

Instructions for completing this questionnaire

Answering the questions

The questions must be answered by placing an "X" in the appropriate box. No response is required if the box is shaded (see example below).

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
1.1	Sample Requirement								
1.1.1	Can you comply with the first sample requirement?	IMO Website	X			X			
1.1.2	Can you comply with the second sample requirement?	IMO Website				X			

No response required

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

For stage one, answering "Yes" means that your LDC has completed the design, installation and testing of the individual processes and/or systems needed to satisfy the question. Given that some questions do not involve the design and testing of processes and/or systems, answering "Yes" means that you have satisfied the requirements for non-system or process related questions.

For stage two, answering "Yes" means that your LDC has completed system integration testing for the new environment. If the questions do not relate to processes or systems, a "Yes" answer means that you have satisfied the requirements of the question.

In some cases, a response is required at stage I because of timeline requirements (e.g. IMO requirements).

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").

If your response to the question is "Not Applicable", please ensure that the requirement indeed does not apply.

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.

Instructions for completing this questionnaire

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 claims. Your LDC should be able to produce this documentation within the time period specified by the OEB.

Miscellaneous

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

Additional Information

Any inquires regarding this questionnaire should be forwarded to: scquestion@oeb.gov.on.ca. Please be specific and include the applicable section and question number.

References

Included in the questionnaire, is a "Reference" column that links the questions to appropriate regulatory documents where applicable. In some cases, the requirement is implicit in the code reference but not explicit.

The key used for the references 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 - Version 1.3
SSS	Standard Supply Service Code
TDL	Transitional Distribution Licence

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.

Section 1 – IMO or Host Requirements

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

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
1.1	IMO requirements (answer only if you are an IMO-administered market participant, if not skip to 1.2)								
1.1.1	Have you met the entry criteria for IMO ability tests or the entry criteria for uncoupled ODR in its entirety for the LDC role?	IMO Website							
1.1.2	Have you successfully completed IMO ability tests or have you completed uncoupled ODR in its entirety for the LDC role?	IMO Website							
1.1.3	Have you registered with the IMO the meter installation(s) of each IMO-administered market participant embedded in your service area?	IMO Website							
1.2	Relationship with host (answer only if you are an embedded LDC who is not an IMO market participant, if not skip to 1.3)								
1.2.1	Have you established the necessary arrangements with the host LDC?								
1.2.2	Do you have a process to receive price information from your host for determining settlement costs?	RSC 2.5 RSC 5.1							

Section 1 – IMO or Host Requirements (Cont.)

The questions in this section address critical requirements for IMO Administered Market Readiness. Further information on IMO Administered Market activities can be found on the Market Commissioning and Market Entry pages of the IMO website (www.theimo.com).

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
1.3	Posting invoiced charges to financial accounts								
1.3.1	Have you established the required financial accounts for capturing the invoiced charges from the IMO or the host?								
1.3.2	Have you established or implemented the process, automated or manual, to post the IMO or host charges to the financial accounts?								
1.4	Implementation of new payment/credit procedures with respect to the IMO or host								
1.4.1	Have you established the procedures for payments and credits with respect to the IMO or host invoices?								

Comments and Explanations

Section 2 – Extract and Store Price and Load Information

The questions in this section address the LDCs' obligation to make the Net System Load Shape and hourly Ontario energy price available to retailers and/or embedded LDCs.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
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							
2.1.2	Do you have a process to make NSLS and hourly Ontario energy prices available to retailers?	RSC 7							

Comments and Explanations

3 – Meter Reading, Management of Data and VEE

The following questions address the LDCs' obligation to read, store and process metering data for retail interval and non-interval meters as specified in the Retail Settlement Code (RSC) and Distribution System Code (DSC). This section also includes questions regarding the provision of meters and metering services, and meter data to retailers.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
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	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 (Cont.)

The following questions address the LDCs' obligation to read, store and process metering data for retail interval and non-interval meters as specified in the Retail Settlement Code (RSC) and Distribution System Code (DSC). This section also includes questions regarding the provision of meters and metering services, and meter data to retailers.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
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 10 for more EBT requirements)								
3.4.1	Can your system send consumption data for non-interval metered services to the retailers in accordance with the EBT standards?	RSC 11.1							
3.4.2	Can your system send consumption data for un-metered services to the retailers in accordance with the EBT standards?	RSC 11.1							
3.4.3	Can your system send consumption data for interval metered customers to the retailers in accordance with the EBT standards?	RSC 11.1							

Comments and Explanations

4 – Calculation of Net System Load Shape (NSLS)

To determine settlement costs for non-interval metered customers, LDCs are required to compute and apply NSLS, based on equations specified in the RSC, to the retail settlement process. The questions in this section address the calculation of NSLS as specified in the Retail Settlement Code.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
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 as required?	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 as required?	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 as necessary? (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) (Cont.)

To determine settlement costs for non-interval metered customers, LDCs are required to compute and apply NSLS, based on equations specified in the RSC, to the retail settlement process. The questions in this section address the calculation of NSLS as specified in the Retail Settlement Code.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
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 as defined in equation 3.4.a of RSC to a competitive retailer.	RSC 2.5 RSC Eq.3.4.a							

Comments and Explanations

5- Determination of Settlement Costs

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

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
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 customers with time of use meters using equation 3.6.a where applicable?	RSC Eq. 3.6.a							
5.1.4	Can you calculate settlement costs for non-interval metered, demand metered and pre-paid metered (if applicable) customers using RSC equation 3.3.2.a?	RSC Eq. 3.3.2.a							
5.1.5	Can you calculate settlement costs for estimated usage as per RSC 3.5.3?	RSC 3.5.3							
5.1.6	Can you calculate settlement costs for unmetered loads as per RSC 3.10?	RSC 3.10							
5.1.7	Can you determine settlement costs for non-competitive electricity services based on RSC 4.1 and DRH 11?	RSC 4.1 DRH 11							

Comments and Explanations

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

LDCs are obligated to provide SSS, consequently, the following questions focus on the requirements specified in chapter 10 of the Distribution Rate Handbook and the SSS code, for achieving this obligation. In addition to SSS, the questions focus on the LDCs' ability to itemize the costs attributable to each customer and produce an unbundled bill.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
6.1	General requirements								
6.1.1	Can you do SSS billing for interval metered customers?	DRH 10.3.3							
6.1.2	Can you do SSS billing for customers with demand meters that record average monthly peak demand as greater than 50 kW during a 12 month period?	DRH 10.3.2							
6.1.3	Can you do SSS billing for customers with volume meters and annual energy consumption that is greater than 150,000 kWh?	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	3rd party SSS provider (if your SSS will not be provided by a 3rd party provider skip to 6.4)								
6.3.1	Have all the requirements regarding 3 rd party SSS provision been met?	DRH 10.6							

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

LDCs are obligated to provide SSS, consequently, the following questions focus on the requirements specified in chapter 10 of the Distribution Rate Handbook and the SSS code, for achieving this obligation. In addition to SSS, the questions focus on the LDCs' ability to itemize the costs attributable to each customer and produce an unbundled bill.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
6.4	Fixed Reference Price Exemption (if you have not applied or received an exemption for Fixed Reference Price SSS skip to 6.5)								
6.4.1	Have you applied or received an exemption to Fixed Reference Price SSS?	SSS 2.5.6							
6.5	Calculation of unbundled bill								
6.5.1	Can you calculate all the charges required on the unbundled bill?	DRH							
6.5.2	Can you print a bill based on the bill presentation requirements in the DRH?	DRH 9							
6.6	Support for wholesale market customer billing								
6.6.1	Can you bill embedded IMO administered market participant load customers for distribution charges including dealing with line losses?	DRH							
	Can you bill IMO market participant load customers, with embedded delivery points, for retail transmission service?	DRH 11.3.2							
6.7	Support for other customers								
6.7.1	Can you bill a customer with new onsite load displacement generation over 1 MW as per chapter 11?	DRH 11							
6.7.2	Can you support billing for embedded distributors? (If applicable)								

Comments and Explanations

7 - Other Billing Options (Retailer Consolidated and Distributor Consolidated Billing)

LDCs must be able to provide distributor consolidated billing and retailer consolidated billing. The questions in this section address LDCs' ability to provide both billing options.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
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							

Comments and Explanations

8 - Retailer Management

As specified in the RSC, LDCs must have a Service Agreement and the necessary security arrangements in place for interaction with retailers active in their service area and be able to settle with them. The questions in this section address overall retailer management and retailer settlement.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
8.1	Negotiate Service Agreement								
8.1.1	Have you completed the mandatory Service Agreements (by the date determined by the OEB) 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?								

8 - Retailer Management (Cont.)

As specified in the RSC, LDCs must have a Service Agreement and the necessary security arrangements in place for interaction with retailers active in their service area and be able to settle with them. The questions in this section address overall retailer management and retailer settlement.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
8.4	Communicating with retailer on detailed customer charges including energy settlement charges based on EBT standards								
8.4.1	Can you send Meter Data Transactions (usage data) by customer to the retailer according to your meter read schedule (which is before noon of the fourth business day after the scheduled meter read date)?	EBT 5.2							
8.4.2	Can you correct and re-send the Usage Data to the retailer (i.e. the retailer sends you an Application Advice Reject)?	EBT 5.2							
8.4.3	Can you send the Invoice Transactions (for retailer consolidated) to the retailer no later than 12 business days after the Usage Transaction was sent?	EBT 5.3.4							
8.4.5	Can you accept or reject Invoice Transactions from the Retailer?	EBT 5.3							

8 - Retailer Management (Cont.)

As specified in the RSC, LDCs must have a Service Agreement and the necessary security arrangements in place for interaction with retailers active in their service area and be able to settle with them. The questions in this section address overall retailer management and retailer settlement.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
8.5	Processing of retailer monthly bill charges and invoicing the retailers through the EBT system								
8.5.1	Can you track and tabulate all relevant retail service charges for each retailer on a monthly basis?	DRH 11							
8.5.2	Can you send the Invoice Settlement (total and/or detail) to the retailer in a timeframe defined in the Service Agreement?	EBT 5.3.6							
8.5.3	Can you correct and re-send the Invoice Settlement (detail and/or total) when the retailer rejects the statement (i.e. retailer sends Application Advice Reject)?	EBT 5.3							

Comments and Explanations

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	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
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 v1.3?	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	Have you conducted your transaction test plan?	EBT App. G							
9.1.8	Do you meet all the requirements for EBT Document Flow and Processing Considerations	EBT App. G							

9 - EBT Communication (Cont.)

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	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
9.2	Receiving/retrieving transactions from the EBT system, in compliance with the communications, security, and functional acknowledgement protocols and standards.								
9.2.1	Can you generate functional acknowledgement messages for XML documents that are completely correct in format?	EBT 5, 5.7							
9.2.2	Can you generate functional acknowledgement messages for XML documents that are unreadable?	EBT 5							
9.2.3	Can you generate functional acknowledgement messages for XML documents that are readable, but have errors in the transaction formats?	EBT 5							
9.2.4	Can you receive functional acknowledgements and match them to the originating XML documents?	EBT 5, 5.7							
9.2.5	Can you receive functional acknowledgements and log any errors being reported?								
9.2.6	Can you split XML documents into XML transactions?	EBT 5.7							
9.2.7	Can you assemble XML transactions into XML documents?	EBT 5.7							
9.2.8	Have you developed a process for ensuring that Functional Acknowledgements have been received for all outstanding transactions in a timely fashion?								
9.2.9	Have you developed a process for ensuring that Application Advice transactions have been received for all outstanding transactions in a timely fashion?								

9 - EBT Communication (Cont.)

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	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
9.2.10	Have you developed a process for tracking and determining EBT transaction errors on an on-going basis?								
9.2.11	Do you have an ongoing process to examine the tracked EBT transaction errors and make changes to your systems and procedures to remedy these errors in the future?								
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	Have you tested your system in a simulated enrolment contest scenario?	EBT 7							

9 - EBT Communication (Cont.)

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	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
9.3.5	Is the time between an enrolment request and an enrolment response in compliance with the EBT Standards?	EBT 7							
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 Detail Cancel - Invoice Settlement Total - Invoice Settlement Total Cancel - Invoice Market Participant - Invoice Market Participant Cancel	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 to the above originating transactions?	EBT 5.3.6							
9.4.4	Does your system log Application Advice transactions with errors?	EBT 5.3.6							
9.4.5	Have you tested your system in a simulated settlement scenario?	EBT 7							
9.4.6	Does your system automatically make settlement adjustments when you cancel a Usage transaction?	EBT 5.3.7							

9 - EBT Communication (Cont.)

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	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
9.4.7	Can your CIS system make settlements adjustments based on the Invoice Bill Ready Cancel and Invoice Rate Ready Cancel transactions?	EBT 5.3							
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	Have you tested your system in a simulated invoicing scenario?	EBT 7							
9.5.5	Is the time between receiving an Invoice Bill Ready and sending an Application Advice (invoice response) in compliance with the EBT Standards?								

9 - EBT Communication (Cont.)

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	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
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 when someone has discovered that the Usage data was incorrect?	EBT 5.3							

9 - EBT Communication (Cont.)

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	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
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 - Meter Request - Application Advice (Meter Maintenance) - 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 - EBT Communication (Cont.)

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	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
9.7.2	Can you translate the following transactions from your CIS system into XML transactions? - Historical Payment Accept - Historical Payment Reject - Meter Accept - Meter Reject - Meter Maintenance - 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 above originating transactions?								

Comments and Explanations

10 - Service Transaction Requests

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

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
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): - The distributor's consumer account number - 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) - 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							
10.2	Customer Enrolment after validating STR								
10.2.1	Can you enrol a customer with a retailer?	EBT 5.1 RSC 10.5							

10 - Service Transaction Requests (Cont.)

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

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
10.2.2	Can you accept and process an Enrolment Request from a retailer, according to the EBT standards?	EBT 5.1 RSC 10.5							
10.2.3	If the retailer selects the next scheduled meter read date as the date of the enrolment, can you calculate the next scheduled meter reading date, taking into account any blackout period, and communicate this to the retailer in an Enrolment Accept transaction?	EBT 5.1 RSC 10.5							
10.2.4	Can you ensure that switches (enrolments or drops, or switches from one retailer to another) only take place on actual reads, not on estimated reads, unless there is agreement in writing from all affected parties?	EBT 5.1 RSC 10.5							
10.2.5	If a retailer selects a special read date as the date of enrolment, can you process the request and arrange for the reading?	EBT 5.1 RSC 10.5							
10.2.6	If it is not possible to meet the date requested by the retailer, can you initiate and issue a Service Transaction Request to notify the retailer, and arrange another date?	EBT 5.1 RSC 10.5							
10.2.7	If the special meter reading is unsuccessful, can you initiate and issue a Service Action Request to notify the retailer, as well as initiate a process for completing or terminating the transfer?	EBT 5.1 RSC 10.5							
10.2.8	If the special meter read is unsuccessful can you ensure that the retailer will not be charged for this service?	EBT 5.1 RSC 10.5							

10 - Service Transaction Requests (Cont.)

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

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
10.3	Customer Payment History								
10.3.1	Can you accept a Historical Payment Request from a retailer?	EBT 5.1.2 RSC 10.6.3							
10.3.2	Can you create and send an Historical Payment Accept or Reject transaction containing at least 1 calendar year of information within 5 business days after receipt of an Historical Payment Request?	EBT 5.1.2 RSC 10.6.3 RSC 11.3							
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 reject an enrolment if there is another pending enrolment in process for the customer?	EBT 5.1.1							
10.4.4	Can you create the Enrol Reject transaction if there is another pending enrolment in process for the customer?	EBT 5.1.1							

10 - Service Transaction Requests (Cont.)

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

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
10.4.5	Can you comply with the following requirements as detailed in the EBT standards: - Manage the 20 days contest period - Cancel the enrolment if requested by the customer - Cancel the enrolment if notified by either retailer - Send out status advice to notify of the cancellation if received - Notify retailers when the contest period is over - Process the drop for the first retailer, and enrolment with the second retailer	EBT 5.1.1							
10.5	Return customer from retailer to SSS								
10.5.1	Can you return a customer to SSS from a retailer?	EBT 5.1 RSC 10.5.5							
10.5.2	Can you accept and process a Drop Request received from a retailer according to the EBT standards?	EBT 5.1 RSC 10.5.5							
10.5.3	Can you notify the customer if the retailer requests a drop?	EBT 5.1 RSC 10.5.5							
10.5.4	Can you create a Drop Request transaction if requested by the customer according to the EBT standards?	EBT 5.1 RSC 10.5.5							
10.5.6	Can you create a Status Advice to cancel a drop if requested by the retailer or customer according to the EBT standards?	EBT 5.1 RSC 10.5.5							

10 - Service Transaction Requests (Cont.)

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

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
10.6	Change in billing options (retailer consolidated, distributor consolidated)								
10.6.1	Can you change a customer with a retailer from one billing option to another?	EBT 5.1 RSC 10.6.2							
10.6.2	Can you accept and process a Change Billing Request transaction received from a retailer according to the EBT standards?	EBT 5.1 RSC 10.6.2							
10.6.3	Can you create a Change Billing Option Accept or Reject transaction according to the EBT standards?	EBT 5.1 RSC 10.6.2							
10.6.4	Can you ensure that the change takes place on an actual meter read unless otherwise agreed to by the retailer?	EBT 5.1 RSC 10.6.2							
10.7	Termination of Service								
10.7.1	If a customer served by a retailer is terminating a service, can you initiate and issue a Service Transaction Request to inform the retailer of this change, and then process a drop transaction as required by the EBT standards?	EBT 5.1 RSC 10.5							
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 - Service Transaction Requests (Cont.)

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

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
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								
10.9.5	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							

Comments and Explanations

11 - End to End Testing

An end to end test using the EBT Hubs will be necessary to ensure that the retail market participants can send, receive and compile all required transactions. Each LDC is primarily responsible for its own end-to-end testing. Point to point tests between retail market participants (LDCs and retailers) are an alternative to using a Hub. The following section asks questions to ensure that the LDCs can perform all the required transactions according to the market design. The LDC should contact retailers active in their service area to enquire on their willingness to test with the LDC. If the retailer(s) declines the LDC's request to perform end to end testing or if there are no retailers available in the LDC service area, the LDC may still be required to conduct testing. Further guidance regarding this end to end testing issue will be forthcoming. If the retailer agrees to perform the end to end test, then the LDCs must complete the questions below.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
11.1	System ability to accept, process Service Transaction Requests from the retailer and interact with the retailer's system in compliance with the EBT Standards								
11.1.1	Have you tested with a retailer for the following: - Enrolment and Drop - Usage History request - Payment History request - Billing Option Change request	RSC 10 EBT							
11.2	System ability to generate and send usage transactions to the retailer								
11.2.1	Have you tested with a retailer for the following: - Non-interval meter services - Interval meter services - Unmetered services	RSC 10 EBT							
11.3	System ability to process bill-ready lines from the retailer in accordance with the EBT Standards								
11.3.1	Have you tested with a retailer in processing the bill-ready lines from the retailer?	RSC 7.2 EBT							

11 - End to End Testing (Cont.)

An end to end test using the EBT Hubs will be necessary to ensure that the retail market participants can send, receive and compile all required transactions. Each LDC is primarily responsible for its own end-to-end testing. Point to point tests between retail market participants (LDCs and retailers) are an alternative to using a Hub. The following section asks questions to ensure that the LDCs can perform all the required transactions according to the market design. The LDC should contact retailers active in their service area to enquire on their willingness to test with the LDC. If the retailer(s) declines the LDC's request to perform end to end testing or if there are no retailers available in the LDC service area, the LDC may still be required to conduct testing. Further guidance regarding this end to end testing issue will be forthcoming. If the retailer agrees to perform the end to end test, then the LDCs must complete the questions below.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
11.4	System ability to generate and transmit invoice and advice electronic transactions to the retailer								
11.4.1	Have you tested with a retailer for the following: - Sending settlement invoices for Distributor Consolidated Billing Bill-ready option to a retailer and have the retailer process the transactions - Sending Bill-ready invoice lines and settlement invoices for Retailer Consolidated Billing to a retailer and have the retailer process the transactions - Sending settlement invoices for retailer charges	RSC 7 EBT							

11 - End to End Testing (Cont.)

An end to end test using the EBT Hubs will be necessary to ensure that the retail market participants can send, receive and compile all required transactions. Each LDC is primarily responsible for its own end-to-end testing. Point to point tests between retail market participants (LDCs and retailers) are an alternative to using a Hub. The following section asks questions to ensure that the LDCs can perform all the required transactions according to the market design. The LDC should contact retailers active in their service area to enquire on their willingness to test with the LDC. If the retailer(s) declines the LDC's request to perform end to end testing or if there are no retailers available in the LDC service area, the LDC may still be required to conduct testing. Further guidance regarding this end to end testing issue will be forthcoming. If the retailer agrees to perform the end to end test, then the LDCs must complete the questions below.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
11.5	System ability to generate and transmit cancellation and correction electronic transactions to the retailer								
11.5.1	Have you tested with a retailer for the following: - Usage Cancel for Distributor Consolidated Billing Bill-ready option - Usage Cancel for Retailer Consolidated Billing option - Invoice Cancel for Retailer Consolidated Billing option	RSC 7 EBT							

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	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
12.1	Training of staff on the details of the different billing options								
12.1.1	Have you established a training plan 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 a training plan for retailer consolidated billing and 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 a general training plan covering the new rules and regulations for your call centre staff that includes delivery before market opening?								

12 - Staff Training (Cont.)

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	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
12.2	Training of staff on the new functions of the customer information system and enrolment system								
12.2.1	Have you established a training manual/plan for new functions of the customer information system and enrolment system, that includes delivery before market opening?								

Comments and Explanations

13 - Customer Communication

LDCs are required to communicate with their customers regarding a variety of subjects. The following questions address LDC communication requirements.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
13.1	Development of policies, procedures and scripts for customer interactions								
13.1.1	Have you communicated with your customers about the energy labelling of the power being provided?								
13.1.2	Have you communicated with your customers regarding the new bill and your SSS policy as per code requirement?	SSS Code 2.8.1							

Comments and Explanations

14 - Dispute Resolution

LDCs must have dispute resolution processes in place to resolve disputes with customers and retailers active in their service area. The following question addresses these requirements.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
14.1	Dispute resolution								
14.1.1	Do you have a dispute resolution process in place?	TDL Sec. 23 DSC 5.3.12 RSC App. C (Service Agreement) ARC 2.2.1							

Comments and Explanations

15 - Variance Accounts

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

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
15.1	Variance Accounts								
15.1.1	Can you handle RSVA requirements for power, wholesale market service charges, one-time, retail transmission network rates and retail transmission connection rate?	DRH 11.4.2							
15.1.2	Can you handle RCVA requirements for retail and STRs?	DRH 11.4.1							
15.1.3	Can you handle the PPVA requirements?	RSC 6.2.4 DRH 10							

Comments and Explanations

16- Other

The following questions address other LDC responsibilities.

#	Description	Reference	Stage One Response			Stage Two Response			Not Applicable
			Yes	No	Partially	Yes	No	Partially	
16.1	Connection Agreements								
16.1.1	Have you entered into a connection agreement(s) with an embedded generator(s) in your service area?	DSC 6.2.4							
16.2									
16.2.1	Have you estimated the number and frequency of enrolment transactions after the market opens? Please state your assumptions regarding frequency and volume of transactions in the Comments and Explanations section.								

Comments and Explanations