



Provision of customer information in the event of a retailer default situation

4 April 2014

Evaluate and make recommendations

- 1 The Standing Data Formats Group will:
 - (a) **discuss** the draft format for provision of customer information in the event of a retailer default situation
 - (b) **make amendments** to the draft format for provision of customer information in the event of a retailer default situation
 - (c) **recommend** whether, if at the end of the discussion, the consultation to interested parties for the provision of customer information in the event of a retailer default situation should be reviewed by the Standing Data Formats Group before it is released for consultation.

Background

Why did the Authority include retailer default provisions in the Code?

- 2 There are approximately 20 entities in New Zealand retailing electricity to customers. New retailers regularly enter the electricity market and, as with any market, there is also the prospect of a retailer exiting the market and ceasing to meet their contractual obligations, including to supply customers with electricity and to meet financial commitments.
- 3 To date, all retailers that have exited the New Zealand electricity market have done so without disruption of supply to customers and have met all financial obligations to the clearing manager and, to the Authority's knowledge, to all other market participants. However, the possibility remains of an unresolved event of default or similar event where a retailer is unable to meet outstanding financial commitments (retailer default situation).
- 4 The amendments to the Electricity Industry Participation Code 2010 (Code) will deliver long-term benefits to consumers and participants by:
 - (a) maintaining the confidence of consumers that the electricity market will maintain a reliable electricity supply in a retailer default situation
 - (b) maintaining the confidence of participants that the market arrangements will efficiently facilitate the resolution of a retailer default situation and will limit potential financial losses.

What is the process under the Code for retailer default provisions?

- 5 The Code prescribes a series of events, in a certain order, that will occur in the event of a default. This series of events is divided into blocks of three time periods. Briefly:
 - (a) *Phase 1: prompting a commercial solution: days 0 to 7:* indicates the time allotted for the retailer in default to either resolve the default or transfer its customers to another retailer.

- (b) *Phase 2: customers urged to switch retailers: days 8 to 14:* If, after seven days had elapsed, and the Authority considers the event of default has not been resolved or all of the retailer's customers have not been transferred to another retailer, the Authority will begin its advertising campaign. The advertising campaign will:
- (i) explain that the customer's retailer is in default, and that the Authority will suspend the defaulting retailer's right to trade and apply to the Rulings Panel for a termination of its rights to trade
 - (ii) urge the customer to switch to another retailer and provide practical information on how to switch retailers
 - (iii) explain that the customer has a period of seven days to switch retailers
 - (iv) explain that if the customer has not switched retailers within seven days, his or her contract with the retailer in default will be assigned to another retailer selected by the Authority and that the terms and conditions of the assigned contract will be those of the new retailer and not those of the retailer in default.
- (c) *Phase 3: transfer of remaining customers: days 14 to 17:* If, at day the end of day 14, the defaulting retailer still has one or more customers, the Authority will begin its assignment of those customers to recipient retailers. The Authority may do this via a two phase tender process, with a mandatory assignment at the end.
- 6 The Code provides that the Authority may request customer information from the retailer in default and that the retailer in default must provide this customer information.

Provision of customer information

- 7 Although the Code requires the retailer in default to provide its customer information, it does not specify a format for the provision of this customer information.
- 8 There is also a possibility that the retailer in default may choose not to, or may not be in a position to, provide customer information at the time of the default.
- 9 The Authority, in conjunction with discussions with some retailers, has produced a draft format for the provision of customer information. The draft format is based on EIEP 4, with additional fields clearly marked with underscores.
- 10 Once the SDFG has discussed and made amendments to the draft format for the provision of customer information, the Authority will be consulting on the specifics for the delivery of this format. The Authority will consult on four approaches for obtaining the customer information in the event of a retailer default situation. Please note the approaches described below are still in the scoping phase and may be different at the time of consultation:
- (a) *Status quo:* information will be obtained from the defaulting retailer at the time of the default. Include the provision of a standard format that may or may not be mandated and included in the retailer's (as a reconciliation participant) annual audit. A standard format would help when distributing the information to other retailers
 - (b) *All retailers provide a monthly file to the registry:* all retailers will be required, under the Code, to provide a standard file on a monthly basis to the nominated SFTP inbox. With this option, the standard format would be part of the retailer's (as a reconciliation participant) annual audit
 - (i) This information would be provided separately to the CS file in the event of an assignment of ICPs by the Authority.

- (c) *All retailers provide a monthly file to the registry that is uploaded into the CS file:* the file that is provided in paragraph 8(b) will populate the CS file in the event of a retailer default situation. Same criteria as above would apply, need to get additional costs from the registry.
- (d) *Read information and customer information contained in the registry:* retailers would populate the information in the registry at the time of a switch. This information would not be visible in the registry screens.

Attachments

- 11 The draft format for the provision of customer information in the event of a retailer default situation is attached as Appendix A.

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Discussion paper

3 April 2014

Version control

Version	Date amended	Comments
1st draft	3 April 2014	SDFG discussion document.

Draft

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Draft

1 Customer information in the event of a retailer default situation

Title:	Customer information in the event of a retailer default situation
Version:	1.0
Application:	This protocol applies to a trader to provide specific customer information to the Electricity Authority.
Participants:	Traders to the Authority
Code reference:	Schedule 11.5
Dependencies:	

Description of when this protocol applies

This protocol is used by the traders to provide the Authority with a "snap-shot" of the trader's customer base at a specific point in time. In the event of a retailer default situation, the Authority will distribute this information to the gaining trader.

Business requirements

1. The information in this protocol will be transferred via the EIEP registry hub.
2. This protocol will be used in the timeframes as and when agreed between parties.
3. A trader must use codes that are:
 - (a) Stipulated in this document, or
 - (b) Approved and published by the Electricity Authority; or
 - (c) determined in the registry and reconciliation functional specifications
4. Information provided in the file will be consistent with the terminology used in the Glossary of Standard Terms published by the Authority.
5. The file must contain all mandatory information, failure to provide the required information will result in the file being deemed as incomplete.
6. Information is to be provided in accordance with the following status codes unless otherwise specified:
 - O Optional
 - M Mandatory where applicable
 - C Conditional - Mandatory if available and required by recipient, otherwise optional
7. For address information the postal address is to be populated with the billing address including PO Box numbers and RD numbers). If the Trader uses the physical installation address as the billing address, then this is to be populated to the postal address fields.
8. When an international address is required the zip codes is to be applied in the post address post code field.

Comment [NG1]: This is subject to change

General requirements	
1.	If there are any conflicts between this document and the Code, the Code will take precedence.
2.	In general, all participants must provide the Authority with: (a) accurate information for all points of connection at which they are responsible for the current consumption period; (b) when available, revised information for all points of connection at which they have purchased or sold electricity during any previous consumption period; (c) any additional information requested in respect of any consumption period.
3.	It is the responsibility of participants and the Authority to meet the principles of the Privacy Act when exchanging customer details.

Data inputs

Event data	Format	Trader to Authority Distributor: Mandatory/Optional/Conditional	Validation rules
Header record type	Char 3	M	HDR – indicates the row is a header record type
File type	Char 7	M	Customer Information Listing - <u>CUSINRETRD</u>
Version of EIEP Field blank	Num 3.1	M	Version of EIEP protocol that is being used for this file.
Sender	Char 20	M	Name of sending party. Participant identifier to be used if the sender is a participant.
Sent on behalf of	Char 4	C	Participant identifier of party on whose behalf consumption data is provided.
Recipient Participant identifier	Char 4	M	Valid recipient participant identifier [note: this will most likely be the registry's participant identifier]
Report run date	DD/MM/YYYY	M	Date the report is run
Report run time	HH:MM:SS	M	Time the report is run
Unique File identifier	Char 15	M	Number that uniquely identifies the file
Number of detail records	NUM 8	M	Total number of DET records in report

Event data	Format	Trader to Authority/Distributor: Mandatory/Optional/Conditional	Validation rules
Report period start date	DD/MM/YYYY	M	Report run start date (inclusive)
Report period end date	DD/MM/YYYY	M	Report run end date (inclusive)
Utility type	Char 1	M	G (Gas) or E (Electricity)
File status	Char 1	M	I = Initial or R = Replacement or X = Replace only those ICPs contained in this replacement file

Event data	Format	Trader to Authority/Distributor: Mandatory/Optional/Conditional	Validation rules
Detail record type	Char 3	M	DET – indicates the row is a detail record.
ICP identifier	Char 15	M	ICP identifier means a unique identifier for an ICP created by a distributor in accordance with clause 1 of Schedule 11.1
Customer name	Char 100	M	Legal name or the name of the customer. Multiple names to be concatenated into one field
Phone Number Home	Char 15	C	Home land line phone Number
Phone Number Work	Char 15	C	Number person can be contacted at during business hours.
Phone Number Mobile	Char 15	C	Cell phone number
Fax number	Char 15	C	Fax number
Email address	Char 50	C	Email address
Postal free form	Char 30	C	All postal fields can be Null. But are mandatory if available
Postal address unit	Char 25	C	Sub dwelling number; Level of sub dwelling

Event data	Format	Trader to Distributor: Mandatory/Optional /Conditional	Validation rules
<i>Postal address num</i>	Char 25	C	Number issued by government agency or local government authority that identifies a point or location on a street for postal purposes.
<i>Postal address street</i>	Char 30	C	Official road name issued by government agency or local government authority.
<i>Postal Box/RD</i>	Char 30	C	Number assigned a postal delivery box or rural delivery number.
<i>Postal address suburb</i>	Char 30	C	A bounded locality within a city, town or shire principally of urban character.
<i>Postal address town</i>	Char 30	C	An officially recognised and named population centre, defined within a geographic boundary.
<i>Postal address postcode</i>	Char 30	C	The post code assigned by NZ post (zip code if outside NZ).
<i>Postal address country</i>	Char 30	C	The country for postal information
<i>Event date</i>	DD/MM/YY YY	M	In relation to an ICP, means the date on which an arrangement between a customer and a trader for the supply of electricity at the ICP comes into effect
<i>Disconnection restriction</i>	Char 1	C	"Y" for YES or "N" for No for Medically Dependent customers or other critical disconnection restrictions.
<i>Medical restriction type</i>	Char3	C	MDN if medical dependent customer notified. MDV if medical dependent customer verified.
<i>Customer no.</i>	Num 15	C	Trader's customer number. (the identifier that the trader assigns to the customer which remains the same across all the connections for the customer)
<i>Consumer no</i>	Num 15	C	Trader's consumer number defined as the trader's unique ID that links the premises and the consumer. If not available then use null.
<i>Customer Title</i>	Char 20	C	Separated customer title details

Event data	Format	Trader to Distributor: Mandatory/Optional /Conditional	Validation rules
<i>Surname</i>	Char 100	C	Separated customer surname details (populate with separated company name(s) if customer includes a company)
<i>First name</i>	Char 100	C	Separated customer first name details
<i>Finalled date</i>	DD/MM/YY YY	C	In relation to a ICP, means the date on which an arrangement between a customer and a trader for the supply of electricity at the ICP was terminated. For use in incremental files only.
<u><i>Last Read date</i></u>	<u>DD/MM/YY YY</u>	<u>M</u>	
<u><i>Last Read</i></u>		<u>M</u>	
<u><i>Last Read status</i></u>	<u>Char 1</u>	<u>M</u>	<u>A – Actual</u> <u>E - Estimate</u>
<u><i>Access information</i></u>		<u>M</u>	<u>Free form</u>
<u><i>Dog notes (?)/Hazards</i></u>		<u>M</u>	
<u><i>Last billed read</i></u>		<u>M</u>	
<u><i>Last billed read date</i></u>	<u>DD/MM/YY YY</u>	<u>M</u>	
<u><i>Last billed read status</i></u>	<u>Char 1</u>	<u>M</u>	<u>A – Actual</u> <u>E – Estimate</u>
<u><i>Last actual read date</i></u>	<u>DD/MM/YY YY</u>	<u>M</u>	
<u><i>Last actual read</i></u>		<u>M</u>	
<u><i>Last actual read status</i></u>	<u>Char 1</u>	<u>M</u>	<u>A - actual</u>

Protocol specifications

Protocol specifications	
1.	The information is to be provided as a comma delimited text file. Commas are therefore prohibited within fields. For customer names that require separation a tilde character (~) should be used. This is the only provision for the use of a tilde character.
2.	Each formatted file will consist of one or more records, with each record being a single line of text as - a carriage return character and a line feed character combination (ASCII characters 13 and 10) commonly used in Windows based programs, or - a line feed character (ASCII character 10) commonly used in Unix based programs, or - a carriage return character (ASCII character 13) commonly used in Mac based programs.
3.	Data fields within files are defined using the attributes in the table following these specifications.
4.	Matching of file names, code list values, etc, are to be case insensitive.
5.	Each data file will contain only one header but may contain any number of detail records.
6.	The first record of a file contains 'Header' information followed by zero or more detail lines.
7.	The following file naming convention is to be used with this file: Sender + Utility Type + Recipient + File Type + Report Month + Report Run Date + UniqueID# (e.g. hhmm run time, or ICP but limited to Char(60)) with an extension of .TXT and with the components concatenated using the underscore character, to assist readability. e.g. TRUS_E_UNET_CUSIN_200007_20000802_1232.TXT [Char4_Char1_Char4_ Char7_yyyymm_yyyymmdd_UniqueID.TXT]

Data outputs

2 Table of codes used in EIEP 4this protocol

2.1 Table 1 List of attributes to define data fields used in EIEP 4this protocol

Logical format	Data type	Rules	Example
INT (n)	Integer	ASCII representation of an integer number (ie no decimals), no leading zeros, no spaces, a leading "-" if negative (no sign if positive), with 1 to n digits. Numbers only: ASCII characters 48 to 57, and 45 where applicable.	INT (4) 12 -1234
NUM (n.d)	Decimal	ASCII representation of a decimal number (ie a rational number), no spaces, a leading "-" if negative (no sign if positive), with up n digits including up to (n minus d) digits to the left of the decimal place, and up to d digits to the right of the decimal place. For integers, the decimal point is not required. A decimal point on its own must not be used to	NUM (6.2) 123.45 1234.0 -12.32 NUM (6.3) -0.123 23.987 987.000 8

Logical format	Data type	Rules	Example
		represent zero (use "0") Trailing zeros are optional. No leading zeros other than when the number starts with "0." Numbers only: ASCII characters 48 to 57, and 45/46 where applicable.	
CHAR (n)	Text	Up to n characters (ASCII characters 32 to 43 and 45 to 126 only). As commas (ASCII character 44) are used as field separators, they must not be used within the field data (it is recommended that any commas found in source data be changed to a semi-colon (ASCII character 59) when files are created. Fields must not contain any leading or trailing spaces.	The quick brown fox
DATE	Date	ASCII format with: Year represented as: — YYYY for century and year Month represented as: — MM to display leading zero Day represented as — DD to display leading zero ASCII format for any separators used	YYYYMMDD e.g. 20050216 DD/MM/YYYY e.g. 16/02/2005
TIME	Time	ASCII in 24 hour format Hour represented as HH with leading zeros Minutes represented as MM with leading zeros Seconds represented as SS with leading zeros ASCII format for any separators used Note: both NZST and NZDT will be used and will be indicated as necessary	HH:MM:SS e.g. 13:15:01 HH:MM e.g. 13:15
DATETIME	Date/Time	ASCII format with same rules as both Date and Time Data Types	YYYYMMDDHHMMSS e.g. 20050216131501
NULL	Null	Field contains no data	

2.2 Table 2 ASCII character set for use within fields of EIEP-4 this protocol

Character	ASCII
32	Space
33	!
34	"
35	#
36	\$

Character	ASCII
64	@
65	A
66	B
67	C
68	D

Character	ASCII
97	a
98	b
99	c
100	d
101	e

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37	%
38	&
39	'
40	(
41	)
42	*
43	+
45	-
46	.
47	/
48	0
49	1
50	2
51	3
52	4
53	5
54	6
55	7
56	8
57	9
58	:
59	;
60	<
61	=
62	>
63	?

69	E
70	F
71	G
72	H
73	I
74	J
75	K
76	L
77	M
78	N
79	O
80	P
81	Q
82	R
83	S
84	T
85	U
86	V
87	W
88	X
89	Y
90	Z
91	[
92	\
93	]
94	^
95	_
96	`

102	f
103	g
104	h
105	i
106	j
107	k
108	l
109	m
110	n
111	o
112	p
113	q
114	r
115	s
116	t
117	u
118	v
119	w
120	x
121	y
122	z
123	{
124	
125	}
126	~

Glossary of abbreviations and terms

Act	Electricity Industry Act 2010
AMI	Advanced Metering Infrastructure
Authority	Electricity Authority
CBA	Cost-benefit analysis
Code	Electricity Industry Participation Code 2010
CSV	Comma separated values
EIEP	Electricity Information Exchange Protocol
FTP	File Transfer Protocol
GIP	Grid injection point
GXP	Grid exit point
ICP	Installation Control Point
kWh	Kilowatt hour
MA	Market Administrator
MUoSA	Model use-of-system agreement
NSP	Network supply point
POC	Point of connection
RM	Reconciliation manager
SDFG	Standing Data Formats Group
UFE	Unaccounted for electricity
UoSA	Use of systems agreement
XML	Extensible mark-up language