

0 – Instructions for completing this questionnaire

Marking your Choice

The questions must be answered by placing an "X" in the appropriate box. Do not fill in shaded boxes.

#	Description	Reference	Response			
			Yes	No	Partially	Not Applicable
1.1	Sample Requirement					
1.1.1	Can you comply with the first sample requirement?	RSC 3.3	X			
1.1.2	Can you comply with the second sample requirement?	EBT 5.3	X			

The shading of the box indicates that a not-applicable response is not acceptable for this question

Possible Answers

Yes Answering "Yes" means that your Local Distribution Company (LDC) has satisfied the requirements of the question. If the question relates to processes and systems, answering "Yes" means your LDC has completed individual and integration testing for the functionality of the system or process.

Partially If your response to the question is "Partially", please explain in the Comments and Explanations section. Clear and concise explanations are preferred (e.g. "Answered partially to 3.4 because of an exemption granted by the OEB").

Not Applicable If your response to the question is "Not Applicable", please ensure that the requirement indeed does not apply and explain in the comments section why the requirement is not applicable to your LDC.

Outsourcing

It is your responsibility to ensure that all procedures and assumptions are appropriate for the expected frequency and volume of transactions. Please note that in section 16 you will be required to state these assumptions. If you plan to use manual procedures, those must be appropriate for the frequency and volumes expected. If you are outsourcing any of these functions, it is your LDC's responsibility to certify as per the appropriateness of these arrangements.

Validation

The Ontario Energy Board may validate a filing at any time after submission. If your return is selected for validation, your LDC will be required to provide documentation supporting your statements and responses to all the questions contained herein. Your LDC should be able to produce this documentation within the time period specified by the OEB.

0 – Instructions for completing this questionnaire

Terminology

A glossary is presented in Appendix A. For the purposes of this document, "you" refers to your LDC.

Level of Requirements

The documents contained in the Set One Baseline version 1.1 set out the requirements for self-certification. The baseline is available on the OEB website at <http://www.oeb.gov.on.ca/rmr/setonebaseline.html>.

References

Where applicable, a "Reference" column has been added that links the questions to the appropriate regulatory documents in the Set One Baseline.

The reference documents are:

IMO	Independent Electricity Market Operator
DSC	Distribution System Code
RSC	Retail Settlement Code
DRH	Distribution Rate Handbook
EBT	Ontario EBT Standards
DTP	EBT Data Transport Protocol
SSS	Standard Supply Service Code
TDL	Transitional Distribution Licence

Additional Information

Any inquires regarding this questionnaire should be forwarded to: rmr@oeb.gov.on.ca. Please write self-certification as the subject line, include the applicable section and question number and be specific with your question.

Note: It is an offence under clause 126(1)(b) of the *Ontario Energy Board Act, 1998* (the "Act") to knowingly furnish false or misleading information in any application, statement or return made under the Act.

1 – IMO or Host Requirements

The questions in this section address critical requirements for IMO-Administered Market readiness and the interaction between host and embedded LDCs. Further information on IMO-Administered Market requirements can be found on the Market Readiness and Market Entry pages of the IMO website (www.theimo.com).

#	Description	Reference	Response			
			Yes	No	Partially	Not Applicable
1.1	IMO requirements (answer only if you are a participant in the IMO-Administered Market, if not skip to 1.2)					
1.1.1	Have you successfully completed IMO ability tests or have you completed uncoupled ODR in its entirety for the LDC role?	IMO Website Ability Testing				
1.1.2	Have you met the entry criteria for the IMO coupled ODR?	IMO Website Schedule				
1.1.3	Have you completed meter registration with the IMO?	IMO Market Rules Chapter 6				
1.1.4	Have you completed facility registration?	IMO Market Rules Chapter 7, S2				
1.1.5	Have you completed the Transmission Connection Agreement with the transmitter?	Market Rules Chapter 4, S4				
1.2	Relationship with the host LDC (answer only if you are an embedded LDC who is not a participant in the IMO-Administered Market, if not skip to 1.3)					
1.2.1	Have you established the necessary commercial agreement with your host LDC?					
1.2.2	Do you have a process to receive price and consumption information from your host for determining settlement costs?	RSC 2.5 RSC 5.1				

2 – Extract and Store Price and Load Information

The question in this section addresses a LDC's obligation to receive and store the daily statement from the IMO or its host LDC.

#	Description	Reference	Response			
			Yes	No	Partially	Not Applicable
2.1	Management of preliminary and final hourly consumption and prices from the IMO or host					
2.1.1	Can you receive and store the daily statement (hourly consumption information for each supply point and hourly prices) from the IMO or your host LDC?	RSC 2				

Comments and Explanations

3 – Meter Reading, Management of Data and VEE

The following questions address a LDC's obligation to read, store and process metering data for retail interval and non-interval meters as specified in the RSC and DSC. This section also includes questions regarding the provision of meters and metering services, and meter data to retailers.

#	Description	Reference	Response			
			Yes	No	Partially	Not Applicable
3.1	Implementation of process for reading and storing meter data					
3.1.1	Have you implemented a process to read and store meter data for interval meters in compliance with the RSC 5.2?	RSC 5.2				
3.1.2	Have you implemented a process to read and store meter data for non-interval meters in compliance with the RSC 5.2?	RSC 5.2				
3.2	Validation, Estimation and Editing (VEE) process for meter data					
3.2.1	Have you put in place a VEE process for interval meter data and documented it?	DSC 5.3 RSC 5.2				
3.2.2	Have you put in place a VEE process for non-interval meter readings and documented it?	DSC 5.3 RSC 5.2				
3.3	Provision of meters and metering services					
3.3.1	Do you have a process in place for providing an interval meter to any customer upon request?	DSC 5.1.5				
3.3.2	Do you have a process in place for allowing customer access to metering data?	RSC 11.2				

3 – Meter Reading, Management of Data and VEE

#	Description	Reference
3.4	Translating to EBT format and transmitting interval customer meter readings to retailers using the EBT system communications and security protocols and standards (see section 9 for more EBT requirements)	
3.4.1	Can you send consumption data for non-interval metered services to the retailers in accordance with the EBT standards?	RSC 11.1
3.4.2	Can you send consumption data for unmetered services to the retailers in accordance with the EBT standards?	RSC 11.1
3.4.3	Can you send consumption data for interval metered customers to the retailers in accordance with the EBT standards?	RSC 11.1

Response			
Yes	No	Partially	Not Applicable

Comments and Explanations

4 – Calculation of Net System Load Shape (NSLS)

To determine settlement costs for non-interval metered customers, a LDC is required to compute and apply NSLS, based on equations specified in the RSC. The questions in this section address the calculation of NSLS.

#	Description	Reference	Response			
			Yes	No	Partially	Not Applicable
4.1	Calculation and management of NSLS based on preliminary data					
4.1.1	Do you have the ability to calculate all aspects of equations 3.4.(a) of the RSC?	RSC Eq.3.4.(a)				
4.1.2	Do you have the ability to calculate all aspects of equations 3.4.(c) of the RSC?	RSC Eq.3.4.(c)				
4.1.3	If you have a common NSLS with a neighbouring LDC and meet the requirements outlined in RSC 3.4, can you calculate equations 3.4.(b) and 3.4.(c)? (If you do not have a common NSLS skip this question)	RSC Eq.3.4.(b) RSC Eq.3.4.(c)				
4.2	Incorporating Total Loss Factor (TLF) in the billing and settlement calculations according to the RSC					
4.2.1	Have you incorporated TLF on the inputs used in your NSLS calculation?	RSC 3.4				

4 – Calculation of Net System Load Shape (NSLS)

#	Description	Reference
4.3	Provision of current Net System Load Data, and hourly price data to a competitive retailer as required by the RSC.	
4.3.1	Will you be able to provide your current Net System Load Data for each calendar day and hourly Ontario energy price data to a competitive retailer as defined in equation 3.4.(a) of RSC.	RSC 2.5 RSC Eq.3.4.(a)

Response			
Yes	No	Partially	Not Applicable

Comments and Explanations

5 - Determination of Settlement Costs

As specified in the RSC, a LDC must determine wholesale settlement costs relating to competitive and non-competitive services for end use consumers (including SSS consumers and embedded LDCs) connected to its distribution system who are not participants in the IMO-Administered Market. The questions in this section focus on a LDC's ability to compute and apply settlement costs.

#	Description	Reference
5.1	Settlement calculations according to the RSC	
5.1.1	Have you calculated your Total Loss Factor?	RSC 3.2
5.1.2	Can you calculate settlement costs for interval metered customers using equation 3.3.1.(a)?	RSC Eq. 3.3.1.(a)
5.1.3	Can you calculate settlement costs for non-interval metered, customers using RSC equation 3.3.2.(a)?	RSC Eq. 3.3.2.(a)
5.1.4	Can you calculate settlement costs for demand metered customers using RSC equation 3.3.2.(a)?	RSC Eq. 3.3.2.(a)
5.1.5	Can you calculate settlement costs for customers with time of use meters using equation 3.6.(a) where applicable?	RSC Eq. 3.6.(a)
5.1.6	Can you calculate settlement costs for pre-paid metered (if applicable) customers using RSC equation 3.3.2.(a)?	RSC Eq. 3.3.2.(a)

Response			
Yes	No	Partially	Not Applicable

5 - Determination of Settlement Costs

#	Description	Reference
5.1.7	Can you calculate settlement costs for estimated usage as per RSC 3.5.3?	RSC 3.5.3
5.1.8	Can you calculate settlement costs for unmetered loads as per RSC 3.10?	RSC 3.10
5.1.9	Can you determine settlement costs for non-competitive electricity services based on RSC 4.1 and DRH 11?	RSC 4.1 DRH 11

Response			
Yes	No	Partially	Not Applicable

Comments and Explanations

6 - Standard Supply Service (SSS) Billing and Unbundled Bill

The following questions focus on requirements, specified in the SSS code and chapter 10 of the DRH, for the provision of SSS. In addition to SSS, the questions focus on a LDC's ability to itemize the costs attributable to each customer and produce an unbundled bill.

#	Description	Reference
6.1	General requirements	
6.1.1	Can you bill for interval metered customers for SSS?	DRH 10.3.3
6.1.2	Can you bill for customers with demand meters that record average monthly peak demand as greater than 50 kW during a 12 month period for SSS?	DRH 10.3.2
6.1.3	Can you bill for customers with volume meters and annual energy consumption that is greater than 150,000 kWh for SSS ?	DRH 10.3
6.2	Fixed Reference Price SSS (if you are not using Fixed Reference Price skip to 6.3)	
6.2.1	Are you able to support Fixed Reference Price Standard Supply Billing (see DRH 10.3 for customer qualification for SSS Fixed Reference Price)	DRH 10.3 SSS 2.5.2 SSS 2.5.3
6.2.2	Can your system handle a SSS Fixed Reference Price adjustment and account for it separately?	DRH 10
6.3	Third party SSS provider (if your SSS will not be provided by a Third party provider skip to 6.4)	
6.3.1	Have you met all the requirements regarding Third party SSS provision?	DRH 10.6

Response			
Yes	No	Partially	Not Applicable

6 - Standard Supply Service (SSS) Billing and Unbundled Bill

#	Description	Reference	Response			
			Yes	No	Partially	Not Applicable
6.4	Calculation of unbundled bill					
6.4.1	Can you calculate all the charges required on the unbundled bill?	DRH				
6.4.2	Can you print a bill based on the bill presentation requirements in the DRH?	DRH 9				
6.5	Support for wholesale market customer billing					
6.5.1	Can you bill embedded load customers who are participating in the IMO-Administered Market participant for distribution charges including dealing with line losses?	DRH				
6.5.2	Can you bill IMO market participant load customers, with embedded delivery points, for retail transmission service?	DRH 11.3.2				
6.6	Support for other customers					
6.6.1	Can you bill a customer with new onsite load displacement generation over 1 MW as per chapter 11?	DRH 11				
6.6.2	Can you support billing for embedded distributors? (If applicable)					

Comments and Explanations

7 - Other Billing Options (Ret. Consolidated & Dist. Consolidated Billing)

A LDC must be able to provide distributor consolidated billing and retailer consolidated billing. The questions in this section address the provision of both billing options.

#	Description	Reference
7.1	Retailer and Distributor Consolidated Billing	
7.1.1	Can you provide the retailer with the information required for retailer consolidated billing?	RSC 7.1
7.1.2	Can you provide distributor consolidated billing?	RSC 7.2

Response			
Yes	No	Partially	Not Applicable

Comments and Explanations

8 - Retailer Management

As specified in the RSC, a LDC must have a Service Agreement and the necessary security and settlement arrangements in place for interaction with retailers active in its service area. The questions in this section address overall retailer management and retailer settlement.

#	Description	Reference	Response			
			Yes	No	Partially	Not Applicable
8.1	Negotiate Service Agreement					
8.1.1	Have you completed the mandatory Service Agreements with retailers wishing to be active in your service area?	-RSC 12 -Service Agreement				
8.2	Calculation and re-calculation of retailer security arrangements					
8.2.1	Do you have a process to determine your exposure to retailer payment default?	RSC 8.1				
8.2.2	Do you have a process to calculate the maximum allowable amount for each retailer?	RSC 8.1				
8.2.3	Do you have a process to re-calculate the retailer prudential requirements at least once every three months and provide the appropriate notifications?	RSC 8.2				
8.3	Management of basic retailer information					
8.3.1	Do you have a process to capture retailer information such as OEB licence number, retailer name, retailer address, number of customers and billing options?					
8.3.2	Do you have a process to update your systems if the information about a retailer changes?					

9 - EBT Communication

This section addresses questions that ensure that the technology in place complies with EBT Standards. The questions also address whether the technology in place will properly process all types of transactions, and will process them in a secure and timely manner as defined in the EBT Standards.

#	Description	Reference	Response			
			Yes	No	Partially	Not Applicable
9.1	Standard EBT communications that pertain to the ability to support basic communications with a Hub or trading partner.					
9.1.1	Do you have a public/private key pair and is it registered with the Massachusetts Institute of Technology (MIT) PGP (Pretty Good Privacy) Public key-server?	DTP				
9.1.2	Can you send and receive eXtensible Mark-up Language (XML) documents using the EBT Transport Level Protocol v2.0?	DTP				
9.1.3	Can you generate the required HTTP (Hypertext Transfer Protocol) status codes?	DTP				
9.1.4	Can you log the HTTP status codes received?	DTP				
9.1.5	Does your system log transactions with invalid digital signatures?	EBT App. G				
9.1.6	Have you developed a transaction test plan that verifies compliance with Security, Reliability, Performance, Recovery and Re-Transmission, Archiving and Auditing, and Interoperability?	EBT App. G				
9.1.7	Do you meet all the requirements for EBT Document Flow and Processing Considerations	EBT App. G				

9 - EBT Communication

#	Description	Reference
9.3	Receiving/retrieving Service Transaction Requests that pertain to enrolment contest, withdrawal of contest, rescinding enrolment, etc. and translating them to be processed by internal systems.	
9.3.1	Can you receive the following transactions and translate them into messages your CIS system will understand: - Enrolment Request - Drop Request - Drop Response - Status Advice	EBT 5.1, 5.1.1, 5.1.6
9.3.2	Can you translate the following transactions from your CIS system into XML transactions: - Enrolment Accept - Enrolment Reject - Drop Accept - Drop Reject - Status Advice	EBT 5.1, 5.1.1, 5.1.6
9.3.3	Does your system automatically process Status Advice messages with error codes?	EBT App. D
9.3.4	Is the duration between an enrolment request and an enrolment response in compliance with the EBT Standards?	EBT 7

Response			
Yes	No	Partially	Not Applicable

9 - EBT Communication

#	Description	Reference
9.4	Translating to EBT format and transmitting settlement invoices to the retailers using the EBT system communications and security protocols and standards.	
9.4.1	Can you translate the following transactions from your CIS system into XML transactions: - Invoice Settlement Detail - Invoice Settlement Total - Invoice Market Participant	EBT 5.3.6
9.4.2	Can you receive the Application Advice transactions and translate them into messages your CIS system will understand?	EBT 5.3.6
9.4.3	Can your CIS system relate Application Advice messages for the following transactions? - Invoice Settlement Detail - Invoice Settlement Total - Invoice Market Participant	EBT 5.3.6
9.4.4	Does your system log Application Advice transactions with errors?	EBT 5.3.6
9.4.5	Does your system automatically make settlement adjustments when you cancel a Usage transaction?	EBT 5.3.7
9.4.6	Can your CIS system make settlements adjustments based on the Invoice Bill Ready Cancel transaction?	EBT 5.3

Response			
Yes	No	Partially	Not Applicable

9 - EBT Communication

#	Description	Reference
9.5	Translating to EBT format and transmitting invoice/bill cancel/re-bill to the retailers using the EBT system communications and security protocols and standards.	
9.5.1	Can you translate the following transactions from your CIS system into XML transactions: - Invoice Bill Ready (Retailer-Consolidated Billing) - Application Advice (LDC-Consolidated Billing) - Invoice Bill Ready Cancel	EBT 5.3
9.5.2	Can you receive the following transactions and translate them into messages your CIS system will understand: - Application Advice (Retailer-Consolidated Billing) - Invoice Bill Ready (LDC-Consolidated Billing) - Invoice Bill Ready Cancel	EBT 5.3
9.5.3	Can your CIS system relate Application Advice messages to the above originating transactions?	
9.5.4	Is the time between receiving an Invoice Bill Ready and sending an Application Advice (invoice response) in compliance with the EBT Standards?	

Response			
Yes	No	Partially	Not Applicable

9 - EBT Communication

#	Description	Reference
9.6	Translating to EBT format and transmitting interval and non-interval consumer meter usage to retailers using the EBT system communications and security protocols and standards.	
9.6.1	Can you translate the following transactions from your CIS system into XML transactions: - Usage - Usage Cancel - Historical Usage Response	EBT 5.1.5, 5.2, 5.3
9.6.2	Can you receive the following transactions and translate them into messages your CIS system will understand: - Application Advice - Historical Usage Request	EBT 5.1.5, 5.2, 5.3
9.6.3	Does your system have a mechanism for sending Usage Cancel transactions if it is discovered that the Usage data was incorrect?	EBT 5.3

Response			
Yes	No	Partially	Not Applicable

9 - EBT Communication

#	Description	Reference
9.7	Translating to EBT format and transmitting consumer information to retailers using the EBT system communications and security protocols and standards.	
9.7.1	Can you receive the following transactions and translate them into messages your CIS system will understand: - Historical Payment Request - Change Consumer Information Request - Change Consumer Information Accept - Change Consumer Information Reject - Change Billing Option Request - Change Billing Option Accept - Change Billing Option Reject - Change Consumer Location Request	EBT 5.1.2
9.7.2	Can you translate the following transactions from your CIS system into XML transactions: - Historical Payment Accept - Historical Payment Reject - Change Consumer Location Accept - Change Consumer Location Reject - Change Consumer Information Request - Change Consumer Information Accept - Change Consumer Information Reject - Change Billing Option Request - Change Billing Option Accept - Change Billing Option Reject	EBT 5.1.2
9.7.3	Can your CIS system relate Application Advice messages to the originating transactions in 9.7.2?	

Response			
Yes	No	Partially	Not Applicable

Comments and Explanations

10 - Service Transaction Requests

For changes or modifications in service, retailers shall submit STRs on behalf of customers. The following questions address the validation and processing of STRs by a LDC according to the provisions set out in the RSC and the EBT standards.

#	Description	Reference	Response			
			Yes	No	Partially	Not Applicable
10.1	Validation of incoming transaction and switches from SSS to retailer					
10.1.1	Can you verify that incoming STRs refer to valid customers in your service area using the validation procedure prescribed in the EBT standards (Section 5.1 Validation of STRs): 1) The distributor's consumer account number 2) The consumer's name as it appears on the bill, (first four alpha-numeric print characters, upper case only, (A-Z and 0-9) left to right with special characters and blanks); 3) The consumer's address defined as the postal code for the mailing address	EBT 5.1 RSC 10				
10.1.2	Can you create and send Enrol Accept or Enrol Reject transactions to retailers in the format required by the EBT standards within 5 working days of receiving an enrolment request?	EBT 5.1 RSC 10.4				
10.1.3	Do the Rejection transactions include the appropriate reason codes and explanations as required by the EBT standards?	EBT 5.1				
10.1.4	Can you create the appropriate Status Advice associated with enrolments, drops and switches and send them to retailers as required by the EBT standards?	EBT 5.1				

10 - Service Transaction Requests

#	Description	Reference
10.4	Retailer to retailer switches	
10.4.1	Can you switch a customer from one retailer to another upon receipt of a valid Enrolment Request from a retailer?	EBT 5.1.1
10.4.2	If the enrolment is a retailer to retailer switch, can you create the Notice of Pending Switch within 5 days of receiving the Enrolment Request as required in the EBT standards?	EBT 5.1.1
10.4.3	Can you create the Enrol Reject transaction if there is another pending enrolment in process for the customer?	EBT 5.1.1
10.4.4	Can you comply with the 20 days contest period as detailed in the EBT standards.	EBT 5.1.1
10.4.5	Can you cancel the enrolment if requested by the customer as detailed in the EBT standards.	EBT 5.1.1
10.4.6	Can you cancel the enrolment if notified by either retailer	EBT 5.1.1
10.4.7	Can you send out Status Advice to notify of the cancellation if received as detailed in the EBT standards.	EBT 5.1.1
10.4.8	Can you notify retailers when the contest period is over as detailed in the EBT standards.	EBT 5.1.1
10.4.9	Can you process the drop for the first retailer, and enrolment with the second retailer as detailed in the EBT standards.	EBT 5.1.1

Response			
Yes	No	Partially	Not Applicable

10 - Service Transaction Requests

#	Description	Reference
10.8	Relocations within the service area	
10.8.1	If a residential customer currently enrolled with a retailer and not on rate ready billing is moving within your service area, and there will be no break in service, and only one meter and the new account number for the consumer is known, can you initiate the creation of a Change Consumer Location Request transaction as required by the EBT standards?	EBT 5.1 RSC 10.6
10.8.2	If the conditions detailed under the previous question are not met, can you automatically drop the consumer to SSS at the time of the move?	EBT 5.1 RSC 10.6
10.8.3	If a Status Advice is received from a retailer, indicating that the consumer is moving within the service area, can you initiate a process through which the consumer will be contacted to confirm the details of the move?	EBT 5.1 RSC 10.6
10.8.4	If the retailer responds to the Change Consumer Location Request with a Change Consumer Location Reject, can you initiate a process that will have the consumer dropped to SSS at the time of the move?	EBT 5.1 RSC 10.6
10.9	Meter Change Requests	
10.9.1	Can you accept and process a request to install an interval meter from a retailer either via the EBT system or by an alternate method?	EBT 5.1.3 RSC 10.6.2

Response			
Yes	No	Partially	Not Applicable

Comments and Explanations

11 - End to End Testing

End-to-end testing is intended to provide participants with a level of assurance in each other's ability to meet their retail obligations by offering an opportunity to conduct the first initial transaction between a Distributor and a Retailer as a trial and not as a live transaction. Retail market end-to-end testing participants may include Distributors, Retailers and their EBT Hub Service Providers. Participants using point solutions will test directly with other participants or with an EBT Hub Service Provider. Distributors should coordinate the test preparation and execution activities in their end-to-end tests with the participants involved in their tests. Distributors with Retailers active in their service area should invite at least one Retailer to participate in the testing. If a Retailer is not available, Distributors will be required to simulate a Retailer for the purposes of testing. For further guidance on end-to-end testing, see the "Retail End-to-End Testing Guide" on the OEB web site.

#	Description	Reference	Response			
			Yes	No	Partially	Not Applicable
11.1	Retail End to End Testing Requirements					
11.1.1	Have you successfully completed end-to-end testing using, at minimum, the five required end-to-end (master) scenarios (with at least five accounts per scenario) as outlined in the Retail End-to-End Testing Guide?	Retail End-to-End Testing Guide				
11.1.2	Have you successfully completed end-to-end testing with at least one Retailer? If a retailer was not available, have you tested with a simulated retailer for the purposes of end-to-end testing?	Retail End-to-End Testing Guide				

11 - End to End Testing

#	Description	Reference
11.1.3	Have you successfully completed the end-to-end testing requirements using the systems and business processes that you intend to use when the market opens?	Retail End-to-End Testing Guide

Response			
Yes	No	Partially	Not Applicable

Comments and Explanations

12 - Staff Training

Generally, the training program can only take place when the required IT systems are developed and when business procedures and customer care processes have been defined and documented. The following questions address staff training requirements.

#	Description	Reference
12.1	Training of staff on the details of the different billing options	
12.1.1	Have you established training plans covering SSS billing for your staff involved in billing, accounts payable and credit and collection, that includes delivery before market opening?	
12.1.2	Have you established training plans for retailer consolidated billing and/or distributor consolidated billing for your staff involved in billing, accounts payable and credit and collection, that includes delivery before market opening?	
12.1.3	Have you established general training plans covering the new rules and regulations for your call centre staff that includes delivery before market opening?	

Response			
Yes	No	Partially	Not Applicable

12 - Staff Training

#	Description	Reference
12.2	Training of staff on the new functions of the customer information system and enrolment system	
12.2.1	Have you established training manuals/plans for new functions of the customer information system and enrolment system, that includes delivery before market opening?	

Response			
Yes	No	Partially	Not Applicable

Comments and Explanations

13 - Variance Accounts

Variance accounts that must be kept by a LDC include the RSVA (five components), the RCVA (two components) and the PPVA (one component). The following questions address requirements for variance accounts.

#	Description	Reference	Response			
			Yes	No	Partially	Not Applicable
13.1	Variance Accounts					
13.1.1	Have you set up Retail Settlement Variance Accounts (RSVA) for power, wholesale market service charges, one-time, retail transmission network rates and retail transmission connection rate?	DRH 11.4.2				
13.1.2	Have you set up Retail Service Charges Variance Accounts (RCVA) for retail services and STRs?	DRH 11.4.1				
13.1.3	Have you set up a Purchase Power Variance Account?	RSC 6.2.4 DRH 10				

Comments and Explanations

14- Other

The following questions address other responsibilities of a LDC.

#	Description	Reference	Response			
			Yes	No	Partially	Not Applicable
14.1	Dispute resolution					
14.1.1	Do you have an internal dispute resolution process in place?	TDL Sec. 23 DSC 5.3.12 RSC App. C (Service Agreement) ARC 2.2.1				
14.2	Development of policies, procedures and scripts for customer interactions					
14.2.1	Have you communicated with your customers about the energy labeling of the power being provided?					
14.2.2	Have you communicated with your customers regarding the new bill and your SSS policy as per code requirement?	SSS Code 2.8.1				
14.3	Connection Agreements					
14.3.1	Have you entered into a connection agreement(s) with an embedded generator(s) in your service area?	DSC 6.2.4				

14- Other

#	Description	Reference
14.4	Processing Volumes	
14.4.1	Have you estimated the number and frequency of enrolment transactions after the market opens and can your systems manage these expected volumes. Please state your assumptions regarding frequency and volume of transactions in the Comments and Explanations area.	

Response			
Yes	No	Partially	Not Applicable

Comments and Explanations