchase of ESCO Accounts Receivable Program (POR), is addressed in Cases 05-M-0453 and 05-E-1222 for NYSEG and Cases 03-E-0765 and 03-G-0766 for RG&E

8.6.2 Eligibility Requirements

ESCOs who elect NYSEG's/RG&E's Utility-Consolidated Billing option for all or a portion of their customers will be required to sell their accounts receivable for such customers to NYSEG/RG&E under the terms of the POR program. ESCOs will continue to have the right to issue their own bill using dual billing for all or a portion of their customers.

8.6.3 Purchase Price

Electric accounts receivable will be purchased at a discount off face value of the ESCO receivable. The discount rate will be sufficient to compensate NYSEG/RG&E for its financial risk in purchasing electric receivables, including, but not limited to, the level of NYSEG's/RG&E's uncollectibles. The derivation of the discount rate is identified in NYSEG's/RG&E's tariff.

8.6.4 Payments

Payments to ESCOs will be made via wire transfer 20 days after consolidated bills are issued, and will continue throughout the billing cycle.

8.6.5 Other Considerations

1. The POR will be subject to modifications based upon PSC orders, rules, and regulations applicable to retail access, including, but not limited to, the [Uniform Business Practices](#), proration of customer payments under a single bill, and provisions of [Home Energy Fair Practices Act](#).
2. The POR obviates the need for NYSEG/RG&E to prorate partial customer payments among ESCOs who are participating in the POR program.
3. In accordance with 16 NYCRR Part 13, NYSEG/RG&E is authorized to disconnect its delivery service and the ESCO's commodity service to non-residential customers when:
 - The customer fails to make full payment of all amounts due on the consolidated billing;
 - NYSEG/RG&E has purchased the ESCO receivable; and
 - The ESCO furnishes NYSEG/RG&E with an affidavit from an officer of the ESCO representing to NYSEG/RG&E that the ESCO has notified its current non-residential customers and will notify its future non-residential customers that NYSEG/RG&E is permitted to disconnect the customer for non-payment of the ESCO charges.
4. The ESCO will indemnify NYSEG/RG&E for any cost, expense, or penalty if the customer's service is discontinued for non-payment and if the customer establishes that it did not receive such notification.

5. ESCOs participating in the POR program waive the right to seek termination for non-payment of ESCO commodity service and/or to request suspension of NYSEG's/RG&E's distribution service.
6. NYSEG/RG&E, in accordance with applicable provisions of law, may disconnect its delivery service and the ESCO's commodity service to residential customers who fail to make full payment of all amounts due on the consolidated billing, including the amount of the purchased ESCO receivables. Residential customers who are disconnected from utility service under the POR program will have their service reconnected upon payment of the arrears subject to the disconnection. Such payment may include delivery and supply charges, or a lesser amount as specified in Public Service Law Section 32(5). ESCOs participating in the POR program waive the right to seek termination of ESCO commodity service and/or to request suspension of NYSEG's/RG&E's distribution service.

8.7. Billing and Payment Processing

8.7.1. Overview

This section defines billing and payment processing, which NYSEG/RG&E and ESCOs offer customers. NYSEG/RG&E and ESCOs will comply with these requirements unless they agree to modifications or to other billing and payment processing procedures within a Billing Services Agreement (BSA).

8.7.2. Billing Options

Under the Bill-Ready model, NYSEG/RG&E offers ESCOs two (2) options for billing and payment processing:

- *Dual Billing*, where NYSEG/RG&E and ESCO each bill customers and process customer payments for their own services.
- *Utility Consolidated Billing*, where NYSEG/RG&E bills customers and processes customer payments on behalf of the ESCO.

ESCO's participating in NYSEG's/RG&E's Retail Access Program will select from the billing options that an ESCO offers. The following tables summarize the two billing and payment processing options:

	Dual Billing	Consolidated Billing
Billing	<ul style="list-style-type: none"> ➤ Customer receives two bills: <ul style="list-style-type: none"> ➤ The Utility bills customer for transmission and distribution ➤ ESCO bills customer for commodity and other charges 	<ul style="list-style-type: none"> ➤ Customer receives one bill: <ul style="list-style-type: none"> ➤ ESCO sends supply charges to the Utility ➤ Utility bills customer for transmission, distribution, and includes ESCO charges on bill.
Payments	<ul style="list-style-type: none"> ➤ Customer pays two bills: <ul style="list-style-type: none"> ➤ Pays the Utility ➤ Pays ESCO 	<ul style="list-style-type: none"> ➤ Customer pays the Utility for all charges ➤ The Utility submits ESCO portion of payment to ESCO within 20 days of receipt of ESCO charges

8.7.3. Customer Billing and Payments

8.7.3.1. Overview of Dual Billing

With Dual Billing, NYSEG/RG&E and ESCOs act as separate billing parties, directly rendering separate bills to the customer. NYSEG/RG&E bills customer for transmission and distribution while the ESCO bills customer for commodity and other charges. The customer, in turn, pays NYSEG/RG&E for transmission and distribution charges and pays the ESCO for commodity and other charges.

8.7.3.2. Invoices

NYSEG's/RG&E's bill will conform to PSC standards. The ESCO may determine its bill format as long as it states its charges in sufficient detail to allow customers to judge the accuracy of their bills.

NYSEG/RG&E will transmit usage data to the ESCO at the time the information is available for rendering bills to customers, which may or may not coincide with meter reading cycle dates.

Whenever NYSEG/RG&E cancels consumption for an account, a notice of cancellation will be provided, with corrected consumption for the account forwarded to an ESCO, if applicable.

8.7.3.3 Customer Information

NYSEG/RG&E will provide customer billing information to an ESCO upon acceptance of an ESCO's enrollment request as well as billing history information upon ESCO request.

NYSEG/RG&E will respond within two (2) business days to valid requests for information established in EDI transaction standards. NYSEG/RG&E will respond within five (5) business days to requests for data and information for which an EDI transaction standard is not available. NYSEG/RG&E will provide the reason for rejection of any invalid information request.

NYSEG/RG&E, to the extent it possesses the information, will provide usage data for a customer upon request from an ESCO.

NYSEG/RG&E will provide an ESCO with usage data; subsequent changes, corrections, and adjustments to previously supplied data; and estimated consumption for a specific period at the same time they are validated for use. NYSEG/RG&E will make available to an ESCO/DC, upon request, class load profiles for their customers for their service class.

NYSEG/RG&E will not charge ESCOs/DCs a fee for providing customer information.

NYSEG/RG&E, however, may charge an incremental, cost-based fee, when an ESCO requests customer data for a period in excess of 24 months, or life of account.

NYSEG/RG&E will charge the ESCO if they request interval data.

8.7.3.4. Confidentiality

The ESCO must keep confidential any customer information (usage and billing and credit information) obtained from NYSEG/RG&E.

8.7.3.5. Disclosure of Customer Information

If a customer sends NYSEG/RG&E written notification stating that no billing and usage or credit information is to be released to third parties, then NYSEG/RG&E will enter this information on the customer's account. When an ESCO/DC requests disclosure of such information where the customer has requested that it not be released, the ESCO/DC will be notified that due to the customer's request, such information cannot be released.

Unless the customer rescinds its request to withhold the release of information, the ESCO/DC will have to obtain the customer's written authorization each time a request to release information is made.

8.7.3.6. Data Exchange

NYSEG/RG&E and ESCOs will demonstrate the technical capability to electronically exchange information for their billing and payment processing options. For more information, refer to Section 9 - Data Exchange of this manual.

8.7.3.7. Rates

The customer's rates are set forth in the appropriate tariff, as the same may be revised, modified, amended, clarified, supplemented or superseded.

Tariff References:

- For NYSEG, refer to [PSC No. 120 - Electric](#)
- For RG&E, refer to [PSC No. 19 - Electric](#)

**8.7.3.8. Increase in Rates Applicable in Municipality Where Service is Supplied
(RG&E Only)**

The rates and charges for service under all service classifications (including fuel cost adjustment and minimum charge) will be increased by the effective Aggregate Percentage Rate. This is based on the aggregate percentage rate of the taxes imposed on RG&E's electric revenues. It is in accordance with Sections 210 and 186-a of the Tax Law; Section 20-b of the General City Law; and Section 5-530 of the Village Law. These surcharges are sub-divided into rates applicable to revenues from:

- Transportation
- Commodity
- Net income

Tariff References:

- The applicable service classification in [PSC No. 19](#)

8.7.3.9. Cancel and Re-Bill

In some instances, NYSEG/RG&E will need to cancel a bill, obtain new or correct information, and then re-issue the bill or "re-bill" with the corrected billing determinants. The ESCO will be informed of such corrections through EDI Transactions. An 867 will be sent for each billing period that was cancelled and new 867 usage will be sent to the ESCO.

For more information, refer to:

- [NYSEG website](#)
- [RG&E website](#)

8.7.3.10. Meter Reads

NYSEG/RG&E will measure consumption in accordance with established reading cycles and practices as well as provide the ESCO with appropriate billing determinants.

Information provided to an ESCO is to be used solely by the ESCO for billing the customer. ESCOs are also subject to the confidentiality requirements as set forth in this manual.

If unable to obtain an actual reading, NYSEG/RG&E will establish an estimated read. Alternately, NYSEG/RG&E will accept customer-supplied readings as long as the readings meet prescribed requirements. Requests for special meter readings must be made in advance of the requested read date, and in accordance with the current business practices.

8.7.3.11. Estimated Reads

An estimated read is prepared in the following instances:

- When the meter read is not obtained for the scheduled read month.
- During a month for which no read is scheduled.
- When a customer read is not provided or accepted.
- When meter read data is outside the projected high-low parameters.

Accounts are read either monthly or bimonthly on a Business Day according to the premise's assigned reading cycle. Some bimonthly accounts are billed with estimates in the interim months. Where actual meter readings are used (estimated or not), usage data will also be provided to ESCOs/DCs to bill its customers for service that NYSEG/RG&E provides. Subsequent changes or corrections and adjustments to previously supplied data will be provided to the ESCOs/DCs if necessary.

8.7.3.12. Meter Schedule

NYSEG

The most current [Meter Reading Schedule](http://www.nyseg.com/SuppliersAndPartners/servicesandresources/meterreadingschedules.html) is available on the NYSEG web.

<http://www.nyseg.com/SuppliersAndPartners/servicesandresources/meterreadingschedules.html>

RG&E

The most current [Meter Reading Schedule](http://www.rge.com/SuppliersAndPartners/servicesandresources/meterreadingschedules.html) is available on the

web <http://www.rge.com/SuppliersAndPartners/servicesandresources/meterreadingschedules.html>.

8.7.3.13. Special Meter Reads

If an ESCO/DC asks NYSEG/RG&E to provide a meter reading on a day other than the scheduled meter read date, then the requesting party will be charged a fee per location, per trip. Special Meter Reading dates must be scheduled to occur on a NYSEG/RG&E Business Day during normal business hours. If an ESCO requests a special read, it is the ESCO's responsibility to communicate that request to the customer, informing them that NYSEG/RG&E needs access to their meter for the Special Meter Reading. Requests for a Special Meter Reading must be made not less than fifteen (15) calendar days in advance of the requested meter reading date.

8.7.3.14. Streetlight Meter Reads

For Public Street and Highway Lighting customers, the scheduled meter reading date is the last day of the month. Such accounts are billed by NYSEG/RG&E on a calendar month basis. The effective date for initial enrollment in the Program or a change in ESCOs will be the first day of the month following the enrollment or change in ESCOs.

8.7.4. ESCO/DC Billing and Payments**8.7.4.1. Invoices**

NYSEG/RG&E will bill the ESCO on a monthly basis for billing charges and credits due them. Such billing information will include customer data provided on request, Special Meter Reading charges, adjustments to prior invoices, and other retail tariff services provided at the request of the ESCOs/DCs. Services directly requested by customers will be billed directly to the customers unless ESCOs request that those charges be billed to them instead.

The ESCO will, in turn, be responsible for billing its customers for services and offering customer services relative to such billing.

8.7.4.2. Consolidated Billing

NYSEG/RG&E and ESCOs participating in Consolidated Billing will use the Billing Services Agreement (BSA) to establish detailed expectations for their billing and payment responsibilities, including consequences for any failure to carry out such responsibilities. When NYSEG/RG&E sends an invoice to an ESCO, the terms of payments, payment form, application of payments, and failure to make payments are included in the appropriate tariff.

For consolidated bills, ESCOs will transmit their charges, along with other information, to NYSEG/RG&E on or before two business days after transmittal of valid usage data for a customer account.

On consolidated bills, NYSEG/RG&E summarizes total charges, separately stating utility and ESCO charges in clearly separated and marked portions of the bill. Actual bill content is established in accordance with [Case 98-M-1343](#) - In the Matter of Retail Access.

ESCOs will have the option of printing a customized bill message and/or including their company logo on the consolidated bills. For more information, please refer to the Technical Billing Specifications which is Exhibit A of the Billing Service Agreement..

8.7.4.3. Payment Processing**Overview**

NYSEG/RG&E and participating ESCOs will define their responsibilities, performance parameters, financial arrangements, and other details associated with payment processing and remittance within a Billing Services Agreement (BSA).

Consolidated Bill Payments

When a payment is received, NYSEG/RG&E will distribute funds in accordance with the Purchase of ESCO Receivables (POR) Program (Cases 03-E-0765 and 03-G-0766).

Check cases

Payment Terms

ESCO payment for services will be rendered to NYSEG/RG&E via Electronic Funds Transfer (EFT) on or before the 20th calendar day following the invoice date for the full amount stated on the invoice, without deduction, set-off, or counterclaim.

Cancel/Rebills

For consolidated billing, if an ESCO billing error occurs and is not corrected before a bill is issued, then NYSEG/RG&E is not required to cancel bills or issue new bills. The ESCO will provide the customer and NYSEG/RG&E with the appropriate explanations and make any necessary adjustments on the next bill.

If a NYSEG/RG&E billing error causes an ESCO to miss the billing window, NYSEG/RG&E will cancel and rebill upon notification from the ESCO. Otherwise, NYSEG/RG&E and the ESCO may arrange an alternative bill correction process. NYSEG/RG&E will afford customers the same grace period to pay bills.

If neither errs, then NYSEG/RG&E and the ESCO may agree to cancel and rebill, whereby NYSEG/RG&E:

1. Cancels usage by cycle period;
2. Sends consumption in the cancel transaction, which matches consumption sent in the original transaction;

3. Sends cancelled usage at the same level of detail as the original usage;

If a bill is to be cancelled and reissued using the bill ready method, then revised bills are issued to customers within two business days after receipt of the revised usage data.

To restate usage for a period, NYSEG/RG&E will cancel usage for that period and then send a full set of restatement transactions.

8.7.4.4. Application of Payments

NYSEG/RG&E will apply payments in accordance with the Purchase of ESCO Receivables (POR) Program (Cases 03-E-0765 and 03-G-0766).

8.7.4.5. Access to Billing Back-up Information

Upon request, ESCOs/DCs will have access to data elements allowing them to perform necessary billing back-up calculations.

8.7.4.6. Inquiries

Direct all questions concerning ESCO invoices to a Supplier Relations Lead Analyst listed in Appendix A - Contact Information of this manual.

8.7.4.7. Overpayments

When an ESCO overpays a consolidated bill due to an inaccurate invoice or through the Dispute Resolution Process, their account will be credited when there is an outstanding balance owed to NYSEG/RG&E on that account. Otherwise, overpayments will be refunded directly to the ESCO. Such credit or refund must occur within five calendar days of a determination that an overpayment occurred, earning interest at the rate of 1.5% per month from the date of the overpayment, whichever applies. The refund will be rendered to the ESCO using electronic funds transfer.

Overpayments made voluntarily by ESCO will be credited to their account. Interest will not be earned unless the overpayment is applied to the security deposit account.

Note: This does not apply to overpayments for customer accounts.

Tariff References:

- For NYSEG, refer to [PSC No. 120 - Electric](#)
- For RG&E, refer to [PSC No. 19 - Electric](#)

8.7.4.8. Other Charges to ESCOs

In addition to late payment charges, additional historical customer usage, billing and credit information, and Special Meter Reading charges, NYSEG/RG&E may also charge ESCOs/DCs for other rates and charges. This is in accordance with the appropriate tariff.

Tariff References:

- For NYSEG, refer to [PSC No. 120 - Electric](#)
- For RG&E, refer to [PSC No. 19 - Electric](#)

8.8. Customer List File Specifications

8.8.1. NYSEG/ RG&E

8.8.1.1. Overview

ESCOs in NYSEG/RG&E's Retail Access Program will receive an updated Customer List File each Saturday. The file contains the complete updated list of all the ESCO's current and pending electric customers in NYSEG/RG&E's program.

A key piece of information is the point of delivery (POD ID) for each customer. This key identifier is in all the ESCO's transactions with NYSEG/RG&E. Also included is the start date of the point of delivery (the date on which the customer switched to the ESCO). When the customer switches away from an ESCO, the customer's name will no longer appear in the customer list file.

This file is a means for making sure that NYSEG/RG&E and ESCOs agree on who is serving which customer. The file also includes the rate code and the billing cycle that the customer is on. These will be valuable references in answering questions from customers about the cost of the distribution service, or about their next billing date.

8.8.1.2. Customer List File Specifications

CCS Customer List File provided to NYSEG and RG&E ESCOs

	Field Name	Description	Notes
A.	Contract Account Number	Contract Account Number in CCS	Provided for info only--not used in Retail Access Transaction
B.	ESCO's Customer ID	ESCO's Account Number Stored in CCS	ESCO Account Number – as provided by ESCO
C.	Business Partner	Customer's Name	Business Partner Name
D.	PoD ID	Point of Delivery ID	PoD ID
E.	Device Number	Meter / Recorder Numbers	Device Number
F.	Device Type (Gas Only)		"Daily" or "Non-Daily"
G.	Device Factor (Gas Only)		Multiplier-CCF to Therms – decimal numeric
H.	Therm Factor Zone (Gas Only)		"NOOXX" -> XX = Zone
I.	Street Address	Premise Address	Typically "Number (space)Street"; if no house number available, then "0" for Number
J.	City/Town State Zip Code	Premise Address	"City/Town(space)NY(space)Zip"
K.	Jurisdiction for Tax Calculation- Tax Jurisdiction Code	Tax Jurisdiction Code	Format – "NY9999999"
L.	Division	Commodity (Gas = G or Electric = EL)	"GS" or "EL"
M.	Grid	ISO Subzones or Gas Pooling Area	Examples: Electric – "NE_NOR_SE" "NE_MWK_SE"... Gas – "NG_DTI"; "NG_TCO"
N.	Rate Category	Rate Category	Rate Category
O.	Contract Account Determination ID	Previously revenue code	Residential/Commercial/Municipal/ Industrial – "R", "C", "CX", "M", "I"
P.	Installation Type	Heat or Non-Heat Status	"HEAT" or "NOHT"
Q.	Guarantee of Supply	Critical Care Status	If critical care residential – "01", if critical care non-residential "02", Null if none
R.	SIC Code		Associated with Device—Null if not available
S.	Balancing Type (Gas Only)		LDC "L" or CSC "C" balancing
T.	Bill Cycle	Bill Cycle for POD ID	"NXX" – XX = bill cycle
U.	ESCO Service Start Date	ESCO Service Start Date	Start Date w/ ESCO at Installation- YYYYMMDD
V.	ESCO Service End Date	ESCO Service End Date	End Date w/ESCO at Installation – Pending drops will have an actual end date---YYYYMMDD, "99991231" for active service
W.	Unit of Measure		"KWH", "THM", "CFF"
X.	ICAP Year (Electric Only)	Year for Customer Peak Load	Example: "2013"
Y.	PoD ID's Peak Load Contribution (Electric Only)	Customer's Peak Load for ICAP	Peak Load Contribution (PLC) numeric decimal

Z.	Synthetic Profile ID (Electric Only)	Synthetic Profile for Service Class	Synthetic Profile ID (Electric Only) – examples: “32”, “33”, “37”
AA.	Transmission Distribution Loss Class (Electric Only)	Voltage Level	“Secondary”, “Primary”, “Sub-transmission” “Transmission” (Electric Only)
AB.	Electric Settlement	NYISO Settlement	“P” designates utilizes the profiles; “I” designates utilizes interval data
AC.	Electric Settlement	NYISO Settlement	Blank designates utilizes the profile; “X” designates utilizes interval data

8.9. Billing History

8.9.1. Billing History Record Retention

NYSEG/RG&E records will be retained according to Generally Accepted Accounting Practices/Financial Accounting Standards Board (GAAP/FASB) rules and guidelines as well as with applicable State and Federal Law. Billed history, which includes NYSEG/RG&E customer's identifier, type of service, and associated billed amount for each bill rendered, will be retained for six (6) years.

An ESCO/DC may request billed history on any of its service points or related accounts for the periods during which it served those service points. Billed history will be kept online for twenty-four (24) months. Billed history requested beyond twenty-four (24) months or two requests within a twelve (12) month period will be subject to an additional service charge.

8.9.2. Historical Usage Information

An ESCO/DC may request historical usage information for a customer account via EDI Transactions. NYSEG/RG&E will return 12 months (or less dependent upon the length of time the account has been in service) to the ESCO via EDI Transactions. Refer to Section 9 - Data Exchange for more information.

8.9.3. EDI Billing and Usage Data

After performing cycled meter readings, NYSEG/RG&E will provide the ESCO/DC with an EDI Transaction containing usage and other account data such as applicable billing determinants. This will be according to defined Service Classification and will occur on the same day that NYSEG/RG&E validates information. Generally, NYSEG/RG&E will read the meter and produce an EDI transaction within 24 hours of the meter reading. The standard type of information NYSEG/RG&E will provide to the ESCOs/DCs is described in the NY EDI Standards.

9. DATA EXCHANGE

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9.1. Objective

This section describes the policies associated with Electronic Data Interchange (EDI) and non-EDI transactions.

9.2. EDI Transactions

9.2.1. Overview

The purpose of this section is to discuss core and billing Electronic Data Interchange (EDI) transactions. EDI is a way businesses can communicate and electronically send information in a standardized format. All parties (utilities, ESCOs, DCs, or their agents) utilizing EDI for the same reason, use the same standard transactions. EDI transactions are used in the Retail Access Program to communicate and transmit information to and from ESCOs/DCs operating in NYSEG's/RG&E's territory. Specific transactions have been established uniformly throughout New York State through a collaborative effort with New York State Utilities, ESCOs, and the Public Service Commission (PSC).

9.2.2. EDI Handling Differences

NOTICE TO ESCOs

While the EDI transactions that NYSEG and RG&E use are the same, how those transactions are processed (e.g., file formatting, data that is accepted or rejected) by their respective systems may differ.

9.2.3. Core Transactions

9.2.3.1. Overview

ESCOs/DCs must be EDI-qualified for core, non-billing transactions to participate in the Retail Access Program within NYSEG's and RG&E's service territories. To accomplish this, ESCOs/DCs must successfully complete EDI testing (Phase 3) with NYSEG/RG&E. Core transactions are required for Dual Billing, with all ESCOs being required to offer Dual billing.

Core, non-billing EDI transactions that all parties involved in the Retail Access Program use include:

- EDI 814 transactions, which consists of customer enrollments, drops, reinstates, change, and history requests.
- EDI 867 transactions, which consists of historical usage and monthly usage reports.
- EDI 824 transactions, which consist of negative response transactions sent by NYSEG/RG&E or an ESCO.

9.2.3.2. EDI 814 - Enrollment Transaction

- An EDI 814 Enrollment transaction is processed, with a response generated as an Accept, Acknowledge, or Reject response transaction. To determine whether to accept the enrollment, the request is validated on customer POD ID number. EDI 814 Enrollment transactions for summary billed accounts must be enrolled as dual billing

9.2.3.3. EDI 814 - Drop Transaction

EDI 814 Drop transactions are sent to NYSEG/RG&E when:

- The customer notifies the ESCO that they no longer wish to be served by that ESCO.
- The customer notifies the ESCO that they are moving.
- The ESCO decides they no longer wish to serve the customer.

EDI 814 Drop transactions are sent to the ESCO when:

- A customer contacts the utility to return to regulated service.
- A customer notifies NYSEG/RG&E that they are moving.
- An ESCO requests an enrollment for an account that is currently being serviced by another ESCO.

EDI 814 Drop transactions received on summary billed accounts result in all premises of that utility type (gas or electric) to be dropped.

9.2.3.4. EDI 814 - Reinstate Transaction

An EDI 814 Reinstate transaction allows NYSEG/RG&E to reinstate a customer to an ESCO participating in their Retail Access Program following a prior drop request. This transaction may be sent up to the switch date. The transaction is sent when a customer who requested a drop from an ESCO subsequently changes their mind and wishes to remain with the incumbent ESCO. An EDI 814 Reinstate transaction may also be sent when an enrollment is received from a second ESCO, which causes a drop to be sent to the incumbent ESCO. The customer, however, informs NYSEG/RG&E that they do not wish to switch to the enrolling ESCO.

Note: This transaction may only be sent from NYSEG/RG&E to an ESCO. ESCOs do not send reinstate requests to NYSEG/RG&E. If this occurs, then the transaction is rejected.

9.2.3.5. EDI 814 - Change Transaction

An EDI 814 Change transaction is sent to an ESCO when data being changed by NYSEG/RG&E also needs to be communicated to the ESCO. Conversely, the ESCO sends EDI 814 Change transactions to NYSEG/RG&E when they are aware of any customer information that is to be communicated to NYSEG/RG&E.

Examples of data that may be exchanged include, but are not limited to:

- Bill presentment (Dual or Utility Consolidated Billing)
- ESCO account number
- Customer name and/or address change
- Customer phone number
- Customer name for mailing and/or mailing address
- Customer meter read cycle or bill cycle
- Bill Type (Bill Presentment)
- Special Processing Code (ex. life support)
- Meter location change, meter exchange, meter addition

9.2.3.6. EDI 814 - Request for History / EDI 867 - Historical Usage Transaction

The EDI 814 Request for History transaction allows an ESCO/DC to request historical usage information about a customer from NYSEG/RG&E. One request is sent per utility type (gas or electric). This may be a stand alone EDI 814 Request for History request, or a request accompanying an enrollment. NYSEG/RG&E provides a response transaction, which either accepts or rejects the request. If accepted, then NYSEG/RG&E sends an EDI 867 Historical Usage transaction to the ESCO. If the request is rejected, then NYSEG/RG&E sends an EDI 824 Negative Response transaction to the ESCO. A request may be rejected when there are validation errors, the customer has requested that NYSEG/RG&E block the provisioning of usage information, or an account number is invalid.

Note: An EDI 814 Request for History transaction may only be sent by an ESCO to NYSEG/RG&E.

NYSEG/RG&E sends an EDI 867 Historical Usage transaction to an ESCO in response to either an EDI 814 Request for History transaction, or a secondary request for history within an EDI 814 Enrollment transaction. RG&E sends history for a total of 12 months for the customer at the account being requested. If there are fewer than 12 months of history available, then the amount available is sent.

9.2.3.7. EDI 867 Monthly Usage Transaction

NYSEG/RG&E reads the customer's meters, calculates an estimated meter read, or obtains reads from a competitive meter provider. The customer's usage is then determined, with customer usage information sent to the ESCO via an EDI transaction.

The EDI 867 Monthly Usage transaction provides NYSEG/RG&E with a method for sending monthly customer usage information to the ESCO, which may be for billing. Monthly usage is automatically sent to the ESCO whenever NYSEG/RG&E validates usage for billing, or when NYSEG/RG&E cancels then re-bills usage for a customer.

If the ESCO has chosen the Utility Consolidated Billing option, then the transmission of an EDI 867 Monthly Usage transaction opens a "bill window" for an ESCO to transmit their billing information back to NYSEG/RG&E.

Note: The EDI 867 Monthly Usage transaction is sent only by NYSEG/RG&E to the ESCO and it opens a two-day billing window. For more information, refer to Section 9.2.4.

9.2.4. EDI Billing Transactions

9.2.4.1. Overview

All ESCOs must be qualified to offer dual billing. If the customer is receiving Dual bills, then NYSEG/RG&E and the ESCO bill the customer separately, with the customer receiving two bills.

EDI Billing transactions are used between NYSEG/RG&E and ESCOs who are using the Utility Consolidated Billing option.

Note: An ESCO cannot offer Utility Consolidated Billing unless they can demonstrate that they are EDI Billing Transaction compliant through a testing process with NYSEG/RG&E.

The ESCO calculates the billing charges for the customer. If the customer is receiving a Utility Consolidated Bill, then the ESCO transmits billing charges to NYSEG/RG&E for presentment on the Customer's Utility Consolidated Bill through an EDI transaction.

9.2.4.2. EDI 810 Invoice Transaction

Once NYSEG/RG&E sends an EDI 867 Monthly Usage transaction to the ESCO for a customer who is on Utility Consolidated Billing, a two-day “billing window” is opened. This “billing window” is the period of time that an ESCO has to transmit an EDI 810 Invoice transaction so that a Utility Consolidated Bill may be produced. If the EDI 810 Invoice information that the ESCO sends during the “billing window” is invalid, then the transaction is rejected. The ESCO may then attempt to correct the problem and re-submit the EDI 810 Invoice transaction as long as the “billing window” remains open.

When a customer receives a Utility Consolidated Bill, the ESCO transmits its charges to NYSEG/RG&E via an EDI transaction for presentment on the Utility Consolidated Bill. The EDI 810 Invoice transaction allows the ESCO to inform NYSEG/RG&E of the ESCO charges for presentment on the Utility Consolidated Bill. These charges may be sent either at the account or at the meter level. The EDI 810 Invoice transaction may also contain tax information, payments received directly by the ESCO, and budget balance information. NYSEG/RG&E processes the information contained on the EDI 810 Invoice transaction, formats, then prints a bill for the customer.

If the ESCO sends the EDI 810 Invoice transaction after the "billing window" closes for the month, then the transaction is rejected. In this situation, the ESCO has the right to either create their own supplemental bill to the customer, or re-submit the charges the next month when a new "billing window" is open. When this occurs, NYSEG/RG&E sends a bill to the customer with delivery charges only; this bill includes a message indicating that there were no energy supply charges.

9.2.4.3. EDI 820 Remittance Transaction

Under the Utility Consolidated Billing option, NYSEG/RG&E will present a single bill to the customer for both NYSEG/RG&E and ESCO charges. The customer is expected to remit payment for the full amount of the Utility Consolidated Bill directly to NYSEG/RG&E.

NYSEG/RGE sends an EDI 820 Remittance transaction is sent to the ESCO 20 days after the 810 is received from the ESCO. The EDI 820 Remittance transaction lists each customer account, along with the associated amount applied to that customer's balance. The EDI 820 Remittance transaction contains a tracer number that is linked to an ACH payment, which physically transfers the funds to the ESCO.

9.3. Non-EDI Transactions for ESCOs/DCs

Non-EDI transactions for ESCOs/DCs include:

- The Customer List File (see Section 8)
- Load Profiles (See Section 6)
- Credit Letters
- Special Read Requests (Section 8)
- Hourly usage information for interval metering customers
- Emails when EDI is not possible due to system constraints

A. CONTACT INFORMATION

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A.1. Objective

This section provides contact information at NYSEG, RG&E, and NYISO.

A.2 NYSEG/RG&E Retail Customer Service Organization

A.2.1. Description

The Retail Customer Service business segment provides services to Retail Access customers and ESCOs. Within Retail Customer Service:

- The Marketing & Sales Department deals with industrial, municipal, and larger commercial customers. For example: the Marketing & Sales Department works with a large customer who wishes to become an electric customer to obtain a completed Non-Residential Service Agreement (NRSA) and to arrange for the installation of an interval meter that is a requirement for initiating service. The Marketing & Sales Department also responds to calls from Retail Sales and Electric customers requesting service upgrades, reporting meter problems, requesting planned outages, requesting service shutoff when the customer is moving out of the service location, etc. For questions about ESCO bills and/or services, customers are referred to their ESCO.
- The Call Center and walk-in offices handle services to residential and small commercial customers for both Retail Sales customers and Electric customers. They respond to questions from customers about electric choice and provide the list of qualified ESCOs. For all customers, emergencies are reported by calling NYSEG's/RG&E's emergency number. These calls are given top priority, with a crew quickly dispatched to investigate every call of this type. For electric customers, the Call Center and walk-in offices arrange for service shutoff at the customer's request when a customer is moving, and transfer customers back to retail sales service as requested. For questions about ESCO bills and/or services, customers are referred to their ESCO.

- Support and services to ESCOs are handled by the Supplier Relations area. Each ESCO is assigned a Supplier Relations Lead Analyst as their primary point of contact. The Supplier Relations Lead Analyst deals with ESCOs on such issues as ESCO qualification, customer enrollment process, historical data, meter read data, and billing.

A.2.2. Retail Access Contacts

Contact	Position	Phone	E-Mail
Pete Foster	Supplier Relations Lead Analyst	(585) 771-4383	ptfoster@nyseg.com
Michele Ferraro	Supplier Relations Lead Analyst	(585) 724-8284	michele_ferraro@rge.com
Diane Neira	Supplier Relations Lead Analyst	(585) 484-6912	dmneira@nyseg.com

A.2.3. Supplier Liaison for Dispute Purposes

To contact the Supplier Liaison at both NYSEG and RG&E for dispute purposes, contact:

Contact	Position	Phone	E-Mail
Regina Hoffman	Supplier Relations Manager; Retail Access -Supplier Liaison	(585) 484-6404	RHoffman@nyseg.com

A.2.5. Emergency Numbers

RG&E	NYSEG
To report electricity interruptions/emergencies call: 1 (800) 743-1701	To report electricity interruptions/emergencies call: 1 (800) 572-1131

A.2.6. Additional Retail Access Contact Information

	RG&E Customer Contact and Resolution Center	NYSEG Call Center
Hours	Monday – Friday 7:00 a.m. – 7:00 p.m.	Monday – Friday 7:00 a.m. – 7:00 p.m.
Phone	1 (800) 743-2110	1 (800) 572-1111
E-mail Address	supplier_relations@rge.com	supplier_relations@rge.com
Address:	Rochester Gas & Electric 89 East Avenue Rochester, NY 14649-0001 Attn: Customer Contact and Resolution Center	NYSEG 18 Link Drive P. O. Box 5224 Binghamton, NY 13902-5224 Attn: Call Center

A.3. NYISO

Phone	(518) 356-6060
E-Mail	Market_Relations@nyiso.com
Web Site	http://www.nyiso.com

B. GLOSSARY OF TERMS

This section identifies supplier-related terms, along with their definitions.

Term	Definition
<i>Alternative Billing Arrangement</i>	Billing options, which allow a customer to receive a single/consolidated bill
<i>Ancillary Service Costs</i>	Fees all Load Serving Entities pay the New York Independent System Operator (NYISO) to help maintain the NYS main power grid.
<i>Ancillary Services</i>	Those services necessary to support the transmission of capacity and energy from generation resources to loads while maintaining reliable operation of the New York State transmission system in accordance with good utility practice. These services are described and provided for in the NYISO's Federal Energy Regulatory Commission (FERC) Open Access Transmission Tariff (OATT).
<i>Annual Period</i>	A 12-month period beginning with the month in which the customer first receives service under the applicable service classification. Each succeeding 12-month period constitutes another annual period.
<i>Annual System Capacity</i>	NYISO sets the annual New York State system peak after determining which one-hour period in a year had peak usage in the New York control area (NYCA). Both NYSEG's and RG&E's Annual System Capacity is set using the coincident load at the time of the NYCA system peak and adjusted for a growth factor.
<i>Arbitration</i>	A legal process, which takes place outside of courts and results in a final, binding decision similar to a court's judgment
<i>Assignment</i>	The transfer by one ESCO to another ESCO of its rights and responsibilities relating to provision of electric supply under a sales agreement.
<i>Balancing</i>	A process, which reconciles actual customer use against the amount of energy delivered. The difference between these two amounts is known as an imbalance. This is performed by the NYISO.
<i>Base load</i>	The portion of a customer's or a group of customers' load that does not vary seasonally or in response to variation in temperature.

Term	Definition
<i>Bill Processing Credit</i>	A per bill credit for the customer as a result of their election to receive a single/consolidated bill.
<i>Bill Ready</i>	A consolidated billing practice, which requires each non-billing party to calculate then send charges (after receiving customers' usage data), along with billing information and bill messages to the billing party. This information is sent via an EDI transaction in a form, which allows the transfer of data to the bill in a format the billing party selects.
<i>Billing Cycle</i>	The period for which a customer is billed for usage of electricity.
<i>Billing Date</i>	A prescheduled/arranged date for issuance of an invoice for provided utility services.
<i>Billing History</i>	A record of previously invoiced charges for each associated billing date.
<i>Billing Services Agreement (BSA)</i>	An agreement between NYSEG/RG&E and the ESCO stating the billing practices, procedures, and rights and responsibilities of billing and non-billing parties relating to issuance of consolidated bills to customers.
<i>Budget Billing</i>	A billing plan, which provides for level or uniform amounts due each billing period over a set number of period; typically 12 months. Budget billing is determined by dividing projected annual charges by the number of periods. Installment amounts may be adjusted during the period and may include reconciliations at the end of the budget period to account for differences between actual charges and installment amounts.
<i>Bundled Rate</i>	A consolidated rate that is billed to customers. This rate represents a combination of energy delivery and supply charges and credits.
<i>Business Day</i>	Monday through Friday, except holidays.
<i>Capacity Charge</i>	This is a demand charge (kW) to offset the cost of our equipment expenses such as transformers, wires and substations which are on standby and ready to meet the customer's installed load when necessary. The capacity charge is based on the amount of power required during the NYISO peak.

Term	Definition
<i>Code of Conduct</i>	A set of standards, which governs the relationship between NYSEG/RG&E and its unregulated affiliates in matters concerning electric and gas businesses.
<i>Combination Account</i>	A common account for both gas and electric service for the purpose of combined gas and electric billing by NYSEG/RG&E.
<i>Company</i>	New York State Electric & Gas Corporation or Rochester Gas and Electric Corporation, or any successor organization thereto.
<i>Consolidated Billing</i>	A billing option, which provides customers with a single bill. This bill combines charges from more than one service provider and is issued by NYSEG/RG&E providing delivery service (utility consolidated bill).
<i>Consumption Algorithm</i>	A mathematical formula used to calculate a customer's daily consumption based on a customer's historical base load and heat use per effective degree-day factors.
<i>Consumption Limits</i>	The maximum amount of current electric load eligible for the Retail Access Program. This maximum amount is expressed as gigawatt hours of aggregate customer energy consumption per year.
<i>Consumptive Meters (MV90)</i>	Meters which measure the total consumption for the bill period via electronic pulse.
<i>Critical Care Customer</i>	A customer who heats all or any portion of any building, including apartment houses, prisons, dormitories, nursing homes, hospitals, hotels and other buildings where persons may dwell on a permanent basis, solely with electricity.
<i>Critical Period</i>	A period of operational stress or impending potential stress that may impact the integrity of energy distribution system or a force majeure event.
<i>Day Ahead Market (DAM) Price</i>	Set by the NYISO, DAM prices are posted at 10:00 a.m. each day for the following day. For example: prices for April 8 are posted at 10:00 a.m. on April 7. DAM prices may be adjusted after the date has passed, even as much as several months or years later. For hourly pricing purposes, NYSEG and RG&E's current policy is to ignore any adjustments to DAM prices.

Term	Definition
<i>Delivery</i>	The distribution of electricity to an end-use customer.
Delivery Charge	What is billed by NYSEG/RGE to transport electricity over power lines. No matter which supply option is chosen, NYSEG/RGE will still deliver electricity.
<i>Delivery System</i>	A system consisting of poles or conduits, wires or cables, transformers, fixtures, and other accessory equipment for providing electric power at the premises of a retail customer.
Demand	The amount of electricity that is or could be immediately needed by a customer at any given point in time, based upon the customer's daily requirements, referred to as customer load. For consolidated billing, the term is used in the context of "billing period demand" for customer bills.
<i>Direct Customer (DC)</i>	An entity who purchases and schedules delivery of electricity for its own consumption and not for resale. A customer with a minimum peak connected load of 1 MW at a single service point qualifies for direct purchase and scheduling of electricity provided the customer complies with ISO requirements.
<i>Dispute Resolution Process</i>	The procedures described in the ISO Tariffs and the ISO Agreement that are used to resolve disputes between Market Participants and the NYISO involving services provided under the ISO Tariffs. This includes load reporting issues outside of the normal true-up schedule.
<i>Dual Billing</i>	A billing option, which provides for separate calculation of charges and presentation of bills to the customer by NYSEG/RG&E and ESCO.
<i>Economic Development Zone Rate (EDZ)</i>	The EDZ rate is a grandfathered, bundled rate that is available to customers who were Empire Zone-certified prior to 1/1/05. The Economic Development Zone (EDZ) rate program has a limited term of no more than ten years from the original date of New York State certification and remains effective as long as the certificate remains valid with New York State.

Term	Definition
<i>Empire Zone Rate (EZR)</i>	The EZR rate is a discounted delivery rate, which is available to customers who are Empire Zone-certified after 1/1/05. The Empire Zone (EZR) rate program has a limited term of no more than ten years from the original date of New York State certification and remains effective as long as the certificate remains valid with New York State.
<i>Economic Incentive Account</i>	A customer account with a special electric contract, incentive, or discounted rate.
<i>Electric Power Supply</i>	The electricity required to meet the customer's needs, including Energy, Energy Losses, UFE, Unforced Capacity (UCAP), UCAP Losses, and UCAP Reserves (including additional demand curve reserves required by NYISO).
<i>Electric Settlement</i>	A program that performs two functions. It calculates the Market Based Backout Credit (MBBC) and provides Energy Services Company's (ESCOs) hourly loads to the New York Independent System Operator (NYISO).
<i>Electric Supply Reconciliation (ESR) Charge or Credit</i>	The reconciliation of differences, if any, between the actual variable supply costs incurred and the amount embedded in rates. Any over-collection or under-collection will be returned or collected, respectively through the ESR.
<i>Electronic Data Interchange (EDI)</i>	The transfer of data (billing and consumption information) between ESCOs and the regulated utility in a structured electronic format that adheres to pre-determined standards.
<i>Eligible Customer</i>	Customers who are not taking service under a special contract or are not receiving an incentive or discounted rate which by its terms would preclude eligibility.
<i>Emergency</i>	Any abnormal system condition requiring immediate action to prevent loss of transmission facilities or generators, which can adversely affect the reliability of an electric system. It may also be an abnormal system condition, which threatens public safety or causes property damage. For example: wire down, burning/smoking, transformer burning/smoking, pole leaning/downed/on fire, limb on wire smoking/sparking/burning, building on fire, transformer cover off/exposed, lights flickering/dimmed/off.

Term	Definition
<i>Empire Zone</i>	Businesses may become "Empire Zone" (EZ) certified by the State of New York. Customers may be eligible to receive reduced electric (and gas) rates on all or a portion of their load.
<i>Energy</i>	A quantity of electricity that is bid, produced, purchased, consumed, sold, or transmitted over a period of time and measured in megawatt hours (mWh).
<i>Energy Imbalance Service (EIS)</i>	A service, which is provided by the NYISO when a difference occurs over a single hour between the scheduled and the actual delivery of energy (inc. losses and UFE) to a load located within a subzone.
<i>Energy Losses</i>	The unusable energy that results from the generation, transformation, transmission and distribution of Electric Power Supply to a customer's meter.
<i>Energy Service Company (ESCO)</i>	A person or corporation, generator, broker, marketer, aggregator or any other entity that sells electricity or gas to customers, using the transmission or distribution facilities of the utility. ESCOs are not regulated by the Public Service Commission.
<i>Federal Energy Regulatory Commission (FERC)</i>	An independent federal agency within the United States Department of Energy. Created in 1977, this agency, among other things, regulates interstate electric transmission rates.
<i>Fixed Price</i>	A price that remains the same, usually for a set period of time.
<i>Force Majeure</i>	A situation or unexpected and disruptive event that is beyond the control of buyer or seller which interferes with or precludes a party's ability to perform under a contract and is defined in the company's tariff. As a result, parties are liable for damages to the other. Most courts strictly construe a force majeure clause.
<i>Gross Receipts Tax (GRT)</i>	A credit that NYSEG/RG&E collects, which represents the difference between actual and tariffed revenues
<i>gWh</i>	An acronym for Gigawatthour. One gWh equals one billion watthours.

Term	Definition
<i>High-Low Parameters</i>	A predetermined range of energy consumption based on the retail customer's historical consumption used to validate meter reads.
<i>Home Energy Fair Practices Act (HEFPA)</i>	An act of legislation that was originally established in December 1981 as an emergency act and is now a New York State policy. HEFPA states that gas, electric, and steam services are to be provided to residential customers without unreasonable qualifications or lengthy delays to preserve the health and general welfare of residential customers as well as to consider the public's best interest.
<i>Hourly Metering</i>	Metering capable of recording a load's hourly demand and consumption data, time stamping that data. Used in the billing of mandatory hourly priced customers.
<i>Independent System Operator (ISO)</i>	An independent management organization, authorized by the Federal Energy Regulatory Commission, operating the bulk electric transmission system.
<i>Interruption</i>	Energy supply delivery failure resulting from a variety of reasons.
<i>Interval Meter</i>	A meter, which includes a data logger for collecting and storing usage data. Recorded data may then be transferred to a portable reading device, or may be electronically accessed through a data collection system.
<i>Interval Meter Data Program</i>	A metered data program whereby MV90 interval data will be used to build a dollar-specific value for calculating the commodity cost instead of average price that would otherwise be computed using load profiles.
<i>Interval Metered Data</i>	Usage data that has been collected and stored via an interval meter. For hourly priced customers the data is used for energy scheduling and balancing purposes as well as for reporting the ESCO's capacity obligations.
<i>Involuntary Discontinuance of Service</i>	An event where NYSEG/RG&E disqualifies an ESCO from providing service, or where the PSC deems an ESCO as ineligible to serve as an ESCO.

Term	Definition
<i>Involuntary Switch</i>	A process or situation where a customer's ESCO is changed from one provider to another (e.g., ESCO or utility without the customer's authorization). An involuntary switch that is not in accord with the "Discontinuance of Service" provision set forth in the tariff is referred to as <i>slamming</i> . Examples of involuntary switches include, but are not limited to, situations where a customer returns to NYSEG/RG&E service as a result of an ESCO's failure to deliver, the ESCO going out of business, or when the ESCO's participation in NYSEG's/RG&E Retail Access Program is terminated.
<i>ISO</i>	An acronym for Independent System Operator. It is responsible for reliably operating New York State's bulk power transmission system and supporting wholesale competition
<i>Installed Capacity (ICAP)</i>	The Installed Capacity requirement, established by the NYSRC, includes a margin of reserve in accordance with the Reliability Rules. The TO reports on a monthly basis the amount that the LSEs must purchase for the purpose of ensuring that sufficient Energy and Capacity are available to meet the Reliability Rules of the ISO.
<i>Kilowatt Hour (kWh)</i>	The amount of electrical energy actually used over time. For example, 10 100-watt lamps, when on for one hour, consume 1,000 watt-hours or 1 kilowatt-hour (kWh).
<i>Landlord Revert Program</i>	A program whereby the billing system automatically returns service to the landlord's name in the event one of their tenants request turn off service at their premise.
<i>Life Support Customer</i>	A customer or a resident of the customer's premises who suffers from a medical condition requiring utility service to operate a life-sustaining device, such as a respirator or a dialysis machine.
<i>Line Loss</i>	The amount of energy lost in a distribution system.
<i>Load</i>	A term referring to either a consumer of electric energy or the amount of electric energy (MWh) or demand (MW) consumed by certain consumers.

Term	Definition
<i>Load Balancing and Settlement</i>	<p>A reconciliation process, which NYISO performs to reconcile:</p> <ul style="list-style-type: none"> • The ESCO/DC's scheduled deliveries of electric power supply to serve their needs or the needs of their customers. • The ESCO's combined customer load or the DCs load on an hourly basis. The ESCO's load is the sum of end use consumption, T&D losses, and unaccounted for energy (UFE).
<i>Load Factor</i>	The ratio of the average consumption to maximum consumption for the same time period. Most commonly, the average annual daily consumption divided by the maximum daily consumption during a twelve- (12) month period.
<i>Load Profile</i>	Also known as load shape. Information on a customer's energy usage over a period of time, sometimes shown in a graph format and typically reflects 12 months of recorded data.
<i>Load Serving Entity (LSE)</i>	An entity that is responsible for and permitted to supply energy, capacity, and/or ancillary services to retail customers.
<i>Load Shape</i>	Also known as a load profile, a load shape is a reflection of a customer's energy use. It is defined as electric power consumption (kWh) measured in one-hour intervals. It is used in the balancing and settlement process to assess customer usage on an hourly basis.
<i>Local Distribution Company (LDC)</i>	The company whose primary function is to distribute energy supply procured by it or by ESCOs/DCs to retail energy users. LDCs also provide transportation service to retail end users as well as other services.
<i>Losses</i>	Loss of energy resulting from transporting power over the distribution system between points of receipt and points of delivery.
<i>Lost And Unaccounted For (LUAF)</i>	The difference between the quantity of energy available from all sources (purchased, transported, and locally produced) and the quantity accounted for by sales, deliveries or NYSEG/RG&E use. Lost and unaccounted for energy is primarily associated with leakage, metering inaccuracies, and theft.

Term	Definition
<i>Minimum Monthly Charge</i>	A charge which includes the cost of meter reading, billing, equipment and maintenance. This charge is part of the cost of providing service. It will appear on your bill whether or not you use any energy during the billing period.
<i>Month</i>	A period beginning at 8:00 a.m. Eastern Standard Time on the first day of the calendar month and ending at 8:00 a.m. Eastern Standard Time on the first day of the following calendar month.
<i>Multi-Retailer Model</i>	A retail access model, which involves the provision of electric or natural gas supply and of delivery service, provided separately to end use customers by two or more entities.
<i>MV90</i>	A device, which attaches to a meter and allows the meter to transmit consumption data on regular intervals via a phone line.
<i>New York Independent System Operator (NYISO)</i>	The function of the NYISO is to coordinate the physical supply of electricity throughout New York State and maintain reliability of the bulk power system.
<i>New York State Power Authority (NYPA)</i>	The largest state-owned power organization. The NYPA operates 17 generating facilities and more than 1,400 circuit-miles of transmission lines, providing customers with one of the lowest-cost electricity in New York State. Customers include government agencies, community-owned electric systems, rural electric cooperatives, job-producing companies, and private, non-profit utilities for resale under federal requirements.
<i>Non-Residential Applicant</i>	A non-residential applicant is a person, corporation or other entity requesting service from NYSEG/RG&E who is not a residential applicant as defined in the appropriate tariff.
<i>Notice of Termination</i>	A notice stating that NYSEG/RG&E may terminate the supply of electricity to a customer for the customer's nonpayment of bills rendered for NYSEG/RG&E service, or for a customer's failure to post a lawfully required deposit.

Term	Definition
<i>NYISO Market Services Tariff (MST)</i>	The ISO Market Administration and Control Area Services Tariff. Market Services are the services provided by the NYISO under the MST related to the ISO Administered Markets for Energy, Capacity and Ancillary Services.
<i>NYPA Transmission Adjustment Charge (NTAC)</i>	A charge assessed by the New York Independent System Operator (NYISO) for the entire load that uses the transmission system in the state.
<i>New York Control Area - 'NYCA'</i>	The Control Area that is under the control of the NYISO which includes transmission facilities listed in the ISO/TO Agreement.
<i>Operating Agreement (OA)</i>	An executed agreement containing the terms and conditions under which an ESCO/DC operates.
<i>Operating Capacity</i>	Capacity that is readily converted to energy, is measured in mW, and is available on a firm, hourly basis to meet the energy requirements of a given load.
<i>Operating Reserve</i>	The amount of generation that may be used to offset a loss of supply to maintain a power system.
<i>Peak Day</i>	The day in which the highest volume of energy is delivered into the utility's system to meet usage demands.
<i>Peak Hour</i>	The hour month in which the highest volume of energy is delivered into the NYISO's system in order to supply usage demands.
<i>Power Exchange</i>	A commercial entity meeting certain requirements of the ISO who facilitate the purchase and/or sale of electric energy, capacity, and/or ancillary services.
<i>Public Service Commission (PSC)</i>	The state regulatory agency that provides oversight, policy guidance and direction to public utilities.

Term	Definition
<i>Purchase of Receivables (POR)</i>	A program, whereby NYSEG/RG&E will purchase accounts receivable at a discount and without recourse for commodity sales by ESCOs who provide commodity service in the designated service territory. For ESCOs participate in NYSEG/RG&E's Utility-Consolidated Billing option, NYSEG/RG&E will also purchase those ESCOs' arrearages at a discount and without recourse.
<i>Qualification</i>	The process by which an ESCO/DC receives approval to serve retail customers under the terms of NYSEG's/RG&E's Schedule for Electric Distribution Service and the Operating Agreement.
<i>Rate</i>	An amount agreed upon between the utility and Public Service Commission (PSC) by which the utility bills customers for an approved period of time. Rates differ from one service classification to another.
<i>Rate Ready</i>	A billing practice in which the non-billing party provides information to the billing party sufficient for the billing party to calculate the non-billing party's charges. (NYSEG/RGE are not rate ready.)
<i>Real Time Pricing (RTP)</i>	An Electricity Supply Pricing Option for large electricity consumers whereby the customer can be billed based on the Independent System Operator (ISO) day ahead hourly price of electricity.
<i>Retail Access</i>	A service whereby an ESCO/DC supplies energy while NYSEG/RG&E provides delivery service for that supply.
<i>Revert</i>	A process that the billing system automatically performs on tenant turn off (TOFF) accounts to return service to the landlord's name.
<i>Sales Service</i>	NYSEG's/RG&E's bundled service of both delivery and supply.
<i>Segment Load Data</i>	The electric power consumption kilowatt-hours (kWh), as measured in one-hour intervals, over a 365-day period.
<i>Service Application</i>	A residential or non-residential applicant requesting service in NYSEG/RG&E's franchise territory for a new construction location where previous service did not exist, or there is a request for an upgrade of existing service, or where a meter has been inactive for a period of two years or more.

Term	Definition
<i>Service Classification (SC)</i>	Utility pricing for retail service is established by tariffs that are filed and approved by the Public Service Commission. The tariff establishes a range of service classifications (SC's) based on customer size and other circumstances.
<i>Single Bill</i>	One bill containing both NYSEG/RG&E charges and ESCO/DC supply charges for electric Retail Access service.
<i>Slamming</i>	A switch, or attempted switch, of a customer from one provider to another without the customer's authorization.
<i>Special Needs Customer</i>	A customer, as defined by the Home Energy Fair Practices Act (HEFPA), who has documented medical conditions or who is elderly, blind, or physically challenged. As a result of HEFPA, these customers are given special protections with regards to energy service and life-threatening situations.
<i>Supplier</i>	An unregulated business enterprise who supplies electricity directly to NYSEG/RG&E customers within NYSEG/RG&E's energy service territory. Also known as an Energy Services Company (ESCO).
<i>Supplier Adjustment Charge</i>	This is a charge used to true-up the forecasted supply prices for energy, unaccounted for energy, and various ancillary charges. This is a three month true-up.
<i>Supply Charge</i>	What is billed by NYSEG/RGE for the electricity purchased in the wholesale market by NYSEG/RG&E or an energy services company (ESCO, also known as a supplier).
<i>Switch</i>	Transfer of a customer from one ESCO to another, from NYSEG/RG&E to an ESCO, or from an ESCO to NYSEG/RG&E.
<i>System Constraints</i>	The percentage of energy that must be delivered to ensure the safety and reliability of the physical system.
<i>Tariff</i>	The general terms, conditions and rates under which NYSEG/RG&E provides service to its customers. The tariff is reviewed and approved by the New York State Public Service Commission.

Term	Definition
<i>Time of Use (TOU) Customers</i>	A class of NYSEG/RG&E residential customers (such as farms, churches, and large single family homes) who are large energy users. For RGE customer's annual consumption must exceed 24,750 kWh to be eligible. For NYSEG, it is 35,000 kWh.
<i>Transition Charge</i>	Also known as the Non-Bypassable Charge (NBC). It is a charge that reflects the costs of making the energy industry more competitive and includes associated credits and/or charges. The majority of this charge represents the difference between the wholesale price of electricity and the price of NYSEG's mandated long-term electric contracts. This is a variable charge per kilowatt hour billed to all customers.
<i>Unaccounted For Energy (UFE)</i>	The difference between the amount of electricity NYISO metering states we used and the amount that our metering grossed up for losses states we used.
<i>Unforced Capacity (UCAP)</i>	The total wattage of all generators that actually deliver power to serve a given service or control area. UCAP may be determined through a derating process, which corrects for loss of capacity due to high air temperatures (which may reduce capacity of combustion turbines), past failure probabilities for specific generators, or other means.
<i>Unforced Capacity Losses (UCAP Losses)</i>	The unusable energy and associated capacity that results from the generation, transformation, transmission and distribution of energy to meet peak load.
<i>Unforced Capacity Reserves (UCAP Reserves)</i>	Power supply resources (maximum realizable generator capabilities adjusted for forced outage rates, also may include special case resources) in excess of the system peak load requirement by the NYISO. The UCAP Reserves amount is set annually by the New York State Reliability Council (NYSRC) or the NYISO.
<i>Uniform Business Practices (UBP)</i>	An effort on the part of the Public Service Commission (PSC) that requires utilities and ESCOs to use the same set of Retail Access policies and procedures.
<i>Uniform System of Accounts (USOA)</i>	A set of standards that Electric Public Utilities & Licensees, Natural Gas, and Oil Pipeline companies within FERC jurisdiction must follow when maintaining financial records. The USOA provides basic account descriptions, instructions, and accounting definitions that are useful in understanding the information reported in the Annual Report Form.

Term	Definition
<i>Variable Price</i>	A price that fluctuates depending on the wholesale price of electricity.
<i>Voluntary Discontinuance of Service</i>	The choice an ESCO/DC makes to discontinue service to customers in NYSEG's/RG&E's service territory
<i>Voluntary Switch</i>	A process or situation where a customer's ESCO is changed from one provider to another with the customer's direct authorization.
<i>Wholesale Market</i>	The market that provides for the purchase of bulk electric power, ancillary services, and interstate transmission by LSEs.