



North American Energy Standards Board

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NAESB RETAIL FINAL ACTION Ratified February 8, 2008
For Quadrant: Retail Electric and Retail Gas Quadrants

Requesters: Joint REQ/RGQ BPS
Request No.: 2007 Retail Annual Plan Item No. 5
Request Title: Customer Information

1. RECOMMENDED ACTION:

- Accept as requested
- Accept as modified below
- Decline

EFFECT OF EC VOTE TO ACCEPT RECOMMENDED ACTION:

- Change to Existing Practice
- Status Quo

2. TYPE OF DEVELOPMENT/MAINTENANCE

Per Request:

- Initiation
- Modification
- Interpretation
- Withdrawal

- Principle
- Definition
- Business Practice Standard
- Document
- Data Element
- Code Value
- X12 Implementation Guide
- Business Process Documentation

Per Recommendation:

- Initiation
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- Principle
- Definition
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3. RECOMMENDATION

SUMMARY:

The Joint Retail Electric and Retail Gas Quadrants' Business Practices Subcommittees submit this Recommendation for REQ/RGQ 2007 Annual Plan Item No. 5 – Customer Information Model Business Practices. These Model Business Practices detail the process for exchanging Customer Information between Market Participants in competitive electric and natural gas markets where Suppliers sell electricity and natural gas to Customers. This Recommendation modifies existing Model Business Practices as the result of further review by the Joint REQ/RGQ Business Practices Subcommittees due to issues raised by the Joint REQ/RGQ Information Requirements and Technical Electronic Implementation Subcommittees. The modifications are shown in tracking format. [Note: Final Actions do not show tracking format.] Some minor modifications were also made to the existing Models in RXQ.8.4.1 and RXQ.8.4.2. However, tracking was not available. Finally, a new Model was added as RXQ.8.4.3 – Synchronization List Process Flow Diagram.

RECOMMENDED STANDARDS:



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CUSTOMER INFORMATION

Tab 1 -Executive Summary

The focus of these Model Business Practices is the process for exchanging Customer Information between Market Participants in competitive electric and natural gas markets where Suppliers sell electricity and natural gas to Customers. The Supplier provides the energy by purchasing or producing it and arranges for its delivery by the Distribution Company to the Customer.

Competitive electric and natural gas markets rely upon the accurate and timely dissemination of Customer Information. These Model Business Practices describe the implementation of Customer-specific Information Requests, Mass Customer Lists, and Synchronization Lists.

Model Business Practices are included to address the following topics related to the release of Customer Information:

- Solicitation, acquisition and retention of Customer authorization by a Market Participant seeking release of Customer Information;
- Request for Customer Information regarding a specific account;
- A Mass Customer List that provides Customer Information for a group(s) of Customers as defined by the Applicable Regulatory Authority;
- Unauthorized release of Customer Information, and;
- Synchronization Lists to coordinate the Customer records of Market Participants.

These Model Business Practices are not applicable in a Registration Agent market.

Tab 2 -Version Notes

(Insert initial publication date)

Tab 3 –Introduction

The North American Energy Standards Board (NAESB) is a voluntary non-profit organization comprised of members from all aspects of the natural gas and electric industries. Within NAESB, the Retail Electric Quadrant (REQ) and the Retail Gas Quadrant (RGQ) focus on issues impacting the retail sale of energy to end-use customers. REQ / RGQ Model Business Practices are intended to provide guidance to Distribution Companies, Suppliers, and other Market Participants involved in providing competitive energy service to end-use Customers. The focus of these Model Business Practices is the process for exchanging Customer Information between Market Participants in competitive electric and natural gas markets.



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These Model Business Practices are voluntary and do not address policy issues that are the subject of state legislation or regulatory decisions. These Model Business Practices have been adopted with the realization that as the industry evolves, additional and amended Model Business Practices may be necessary. Any industry participant seeking additional or amended Model Business Practices (including principles, definitions, data elements, process descriptions, and technical implementation instructions) should submit a request to the NAESB office, detailing the change, so that the appropriate process may take place to amend the Model Business Practice.

Tab 4 -Business Processes and Practices

RXQ.8 Overview

RXQ.8.1 Principles

- RXQ.8.1.1 The method used by a Market Participant to acquire Customer Information should be efficient to minimize the time and effort required to take such action.
- RXQ.8.1.2 The sharing and use of Customer Information should be consistent with the requirements set forth by the Applicable Regulatory Authority.
- RXQ.8.1.3 The method by which Customers authorize access to their Customer Information should minimize the time and effort required to take such action.

RXQ.8.2 Definitions

RXQ.8.2A Business Definitions

- RXQ.0.2.xx **Customer Information Set:** Customer-specific identifiers and usage data provided by a Distribution Company (or other Market Participant responsible for the retention and maintenance of individual Customer data in a given Distribution Company's service territory) in response to a Customer- specific Information Request from a Supplier or other Market Participant.
- RXQ.0.2.xx **Customer-specific Information Request:** A transaction submitted by a Supplier or other Market Participant to the Distribution Company (or other Market Participant responsible for the retention and maintenance of individual Customer data in a given Distribution Company's service territory) to obtain the Customer Information Set for the purposes authorized by the Applicable Regulatory Authority.



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RXQ.0.2.xx **Mass Customer List:** A listing of Customer-specific data for certain Customers within a Distribution Company's service territory made available upon request to Suppliers and other Market Participants, as authorized and specified by the Applicable Regulatory Authority.

RXQ.0.2.xx **Synchronization List:** A listing of Customer-specific data for the Customers enrolled with a Supplier made available to the Supplier and other associated Market Participants, as authorized by the Applicable Regulatory Authority, for the purpose of coordinating the Customer records of Market Participants.

RXQ.8.2B Technical Definitions

RXQ.8.2.1t **Historical Interval Usage:** Usage provided in interval increments.

RXQ.8.2.2t **Historical Summarized Usage:** Usage provided in summary Format, including interval, non-interval, or unmetered.

RXQ.8.2.3t **Historical Usage Loop:** Enables repeating of information by Meter, time, unit of measure, etc.

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RXQ.8.3 Model Business Practices

RXQ.8.3.1 Customer-specific Information Requests

- RXQ.8.3.1.1 Before Market Participants request Customer Information, they should obtain Customer authorization for its release and should retain such authorization for a minimum of two (2) years.
- RXQ.8.3.1.2 The methods used by Market Participants to solicit, acquire and retain Customer authorizations should conform to all requirements set forth by the Applicable Regulatory Authority. Market Participants should take the necessary steps to prevent the dissemination of Customer Information to unauthorized persons.
- RXQ.8.3.1.3 Upon request, Market Participants should provide proof of Customer authorization to the party releasing the Customer Information or the Applicable Regulatory Authority within five (5) business days after receipt of the request.
- RXQ.8.3.1.4 Market Participants should submit a Customer-specific Information Request via Uniform Electronic Transaction and receive the Customer Information Set via Uniform Electronic Transaction.
- RXQ.8.3.1.5 A Customer-specific Information Request should contain the Distribution Company account number to enable the receiving Market Participant to confirm the identity of the Customer. In addition, one or more of the following elements may also be required:
- Customer name on the account;
 - five digit zip code of service address, or;
 - other elements as determined by the Applicable Regulatory Authority.
- RXQ.8.3.1.6 If for any reason the receiving Market Participant cannot complete the processing of the request, the receiving Market Participant should send a notice of rejection stating the reason for the rejection to the requesting Market Participant via the appropriate Uniform Electronic Transaction within three (3) Business Days.
- RXQ.8.3.1.7 The receiving Market Participant should process a Customer-specific Information Request that has not been rejected and should transmit the Customer Information Set to the requesting Market Participant within three (3) Business Days after receipt of the request.



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RXQ.8.3.1.8 The Customer Information Set should include the data elements found in RXQ.8.6. The data elements may consist of the following:

- Distribution Company account number or Service Delivery Point identifier;
- Customer name;
- Service address;
- Number of Service Delivery Points;
- Electric or Gas account;
- Meter reading cycle;
- Billing cycle;
- Wholesale delivery point(s);
- Load profile assignment;
- Capacity obligation or contribution;
- Transmission obligation or contribution, and;
- Most recent individual 12 months of historical usage data for the Customer or premise which may include:
 - Usage start date (and time if an interval meter)
 - Usage end date (and time if an interval meter)
 - Meter number
 - Meter type
 - Number of meter dials
 - Meter role
 - Distribution Company Rate Code
 - Unit of measure
 - Total energy delivered during the period (non interval meters only)
 - Non-coincident peak demand occurring during the period (e.g., kW, kVA, therms)
 - Total monthly usage for all metered Service Delivery Points
 - Total monthly usage for all unmetered Service Delivery Points.

RXQ.8.3.1.9 The Customer Information Set should contain 12 months of historical usage data grouped in the Uniform Electronic Transaction by meter and unit of measure (e.g., 12 months of kW followed by 12 months of kWh for the same meter, followed by the next meter, if applicable).



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RXQ.8.3.1.10 The Uniform Electronic Transaction containing the Customer Information Set should be organized in separate sections for interval metering, non-interval metering, and unmetered energy services, as applicable, with each section providing a summed annual total by unit of measure, as appropriate, for all metered or unmetered services in the section, followed by the monthly details for the individual metered or unmetered services in that section.

RXQ.8.3.1.11 Where separate additive and subtractive meters (e.g., Customer generates electrical energy and provides it to the Distribution Company in addition to receiving electrical energy from the Distribution Company) exist on a Customer's account, the Uniform Electronic Transaction containing the Customer Information Set should provide a summed total by month and year of both additive and subtractive usage.

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RXQ.8.3.2 Mass Customer List

RXQ.8.3.2.1 A Mass Customer List should be provided to Market Participants as authorized and specified by the Applicable Regulatory Authority.

RXQ.8.3.2.2 A Mass Customer List should be provided to the Market Participant via Uniform Electronic Transaction.

RXQ.8.3.2.3 A Mass Customer List should include the data elements found in RXQ.8.6. The data elements may consist of the following:

- Customer name;
- Service address;
- Billing/mailling address;
- Distribution Company account number or Service Delivery; Point identifier;
- Service Delivery Point(s);
- Meter number;
- Meter type;
- Meter reading cycle;
- Distribution Company Rate Code;
- Load profile assignment; and,
- Most recent individual 12 months of historical energy usage and demand information for the Customer or premise.

RXQ.8.3.2.4 A Mass Customer List should be updated at regular intervals as specified by the Applicable Regulatory Authority, and Market Participants should use only the most recent Mass Customer List.

RXQ.8.3.2.5 Providers of Mass Customer Lists should notify affected Customers in writing that a Mass Customer List will be provided to Market Participants and explain the Customer's options for exclusion or inclusion, as specified by the Applicable Regulatory Authority. This notification should be provided in a timely manner prior to updating the Mass Customer List.

RXQ.8.3.2.6 The Mass Customer List notification to Customers should, at a minimum, include the following:

- The purpose of the Mass Customer List;
- The Customer Information included on the Mass Customer List;
- The methods by which Customers may elect to exclude or include their Customer Information found on the Mass Customer List as specified by the Applicable Regulatory Authority, and;



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- The methods by which Customers may change their election to exclude or include their Customer Information found on the Mass Customer List.

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RXQ.8.3.3 Synchronization List

- RXQ.8.3.3.1 The Distribution Company should compile a Synchronization List for accounts served by a Supplier when any of the following conditions exist:
- The Distribution Company is required by the Applicable Regulatory Authority to make Synchronization Lists available to Suppliers;
 - The Distribution Company requires each Supplier to periodically review its Synchronization List;
 - The Distribution Company is willing to make Synchronization Lists available for all Suppliers and voluntarily produces them on a periodic basis, or;
 - The Distribution Company is willing to make a Synchronization List available to a Supplier upon request.
- RXQ.8.3.3.2 The Distribution Company should make the Synchronization List available via Uniform Electronic Transaction within the required timeframe.
- RXQ.8.3.3.3 A Synchronization List should include the data elements found in RXQ.8.6. The data elements may consist of the following:
- Distribution Company account number or Service Delivery Point identifier;
 - Customer name;
 - Service address;
 - Billing/Mailing address;
 - Supplier account number (if provided by Supplier);
 - Enrollment Effective Date;
 - Drop Effective Date (if applicable);
 - Meter reading cycle;
 - Distribution Company Rate Code;
 - Supplier Rate Code, and;
 - Load profile assignment (if applicable).
- RXQ.8.3.3.4 After acquiring a Synchronization List, a Supplier should review it for discrepancies and should work with the Distribution Company to resolve any discrepancies within the required timeframe.

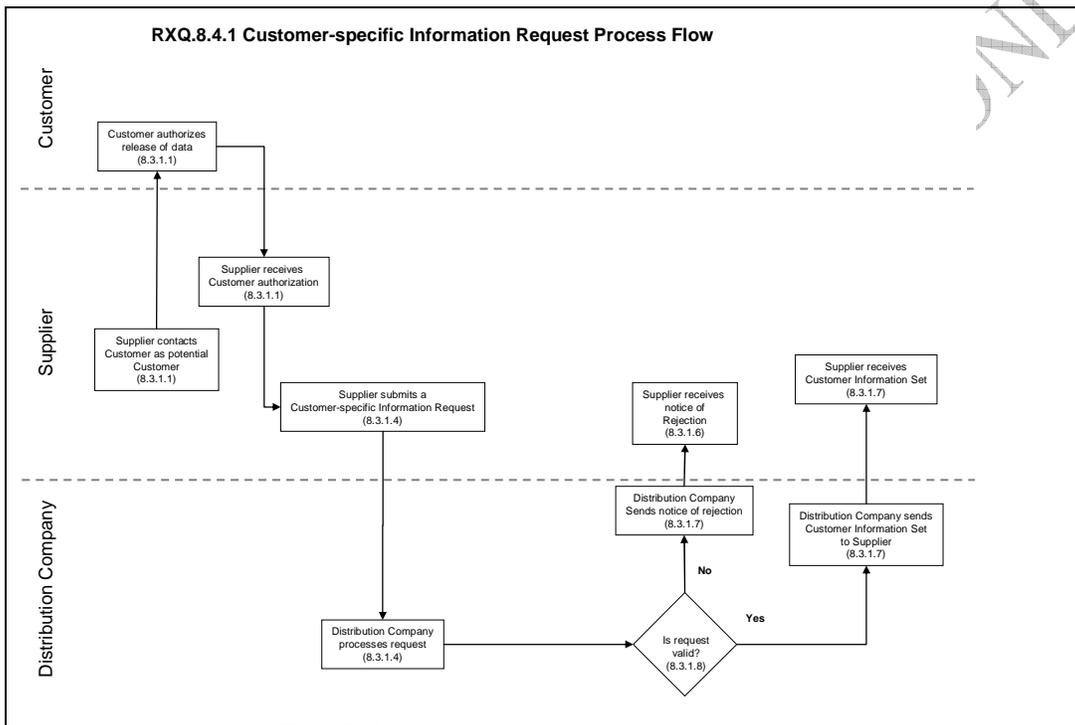


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RXQ.8.4 Models

RXQ.8.4.1 Customer-specific Information Request Process Flow

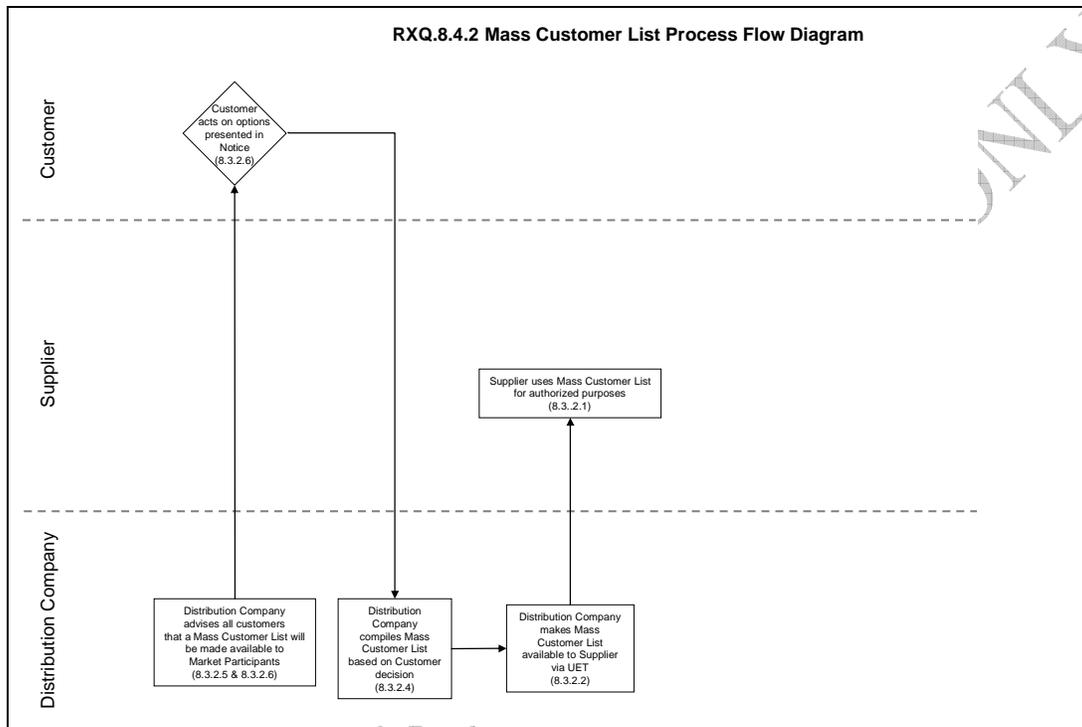




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RXQ.8.4.2 Mass Customer List Process Flow



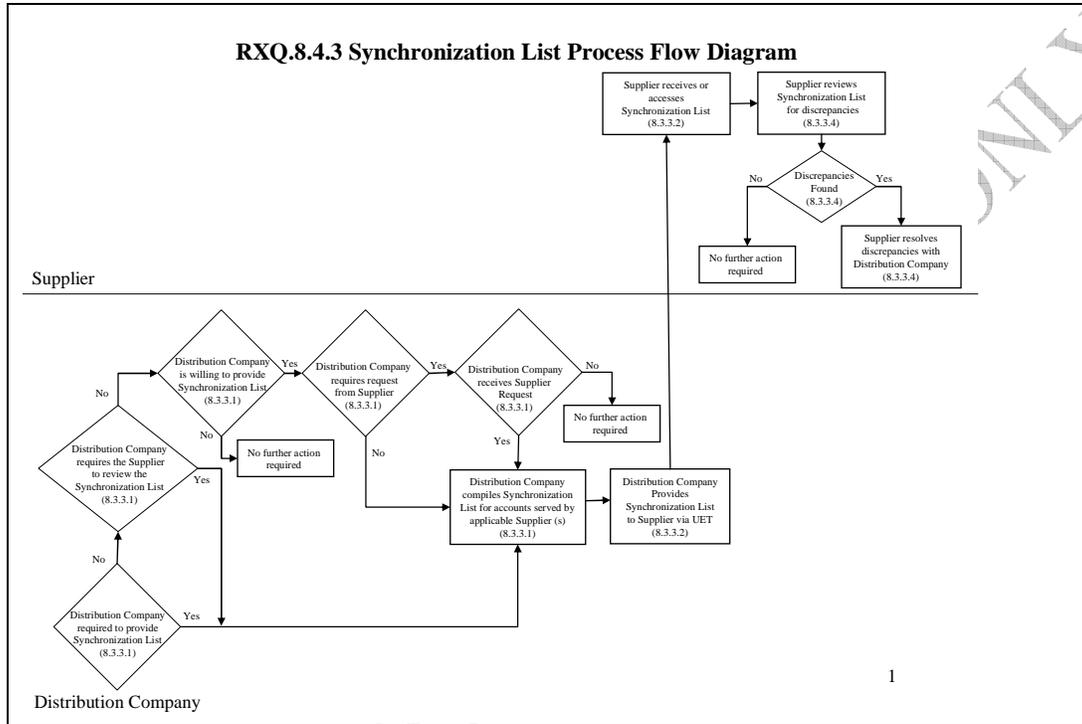
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RXQ.8.4.3 Synchronization List Process Flow



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