

# PROCESSING DIRECT ACCESS SERVICE REQUESTS (DASRs)

## Overview

This chapter discusses the processing cycle associated with Direct Access Service Requests (DASRs) and the establishment of Electric ESP services to include: DA enrollment, cancellation of DASRs, DA service termination, and DA account maintenance. The chapter also describes how DASRs are prioritized for processing once received by PG&E and when DA service will commence after a setup DASR has been accepted.

## *Definition of Terms*

Direct Access Service Requests (DASRs) are the electronic records used to initiate, update and cancel Direct Access service options between Electric ESPs and end-use customers. Electric ESPs are authorized by end-use customers to submit DASRs for service accounts that desire to switch to DA, change Electric ESPs, cancel DA, etc. An approved DASR will become a part of the ESP Service Agreement and will be used to define the services that PG&E will be providing to the customer.

Customers with more than one account with PG&E at the same premises may choose DA or full service for each separate account. However, a customer may not partition the load at a single meter or on a single account with multiple meters.

In order to establish DA service for end-use customers, Electric ESPs must submit DASRs, which provide detailed information about the service requirements for a given customer. An end-use customer may not directly submit a DASR to PG&E unless that customer has agreed to act as an Electric ESP on its own behalf. The Electric ESP must submit all DASR information electronically through DES using the protocol discussed previously within the Electronic Data Exchange section of Chapter 2: Direct Access Setup.

TRANSACTION #	COMMUNICATION FLOW	DESCRIPTION OF TRANSACTION
1	(ELECTRIC ESP TO UDC)	setup/establish direct access with customer
2	(ELECTRIC ESP TO UDC)	discontinue direct access with customer
3	(UDC TO ELECTRIC ESP)	acknowledge success of direct access request
4	(UDC TO ELECTRIC ESP)	acknowledge failure of direct access request
5	(UDC TO ELECTRIC ESP)	acknowledge actual switch of service provider
6	(ELECTRIC ESP TO UDC)	acknowledge receipt of switch notification
7	(UDC TO ELECTRIC ESP)	notify of shutoff or turn-on of service
8	(ELECTRIC ESP TO UDC) OR (UDC TO SP)	account maintenance (i.e., customer rate schedule change)

3.1 - FLOW OF DASR TRANSACTION INFORMATION

## Prerequisites

Prior to obtaining customer information and submitting DASRs, the Electric ESP must fulfill the following:

- Register with the CPUC if it intends to serve small customers.
- Complete, execute, and submit the ESP Service Agreement and ESP Credit Application (See Chapter 1: Electric ESP Direct Access Preliminary Procedures).
- Complete, execute, and submit the Consolidated Billing Options Worksheet if planning to offer consolidated billing options.
- Complete, execute, and submit the EDI Trading Partner Agreement and EDI Setup Form if planning to offer Consolidated ESP billing. (See Chapter 1: Electric ESP Direct Access Preliminary Procedures).
- Obtain credit approval from PG&E if planning to offer Consolidated ESP billing. If credit is not approved, PG&E will default billing option to Separate billing. (See Chapter 1)

- Prepare information systems setup for electronic data exchange. (See Chapter 2)
- Confirm the viability and accuracy of information transferred to PG&E by performing data exchange testing in accordance with PG&E requirements. (See Chapter 2)
- Meet the requirements of CPUC Code Section 365(b)(2) (renewable supplier status) if the DASR indicates that the Customer and Electric ESP claim the status afforded by that code section. DASRs in which the Electric ESP and the Customer claim the status afforded by Section 365(b)(2) will be given priority in the processing of the DASR in the event of backlog.

Additionally, Electric ESP customers who wish to obtain DA services are subject to the following requirements and conditions:

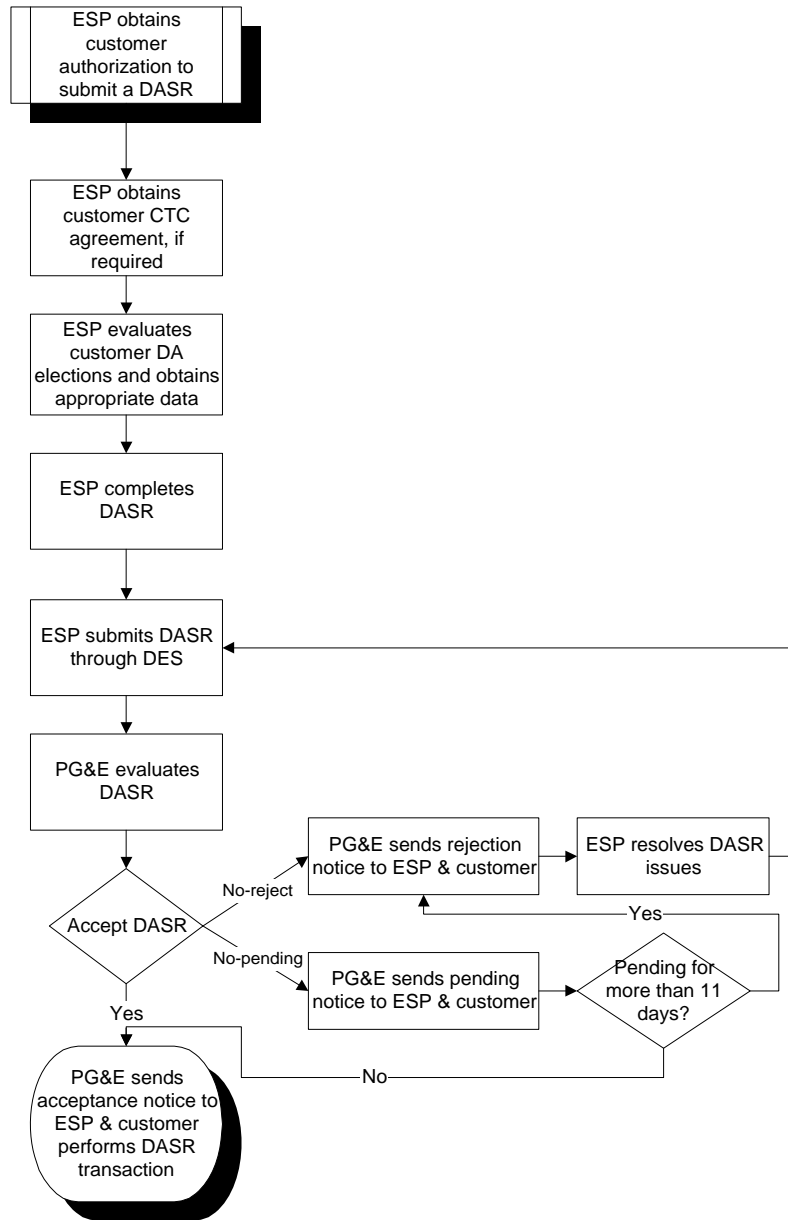
- A customer must have a service account number assigned by PG&E before the customer may authorize an Electric ESP to submit a DASR on its behalf. If the customer is new to the service territory or is moving to a different physical location within the service territory, the customer must first establish an account with PG&E and receive an account number. This account number will be used for the submission of the initial DASRs.

## Checklist of key steps

#	STEP
1.	Electric ESP obtains customer authorization to submit a DASR on their behalf.
2.	Electric ESP obtains Customer CTC Agreement, if required.
3.	Electric ESP determines DASR transaction and obtains customer information required to complete DASR.
4.	Electric ESP completes DASR information.
5.	Electric ESP submits DASR to PG&E through DES.
6.	PG&E processes DASR.
7.	PG&E sends a confirmation, rejection, or pending notification to Electric ESP within two business days.

## Processing DASRs Illustrated

The diagram below depicts the primary procedures related to processing DASRs.



# Procedures

This section provides a detailed discussion of the process steps outlined within the Checklist of Key Steps.

## ***1. Electric ESP obtains customer authorization to submit a DASR on its behalf***

An Electric ESP must receive authorization from the end-use customer in order to submit a DASR on its behalf. The customer can authorize any of the available DASR transactions such as DA setup, DA termination, and switch of Electric ESP.

## ***2. Electric ESP obtains customer CTC Agreement, if required***

As a condition of receiving DA service, DA customers will be responsible for paying for all Competition Transition Charges (CTC) and other non-bypassable charges authorized by the CPUC for the UDC to recover from customers in accordance with state law. DA customers are required to confirm this responsibility in writing provided to the Electric ESP, unless the customer is exempt from the requirement to provide such a confirmation in writing pursuant to Public Utilities Code Section 370. Where the customer disputes its obligations to pay CTC for a particular account, the customer may condition its agreement on resolution of the dispute, provided that the customer has formally requested the CPUC to grant such relief. However, the existence of such a dispute does not relieve the customer from the obligation of paying CTC while the dispute is pending. PG&E will continue to bill the customer (either directly or indirectly through its Electric ESP, depending on the billing option selected) for such charges. The customer must pay all charges, but may pay any amounts in disputes in accordance with Rule 10, pending resolution of the dispute.

## ***3. Electric ESP evaluates customer DA elections and obtains customer information required to complete DASR***

Electric ESPs can designate different types of transactions on a given DASR. The table below lists the transactions, which the Electric ESP can initiate on behalf of an end-use customer. The table also identifies key customer information that the Electric ESP will need to obtain depending on the type of transaction. In addition to the customer information outlined below, there are additional field requirements for each of the transactions. These requirements are available through the DES Web site at (see Information Websites at the end of Chapter 1 in this handbook).

The designations correspond to those specified in the DASR transaction descriptions.

TRANSACTION #	DESCRIPTION OF TRANSACTION	REQUIRED CUSTOMER INFORMATION
1	SETUP/ESTABLISH DIRECT ACCESS WITH CUSTOMER	<ul style="list-style-type: none"> <li>• Customer Name</li> <li>• Service Account Address and current service Zip</li> <li>• UDC Customer Account Number</li> <li>• Service Relationship Provided</li> <li>• Provider (Electric ESP, UTC)</li> <li>• Commodity (i.e. electric, gas)</li> <li>• Billing Option (i.e. UDC-consolidated, Consolidated ESP, dual)</li> <li>• Renewable Energy Provider Requested</li> <li>• Life Support Customer status*</li> </ul>
2	DISCONTINUE DIRECT ACCESS WITH CUSTOMER	<ul style="list-style-type: none"> <li>• UDC Customer Account Number</li> <li>• Service Relationship Energy Provided (i.e. electric, gas)</li> <li>• Customer Name</li> <li>• Service Account Address and current service Zip</li> </ul>
6	ACKNOWLEDGE RECEIPT OF SWITCH NOTIFICATION	<ul style="list-style-type: none"> <li>• Provide information contained in the acknowledgment of actual switch of service provider</li> </ul>
10	ACCOUNT MAINTENANCE (I.E., CUSTOMER RATE SCHEDULE CHANGE)	<ul style="list-style-type: none"> <li>• UDC Customer Account Number</li> <li>• Service Relationship Energy Provided (i.e. electric, gas)</li> <li>• Customer Name</li> <li>• Service Account Address</li> <li>• Account information the customer wants to change</li> </ul>
11	ACCOUNT UPDATE (I.E. METERING RELATIONSHIPS, BILLING OPTIONS)	<ul style="list-style-type: none"> <li>• Same as #10, Account Maintenance, above</li> </ul>

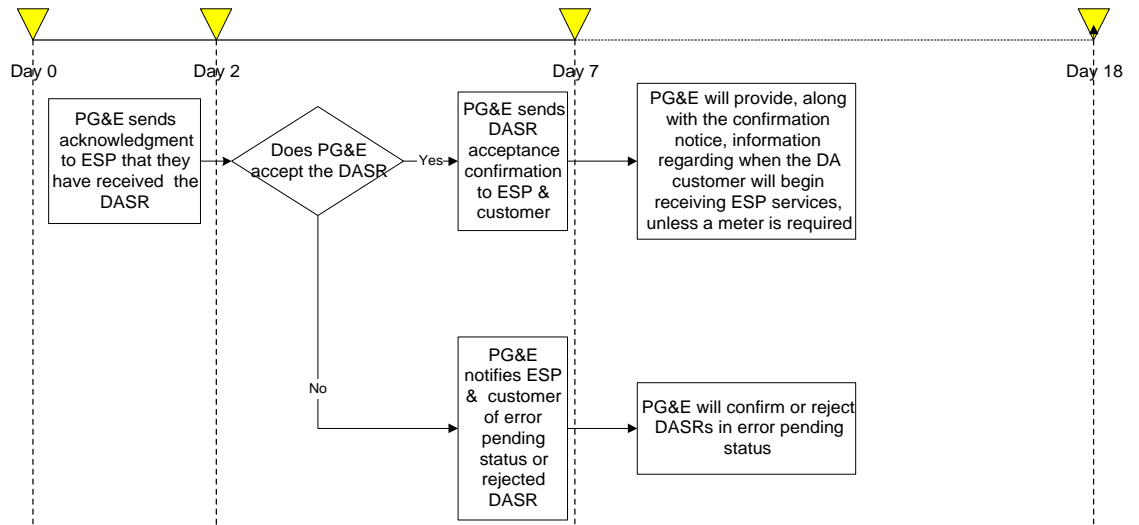
## 5. Electric ESP submits DASR to PG&E through DES

Upon entering the required DASR transaction information, the Electric ESP submits the DASR file through DES by typing the following command at the DOS prompt:

**NOTE: Successful implementation of the data exchange test procedure outlined with the previous chapter required the Electric ESP to install the put.exe and get.exe files locally. If put.exe and get.exe are not currently installed on the Electric ESP's local workstation, the Electric ESP will need to install these programs. Again the files and downloading instructions are available through the [DES Web site](#).**

## 6. PG&E processes DASR

The illustration below represents the timing associated with processing a DASR.



### 3.1 - DASR PROCESSING TIMELINE

## ELECTRONIC VALIDATION

All DASRs undergo both transaction level validation, as described in DASR Validation and customer account validation, as described in the Account Validation section below. All validation rules are covered within the DES Web site (see Information Websites at the end of Chapter 1 in this handbook).

## DASR VALIDATION

PG&E will electronically validate DASRs for accuracy and completeness. DASRs failing the basic accuracy validation will be rejected back to the Sending ESP. PG&E will communicate the reasons for rejecting a DASR in the Comments field of the DASR. PG&E will submit a confirmation, rejection or pending DASR to the Electric ESP within seven (7) business days of receipt.

## ACCOUNT VALIDATION

Following successful accuracy validation, PG&E will attempt to electronically match the Receiver Customer Identifier field of the DASR to PG&E's computer information system. PG&E's customer account number, which is currently printed on the customer's energy statement, along with the Service ID, which is printed on the "Details" page of the bill, are the best data available for the Receiver Customer Identifier field. However, due to the instability of the customer Service ID, PG&E has developed a unique non-changing customer-commodity-location specific number called the External

Reference ID or “XREF ID.”<sup>1</sup> Once the XREF ID has been assigned to a DA commodity account, it will not change throughout the life of the account unless DA is cancelled. Essentially, the XREF ID provides a way to readily identify DA commodity accounts and to reference the history of the commodity even if the customer switches to different ESPs. PG&E will communicate the customer’s “XREF ID” (rather than “Service ID”) to the Electric ESP in the acceptance confirmation DASR. The Connect DASR will validate on the Service ID or XREF ID. The customer’s PG&E XREF ID is intended for use in all future transactions related to this customer’s service location and commodity. The PG&E account number or XREF ID is a requirement of all transactions.

When a customer’s commodity account (i.e. electric or gas) undergoes its first DASR transaction, the current Service ID will be used to populate the XREF ID field and a new Service ID will be assigned to the commodity account. The Service ID replaces the “account number” on the current DASR form and is also represented on the “Detail” pages of the customer’s bill.

In the event system validation fails to match the Receiver Customer Identifier supplied in the DASR, or the account/commodity status is other than open, the DASR will be rejected using the standard DASR acknowledgment process.

Various PG&E programs and services require additional manual account preparation for certain Direct Access requests. For this reason, successful DASRs may contain a “memo” status informing the Electric ESP of additional manual preparation. These DASRs will, however, be accepted by PG&E and a DA effective date, if applicable, will be established and communicated to the Electric ESP in the confirmation DASR. The most common reasons for memo status will likely relate to metering installation and setup issues.

## ***7. PG&E sends a confirmation, rejection, or pending notification to Electric ESP***

Depending upon the results of the validation process, PG&E will electronically send a DASR acceptance confirmation, rejection, or pending notification to the Electric ESP. A notice will also be sent to the customer.

### **ACCEPTANCE NOTICES**

An acceptance notice confirms that the DASR has been submitted successfully. If the DASR represented a DA setup transaction and meter installation is not pending for the service account, a notice acknowledging the actual switch of service provider and designating when the DA customer will begin Electric ESP service will also be sent to the Electric ESP and to the customer.

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<sup>1</sup> Use of the “GEN ID” has been discontinued and replaced by the “XREF ID.”

## REJECTION DASR

A rejection notice provides specific information on why a given DASR was rejected.

The table below provides information on error codes that are generated as a result of a rejected DASR.

[Insert Gary's Error Code Matrix]

## *Additional DASR procedures performed by PG&E*

Based upon the requested services designated by the Electric ESP, PG&E may be required to perform additional DASR procedures in order to complete the processing of the DASR transactions as described below.

## DASR FOR "NEW" PREMISES

Although the current DA suspension rule does not allow new accounts to be eligible for DA, there are certain circumstances under which a DASR can be submitted for premise that may be considered "new". DA eligibility, in general, is restricted to the following circumstances:

- a) Service Panel Upgrades
- b) Bankruptcies
- c) Assignment of Contract to a new ESP
- d) Mergers/Acquisitions/Corporate Reorganizations

When applicable the ESP should contact ESP Services in advance to coordinate the submission of DASRs.

## ADDITIONAL SETUP TRANSACTION PROCEDURES

**Billing and Billing Calculation Options.** Electric ESPs will state their billing preference in each DASR. Three billing options are allowed with DA including: 1) UDC (UDC-consolidated bill for both ESP and UDC charges), 2) SP (Consolidated ESP bill for both ESP and UDC charges), or 3) DUAL (UDC bills for UDC charges and Electric ESP bills for ESP charges). PG&E will communicate the enrolled billing option in the confirmation transaction to the Electric ESP. An example of an invalid billing option is a DASR requesting Consolidated ESP billing by an Electric ESP that is not authorized to perform Consolidated ESP billing. Once the account has been prepared for the requested billing option, PG&E will issue a new confirmation DASR to the Electric ESP informing them of the billing option change and effective date.

Various PG&E programs require manual account preparation for consolidated billing. PG&E will determine which accounts require manual follow-up and will default those accounts to Separate billing pending account preparation for consolidated billing. Customer account billing options which may require manual preparation include:

**Balanced Payment Plan (BPP).** PG&E's Balanced Payment Plan (BPP) provides customers with levelized monthly bills. However, due to the various billing options offered with DA, PG&E will not be able to offer BPP to DA accounts. Therefore, if a DASR is received and the account is enrolled in BPP, PG&E will remove the account from BPP and send the customer a bill for the account's outstanding balance. This operation will not hinder the account from becoming a DA account.

**Automatic Payment Service (APS).** PG&E's Automatic Payment Service (APS) provides customers the ability to pay their UDC bill through an automatic debit of their personal bank account. For those accounts that will be served under the Consolidated ESP billing option, APS must first be removed from the account before Consolidated ESP billing can be put into effect. PG&E will flag the account for removal from APS. Following account preparation, PG&E will place the account on Consolidated ESP billing and issue a confirmation DASR, informing the Electric ESP of the billing option change and effective date.

**Electronic Data Interchange (EDI).** EDI provides the customer with the ability to pay their UDC bill using an EDI interface. EDI is treated similar to APS. DASRs requesting the Consolidated ESP billing option will require EDI to be removed from the account. PG&E will follow-up to confirm the customer's next EDI bank payment clears the account balance. Following account preparation, PG&E will place the account on Consolidated ESP billing and issue a new DASR confirmation to the Electric ESP of the billing option change and effective date.

**Balance Due.** The Electric ESP must advise its customers that all past due balances owed for bundled utility service must be paid prior to the start of Consolidated ESP billing service. PG&E may pursue collection of the balance owing for bundled service from the customer in accordance with its applicable rules, including if appropriate, termination of the customer's service.

**Rate Schedule Application.** DASRs requesting the UDC-consolidated billing option must include a valid Electric ESP Rate Name (SP Rate Schedule). Electric ESPs may submit account maintenance DASR transactions to request a change to the SP Rate plan assigned to the account.

## **ADDITIONAL TRANSACTION PROCEDURES FOR NEWLY ESTABLISHED PG&E ACCOUNT NUMBERS**

**Turn On (T/O).** A UDC service turn-on (T/O) order is initiated when a customer establishes a new account with PG&E. Customers must receive an account number from PG&E prior to an Electric ESP submittal of a DASR for the customer at the new location. The DASR must be submitted with a UDC account number containing at least nine (9) characters. This partial account number will alert PG&E to search for a T/O request, allowing the new account to have DA service on the requested service date.

## **ADDITIONAL SHUT OFF (S/O) AND SHUT-OFF NON-PAYMENT (SONP) TRANSACTION PROCEDURES**

**Shut-Offs initiated by the DA customer.** In the event that a customer contacts PG&E to close its utility service account, PG&E will notify both the servicing and pending Electric ESP with a termination DASR. PG&E will notify the current Electric ESP by electronic mail in the event of a shut-off for non-payment.

## **ADDITIONAL CANCELLATION TRANSACTION PROCEDURES**

**Cancellation of pending DA service may be requested by the pending Electric ESP.** The pending Electric ESP can cancel a scheduled switch by submitting a DASR transaction, at least three business days before the scheduled switch date. The request to cancel will be effective immediately. The existing service provider (ESP or UDC) will remain in effect.

**Termination of current DA service may be requested by the current Electric ESP.** The current Electric ESP may terminate service with a customer at any time. The request to terminate service will be effective according to normal DA switching logic. The switch date will be the next scheduled meter read date, which occurs fifteen (15) or more days after the DASR has been received in the DASR Interface. Once the switch occurs, the customer would remain a full-service customer with PG&E for at least one billing cycle before it could establish DA service with another Electric ESP. If the current ESP has pending relationships, the UPDATE DASR will recalculate the earliest possible start date for all relationships.

## **ADDITIONAL CUSTOMER ACCOUNT DATA CHANGE TRANSACTION PROCEDURES**

PG&E will modify its customer account information upon direct customer request only, therefore, DASRs received by Electric ESPs communicating customer data changes will not be accepted and will reject back to the initiating Electric ESP.

Electric ESPs may however, request their customer's account information record from PG&E using the [Customer Information Release Form](#). Upon request by the current or pending Electric ESP, PG&E will respond with a standard DASR Customer Account Information record. In the future, PG&E may implement automatic notification of customer data changes to the Electric ESP.

## **ADDITIONAL PROCEDURES FOR INITIAL CUSTOMER HISTORICAL USAGE INFORMATION**

Upon DASR confirmation, up to 12 months of customer historical usage information will be released automatically to the pending Electric ESP if PG&E is acting as the energy provider.

**NOTE: Historical usage information may be incomplete for some gas and electric services where a meter change has taken place. In these instances, the ESP will be provided with supplemental usage history via email.**

## SEAMLESS MOVE

Direct access customers who move within the service territory can maintain electric DA service with their electric ESP. It is not necessary to begin with bundled service at the new location.

### *Seamless Move Procedures*

While gathering the necessary information to move the customer's distribution service, the company's call center determines whether the customer wants to continue to use the same Electric ESP. If "yes", the company notifies the customer's Electric ESP by e-mail. The company sends the e-mails once per day in a batch by noon, Pacific time. The Electric ESP must designate one person (one e-mail address) to receive the e-mails.

The e-mail to the customer's Electric ESP includes:

- Customer name
- Old service address
- New service address (including ZIP code)
- Old Service ID
- New Service ID
- New meter number (if required for DASR acceptance)
- XREF ID
- Requested turn-on date
- Billing address (if different than the service address)
- Type of move ("new", "rescheduled", or "cancel")

It may also contain, if available:

- Rate class
- New telephone number
- Old Electric ESP customer account number

The Electric ESP may use the data contained in the e-mail to submit a DASR to PG&E for service at the new location. This DASR must contain a "new customer" designation.

If the DASR was submitted at least three business days before the requested turn-on date, the customer will receive Direct Access service from that date. If the DASR was submitted less than three business days before the requested turn-on date, the customer will receive direct access service as of the next meter read date.

The Electric ESP is responsible for communicating with the customer about their new service start dates in order to help the customer understand the process. In general, the seamless move procedures involves the steps indicated below:

- Customer contacts their ESP to stop service at the current location and to start service at the new one
- The ESP contacts ESP Services about their customer's seamless move.
- The ESP is sent a Pending service disconnect DASR (SVC DISCONNECT) containing the future stop date.
- The ESP will then receive an acknowledgement DASR (ACK) for the new location, which will contain the new XREF ID and actual stop date information.
- The ESP's customer identifier will remain unchanged.

### *Canceling a Seamless Move*

If the customer calls back to cancel the move, PG&E will either send a cancellation DASR to the Electric ESP if the ESP had already submitted a DASR for the new location, or send a cancellation e-mail to the Electric ESP if the ESP had not already submitted a DASR for the new location.

In the event the customer's Electric ESP is serving only a geographic subset of PG&E's service territory, (a municipal aggregator, for example) and the customer is moving to a new location not served by the Electric ESP, the ESP will not submit a DASR on behalf of the customer at the new location.

### *Limits to a Seamless Move Option*

To be eligible for a seamless move, a customer must be:

- An existing Direct Access customer.
- Moving within the service territory.
- A residential or small commercial customer who is load-profiled.

All DASR options must remain the same from the existing or old service location to the new service location; that is, the MSP/MDMA/billing/meter owner options must be the same in both locations.

A change in responsible party, at the time of the move, constitutes a new customer and is not considered simply a move of distribution service location.

Customers who move first, and notify PG&E after they have moved, will not be eligible for Direct Access at the time of initial service.