



North American Energy Standards Board

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REQ Final Action Version 1.1 Ratified 08/20/2007
 RGQ Final Action Version 1.1 Ratified 08/20/2007

For Quadrant: Retail Electric and Retail Gas Quadrants

Requesters: Joint REQ/RGQ BPS
 Request No.: 2005 Annual Plan Item No. 3
 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
- Modification
- Interpretation
- Withdrawal

- Principle
- Definition
- Business Practice Standard
- Document
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- Business Process Documentation

3. RECOMMENDATION

SUMMARY:

The Joint Retail Electric and Retail Gas Quadrants Business Practices Subcommittees submit this Recommendation for REQ/RGQ 2005 Annual Plan Item No. 3 Customer Information Model Business Practices. These Model Business Practices detail the process for exchanging pre-enrollment 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 current Customer account information and historical consumption information. These Model Business Practices describe the implementation of Customer-specific Information Requests and Mass Customer List where either or both are authorized by the Applicable Regulatory Authority.

RECOMMENDED STANDARDS:



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CUSTOMER INFORMATION

Tab 1 -Executive Summary

The focus of these Model Business Practices is the process for exchanging pre-enrollment 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 current Customer account information and historical consumption information. These Model Business Practices describe the implementation of Customer-specific Information Requests and Mass Customer List where either or both are authorized by the Applicable Regulatory Authority.

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 historical information regarding a specific Customer account;
- A Mass Customer List that provides specific Customer account information for a group(s) of Customers as defined by the Applicable Regulatory Authority, and;
- Unauthorized release of Customer information.

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 pre-enrollment Customer information between Market Participants in competitive electric and natural gas markets.

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



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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.

FOR EVALUATION PURPOSES ONLY



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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 needed to obtain the information.
- 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 information should minimize the time and effort required to take such action.

RXQ.8.2 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.
- RXQ.0.2.27 **Market Participant** A party engaged in the process of providing competitive retail energy to end-use customers including but not limited to the Distribution Company, the Supplier, the Registration Agent, the settlement agent, and the meter reading entity.
- 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.



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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 release of such information 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-specific 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 others 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 may include the following information:

- 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;
- 12 months of historical usage data, 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.8.3.2 Mass Customer List

RXQ.8.3.2.1 A Mass Customer List should be provided to Market Participants authorized to do business within the Distribution Company's service territory to the extent the Applicable Regulatory Authority has decided that certain Customer account information should be made available without obtaining authorization from each Customer for the release of such information.



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

RXQ.8.3.2.3 The Customer account information provided on a Mass Customer List may include the following:

- Customer name
- Service address
- Billing/mailing 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
- 12 months of historical energy usage and demand information

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 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 also be provided in a timely manner prior to updating the Mass Customer List.

RXQ.8.3.2.6 This notification should also include, at a minimum, the following information in material sent to customers:

- The purpose of the Mass Customer List;
- The Customer account information included on the Mass Customer List;
- The methods by which Customers may elect to exclude or include their information found on the Mass Customer List as specified by the Applicable Regulatory Authority;
- The methods by which Customers may change their election to exclude or include their information found on the Mass Customer List.



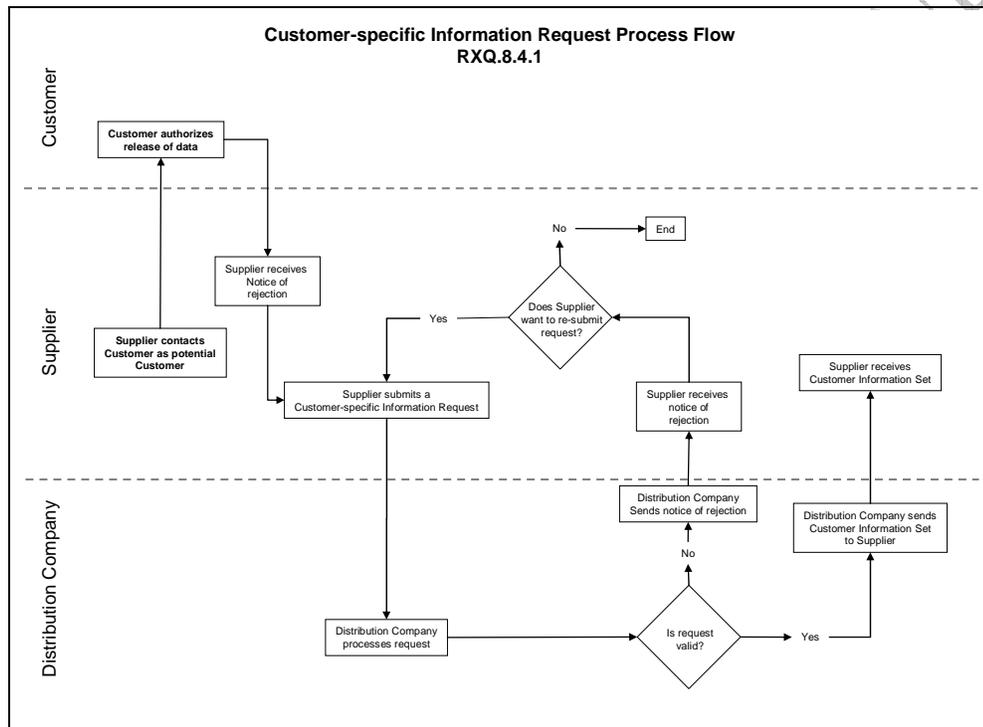
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RXQ 8.4 Models

RXQ.8.4.1 Customer-specific Information Request Process Flow



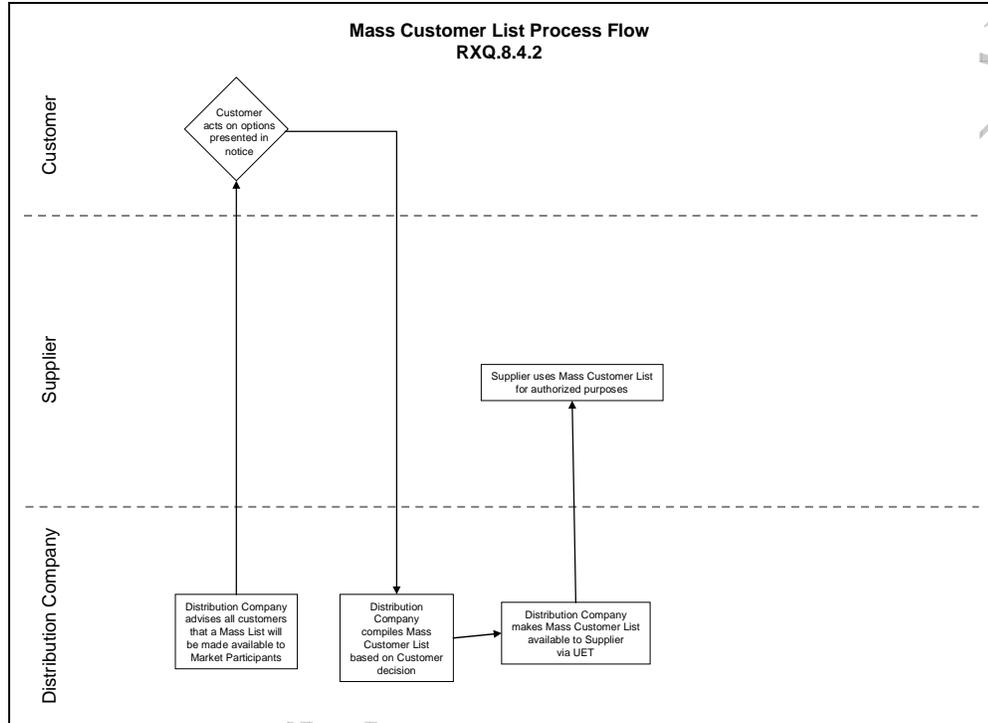


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RXQ.8.4.2 Mass Customer List Process Flow



FOR EVALUATION