Oregon's Restructured Electric Utility Industry

Electricity Service Suppliers' Guide
Version 19 • September 2019

ESS Guide Version Log

Version	Date	Revisions
V. 1	Sept. 2001	First edition; precedes implementation of industry restructuring in Oregon.
V. 2	July 2003	Second edition; updates, additional details and clarifications.
V. 3	Mar. 2004	Third edition; network transmission, updates, additional details and clarifications.
V. 4	May 2005	Fourth edition; updates and clarifications including counting business days for enrollment deadlines.
V. 5	Dec. 2005	Fifth edition; clarifies customer account number requirement for DASRs.
V. 6	April 2006	Sixth edition; delete PGE bills all references and various clarifications.
V. 7	Sept. 2007	Seventh Edition; Updates from PGE's Rate Case, Stipulation 15; Clarifications on 17-digit customer's account number and new chapter on Confidentiality.
V. 8	Apr. 2008	Eighth Edition; Added Chapter 4, Maintaining or Changing the Business Relationship, deleted Chapter 13, Ending the Business Relationship and general edits.
V. 9	May 2009	Ninth Edition; Added Chapter 8, Acquiring Customer Historical Usage Data, net metering section, general edits
V. 10	Jan. 2010	Tenth Edition; Eliminated Shopping Credit & portlandgeneral.biz references; revised Transmission application process
V. 11	Jan. 2011	Eleventh Edition: modifications due to rate case including removing the monthly option and adding schedule 85; general edits
V. 12	Mar. 2012	Twelfth Edition: include online historical usage, solar payment option, changes from Order No 12-057; general edits
V. 13	Jun. 2013	Thirteenth Edition: Delete reference to Schedule 87; revise FAQ collateral requirements, update links & other edits.
V. 14	Oct. 2014	Fourteenth Edition: Add new Rate Schedules as a result of PGE Rate Case UE-262, Update Daily Pricing Index, Add Schedules 5 & 6 as result of FERC Order 789 and other minor edits.
V. 15	Jan. 2016	Fifteenth Edition: links edited throughout the document to point to new portlandgeneral.com Web page; new links to SB 1149; minor edits.

V. 16	October 2017	Sixteenth Edition: modifications due to EIM
V. 17	May 2018	Seventeenth Edition: modifications due to CC&B
V. 18	Aug. 2019	Eighteenth Edition: modification to Transmission Scheduling standard
V. 19	Sept. 2019	Nineteenth Edition: modification to Transmission Scheduling standard

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Version 19, September 2019

Table of Contents

1. About This Guide

This chapter describes the purpose of the Electricity Service Suppliers' Guide (ESS Guide) and describes other documents the Electricity Service Supplier (ESS) will need for participating in Oregon's restructured marketplace.

This chapter covers the following topics:

- What It Is
- What It Isn't
- How to Get a Head Start
- Regulatory Documents the ESS Will Need
- About This Version

1.1. What It Is

We wrote the ESS Guide to help ESSs accomplish the following:

- Understand our restructured marketplace
- Complete PGE's ESS application and registration process
- Understand how we maintain our business relationship
- Schedule and deliver energy in PGE's service territory
- Learn about the transmission and distribution services that PGE offers
- Conduct electronic business transactions
- Purchase and download customers' historical usage data
- Enroll or drop end-use customers from ESS services
- Learn about PGE's metering services
- Understand the end-use customer's billing options
- Understand how PGE bills the ESS
- Maintain confidentiality in communications

While the ESS Guide is a useful reference for ESSs participating with PGE in Oregon's restructured market, the ESS will also need to understand our current state and federal tariffs and rules. The other documents described below provide more detailed information.

1.2. What It Isn't

As useful as we have tried to make the ESS Guide, it is not a substitute for the federal and state regulations and corporate procedures that define our business environment. The ESS should become familiar with the actual regulatory documents since the provisions found there control Oregon's electric utility environment. Please note, this document may change with new tariffs, regulations, and business processes.

The ESS Guide is also not a handbook for ESS certification. Contact the Oregon Public Utility Commission (OPUC) for information about their certification process.

1.3. How to Get a Head Start

To review the contents of this Guide at a high level, see Chapter 14, Frequently Asked Questions for ESSs.

1.4. Regulatory Documents the ESS Will Need

Here is a listing of the state and federal documents the ESS should understand in order to participate in Oregon's restructured market. Note that tariffs and regulations are updated from time to time, so ESSs should review them for changes that may have been made after the publication of the current version of the ESS Guide. These documents are available online and links are provided in Chapter 15, For More Information.

- **PGE's State Tariff** – Administered by the OPUC
- **PGE's FERC Tariff** – Administered by the Federal Energy Regulatory Commission (FERC), also referred to as our Open Access Transmission Tariff (OATT)
- **ESS Service Agreement** – An agreement allowing an ESS to work with PGE.
- **Oregon Administrative Rules (OARs)** – Division 38, Direct Access Regulation
- **Senate Bill 1149** – Oregon's deregulation act
- **House Bill 3633** – Delaying implementation of SB 1149 until March 1, 2002
- **House Bill 3376** – Directs the Public Utility Commission to set a date on which Electricity Service Suppliers and electric utilities must announce estimated prices. It also states that retail electricity consumers who are eligible for direct access must be allowed at least three business days after the date set by the commission to elect whether to use direct access.

1.5. About This Version

This is PGE's seventeenth edition of the ESS Guide and contains changes because of PGE's entrance into the Western EIM, including details about accessing invoices via the STFP server, renaming of wholesale billing to transmission billing, adding information on the Energy Imbalance Report, and other edits.

2. Welcome to Our Restructured Marketplace

Nonresidential customers of Oregon's two investor-owned utilities may purchase their electricity from suppliers other than their utility. Oregon's restructuring laws unbundle electricity and billing from the services traditionally provided by the regulated utility, while metering, distribution and other services remain with the utility.

This chapter describes Oregon's restructured marketplace, and helps distinguish between the roles of the utility, the electricity supplier, and the customer. For more specific information about getting set up to do business in Oregon and with PGE, see Chapter 3, Getting Started.

This chapter covers the following topics:

- Who is Eligible to Participate in Direct Access?
- PGE's Role – Services We Provide
- Electricity Service Supplier's (ESSs) Role
- Oregon Public Utility Commission's (OPUC) Role
- Federal Energy Regulatory Commission's (FERC) Role
- Aggregators' Role
- Pricing Options for Large Nonresidential Customers
- Pricing Options for Small Nonresidential Customers
- Serving our Common Customers
- PGE's Special Energy Supply Contracts with Customers

2.1. Who is Eligible to Participate in Direct Access?

All nonresidential customers are eligible to participate in direct access and purchase retail electricity and certain ancillary services directly from an Electricity Service Supplier (ESS). Nonresidential customers must complete the term of PGE's applicable service under their rate schedule before enrolling with an ESS. If the customer selects direct access with an ESS, then the customer receives distribution delivery service from PGE under a corresponding Schedule 400 or 500 series. See PGE's OPUC Tariff for more information about these direct access schedules.

Because residential customers are not eligible for direct access, PGE will continue to serve residential customers in our service territory.

2.2. PGE's Role – Services We Provide

Transmission Services

PGE owns and operates transmission facilities in the marketplace. We are responsible for maintain the balance between supply and demand for electricity. Reliability and safety of the transmission system are our responsibility. We operate the transmission system to ensure that all transmission customers in our Balancing Authority have nondiscriminatory access to the transmission system to deliver electricity to customers.

For more information about PGE's transmission services, see Chapter 5, Scheduling Transmission for Direct Access.

Distribution and Metering Services

PGE owns and operates its own distribution and metering infrastructure, and it is responsible for the reliability and safety of delivering electricity to retail customers. We provide regulated distribution services to retail customers and other meter information services, as described in Chapter 6, Understanding PGE's Distribution Services and Chapter 10, Understanding PGE's Metering and Interval Data.

2.3. Electricity Service Supplier's (ESS) Role

ESSs must be registered with PGE and have obtained OPUC certification. For more information about registering with PGE, see Chapter 3, Getting Started.

PGE recognizes two types of ESSs:

- **Scheduling ESS** – These service providers schedule electricity into PGE's control area to serve the direct access loads for which the ESS has scheduling and settlement responsibilities. A Scheduling ESS is responsible for forecasting the requirements for serving its direct access loads and arranging for resources to meet the forecast. Each Scheduling ESS must have a Transmission Service Agreement with PGE and it is responsible for settling with PGE on transmission services, related ancillary services, and other transmission-related charges. For more information on the Transmission Service Agreement, see Chapter 3, Getting Started.

- **Non-Scheduling ESS** – Providers without energy scheduling capabilities must contract with a Scheduling ESS to provide transmission services including scheduling services required to deliver energy and power into our control area and settlement. PGE accepts only one Scheduling ESS per Non-Scheduling ESS.

2.4. Oregon Public Utility Commission's (OPUC) Role

The OPUC regulates the sale of retail electricity in Oregon through administrative rules and PGE's OPUC Tariff. The Commission also certifies and decertifies ESSs, as well as aggregators, to sell electricity to customers in Oregon. In certain cases, the OPUC may resolve disputes between ESSs and PGE.

2.5. Federal Energy Regulatory Commission's (FERC) Role

The FERC approves our Open Access Transmission Tariff (OATT) and related rate schedules. PGE follows the FERC Tariff (OATT) when supplying and billing for transmission services to ESSs. In certain instances, the FERC may resolve disputes between ESSs and PGE.

2.6. California Independent System Operator Corporation's (CAISO) Role

The California Independent System Operator (CAISO) provides PGE access to the Western Energy Imbalance Market, a real-time energy wholesale market. When energy is needed in real-time, the market automatically dispatches the lowest-cost electricity resources available to meet utility customer needs while optimizing use of renewable energy over a large geographic area. This follows CAISO's EIM Tariff administered by FERC. In certain instances, CAISO may resolve disputes between ESSs and PGE.

2.7. Aggregator's Role

Aggregators combine retail electricity customers into buying groups for the purchase of electricity and related services. Aggregators must use an ESS to deliver electricity and related services to the aggregator's customers. The OPUC certifies aggregators.

Aggregators who are not ESSs do not have a business relationship with PGE in the context of direct access. PGE cannot share confidential ESS or customer data with an aggregator.

2.8. Pricing Options for Large Nonresidential Customers

Large nonresidential customers have a demand of 30 KW and above.

Standard Offer Options

Large nonresidential customers may select one of PGE's Standard Offer options listed below.

- **Cost of Service Option** – Annual prices are posted for PGE service for a given service year. Price quotes are published on PGE's Web site on November 15th (or the following business day if the 15th is a weekend or holiday).

- **Daily Price Option** – Prices are based on the Intercontinental Exchange Mid-Columbia Daily on- and off-peak Electricity Firm Price Index, plus a kWh charge for wheeling and a charge for losses. The customer may select this option during an election window or may be placed on this option by default if they return to PGE service from an ESS outside of the November election window. The customer can move from this rate to service by an ESS through the applicable enrollment process.

To participate in the daily price option, the customer must opt-out of their annual cost of service option during one of our election windows.

> ***Important Note:***
> While customers can leave cost of service during any election window, customers can only return to cost of service during the November election window.
>
> Customers that choose service from an ESS or a daily pricing option from PGE may not select the cost of service option until the next service year.

For more information about PGE's Standard Offer options, see Schedules 83, 85, 89, and 90 of PGE's OPUC Tariff.

Direct Access Service from an ESS

Large nonresidential customers that choose to receive service from an ESS are required to opt-out of their annual cost of service rate during an election window. After the window closes, the ESS must then send in a Direct Access Service Request (DASR), an EDI transaction, to enroll the customer.

For more information about transactions see Chapter 9, Enrolling End-use Customers.

If the customer has selected a daily pricing option, after being placed on this option they are eligible to be enrolled by an ESS at any time.

For more information about Direct Access Service for large nonresidential customers, see Schedules 538, 583, 585, 589 and 590 of PGE's OPUC Tariff.

Other Large Nonresidential Pricing Options

If specific eligibility criteria are met, some larger customers may participate in the following additional rate schedules:

- **Cost of Service Opt-out Large Nonresidential (3 or 5 year option)** – Customers under these schedules can opt-out of annual cost of service for a fixed three year or a minimum five year option during an annual election window in September. These customers may choose to receive service from an ESS or continue to receive their service from PGE at a daily market rate. For direct access, the ESS must send in a request after the window closes to enroll the customer.
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- For more information, see **Schedules 485, 489 and 490 of PGE's OPUC Tariff**.

2.9. Pricing Options for Small Nonresidential Customers

Small nonresidential customers have a demand below 30 KW.

Standard Offer Options

Small nonresidential customers may select one of PGE's Standard Offer options listed below. For more information about options for small nonresidential customers, see Schedule 32 of PGE's OPUC Tariff.

- **Standard Offer Service** – Standard Offer Service is the default supply pricing option for small nonresidential customers.
- **Renewable Energy Resource Portfolio** – PGE offers Renewable Energy Resource Portfolio options to small nonresidential customers at the discretion of the OPUC.
- **Time-of-Use** – PGE offers Time-of-Use options to small nonresidential customers.

Direct Access Service from an ESS

Small nonresidential customers may elect to receive service under a direct access schedule without participating in an election window if they have completed the requirements of their current rate schedule. If the customer selects an ESS, they will receive service from PGE under Schedule 532 of PGE's OPUC Tariff. Small nonresidential customers who return to PGE from Direct Access Service before meeting the term requirement of Schedule 532 are charged the daily price as described in Schedule 32 of PGE's OPUC Tariff.

2.10. Serving Our Common Customers

PGE and the ESS serve the same customers. While the ESS now provides electricity and transmission services to the direct access customer, PGE continues to provide distribution, delivery and metering services. By working together, PGE and the ESS can ensure that our mutual customers receive the best possible service. For more information about communications

between PGE, the ESS and the customer, see Chapter 13, Respecting Confidentiality in Communications.

2.11. PGE's Special Energy Supply Contracts with Customers

Operation of a special contract approved by the OPUC prior to March 1, 2002, between a retail electric customer and PGE that extends beyond that date, will be governed by the terms of the contract. For more information, see Schedule 99 of PGE's OPUC Tariff.

2.12. PGE's Other Services

Eligible for Direct Access

- **Dispatchable Standby Generation** – This program utilizes the customer's standby generators to meet peak power demands. The generator is always available to back up the customer's facility in case of an outage, and is set up to operate with PGE's Power Supply department to eliminate service interruption. Customers receiving service on this schedule continue to be eligible for direct access. For more information about our Dispatchable Standby Generation program, see Schedule 200 of PGE's OPUC Tariff.

- **Load Reduction Plan** – This optional supplementary service allows participating end-use customers to voluntarily reduce electricity usage to PGE determined levels during an emergency curtailment in exchange for partial exemption from emergency curtailments. For more information, see Schedule 88 of PGE's OPUC Tariff.

- **Solar Payment Options** - Customers with solar generation may participate in the Solar Payment Option program under Schedules 215, 216, and 217. Customers with large, and some medium, generation installations who have acquired Market Based Rate Authority (MBRA) may participate in the "bid" option under the Solar Payment Option program. Customers with small, and some medium, generation installations may participate in the "net metering" option of the Solar Payment Option program. Under the net metering option, customers are issued a Solar Energy Adjustment Credit from the utility on their bill.

  Enrollment in direct access may impact the calculation of the Solar Energy Adjustment Credit for customers on the net metering option of the Solar Payment Option program. Customers who are considering enrolling in direct access who are on the net metering option of the Solar Payment Option program, or who are already enrolled in direct access and are considering installing solar generation with the intent to participate in this option, should contact their Key Customer Manager or PGE Business Services to discuss the potential impact on the Solar Energy Adjustment Credit.

  For more information on how to obtain MBRA, visit FERC's web site at https://www.ferc.gov/industries/electric/gen-info/mbr.asp

Not Eligible for Direct Access

- **Demand Buy Back** – This optional, supplemental service allows participating customers to voluntarily reduce their electricity usage in return for a payment, at times and at prices determined by PGE. Eligible customers must execute an agreement prior to being allowed to receive service under this rate schedule. A customer taking service under a direct access schedule is not eligible to participate in the Demand Buy Back rate schedule. For more information about Demand Buy Back, see Schedule 86 of PGE's OPUC Tariff.
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- **Net Metering** - Customers with on-site generation may participate in a net metering program under Schedule 203. For these customers, power that is generated on-site is subtracted from their total load and they are billed for the net value. A customer taking service under a direct access schedule is not eligible to participate in the Net Metering rate schedule.

3. Getting Started

A company interested in getting registered as an ESS in PGE's service territory should complete all of the steps described below within one year of PGE receiving a completed ESS Application. If these steps are not completed within a year, the process may need to be restarted from the beginning.

This chapter covers the following topics:

- Contact PGE's Direct Access Operations department
- Be Certified by the Oregon Public Utility Commission
- Submit PGE's ESS Application to Direct Access Operations
- Submit PGE's Transmission Application to Transmission and Reliability Services
- Complete PGE's Credit Review and Provide a Collateral Deposit
- Provide Certificates of Insurance
- Conduct Electronic Data Interchange Testing
- Sign the ESS Service Agreement

3.1. Contact PGE's Direct Access Operations Department

The best way to get started as an ESS in PGE's service territory is to contact PGE's Direct Access Operations Department. We have assembled a dedicated account management staff to support ESS participation. Contact information is provided in Chapter 15, For More Information.

An ESS Account Manager will work directly with the ESS to support the following steps in the registration process:

- Completing the required applications and agreements that the ESS will need to participate in PGE's service territory
- Tracking the ESS' progress and serving as the liaison for the ESS during the registration process
- Keeping ESS' information confidential. For more information on confidentiality, see Chapter 13, Respecting Confidentiality in Communications

After registration, the ESS Account Manager will continue to be the ESS' point of contact at PGE. The ESS Account Manager, along with other technical and support staff, will work with the ESS to resolve any day to day operational issues. Our goal is to respond within 24 hours to any questions or concerns an ESS may have about the following:

- Processing requests to enroll or drop direct access customers
- Answering questions about PGE invoices, remittances, and account balances
- Answering questions about meters or usage
- Resolving disputes

Besides PGE's ESS Account Manager, the ESS may also find the information they need by visiting PGE's Direct Access Operations Web page for up-to-date program information, or see Chapter 14, Frequently Asked Questions for quick answers to a number of questions.

3.2. Be Certified by the Oregon Public Utility Commission

Before an ESS can initiate service to retail customers in Oregon, the OPUC requires that the ESS complete a certification process. Although PGE may discuss the certification process with the ESS, we do not assist the ESS in the process of meeting OPUC certification requirements. Certification requirements are listed on the OPUC Web site. Also posted there are the current OARs that govern Oregon's restructured electricity market. For more information, see the Oregon Administrative Rules for Direct Access Regulation, Division 38.

3.3. Submit PGE's ESS Application to Direct Access Operations

The first step in the registration process is that an ESS must complete PGE's ESS Application. The ESS Application provides essential information about the ESS in the following areas:

- ESS contact information
- Credit information
- Payment information
- EDI technical information

The ESS should obtain the ESS application from PGE's ESS Account Manager, or from PGE's Direct Access Operations Web page. The ESS must return the completed application along with the required financial documentation as described in Rule K of PGE's OPUC Tariff, and the processing fee as described in Schedule 600 of PGE's OPUC Tariff.

3.4. Submit PGE's Transmission Application to Transmission and Reliability Services

In addition to PGE's ESS Application, a Scheduling ESS must submit an application for Retail Network Integration Transmission Service to PGE's Transmission and Reliability Services Department per PGE's FERC tariff. (Non-Scheduling ESSs must contract with a Scheduling ESS to obtain transmission service.) The application can be found on PGE's OASIS Web site at www.oatioasis.com/pge/index.html. Click on the "ESS Information" folder on the menu to find the application and instructions. The contact for Transmission and Reliability Services can be found by clicking on "Contacts" under "OASIS, Billing & Accounting Lead" position.

> ***Important Note:***
> The ESS Application and the Retail Network Integration Transmission Services Application are concurrent processes with two separate departments. Delay in submitting the Transmission Application can result in an overall delay of the ESS registration process.

If you have any questions regarding the Transmission application process, please refer to PGE's Open Access Transmission Tariff or contact the "OASIS, Billing & Accounting Lead" as posted under "Contacts" on OASIS.

Transmission Services Agreement

The Scheduling ESS must follow the procedures for arranging transmission service, and meet the conditions required of a transmission customer as described in PGE's FERC Tariff. Additionally, the Scheduling ESS must follow the requirements of North American Electric Reliability Corporation (NERC), the Western Energy Coordinating Council (WECC), the Federal Energy Regulatory

Commission (FERC), and the California Independent System Operator's (CAISO) rules for the Western Energy Imbalance Market (EIM).

Key requirements for a Scheduling ESS include:

- Obtaining and reserving transmission capacity
- Forecasting the requirements for serving direct access loads and arranging for resources to meet the forecast
- Providing power schedules
- Providing real power transmission losses
- Providing distribution losses for sub-transmission, primary and secondary service
- Settling with PGE on transmission services, related ancillary services, and other transmission-related charges as described in PGE's FERC Tariff (OATT)

All reservations for transmission capacity and ancillary services are made on PGE's Open Access Same-Time Information System (OASIS) Web site. For more information about making transmission service reservations and accessing our OASIS Web site, see Chapter 5, Scheduling Transmission for Direct Access.

3.5. Complete PGE's Credit Review and Provide Collateral

An ESS' participation in PGE's service territory is contingent upon meeting and maintaining the credit requirements described in Rule K of PGE's OPUC Tariff and Attachment L of PGE's FERC Transmission Tariff located on the OASIS Web site. The ESS may be eligible for unsecured credit, or may be required to provide collateral, which can be in the form of cash, a letter of credit, or unlimited parental guarantee.

After receiving a completed ESS Application and the required financial documentation, PGE conducts a credit review, determines creditworthiness and establishes collateral requirements. The ESS must include a credit department contact on its ESS Application. A PGE Credit Manager may work directly with the ESS' finance staff to complete the credit review. The credit review process will be completed within ten business days of PGE receiving a completed ESS Application and all relevant financial statements.

PGE must receive the ESS' collateral before we will sign the ESS Service Agreement or begin Electronic Data Interchange (EDI) testing.

3.6. Provide Certificates of Insurance

The ESS Service Agreement requires that the ESS provide us with certificates of insurance naming PGE as the additionally insured party. Insurance requirements include the following:

- Maintain a Workers' Compensation and Employer's Liability policy at the statutory minimum level endorsed to provide all state coverage, voluntary compensation coverage and occupational disease coverage.
- Maintain commercial general liability insurance for a minimum combined single limit of $10,000,000 for personal injury, bodily injury and property damage, in any combination of primary and excess liability policies.
- Maintain automobile liability insurance for all owned, non-owned and hired vehicles for a minimum combined single limit of $10,000,000 per accident for bodily injury and property damage, in any combination of primary and excess liability policies.

The ESS is asked to give the certificates of insurance to PGE's ESS Account Manager. We must receive the certificates of insurance before we will sign the ESS Service Agreement and before EDI testing may begin.

3.7. Conduct Electronic Data Interchange (EDI) Testing

EDI testing is the final step in the ESS registration process before signing the ESS Service Agreement and will begin once all other ESS registration requirements have been completed. Your ESS Account Manager will provide you with a copy of PGE's EDI Trading Partner Information Form, which must be completed and returned before EDI testing can begin. A PGE EDI Specialist will contact you with detailed instructions when it is time to begin EDI testing.

EDI transactions are necessary for Direct Access Service Requests (DASRs), invoices, payments and customer billing usage files. PGE's protocols for exchanging electronic data are described in PGE's EDI specifications. You can find these specifications at PGE's Direct Access Operations Web page.

For more detailed information about EDI testing, see Chapter 7, Conducting Electronic Business Transactions.

3.8. Sign the ESS Service Agreement

Scheduling and Non-Scheduling ESSs planning to do business in PGE's service territory must sign an ESS Service Agreement with PGE. Signing the ESS Service Agreement is the final step of the ESS business registration process. Once this agreement is signed by PGE and the ESS, the ESS can begin enrolling eligible customers for direct access.

4. Maintaining or Changing the Business Relationship

Once an ESS has completed PGE's registration requirements and signed an ESS Service Agreement with PGE, the ESS may begin operations in PGE's service territory. Throughout the course of the ESS' business relationship with PGE, there may be ongoing requirements that require attention. This chapter describes some of the contractual and other ongoing business requirements that are periodically reviewed, modified or renewed. It also addresses how to proceed should the business relationship between the ESS and PGE end.

If any issues arise regarding the business relationship, regardless of the circumstance, the first step should always be contacting the ESS Account Manager in the Direct Access Operations Department at PGE.

This chapter covers the following topics:

- Renewing the ESS Service Agreement
- Reviewing Collateral Requirements
- Retesting EDI Functionality
- Modifying or Ending the Relationship

4.1. Renewing the ESS Service Agreement

The ESS Service Agreement must be renewed annually for a fee of $200 as defined in Schedule 600 of PGE's OPUC Tariff. All of the requirements for doing business with PGE from the previous chapter must be current and a new ESS Service Agreement must be signed. If the ESS has been inactive and has had no EDI transactions for six months, EDI testing will need to be repeated prior to the renewal of the Service Agreement. The ESS Account Manager will assist the ESS in completing this process.

4.2. Reviewing Collateral Requirements

PGE will periodically review ongoing ESS business transactions to ensure existing ESS collateral amounts are sufficient. Collateral requirements and options, including cash, letter of credit and unlimited parental guarantee, can be found in Rule K of PGE's OPUC Tariff and Attachment L of PGE's Open Access Transmission Tariff. Additional collateral requirements may change as a result of changes in ESS enrollments or billings, or other business factors. Should a change in collateral be necessary, the ESS will be formally notified in writing. Per the FERC Tariff, the ESS has five business days from the receipt of a notice of change in credit or security requirements to fulfill these requirements. If you have any questions regarding collateral, please contact the ESS Account Manager.

4.3. Retesting EDI Functionality

DASRs, invoicing, and payment processing are conducted through electronic data interchange (EDI). If a registered ESS has not performed EDI transactions with PGE for at least six months, EDI retesting may be necessary before enrolling direct access customers.

Should an ESS change its bank, EDI software or third party EDI provider, PGE requires the ESS to complete EDI retesting. If the ESS changes EDI vendors, PGE will require additional EDI testing before the requested change can become effective. PGE needs to be notified as soon as possible of any modification to EDI processing by the ESS.

For more information on EDI retesting, please contact the ESS Account Manager.

4.4. Modifying or Ending the Business Relationship

The ESS Service Agreement is not assignable. Should the ESS perform any material changes, such as restructuring, change in ownership, name change, or any other material change, PGE may require the ESS to perform additional registration activities to ensure the new entity meets all of PGE's OPUC and FERC Tariff requirements for doing business in PGE's service territory. Because material changes can include many different scenarios, PGE encourages ESSs to discuss plans with their ESS Account Manager as soon as they begin planning to make those changes.

Sometimes material changes result in ending the business relationship. The relationship between the ESS and PGE may end under a variety of circumstances. These may include voluntary termination by either party or involuntary termination due to default of the ESS Service Agreement or the Transmission Agreement.

Because of the range of possible scenarios, it is critical that the ESS communicate with PGE as soon as possible of any actual or anticipated material change in its operations. By coordinating with PGE in advance, PGE and the ESS can ensure a smooth transition in which all contractual obligations are fulfilled and customers are provided seamless service.

5. Scheduling Transmission for Direct Access

This chapter explains the process an ESS uses to deliver electricity to a direct access customer in PGE's service area. The ESS should be familiar with PGE's requirements and procedures for the following activities:

- Securing transmission and ancillary services required to deliver electricity to our service territory.
- Scheduling energy deliveries to their customers.

Transmission and ancillary services requirements are regulated by FERC under PGE's FERC Tariff (OATT), which is available on PGE's OASIS Web site. The site also contains other information useful to the ESS participating in Oregon's restructured market.

This chapter covers the following topics:

- PGE's Transmission Requirements
- Reserving Transmission
- Scheduling Power During Outages
- Shedding Load in an Emergency
- Responding to an Operational Order to Deliver Electricity

5.1. PGE's Transmission Requirements

To serve customers in PGE's service territory, a scheduling ESS may need to make arrangements with the Bonneville Power Administration (BPA), PacifiCorp and possibly other control area operators such as the California Independent System Operator (California ISO) to other service points of delivery on PGE's transmission system.

An ESS must be either a Scheduling ESS and a transmission customer on its own accord, or assign a Scheduling ESS on its behalf. The Scheduling ESS is responsible for its own contractual arrangements with any Non-Scheduling ESS for which it is providing transmission and ancillary services. PGE bills the Scheduling ESS, as our transmission customer, for all transmission and ancillary service charges.

The Scheduling ESS must reserve transmission capacity and accurately schedule energy that it needs to serve its load. The Scheduling ESS also must make transmission reservations and schedule energy for any Non-Scheduling ESSs that it supports. PGE's FERC Tariff (OATT) regulates transmission service requirements and Energy Imbalance.

5.2. Reserving Transmission on OASIS

All reservations for transmission capacity and ancillary services are made on PGE's Open Access Same-Time Information System (OASIS) Web site.

To make transmission reservations, a Scheduling ESS must first gain access to PGE's secure OASIS Web site by registering with PGE's security credential vendor. The vendor provides instructions for installing their security credential software and provides passwords. The ESS pays the credential vendor's fees, and identifies its security officer and registered users. PGE's Security Officer coordinates the Scheduling ESS' access to PGE's OASIS Web site. For detailed information about registration with PGE's security credential vendor, see PGE's OASIS Web site.

Ancillary Services

Ancillary services are necessary to support the transmission while maintaining reliable operation of the transmission system. PGE's FERC Tariff lists the six ancillary services described below:

- **Schedule 1. Scheduling, System Control and Dispatch** – Schedules power that moves through any part of PGE's control area, and maintains the control area's balance of scheduled and actual interchanges.

- **Schedule 2. Reactive Supply and Voltage Control from Generation Sources** – Maintains transmission voltages on PGE's transmission system facilities. Generation facilities in PGE's Control Area are operated to produce or absorb reactive power.

- **Schedule 3. Regulation and Frequency Response** – Continuously balances generation and interchange resources with load and maintains scheduled interconnection frequency at sixty cycles per second (60 Hz). This service involves committing online generation that is increased or decreased, largely through the use of automatic generating control equipment, as required to follow moment-by-moment changes in load.

- **Schedule 4-R. Energy Imbalance Service** – Balances any differences between the scheduled and actual delivery of energy to a service point (SPID) located within PGE's control area over a single hour.

- **Schedule 5. Operating Reserve – Spinning Reserve Service** – Provides operating reserve that is online and immediately available to serve load in the event of a system contingency, such as the loss of a generating unit or the loss of a transmission path. Spinning reserve service may be provided by generating units that are online and loaded at less than maximum output and by non-generation resources capable of providing this service.

- **Schedule 6. Operating Reserve - Supplemental Reserve Service** –This is the portion of operating reserve that serves load in the event of a system contingency within a short period of time, but not immediately. Supplemental reserve service may be provided by generating units that are on-line but unloaded, by quick-start generation or by interruptible load or other non-generation resources capable of providing this service.

In its Transmission Service Agreement and OASIS request, the ESS must list the ancillary services it will purchase from PGE and which ancillary services the ESS will provide for itself.

A Scheduling ESS is required to purchase the following ancillary services from PGE:

- **Schedule 1:** Scheduling, system control, and dispatch service
- **Schedule 2:** Reactive supply and voltage control from generation sources
- **Schedule 3:** Regulation and Frequency Response
- **Schedule 4-R:** Energy Imbalance Service
- **Retail Network Integration Transmission Service** (see Attachment N of the Open Access Transmission Tariff)

A Scheduling ESS that schedules power from generation sources outside of PGE's control area will typically contract for ancillary services under Schedules 1, 2, 3, Retail Network Integration Transmission Service and Schedule 4-R in PGE's FERC Tariff. The charge for Schedules 1, 2, 3

and Retail Network Integration Transmission Service will be pursuant to Attachment N, Retail Network Integration Transmission Service Provided for Oregon Retail Direct Access.

Scheduling for Contingency Reserves

When a Transmission Customer makes its initial request for transmission service with PGE's Transmission & Reliability Services, it must indicate its provider for operating reserves. Scheduling ESSs may elect to contract with PGE or self-supply spinning and supplemental reserves. See Attachment N and Schedules 5 and 6 of PGE's FERC Tariff for more information.

Losses

Capacity and energy losses occur when PGE delivers electricity through our transmission and distribution systems. The Scheduling ESS must supply capacity and energy to compensate PGE for these losses. Distribution and transmission system losses are accounted for by grossing up the ESS' retail customers' hourly VEE usage to the transmission system point-of-receipt and applying the loss adjustment factors as shown in Schedule 600 of PGE's OPUC Tariff.

Forecasting for Energy Scheduling

The ESS forecasts the hour-by-hour load of its retail customers for each day. The ESS adjusts its load forecast to reflect loss adjustment factors, so the load forecast represents load at the transmission system point-of-receipt. PGE does not offer load forecasting services, so the ESS must use its own forecasting tool to develop its hourly loads. An ESS may purchase historical customer usage data to assist in forecasting and marketing to potential customers, as described in Chapter 8, Acquiring Customer Historical Usage Data.

Once the ESS has developed its load forecast, it submits an energy schedule to PGE that is a "good faith" representation of that load forecast.

Scheduling Electricity Deliveries

Once transmission service is reserved, the ESS must provide schedules of the energy it plans to deliver to PGE on behalf of its customers. When an ESS' customer is being served under an interruptible arrangement, the ESS notifies PGE of any interruption at the same time it notifies its customers, and adjusts its electricity schedule accordingly.

Schedules must be submitted on at least a day-ahead basis, with an hour-by-hour schedule provided for each transmission path reserved in accordance with PGE's FERC Tariff, requirements of the WECC, and energy tagging (E-tagging) practices of NERC. Schedules must be stated in increments of 1 MW per hour, with a minimum of 1 MW per hour. Specific scheduling instructions, procedures, and timeframes are available on the OASIS home page under "OASIS Business Practices." For more information on NERC's tagging standards, see the NERC Web site.

Proposed energy deliveries become valid schedules when all of the following parties are in complete agreement:

- Scheduling ESS
- Energy producer or source
- The control area in which the energy producer interconnects to the transmission system
- The control areas and transmission providers along the transmission path
- The PGE control area

PGE may require a Scheduling ESS to change its electricity schedule if we believe the electricity does not adequately represent the ESS' expected load.

Important Note:
An ESS that fails to submit an electricity schedule may be subject to penalty charges and immediate termination of its ESS Service Agreement.

Customer Generation and Scheduling

Direct Access customers with on-site generation may participate in the Solar Payment Option programs, but may not participate in Net Metering. Participation in this program may affect the measurement of a customer's load for scheduling and settlement purposes. The following practices will apply for settlement purposes.

Solar Payment Option

For energy imbalance calculations under schedule 4-R of PGE's FERC Tariff, the hourly settlements will be based on the total metered quantities.

Adjusting Schedules

A Scheduling ESS can make adjustments to balance its schedule to its load or to change the source of a schedule. Schedule adjustments are permitted up to 20 minutes before the start of the next clock hour, provided that the delivering and receiving parties agree to the adjustment.

A Scheduling ESS should schedule to ensure that any hourly schedule deviation be within the greater of +/ - 1% or +/- 1 MW of its hourly metered load. This is similar to the standard that PGE adheres to as a member of the CAISO Energy Imbalance Market. PGE Transmission may request that Scheduling ESS schedules be updated to adhere to this standard.

Curtailment

Curtailment is a reduction in service in response to a transmission capacity shortage caused by system reliability conditions. PGE relieves the constraint by curtailing transactions on a non-discriminatory basis. If multiple transactions require curtailment, to the extent practicable and consistent with good utility practice, PGE curtails service to network customers and transmission customers taking firm, point-to-point transmission service on a basis comparable to the curtailment of service to our native load customers. While we make curtailments on a non-discriminatory basis, non-firm, point-to-point transmission service is subordinate to firm transmission service.

5.3. Scheduling Power During Outages

To maintain deliveries to the majority of end-use customers, PGE may need to intentionally interrupt energy deliveries to some customers. We may do this automatically or manually. Conditions for delivery interruptions can include:

- Excessive power flows that threaten to damage or destroy transmission or distribution equipment and can only be reduced by interrupting service to end-use customers.

- System-wide deviations from the nominal 60 Hz frequency that can only be stopped by interrupting customer consumption. The threat of severe under-voltage conditions that can only be lessened by interrupting customer consumption.

As is the case with all electric utilities, there are limitations to PGE's obligation to provide services related to a **force majeure**. For more information, see PGE's Open Access Transmission Tariff and Rule K of PGE's OPUC Tariff.

5.4. Shedding Load in an Emergency

During a protracted regional energy shortage or short-term emergencies, PGE may initiate a Short Term Emergency Curtailment Plan to protect the performance, integrity, reliability, and stability of our transmission and distribution systems and any electrical system with which we are interconnected. An official action by the State of Oregon may request voluntary or mandatory load reductions at any time. PGE strives to manage curtailments smoothly and equitably, with minimal adverse effects on any one customer. PGE's Emergency Load Shedding Plan is included in Rule K and Rule N of PGE's OPUC Tariff.

5.5. Responding to an Operational Order to Deliver Electricity

To maintain the integrity of our electrical distribution system, PGE may issue an operational order for the ESS to deliver electricity on a one-hour notice. Upon receiving the order, the ESS must adjust its electricity schedule so it can deliver full capability for all its customers. For more information on an Operational Order to Deliver Electricity, see Rule K of PGE's OPUC Tariff.

6. Understanding PGE's Distribution Services

In Oregon's restructured electricity market, PGE continues to own and operate our distribution facilities, and to be responsible for the reliability and safety of the infrastructure that delivers electricity to all retail customers in our service territory. PGE provides to direct access customers the same distribution services we provide our own retail customers.

This chapter covers the following topics:

- Metering
- Distribution Facility Inspections and Repair
- Electric Service Disconnects and Reconnects
- Outage Management
- Voltage Maintenance and Testing
- Distribution Ancillary Services
- Distribution Line Losses
- Reactive Demand Service
- Outdoor Lighting Services
- Irrigation and Drainage Pumping

6.1. Metering

PGE owns and maintains meters for each retail electricity customer receiving distribution services. For more information about PGE's metering services, see Chapter 10, Understanding PGE's Metering and Interval Meter Data.

6.2. Distribution Facility Inspections and Repair

PGE inspects and repairs our power lines, poles, transformers, and other distribution facilities. We also maintain our distribution facilities, including repairing damage that results from distribution system outages.

PGE has the right, but not the obligation, to inspect any customer-owned installation, including all wiring, conduit, meter-bases, or supporting equipment up to the electric meter or service point of delivery, at any reasonable time according to Rule C of PGE's OPUC Tariff.

We do not repair customer-owned electrical facilities. If we are called out by a customer because of a problem with their electrical system, we may charge the customer for a trouble call according to Schedule 300 of PGE's OPUC Tariff.

6.3. Electric Service Disconnects and Reconnects

PGE disconnects or reconnects our distribution customers, regardless of who provides their electricity. A customer's electrical service may be disconnected for a number of reasons, including the following:

- Failing to pay a required deposit or regulated charges due for services rendered when there is a split bill
- Maintaining customer facilities that are unsafe or do not comply with state or municipal codes for electrical service
- Operating under dangerous or emergency conditions
- Road widening work, equipment repair or replacement or system upgrades

We will reconnect the customer's electrical service once the reason for disconnection has been resolved.

When the ESS bills all, PGE will not disconnect the electric service customer at the ESS' request due to nonpayment by the customer because the ESS is responsible for all charges to PGE. However, the ESS may return the customer to PGE.

6.4. Outage Management and Communication

PGE manages all outages on our transmission and distribution system. Transmission and distribution outages are categorized into the following types:

- Unplanned Distribution Outages – Localized outages that affect only a few customers, such as those caused by an automobile hitting a utility pole, or larger outages, such as those caused by a storm.
- Planned Distribution Outages – Shut-downs for construction or maintenance that may be initiated by PGE or the retail customer.
- Curtailments – Reductions in firm or non-firm transmission service in response to a transmission capacity shortage.
- Load Shedding – Loads curtailed in response to regional system problems that may result from a lack of generation or transmission system failures.

For more information about curtailments and load shedding, see Chapter 5, Scheduling Transmission for Direct Access.

Service Restoration

When responding to a major outage, PGE is required to restore service to the greatest number of customers as quickly as possible, with special consideration given to special conditions that involve public safety as well as critical customers that are essential to the public welfare. We cannot otherwise give priority restoration to any customer. PGE uses our pre-established restoration process over our entire territory. For more information about our service restoration priorities, see Rule C of PGE's OPUC Tariff.

Communications During Unplanned Outages

Direct Access Customers

During unplanned electrical outages, PGE's objective is to restore the customers' electrical service as quickly as possible. PGE staff will communicate directly with the end-customer about the status of restoring their electrical service.

> ***Important Note:***
> To avoid delays in reporting unplanned outages, the ESS' direct access customers should call PGE's outage and emergency response telephone numbers at 503-464-7777 or 800-544-1795.

ESSs

During larger unplanned outages, such as winter storms, the Direct Access Operations Department is available to provide general outage information. For information during an outage affecting direct access customers, the ESS should contact the ESS Account Manager.

Communications During Planned Outages

When outages are planned for maintenance or construction purposes, either by PGE or by the customer, communications are managed between PGE and the end-use customer through the Key Customer Manager or PGE Business Services. PGE is responsible for coordinating the service disruption and restoration with the customer.

If the customer's electricity schedule will be reduced or stopped to allow for the outage, the customer is responsible for notifying their ESS to stop and resume scheduling power for their load.

PGE may charge the customer for this service according to Schedule 300 of PGE's OPUC Tariff.

6.5. Voltage Maintenance and Testing

PGE maintains the voltage level in our service territory, and we provide a voltage testing service for customers who report voltage related problems. Our testing group visits the site to determine if a customer's voltage level is within standard limits or if there is a problem with our equipment.

6.6. Distribution Ancillary Services

To maintain distribution system reliability, PGE provides distribution ancillary services for retail customers. These include frequency regulation, load shaping, load following, reactive power, voltage control and other services. Fees for transmission and distribution ancillary services are included in our customer charges for Standard Offer Service. For direct access customers, the ESS pays PGE for transmission service and the customer pays PGE for distribution services.

6.7. Distribution Line Losses

To account for energy lost during delivery through our distribution system, the Scheduling ESS is responsible for scheduling and delivering distribution line losses, as described in Schedule 600 of PGE's OPUC Tariff.

6.8. Reactive Demand Service

Reactive demand is the maximum rate of delivery of Kilovars (kVArs) measured over a 30-minute period. Direct access customers may be charged for reactive demand service under the following schedules in PGE's OPUC Tariff:

- **Schedule 485** – Large Nonresidential (< 1,000 KW) Cost of Service Opt-Out
- **Schedule 489** – Large Nonresidential (> 1,000 KW) Cost of Service Opt-Out
- **Schedule 490** – Large Nonresidential Cost of Service Opt-Out (>4,000 kW and Aggregate to >100 MWa)
- **Schedule 549** – Irrigation and Drainage Pumping
- **Schedule 575** – Direct Access Service – Partial Requirements
- **Schedule 576R** – Direct Access Service Partial Requirements Economic Replacement Power Rider
- **Schedule 583** – Large Nonresidential Direct Access Service (31 – 200 KW)

- **Schedule 585** – Large Nonresidential Direct Access Service (201 – 1000 KW)
- **Schedule 589** – Large Nonresidential (>1000 KW) Direct Access Service
- **Schedule 590** - Large Nonresidential Direct Access Service (>4,000 kW and Aggregate to >100 MWa)

6.9. Outdoor Lighting Services

PGE offers three types of outdoor lighting services to direct access and Standard Offer customers:

- **Schedules 15, 515** – Outdoor Area Lighting
- **Schedules 91, 591, 595** – Street and Highway Lighting
- **Schedules 92, 592** – Traffic Signals
- **Schedule 491** Street and Highway Lighting Cost of Service Opt-Out
- **Schedule 492** Traffic Signals Cost of Service Opt-Out
- **Schedule 495** Street and Highway Lighting New Technology Cost of Service Opt-Out

Outdoor Area Lighting – PGE replaces lamps on a scheduled basis, or as soon as reasonably possible, after the customer or ESS notifies us that a lamp is not working. We charge the direct access customer for outdoor area lighting service according to Schedule 515 of PGE's OPUC Tariff.

Street and Highway Lighting – This service is available to direct access customers that are municipalities or agencies of state or federal governments. To qualify, the customer's electricity usage must be funded through taxation or property assessment. The customer also must use approved street lighting equipment. Typical uses include:

- Public streets and highways
- Public grounds and areas

For more information on street and highway lighting, see Schedules 491, 591 or 595 of PGE's OPUC Tariff.

Traffic Signals – PGE provides traffic signal service to municipalities or agencies of federal or state governments that meet the following criteria:

- Funds for payment of electricity are provided through taxation or property assessments
- Electricity is being purchased for traffic signals and warning facilities in systems containing at least 50 intersections on public streets and highways.

This Direct Access Service is only available to those governmental agencies receiving service under Schedule 92 of PGE's OPUC Tariff. For more information about this service, see Schedule 492 or 592 of PGE's OPUC Tariff.

6.10. Irrigation and Drainage Pumping

PGE offers irrigation and drainage pumping service to eligible nonresidential customers under Schedules 47 and 49 of PGE's OPUC Tariff. Large, nonresidential customers can receive Direct Access Service under Schedule 549.

7. Conducting Electronic Business Transactions

PGE uses three methods for electronically exchanging data and funds with ESSs: EDI, the SFTP server, and a secure ESS Web portal. To support the electronic transmission of data through EDI, PGE requires EDI testing to be completed prior to signing the ESS Service Agreement. Once they have completed PGE's registration requirements, ESSs will receive a link and login directions to the ESS Web portal and SFTP server.

This chapter covers the following topics:

- Methods for Electronically Exchanging Data
- Business-to-Business Transactions
- Establishing EDI Communications with PGE
- Re-testing EDI Communications

7.1. Methods for Electronically Exchanging Data

EDI (Electronic Data Interchange)

PGE's OPUC Tariff requires certain business transactions to be conducted through EDI (Electronic Data Interchange). The ESS must use EDI transactions for Direct Access Service Requests (DASRs), invoices, and payment transactions. For EDI transactions, PGE uses the ANSI X12 standard. Specifications for PGE's EDI transactions are available from your PGE ESS Account Manager or you can find the specifications on the Direct Access Operations Web page. There are technical specifications and sample documents for each of the EDI transaction sets that PGE uses (814, 810, 820 and 867).

ESS Web Portal

From PGE's secure ESS Web Portal, the ESS can request historical usage data. For assistance in using the Portal, the ESS Account Manager can assist you.

SFTP Server

From PGE's secure SFTP server, the ESS can download transmission invoice data, retail invoice data & on-cycle billing usage data, and historical usage data (requested from the ESS web portal). For assistance in using the SFTP server, the ESS Account Manager can assist you.

7.2. Business-to-Business Transactions

Retail Transactions

Enrollment-Related Direct Access Service Requests (DASRs)

PGE requires the ESS to perform enrollment-related requests (DASRs) using EDI 814 transactions. These requests include enrollments, changes, drops, and rescinds. For additional information about all types of requests, see Chapter 9, Enrolling End-Use Customers.

Historical Usage Data

An ESS may obtain historical usage to assist them in their marketing efforts. Historical usage data is posted to the ESS SFTP server in EDI 867 format by Service Point ID.

For additional information about requesting historical usage data, see Chapter 8, Acquiring Customer Historical Usage Data.

Invoices to the ESS

PGE uses three methods to deliver retail and transmission invoices to the ESS:

- **Summary information by EDI transaction** – The ESS receives summary-level invoice data from PGE via an EDI 810 transaction.
- **Invoice Summary and Detail by ESS SFTP server (Retail)** – The ESS will find summary and detailed information for their retail invoices on PGE's ESS SFTP server.
- **Invoice Summary and Detail by ESS SFTP server (Transmission)** – The ESS will find summary and detailed information for their transmission invoices on PGE's SFTP server. The transaction details of the invoices can be reviewed in the CSV supporting files.

Depending on the number of Service Point IDs enrolled, CSV files for transmission invoices may be too large to open in their entirety in Excel.

Payments between PGE and the ESS

Payments between PGE and the ESS are made through EDI 820 transactions. Multiple payments may be included in a single EDI envelope, if they are all for the same retail or wholesale account.

For more information on EDI 820 transactions, please see our specifications on the Direct Access Operations Web page.

> ***Important Note:***
> Do not include both retail and transmission payments in a single 820 EDI file. If payment is sent to the incorrect transmission or retail account number, the payment will be returned for re-submittal to the correct account. This may result in the application of late payment charges if the corrected payment is not received by the original invoice due date.

7.3. Establishing EDI Communications with PGE

Before an ESS can electronically enroll customers, it must be established as an EDI trading partner and complete EDI testing. The ESS will be provided with an EDI Trading Partner Form during the registration process. Once the EDI Trading Partner Form is received, a PGE Analyst will provide a set of test data and instructions for EDI testing to the ESS.

EDI testing involves verifying that the ESS can create properly formatted EDI transactions and transmit them over a Value Added Network (VAN). The ESS must successfully complete several EDI tests, including transactions for EDI 814s, 810s and 820s. EDI 814 transactions for each type

of request will be performed during testing. When testing payment transactions, PGE and the ESS will transfer small amounts of money (typically one cent) through their respective banks.

7.4. Re-testing EDI Communications

If a registered ESS has not submitted EDI transactions for at least six months, PGE may determine that EDI retesting is necessary before accepting new enrollment requests from the ESS. PGE will require additional EDI testing if the ESS changes EDI vendors, bank accounts, or banks, before the requested change can become effective. Any modifications to EDI processing by the ESS need to be communicated to PGE as soon as possible.

8. Acquiring Customer Historical Usage Data

Customer historical usage is available to registered ESSs for marketing purposes through PGE's ESS SFTP server. PGE has a formal authorization process that must be followed before customer historical usage data will be released to the ESS SFTP server. With a customer's written or online authorization, registered ESSs can acquire up to twelve months of historical usage data in EDI 867 format. Summary historical usage may be available free of charge, and may include monthly consumption or consumption at periodic intervals throughout the month. Interval usage can be purchased if available and is delivered in the increment at which it is metered. Historical usage is not available for unmetered accounts.

Historical usage is not available through this process to third-parties that are not registered ESSs. Interval data can be purchased by third-parties through other channels according to Schedule 300, Charges as Defined by the Rules and Regulations and Miscellaneous Charges of the OPUC Tariff. If a customer would like to release their data for purchase by a third-party entity, they should contact their Key Customer Manager or PGE Business Services to begin the authorization process.

> ***Important Note:***
> To allow adequate time for processing and ensure data is available in time for the window, authorization must be received by PGE at least two weeks prior to the start of an election window.

This chapter covers the following topics:

- Customer Authorization for Historical Usage
- Requesting Historical Usage from the ESS Web Portal

8.1. Customer Authorization for Historical Usage

Customers may authorize or revoke release of their historical usage data by two methods:

- Submitting an online authorization through their secure customer login on www.PortlandGeneral.com
- Sending a signed hard copy of the Direct Access Historical Usage Release Form to PGE

By either method, the customer authorizes PGE to release the last 12 months of historical usage for each customer account selected online or listed on the Direct Access Historical Usage Release Form. Any ESS may request the historical usage through the ESS Web Portal and download it through the ESS SFTP server. Historical usage data for all meters affiliated with the customer account number provided with the authorization will be released. If a hard copy form is submitted, historical usage will not be released without the inclusion of the ten digit customer account number. See below for an example of the customer account number.

(503)228-6322 or 1-800-542-8818
PortlandGeneral.com

Account # 0379370000

Previous Amount Due	0.08
Balance Forward	0.08
Current Charges	206.52

In both methods, customers need to check the box stating whether they are authorizing or revoking authorization.

Online Authorization

To authorize the release of historical usage online, customers will need to login to their secure customer account on PortlandGeneral.com. From the online Historical Usage Authorization Form, they can select the customer account numbers for which they would like to authorize the release of historical usage. Customers must be sure to choose the "Submit" button on the final screen to successfully authorize the release of historical usage.

> ***Important note:***
> ESSs, as well as energy consultants, should not request the customer's login due to the additional confidential customer information available other than historical usage after the login.

Signed Hard Copy of the Direct Access Historical Release Form

The most current version of the Direct Access Historical Usage Release Form is available to customers on PGE's Direct Access Operations Web page or on PGE's Web site. When they are ready to authorize the release of their data, it is recommended that they print a new copy of the form from the Web to ensure that it is the most up-to-date version.

Only one authorization form listing all of the customer account numbers to be released is needed. Failure to fill out the form properly may result in a delay in the availability of historical usage.

> ***Important Note:***
> Hard copy Direct Access Historical Usage Release Forms must be submitted with an original wet signature and should include all the customer account numbers for which the customer would like to release historical usage. Faxed or emailed authorization forms are not accepted.

Revoking Authorization for Release of Historical Usage

Once an authorization has been received, historical usage data is available to ESSs through the ESS Web Portal until the authorization is revoked. Customers must submit a separate revoke authorization to discontinue the availability of their historical usage.

Third-party Authorization for Release of Data

PGE does not accept authorization for the release of customer historical usage data to the ESSs from third-party vendors in the absence of a signed Letter of Authorization (LOA) from the customer. Historical usage release forms from third-party vendors must be accompanied by a signed LOA from the customer. Please note, failure to provide an adequate LOA from the customer with the release form may result in a delay in the availability of historical usage.

8.2. Requesting Historical Usage from the Web Portal

Historical usage is available to ESSs to request by Service Point ID on PGE's secure ESS Web Portal for all customer accounts where the required authorization has been submitted to PGE. The historical usage file will then be placed on the ESS Secure File Transfer Protocol (SFTP) server within 15 minutes for download. The ESS must obtain Service Point IDs from the customer in order to request historical usage. The customers can find the Service Point ID on their PGE bill or by calling PGE Customer Service. An ESS may not contact PGE to obtain this information.

PGE will post the following historical usage information by Service Point ID:

- Up to 12 months of interval or summary usage. The ESS will be charged the fee of $20 per Service Point ID as specified by the ESS Web Portal Historical Usage Download for Interval Data Charge in Schedule 600 of PGE's OPUC State Tariff. If less than 12 months of data are available, PGE will provide as many months as possible. We do not provide customer load usage shapes or statistical models.

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The ESS may also choose to obtain usage data directly from its prospective customer. Customers may provide either summary usage from their past bills or interval usage if the customer obtains interval data from PGE.

9. Enrolling End-Use Customers

Customers who choose to be served by an ESS must be enrolled by the ESS as a direct access customer. Enrollment information is sent electronically by the ESS using an EDI transaction called a Direct Access Service Request (DASR) for each customer Service Point ID (SPID) the ESS is to serve. This chapter explains the business processes that PGE and the ESS follow to enroll a direct access customer.

This chapter covers the following topics:

- Who is Eligible to Participate in Direct Access?
- Enrollment Requirements
- Direct Access Service Request (DASR) Fees
- Formatting the Customer Account Number
- Request Timeframes
- Enrolling Direct Access Customers
- Switching the Direct Access Customer
- Dropping the Direct Access Customer
- Requesting Changes in Options for a Direct Access Customer
- Enrollment Error Notices

> ***Important Note:***
> All requests submitted by a registered ESS will be automatically processed. It is the responsibility of the ESS to review EDI content for accuracy before submittal.

Any subsequent request submittals for the same Service Point ID will be processed following PGE's OPUC Tariffs and Rules. A thorough understanding of PGE's OPUC Tariffs and Rules and EDI specifications is necessary to avoid unintended outcomes from EDI transactions.

For more information about PGE's EDI specifications, see the Direct Access Operations Web page.

9.1. Who is Eligible to Participate in Direct Access?

All nonresidential customers are eligible to purchase retail electricity directly from an ESS. For more information about customer eligibility for Direct Access Service, see Chapter 2, Welcome to PGE's Restructured Marketplace.

9.2. Enrollment Requirements

Each participating customer must agree to receive Direct Access Service. The ESS must have written or electronic authorization from the customer before submitting a request to PGE. The ESS must maintain records to demonstrate compliance with this requirement, including a copy of the written or electronic authorization, for one year from the date the customer authorizes the enrollment. Upon request, the ESS must provide these records to the OPUC. The rules surrounding such authorizations are found in the Oregon Administrative Rules for Direct Access Regulation, Division 38.

Enrollment is by the customer's Service Point ID (SPID). The customers can find their Service Point ID on their PGE bill or by calling PGE Customer Service. An ESS may not contact PGE to obtain this information.

For an enrollment request to be accepted, customers must be on an eligible rate schedule and their account cannot be in arrears.

9.3. Direct Access Service Request (DASR) Fees

Enrollments and Drops

Where charges apply, PGE assesses a $20 fee from the ESS for each request submitted, whether it is accepted or rejected. DASR fees are applied to the following DASR transactions:

- Enrollments
- Drops

Please note, DASR fees are **not** charged for the following transactions:

- Rescinds
- Change of customer information

Information about the fees charged for DASR transactions can be found under “Switching Fees” in Schedule 600 of the OPUC Tariff.

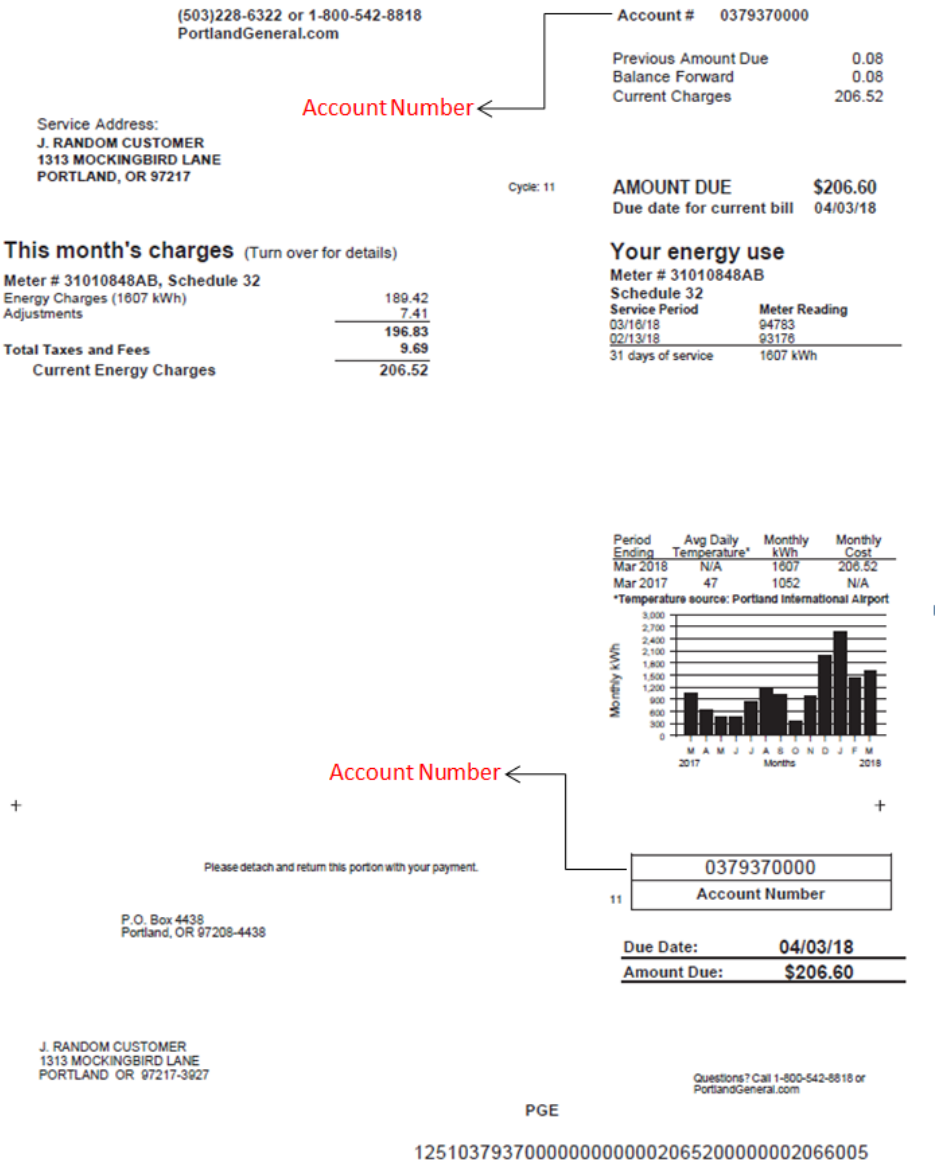
Change of Effective Date Request Fee

When PGE receives from the ESS a DASR requesting a change in enrollment effective date, PGE charges a Change of Effective Date Request Fee of $35 according to Schedule 600 of the OPUC Tariff.

This fee is applied when a specific effective date other than the assigned on-cycle effective date is requested through a DASR transaction. This fee is charged only if the request is accepted.

9.4. Formatting the Customer Account Number

Proper formatting of the customer account number in the DASR is necessary for it to be accepted. PGE’s electronic DASR enrollment process requires that the ESS provide a complete **10-digit** PGE customer account number in the request.



Example:
Customer's account number from a bill: 1234567891

9.5. Direct Access Service Request Timeframes

PGE's processing occurs within the timeframes listed below. All time periods shown are in business days, and all effective dates begin at midnight. PGE considers a business day to be from 8 am to 5 pm Pacific time, Monday through Friday, excluding Federal holidays.

Defining Business Days for Processing

Deadlines for processing can be tight due to the 13 business day requirement described below. A request must be received before 8:00 am of a given business day in order for that day to be counted as a business day for processing deadlines. If a request is received between 8:00 am and 5:00 pm of a given business day, then the following day is considered the first business day for the 13 business day requirement. Each request receives a timestamp from PGE's Value Added Network (VAN) in order to determine the exact time that a request is received or sent.

13 Business Day Requirement

PGE strongly recommends that all requests requiring effective dates (enrollments, change of enrollment effective dates, and drops) be submitted at least thirteen business days prior to the requested effective date. The thirteen days are comprised of the ten business day advance notice of the transaction required by PGE's OPUC Tariff, and the three business days allowed by the Tariff for PGE to respond to the request.

Since PGE cannot guarantee the amount of processing time that will be needed during the initial three business day period, the best strategy is to allow for the full thirteen business days when requesting a date.

Important Note:
Failure to provide the required number of business days may result in the rejection of a service request.

3 Business Day Response from PGE

PGE notifies the ESS of request acceptance or rejection by EDI transaction within three business days. PGE initially accepts and responds to all error-free requests.

In the event of an accepted request to switch a customer from one ESS to another, PGE provides notice within three business days by EDI transaction to the customer's current ESS of the customer's change to a new ESS.

The timeframes listed above are concurrent. For example, the 3 business day notification period is counted as part of the 13 business day requirement period.

9.6. Enrolling Direct Access Customers

PGE's enrollment process begins when the ESS submits an enrollment request to PGE. This is done electronically using an EDI 814 enrollment request transmitted via a Value Added Network (VAN). PGE accepts only the first enrollment received for a Service Point ID. Upon initial acceptance of an enrollment request, PGE may provide to the ESS account-specific information, excluding credit information.

For PGE-initiated transaction requests, such as a change request or drop request to the ESS from PGE, no EDI 814 response is required.

Ensuring Necessary Data is Included on the Enrollment Request

On each enrollment request, the ESS provides information that PGE needs to properly enroll the customer for direct access. The ESS obtains this information from its prospective customers. Some of the key request fields are listed below:

- Customer name and address
- PGE's 10-digit customer account number obtained from the customer's bill
- Service Point ID number obtained from the customer's bill
- Meter number obtained from the customer's bill
- ESS DUNS number
- Scheduling ESS DUNS number

For a complete reference of all the information required on a DASR, please refer to PGE's EDI specifications at the Direct Access Operations Web page.

Assigning the Effective Date

PGE will assign the effective date for Direct Access Service after the initial request has been successfully processed and PGE has verified installation of an interval meter with communications. PGE will then send the ESS a second and final 814 acceptance with the assigned effective date for the enrollment. The effective date assigned will be the customer's first applicable meter read cycle. After an effective date has been assigned, PGE may provide up to one year of summary or interval usage history. The ESS must send in a second request if they wish to change the assigned effective date.

Requesting a Change of Effective Date

After PGE accepts an enrollment and has notified the ESS of the effective date by the second 814 accept response, the ESS may request a change of the effective date. This would change the initial effective date from the assigned on-cycle date to the requested off-cycle date.

If the ESS would like to change the assigned effective date, the ESS must send in a second request. The requested effective date should be at least 13 business days from the date of the request in order to comply with the 13 business day requirement. The requested date may be sooner or later than the normal read cycle. If the ESS requests a change of effective date, PGE will charge the ESS a $35 Change of Effective Date Request Fee, as described in Schedule 600 of the OPUC Tariff.

> ***Important Note:***
> The change of effective date is only valid for the initial effective date. It does not change the billing cycle of the customer or affect future billing cycles. All subsequent billing usage is delivered on PGE assigned cycle dates.

Rescinding an Enrollment

A rescind is an EDI request by an ESS to withdraw an enrollment transaction prior to the effective date being assigned to the Service Point ID. A rescind typically is used when the ESS realizes a

mistake has been made with the enrollment request and desires to withdraw it before PGE assigns an effective date.

If an ESS thinks they will need to rescind an enrollment, they should contact the ESS Account Manager in Direct Access Operations prior to sending in the rescind request.

9.7. Switching the Direct Access Customer

To switch a customer from one ESS to another, the new ESS must send an EDI 814 enrollment request to PGE. Once the enrollment is accepted, PGE will send the incumbent ESS an EDI 814 drop with the effective date. As with a standard enrollment, the effective date is the next applicable meter read cycle date. To have the switch occur on an effective date other than the meter read cycle date, a change of effective date request will need to be submitted by the new ESS. Both the enrollment and change of effective date requests are subject to the thirteen business day requirement. If the change of effective date request is accepted, the incumbent ESS will be sent the new effective date. The new ESS is charged standard enrollment DASR fees.

Important Note:
Due to potential timing issues, PGE strongly recommends that ESSs coordinate on switch transactions to ensure that the customer is moved to the new ESS smoothly.

9.8. Dropping the Direct Access Customer

Returning a Customer to PGE at the ESS' Request

The ESS may return a customer to PGE at any time. To terminate a direct access customer and return them to PGE, the ESS sends PGE an EDI 814 drop request. PGE will send a Drop Accept response. The ESS that is dropping the customer is charged a $20 DASR fee for each Service Point ID returned to PGE. A billing usage file is provided within two business days after the drop date.

When returning a customer to PGE, the ESS should follow the thirteen business day requirement for DASR submission. If the thirteen business day requirement for DASR submission is followed, the customer will be returned to the daily price option of PGE's Daily Standard Offer.

Important Note:
If the thirteen business day requirement is not followed, the customer is placed on PGE's Emergency Default Service for five business days. After five business days, the customer is enrolled in the applicable price option of PGE's Standard Offer. For more information on Emergency Default Service, see Schedule 81 of PGE's OPUC Tariff.

Returning a Customer to PGE at the Customer's Request

Alternatively, the customer may contact PGE to initiate their return to PGE. After PGE receives the customer's written authorization, PGE will send a drop request transaction to the ESS. If the customer initiates a drop request, the customer is charged the $20 request fee.

When PGE has initiated a drop request on a customer's behalf, there is no EDI 814 drop response required from the ESS to PGE.

9.9. Requesting Changes in Options for a Direct Access Customer

An ESS is required to submit an EDI 814 transaction in order to request changes for certain allowed options for themselves or their direct access customers. The options are the following:

- ESS-assigned account number for a specific Service Point ID
- Authorized Scheduler for a Non-Scheduling ESS

9.10. Enrollment Error Notices

If PGE is unable to process an enrollment request, we will send the ESS an enrollment error notice, noting the reason why we could not complete processing. Enrollment error codes are listed in the following table. PGE does not correct any incorrect data submitted by the ESS on 814 transactions. Rejected transactions contain the original data submitted by the ESS to PGE.

Upon receipt of an error notice, the ESS must remedy the problem and submit a new enrollment notice to enroll that Service Point ID. We process the new enrollment request independently of the one that generated the error.

Error Codes

PGE uses the following error codes when notifying an ESS of a rejected enrollment request.

Error Code	Reason	Description
ANL	Invalid Scheduling ESS	Scheduling Coordinator is not valid
ANL	Invalid Enrolling ESS	Supplier is not valid
NMI	Invalid Service Point ID	Service Point ID not found for this account
A75	Service is not unbundled	Service Point ID specified is not unbundled
A91	Service is not electric	Service Point ID specified is not electric
UMA	Service is a non-revenue meter	Service is a non-revenue meter and is not eligible for enrollment
A79	Inactive service with service history	The electric service for this account is not active
ANE	Service is not eligible for enrollment	Service is not eligible for enrollment
A13	Invalid billing method indicated	Invalid billing option requested
ANE	Customer is in arrears	Customer is in arrears
NFI	Account not with current ESS for at least one bill period	Account with another ESS

Enrollment Validations

PGE uses the following validations to process an enrollment request.

Validation Type	Description
Validate Supplier	Supplier must be licensed Supplier cannot be suspended Supplier must be active Duplicate enrollments are not allowed: Duplicate transaction reference number sent Customer already enrolled or pending enrollment Account must exist Account must be active
Validate Service Level Data	Service Point ID must be found for this account The electric service for this account must be active, if not new construction Service Point ID must be for electric service Service must be eligible for enrollment
Validate Billing Method	Billing option must be valid
Customer Arrearage	Customer must not be in arrears with PGE

10. Understanding PGE's Metering and Interval Data

Metering services remain with PGE when a customer chooses to be served by an ESS. PGE owns and maintains meters for each retail electricity customer receiving distribution services. This chapter explains the metering requirements that support customers receiving power from an ESS. It also covers the types of interval meter data the ESS will receive.

This chapter covers the following topics:

- Standard Metering Services
- Metering Requirements for Direct Access
- Meter Installation
- Meter Testing
- Meter Reading Cycles
- Interval Meter Data

10.1. Standard Metering Services

PGE provides each retail electricity customer with metering services that are appropriate for billing and other requirements. All customers have a meter installed at their service point of delivery to register kilowatt-hour usage, and meters capable of registering demand, reactive demand and time of use are installed when required due to the customer's electricity usage or rate schedule. The meters and any meter transformers installed are PGE's property.

10.2. Metering Requirements for Direct Access

Interval Metering with Communications

For each customer Service Point ID enrolled to purchase electricity service from an ESS, PGE installs a meter capable of recording 30 minute interval usage data that can be collected through remote communications. Communications may include wireless network or phone line communication. Interval meters are installed for all enrolled customers regardless of the size of their load.

Unmetered Loads

Electricity service to fixed loads with fixed periods of operation – such as streetlights, traffic lights, television amplifiers, and other similar installations – may be unmetered. The customer is billed the estimated monthly usage designated under their rate schedule.

For unmetered loads that are enrolled in direct access, the ESS will received hourly load profile shaped data.

10.3. Meter Installation

Meter Location

Meters are to be installed on the outside of buildings at a location that is easily accessed by PGE personnel and by PGE's distribution lines. However, with PGE's prior approval, meters for nonresidential buildings may be located indoors if accessible to PGE personnel during scheduled crew hours.

If no satisfactory location for the meter is available on or in the customer's building, we may install the meter and related equipment on one of our utility poles or in an enclosure.

> ***Important Note:***
> Meters installed indoors or in enclosed areas may require telephone lines for communication purposes. Unusual physical characteristics around the meter socket may also require additional work by the customer to bring the site to a state in which metering communication is feasible. These conditions need to be resolved and communications to the meter established before enrollments can proceed.

Timeframe for Installation

Existing customer sites

A customer must have an interval meter with established communication before becoming active as a direct access customer. If one is not already in place, PGE has 30 days, from the date the enrollment request is accepted, to install an interval meter. Once an interval meter is installed and communications have been established, the enrollment can proceed for the customer to begin purchasing electricity from the ESS.

If a telephone line is required for communications to the meter, the enrollment cannot proceed until the telephone line is installed. Installation of a telephone line is handled jointly between the customer, the phone company, and PGE. The installation of communications equipment by PGE at the customer's site will require coordination with the customer. It is important that the customer facilitate the installation of any additional equipment required in an efficient manner to expedite the processing of their enrollment.

Newly constructed customer sites

PGE works with the customer to coordinate meter installation for new construction. The process for enrolling a newly constructed site for direct access involves PGE, the ESS and the customer, and is described in Chapter 9, Enrolling End-Use Customers.

Meter Exchanges

PGE exchanges meters when field reports indicate the meter is damaged or malfunctioning. When a meter is exchanged for a direct access customer, PGE forwards the meter exchange information to the ESS through an EDI 814 transaction. For more information about the EDI 814 file, you can find a link to the specifications on the Direct Access Operations Web page.

10.4. Meter Testing

PGE routinely tests a sampling of installed meters to help ensure that these instruments perform to national metering and quality standards. If a customer or ESS requests such a test more than once in a 12 month period, PGE charges a meter test fee as described in Schedule 300 of PGE's OPUC Tariff.

PGE does not allow devices to be placed on or in a meter or metering system that could adversely affect the accuracy or performance of the meter or metering circuit.

All company employees and company contractors who perform work associated with customer metering systems are trained to identify and report safety, security, revenue and other metering defect issues.

10.5. Meter Reading Cycles

For billing processes, PGE assigns each meter to a meter reading cycle date. There are twenty-one meter reading cycles each month. A calendar of the meter reading cycles can be found on PGE's ESS SFTP server. This calendar includes the due date for on-cycle billing usage files to be posted to the ESS SFTP Server. The meter read cycle cannot be changed upon request of the ESS.

10.6. Interval Meter Data

Several terms help describe the type of interval data the ESS receives.

VEE Usage Data (Validated, Estimated and Edited)

PGE's meter data management system utilizes data validation checks to identify anomalies in the interval meter data. VEE data has gone through all required validation checks in the VEE process and either passed them all or been verified.

Data anomalies may indicate issues at the meter or data recorder, which either inaccurately measured the customer's usage or caused the usage data to be missing. If the data was not valid due to an event at the meter or missing due to meter failure, data is estimated according to standardized calculations based on the customer's load. VEE data does not include Schedule 600 loss factors.

Billing Usage Data via the ESS SFTP Server

On-Cycle Billing Usage

On-cycle billing usage data is billing quality data that has been through the VEE process and any additional data quality verification. ESSs can obtain billing usage files from PGE's ESS SFTP Server within two business days of the meter reading cycle for each Service Point ID. Billing usage files contain 30 minute kilowatt-hour (kWh) interval usage in an EDI 867 format. Billing usage data does not include Schedule 600 loss factors.

If the ESS wants to calculate interval demand, then the ESS will need to use PGE's 30-minute kWh interval data.

For more information about the EDI 867 file, you can find a link to the specifications on the Direct Access Operations Web page.

Off-Cycle Billing Usage

In some instances, billing usage files may be posted off of the normal meter reading cycle. These may be due to circumstances such as drops by the ESS, account closures, or customers moving out of the location. In these cases, billing usage will be posted within 48 hours of the date last served by the ESS regardless of the customer's billing cycle. Billing usage data that has been corrected after the posting of an on-cycle file will be re-posted to the ESS SFTP Site off-cycle when the data correction is made.

Important Note:
ESSs will be able to identify billing usage files that contain corrected billing data by looking for "CO" in the appropriate EDI data field. For more information, see PGE's EDI 867 standard on the Direct Access Operations Web page.

Transmission Settlement Usage Data via the SFTP Server

Transmission settlement usage data is 60 minute interval data for the previous calendar month which has gone through the VEE process and any additional data quality verification to ensure accuracy. Settlement usage data is available with the transmission bill and can be viewed in the CSV formatted files. Transmission settlement usage data includes Schedule 600 loss factors. Hence, transmission settlement usage is equivalent to VEE data multiplied by the applicable Schedule 600 loss factors.

Historical Usage via the ESS Web Portal & SFTP server

With written permission from the customer, ESSs who are registered with PGE may request historical usage data in the ESS Web Portal by Service Point ID before enrolling the customer. Historical usage may be interval usage data or summary data and is posted in an EDI 867 format on the ESS SFTP server. Interval usage data is posted in whatever interval the data is measured at. For more information on how to acquire customer historical usage data, see Chapter 8, Acquiring Customer Historical Usage Data.

Meter Information Services

If the ESS would like to receive interval data on a schedule other than on-cycle billing usage data from the ESS SFTP server, they can purchase interval meter data through the Meter Information Services program. Contact the Direct Access Operations Account Manager for more information about this program. Additional information about this service including fees can be found under Schedule 320, Meter Information Services, of PGE's OPUC Tariff.

10.7. Acquiring Data from the ESS SFTP server

ESS may download historical usage data files from the ESS SFTP server. For more information on acquiring data through the ESS SFTP server, please see the ESS Web Portal Guide on the Direct Access Operations Web page.

10.8. Acquiring Data from the Customer

Customers may acquire interval metering data from PGE through Schedule 320, Metering Information Services, or through the Energy Tracker tool located behind their login on www.PortlandGeneral.com. Customers may contact their Key Account Manager or Business Services for more information and assistance in using these options.

11. Billing the End-Use Customers

Typically, the customer will receive two separate retail bills (Split Billing). The ESS will bill the customer for electricity and transmission and PGE will bill the customer for distribution services. If offered by the ESS, the customer may instead choose to receive one consolidated bill from the ESS (ESS Bills All).

This chapter covers the following topics:

- Two Billing Options
- Billing Responsibilities
- Information Included on Customer Bills
- Changing the Customer's Billing Option
- Customer Credit Requirements
- Customer Remittance
- Customer Collections
- Handling Customer Billing Inquiries

11.1. Two Billing Options

Customers purchasing electricity from an ESS may have the choice of two billing options.

Under all billing options, the three percent Public Purpose Charge must be broken out as a separate line item, regardless of who is responsible for billing. For more information about the Public Purpose Charge, see Chapter 12, Billing the ESS.

Split Billing

The customer selecting this option receives at least two bills every month. PGE sends a bill for distribution and other charges, and the ESS sends a bill for electricity and any other fees included under its agreement with the customer. The ESS is responsible for qualifying the creditworthiness of its customers for the portion it is billing.

ESS Bills All

Under this option, the customer requests that the ESS bills for both usage and transmission charges, and for PGE's distribution charges. PGE will bill the ESS for distribution and other charges. The ESS receives a credit from PGE for each bill sent to an end-use customer to compensate for PGE's avoided billing costs. The ESS is responsible for qualifying the credit worthiness of its customers, and is liable for all regulated charges from PGE. If the ESS has a negative adjustment requiring an EDI negative 810 (the EDI transaction type used for invoicing), that negative adjustment should be held until the next bill cycle. PGE does not accept negative 810s.

Even when the ESS bills for PGE's charges for Service Points enrolled in direct access, the customer will receive a bill from PGE under the following circumstances:

- The customer has Service Point IDs that are not enrolled with an ESS.
- PGE provides non-electric services, such as poles for outdoor lighting.
- PGE owns poles used for unmetered services, such as streetlights, served by an ESS.

11.2. Billing Responsibilities

ESS' Billing Responsibilities

The ESS must complete the following tasks in preparing the end-use customers' bills.

- All Billing Scenarios –
  - Issue a timely bill to the customer
  - Issue a timely corrected bill to the customer when PGE provides revised billing information.

PGE's Billing Responsibilities

PGE must complete the following tasks in preparing the end-use customers' bills. PGE is not responsible for computing or determining the accuracy of ESS charges.

- **All Billing Scenarios** – PGE will post on cycle billing usage data on the ESS SFTP server within two business days of the customer's meter read cycle.

- **ESS Bills All** – PGE will provide bill ready data for transmission and distribution charges within two business days of the customer's meter reading cycle.

11.3. Information Included on Customer Bills

- **Split Billing** – Bills issued by ESSs to their direct access customers must include the following items:
  - Meter reading dates
  - Number of units of service
  - ESS' telephone number
  - Customer Service Point ID number
  - Price and amount due for each service
  - Price and power source with environmental impact
  - Amount of the Public Purpose Charge

- **ESS Bills All** – Besides the items listed above, the customer bill must also include the following:
  - Privilege taxes
  - Transition charge or credit
  - Mandated legal and safety notices

For more information about billing information requirements, see Rule F of PGE's OPUC Tariff and Oregon Administrative Rules 860-038-0300.

11.4. Customer Credit Requirements

- **Split Billing** – End-use customers are subject to PGE credit requirements for the charges billed by PGE.

- **ESS Bills All** – If the ESS bills all, the ESS is responsible for establishing the creditworthiness of its end-use customers. The ESS is responsible for all regulated charges due to PGE, regardless of the end-use customer's remittance to the ESS.

11.5. Customer Remittance

- **Split Billing** – The end-use customer must remit payment to PGE for regulated and non-regulated charges billed to the customer by PGE.

- **ESS Bills All** – The ESS specifies remittance procedures for end-use customers who have chosen the ESS to perform their consolidated billing. The ESS is responsible for payment of all regulated charges assessed to it by PGE, per Rule F of PGE's OPUC Tariff.

11.6. Customer Collections

- **Split Billing** – PGE assesses late payment charges on its delinquent balances, per Schedule 300 of PGE's OPUC Tariff. If distribution charges are outstanding, PGE will begin a collection process including warnings of disconnect, payment arrangements or possible disconnection of the customer. Reconnection of the customer will include a reconnection fee, full payment or payment arrangements and a deposit.

- **ESS Bills All** – When the ESS bills its own charges, it is responsible for collections from the end-use customer. The ESS must pay PGE whether or not the customer pays the ESS. If the ESS does not pay PGE, then the ESS is subject to late pay charges according to Schedule 300 of PGE's OPUC Tariff and is subject to termination of the ESS Service Agreement.

The ESS assesses late payment charges according to its agreement with the customer. Under no circumstances does PGE perform collection actions on the ESS portion of the outstanding charges.

11.7. Handling Customer Billing Inquiries

- **Split Billing** – Under a split billing arrangement, the customer calls the ESS with questions about their ESS bill, and calls PGE with questions about their PGE bill.

- **ESS Bills All** – The customer calls the ESS with questions about their bill.

12. Billing the ESS

The ESS receives three types of invoices:

- A weekly bill for charges incurred under PGE's OPUC Tariff due in 15 days
- A weekly Energy Imbalance bill for charges incurred under PGE's FERC Tariff due in 20 days
- A monthly bill for charges incurred under PGE's FERC Tariff due in 20 days

An ESS only receives the retail and a transmission bill if they are doing their own enrolling and scheduling. If the ESS is using a scheduler, the Scheduling ESS receives the transmission bill and supporting detail.

An ESS that is scheduling for more than one Non-Scheduling ESS receives only one consolidated monthly transmission bill, and will not receive a separate transmission bill for each ESS that they support.

PGE transmits invoices to the ESS as EDI 810 transactions. For more information on EDI transactions, see Chapter 7, Conducting Electronic Business Transactions.

The ESS is responsible for payment of all charges according to the ESS Service Agreement, even if these charges are in dispute. Disputed charges are resolved through the process outlined in the ESS Service Agreement.

This chapter covers the following topics:

- Weekly Charges Under PGE's OPUC Tariff
- Charges Under PGE's FERC Tariff
- Receiving the ESS Bill
- Making Electronic Payments
- Terms of Payment

12.1. Weekly Charges Under PGE's OPUC Tariff

Split Billing

Billing and Support Fees

PGE charges the ESS for a variety of enrollment, billing and support fees, as further detailed in the following schedules of the OPUC Tariff:

- **Schedule 300** - Charges as Defined by the Rules and Regulations and Miscellaneous Charges
- **Schedule 320** - Meter Information Services
- **Schedule 600** - Energy Service Supplier Charges

Some of the more common charges include:

- **Direct Access Service Request Fee** – The ESS is charged a fee for each customer enrollment or drop request initiated by the ESS, whether the request is accepted or rejected. The request does not apply to rescind or change requests.
- **Change of Effective Date Request** – A change of effective date request fee is charged when the ESS requests a change of effective date transmitted in a separate DASR. The fee is

applied when the effective date is not on the customer's regular meter read cycle and requires special processing.
- **Annual Renewal Fee** – The ESS is charged an annual renewal fee for the renewal of their ESS Service Agreement. This will be charged on the anniversary of the renewal.

ESS Bills All

Billing and Support Fees

PGE charges the ESS for a variety of enrollment, billing and support fees, as further detailed in the following Schedules of the OPUC Tariff:

- **Schedule 300** - Charges as Defined by the Rules and Regulations and Miscellaneous Charges
- **Schedule 320** - Meter Information Services
- **Schedule 600** - Energy Service Supplier Charges

See above for a listing of more common charges under these schedules.

Consolidated Billing Credit

Where the ESS selects the billing option of ESS Bills All, PGE will provide a credit to the ESS for each bill sent to an end-user to compensate for PGE's avoided billing costs.

Customers' Distribution Charges

The ESS' weekly invoice from PGE will include distribution charges for some or all of the following services, as defined by the indicated schedules in PGE's OPUC Tariff. When ESS Bills All, the ESS is responsible for paying PGE's distribution charges regardless of payment by the end-use customer.

- Large Nonresidential Cost of Service Opt-out (Schedule 485 and 489)
- Outdoor Lighting (Schedule 515)
- Small Nonresidential (Schedule 532)
- Irrigation and Draining (Schedule 549)
- Direct Access Service Partial Requirements (Schedule 575)
- Direct Access Service Partial Requirements (Schedule 576R)
- Large Nonresidential (Schedule 583, 585 and 589)
- Street and Highway Lighting (Schedule 591)
- Traffic Signals (Schedule 592)

Public Purpose Charge

The OPUC requires PGE and the ESS to collect a three percent Public Purpose Charge (PPC) from its end-use customers to support energy efficiency, renewable energy resources, and new low income weatherization. The PPC is defined as "three percent of the total revenues billed to those

consumers for electricity services, distribution, ancillary services, metering and billing, transition charges, and other types of costs that were included in electric rates on July 23, 1999" (OAR 860-038-0480). See Schedule 108 of PGE's OPUC Tariff.

The ESS remits to PGE the PPC based on the following:

- **PPC computed by PGE and invoiced to the ESS** – PGE computes the PPC for its charges and submits these charges to the ESS to bill to the customer. These charges are included on PGE's retail distribution invoice to the ESS, and are due under PGE's payment terms. These PPC charges must be paid by the ESS regardless of payment by the end-use customer.

- **PPC calculated by the ESS and invoiced to the customer** – The ESS computes the PPC for its charges and bills the end-use customer. The ESS remits the funds collected for the PPC on ESS charges from its customers on a monthly basis, no later than the fifth day of the month following the month in which the funds were collected.

Low Income Assistance

State Law requires electric companies to collect funds to provide assistance to low income customers. For more information, see Schedule 115 of PGE's OPUC Tariff.

PGE computes low income assistance and submits these charges to the ESS to bill to the customer. These charges are included on PGE's retail distribution invoice to the ESS and are due under PGE's payment terms. These charges must be paid by the ESS regardless of payment by the end-use customer.

Adjustment Schedules

There are also several Adjustment Schedules. See Schedule 100 of PGE's OPUC Tariff for a complete listing of Adjustment Schedules.

Privilege and Other Taxes

Franchise fees are imposed on utilities by the cities of Oregon in exchange for the right to conduct utility business within city limits and occupy city streets and public ways. These fees are based on a percentage of gross revenues, and they vary by municipality. Amounts owed to a municipality greater than 3.5 percent of gross revenue are called a privilege tax and are billed directly to customers residing in that municipality.

PGE computes the privilege tax and submits these charges to the ESS to bill to the customer. These charges are included on PGE's retail distribution invoice to the ESS, and are due under PGE's payment terms. Privilege taxes must be paid by the ESS regardless of payment by the end-use customer.

Other taxes such as State, county, or city are the responsibility of the ESS. See Oregon's Secretary of State Office Web site, http://www.sos.state.or.us/ for more information about taxes.

12.2. Monthly and Weekly Transmission Charges Under PGE's FERC Open Access Transmission Tariff (OATT)

PGE bills the Scheduling ESSs for transmission charges related to serving its direct access customers. The Scheduling ESS is responsible for obtaining and paying for transmission services. The transmission bill includes charges regulated under PGE's FERC Tariff. Payment for

transmission charges is due within 20 days, and it must be made electronically using EDI transactions. For more information about PGE's transmission services, see Chapter 5, Scheduling Transmission for Direct Access.

The ESS' monthly transmission invoice will include charges for the following:

- **Schedule 1.** Scheduling, system control, and dispatch
- **Schedule 2.** Reactive supply and voltage control from generation sources
- **Schedule 3.** Regulation and frequency response
- **Schedule 5 & 6.** Operating reserve, spinning, and supplemental
- **Attachment N of the OATT.** Retail Network Integration Transmission Service
- **Schedule 1A of the OATT.** EIM Administrative Costs
-
- The ESS' weekly transmission invoice will include charges for the following:
- **Schedule 4-R**. Energy imbalance
-
- For further information, refer to the EIM Business Practice posted on PGE's OASIS site.

Billing Determinants – Monthly

PGE uses the following billing determinants in calculating our monthly transmission services invoices to the ESSs. For a comprehensive list of billing determinants for each bill, please contact PGE's Transmission and Reliability Service Group.

- **Monthly Metered Demand** – PGE calculates charges for transmission capacity and some ancillary services for each Retail Network Integration Transmission Service Agreement. Reactive Network services are billed by metered non-coincident peak demand, not reserved capacity.
- **Direct Access Customer Usage** – PGE aggregates hourly customer usage data for each Scheduling ESS. Usage data is adjusted for transmission and distribution losses from the customer's metered voltage level to the transmission system point-of-receipt. For more information about PGE's loss adjustment factors, see Schedule 600 of PGE's OPUC Tariff.
- **Schedule 1A** – EIM Administrative Services assigned to the PGE EIM Entity shall be sub-allocated to Transmission Customers on the basis of Measured Demand for the month in which the EIM Administrative Costs were incurred.

Billing Determinants – Weekly

- **Schedules** – PGE uses the hourly energy schedules submitted by Scheduling ESSs to settle energy imbalance service. To calculate energy imbalance, PGE compares the hourly energy schedules to the hourly actual usage of the ESS customer aggregated by the ESS.
- **Energy Imbalance Charge (EIC)** – The EIC, computed on an hourly basis, trues up the differences between the energy scheduled by an ESS and what was actually used by the ESS' customers. For more information, see Schedule 4-R of PGE's FERC Tariff.

12.3. Receiving the ESS Invoices

PGE submits transmission and retail distribution invoices to the ESS using an EDI 810 transaction.

Retail EDI 810 Invoice

The retail EDI invoice contains the following summary information:

- Invoice number
- Invoice date
- Billing period, 7 days
- PGE's distribution charges, total for invoice
- DASR processing fees
- Billing and support fees
- Late payment charges, if applicable
- Other miscellaneous charges or credits, e.g., billing adjustments, if applicable
-

Transmission EDI 810 Invoice

The Transmission EDI invoice contains the following summary information:

- Invoice number
- Invoice date
- Billing period
- **Schedules 1, 2, 3.** Reactive Network Integration Transmission Service (RNITS) Network Services
- **Schedules 5 & 6.** Network Integration Transmission Service (NITS) Network Services
- Weekly Energy Imbalance
- Late payment charge, if applicable
- Other miscellaneous charges or credits, e.g., billing adjustments, if applicable
-

Transmission Billing Determinant CSV Files

PGE will provide the ESS via SFTP with 4 comma separated value (CSV) files that provide all the billing details.

- Billing ESS RNITS Stmt Detail - This is the file that contains the summary of your transmission charges; we'll also send this as a PDF for your reference.
- PGE Retail Network Integration Transmission Report - This is the file that contains the non-coincident peak demand for each of your customers, the total peak and the charges that are generated using demand.
- PGE Retail Transmission EI Report -This is the file that contains your Energy Imbalance (energy scheduled vs. energy used and the charges that are generated based off of this).
- Pge_ess -This is the file that contains hourly POD by POD usage data of your customers. Aggregated together it is used to calculate your transmission charges

12.4. Making Electronic Payments

Payments between an ESS and PGE for transmission and retail invoices must be made electronically via EDI transactions in U.S. dollars. The following types of transactions fall into this category:

- Payment of an invoice by an ESS to PGE
- Payment of a credit balance invoice by PGE to an ESS

- Balances, either debit or credit, will not be carried forward

Contact a PGE ESS Account Manager for the specifications of the appropriate electronic payment transaction.

12.5. Terms of Payment

PGE's retail and transmission invoices are due on different schedules, as summarized in the following table.

Invoice Type	Frequency	Due	Governing Tariff
Retail (Distribution)	Weekly	15 days	OPUC
Transmission	Weekly & Monthly	20 days	FERC
Invoiced PPC ("ESS bills all" only)	Weekly	15 days	OPUC
Uninvoiced PPC	Monthly	5th of month following the month that PPC funds were collected	OPUC

The ESS is responsible for payment of all charges assessed by PGE. Payment must be made in U.S. dollars. Billings unpaid by the due date are subject to a late payment charge. Transmission late payment charges are applied according to PGE's FERC Tariff and retail late payment charges are applied according to PGE's OPUC Tariff. PGE charges disputed by the ESS are still payable by the due date. Failure to pay charges by the payment due date may result in suspension of new enrollments, and this may subject the ESS to other actions as detailed in the ESS Service Agreement. If an ESS uses another ESS to do the scheduling of its transmission services, then the Scheduling ESS is responsible for payment of the transmission charges as described above.

Please contact your PGE Account Manager with any questions.

13. Respecting Confidentiality in Communications

PGE and the ESSs serve the same customers. While the ESS now provides electricity and transmission services to the direct access customer, PGE continues to provide distribution and metering services. By working together, PGE and the ESS can help ensure that our mutual customers receive the best possible service.

Respecting the confidentiality of all parties in their interactions is a key part of the relationship between PGE, the ESSs and the customers.

This chapter covers the following topics:

- Confidentiality of End-Use Customer Data
- Confidentiality of ESS Information and Data
- Confidentiality and Aggregators
- Joint ESS - PGE Contacts
- Code of Conduct

13.1. Confidentiality of End-Use Customer Data

End-use customer data confidentiality is a priority to PGE and our customers. PGE will not share information about customers with ESSs prior to the acceptance of a DASR, except for historical usage when prior written or online customer approval has been granted.

PGE will not release historical usage data without the customer's written or online authorization to PGE allowing us to release their information. Once the customer has authorized release of historical usage information, it is made available to any ESS that has completed PGE's registration process. For more information on the process of acquiring historical usage data, see Chapter 8, Acquiring Customer Historical Usage Data.

The customer also implicitly consents to the release of usage data and other customer data by PGE to an ESS when the customer agrees to take Direct Access Service. Once we have accepted the DASR, PGE may provide to the ESS account-specific information, including one year of monthly usage history. We do not provide customer credit information.

13.2. Confidentiality of ESS Information and Data

PGE keeps ESS information confidential. Our commitment to the confidentiality of ESS information is spelled out in our ESS Service Agreement. PGE will not discuss ESS transactions with customers, aggregators or other ESSs. Data transactions between PGE and the ESSs on PGE's ESS SFTP site are secure.

13.3. Confidentiality and Aggregators

Aggregators do not have a direct business relationship with PGE. Because of the confidentiality of customer and ESS data, aggregators should not contact PGE directly with specific customer or ESS related questions. The Direct Access Operations Department will not answer aggregator questions about ESS enrollments or other customer information. Aggregators may contact PGE's Direct Access Operations Department with general questions only about energy deregulation in Oregon.

13.4. Joint ESS-PGE Customer Contacts

PGE may, at the unsolicited request of a customer, meet jointly with the customer and an ESS to discuss technical or operational transactions regarding our transmission and distribution services. We are prevented by regulation from participating in any sales discussions between a customer and a potential ESS. PGE does not endorse the products or services of any ESS. PGE does post on our Web site a listing of ESSs registered by PGE to provide Direct Access Service in PGE's service area. For more information about joint marketing and referral arrangements, see OAR 860-038-0600 in the Oregon Administrative Rules for Direct Access Regulation, Division 38.

13.5. Code of Conduct

OPUC Code of Conduct

Transactions between PGE and our affiliates are kept at arm's length. The OPUC code of conduct rules also address activities conducted within PGE that are subject to competition and other PGE practices in the competitive market.

We treat our competitors fairly, and offer them the same services we provide all of our competitive operations, in providing supply, capacity, services, information, discounts, tariff discretion, and processing requests for services. We do not favor our affiliates in providing services, discounts, rebates or waivers of terms and conditions.

FERC Code of Conduct

Transactions within PGE adhere strictly to FERC code of conduct rules. Business operations involving merchant (sales and marketing) and transmission groups within PGE are kept separate and distinct. Information is not shared between these groups, nor is it permissible to act as a conduit for confidential information between merchant and transmission operations.

Access to general transmission information is made available equally to all PGE's transmission customers by posting the information on PGE's OASIS Web site. Transmission customers include PGE merchants, scheduling ESSs, and transmission customers purchasing PGE's transmission services.

14. Frequently Asked Questions

Here are answers to many of the questions that an ESS is likely to ask when preparing to serve direct access customers in PGE's service territory. For more information, the ESS is invited to speak with a PGE ESS Account Manager. Contact information is provided in Chapter 15, For More Information.

This chapter covers the following topics:

- ESS Business Relationship with PGE
- Maintaining or Changing the Business Relationship
- Transmission Service
- Distribution Service
- Electronic Business Transactions
- Historical Usage Data
- Enrollment
- Metering Services and Interval Data
- Billing the ESS
- Confidentiality and Communications

14.1. ESS Business Relationship with PGE

Q: What does an ESS need to do before they can start serving customers?

A: There are several steps that an ESS must complete in order to start serving customers in PGE's service territory, including being certified by the OPUC and completing a registration process with PGE. For more information, see Chapter 3, Getting Started.

Q: Who does the ESS call at PGE when they have a question?

A: The ESS should call PGE's Direct Access Operations department and speak to the ESS Account Manager. For Transmission billing questions, the ESS should speak with Transmission and Reliability Services. Contact information is listed in Chapter 15, For More Information.

14.2. Maintaining or Changing the Business Relationship

Q: How often does PGE review collateral requirements?

A: PGE may review ESS collateral periodically to ensure adequate coverage. If the ESS utilizes cash or letter of credit as a guarantee, PGE may require a change in the amount dependent on the amount of billing occurring between PGE and the ESS. Parental guarantees may also be reviewed should an ESS' parent company's financial status change.

14.3. Transmission Service

Q: Does PGE provide scheduling services for ESSs?

A: No, PGE does not provide scheduling or forecasting services. ESSs must provide their own scheduling and forecasting, or contract with another ESS to obtain these services.

14.4. Distribution Service

Q: Can an ESS provide customer meters?

A: No, under Oregon's regulations for direct access, meters continue to be provided and maintained by the utility.

Q: What happens if there is an electricity outage and the ESS' customer is out of service?

A: PGE is responsible for managing all planned and unplanned electrical outages related to its transmission and distribution systems. The ESS' customer must call PGE if they do not have electrical service. ESSs should call the Direct Access Operations department for information about electrical outages. For more information about electrical outages, see Chapter 6, Understanding PGE's Distribution Services.

14.5. Electronic Business Transactions

Q: What methods does PGE use for electronically exchanging data with ESS'?

A: PGE uses three technologies for exchanging data: EDI, SFTP, and a secure Web portal.

Q: How are customer enrollments and account changes transmitted between PGE and the ESS?

A: PGE exchanges specific EDI transactions, Direct Access Service Requests (DASRs), with the ESS to enroll a customer, drop a customer, and change customer options, including enrollment effective dates. For more information on DASR transactions and how they are processed, please see Chapter 9, Enrolling End Use Customers.

Q: What electronic methods does PGE use to invoice an ESS?

A: PGE uses EDI to present the invoice to the ESS which is a transmittal of summary invoice information by EDI 810.

Q: Must the ESS be able to conduct EDI transactions with PGE before doing business in PGE's service territory?

A: Yes, before an ESS can electronically enroll customers, it must be established as an EDI trading partner and successfully complete several EDI tests.

14.6. Historical Usage Data

Q: Can an ESS get information about a customer's historical usage to assist in their marketing?

A: Yes, an ESS may electronically request historical customer usage data from PGE's secure Web Portal after the customer provides written or online permission for PGE to release the information. For more information about obtaining historical usage, see Chapter 8, Acquiring Historical Usage Data.

Q: Can the customer fax or email in a Historical Usage Data Release form?

A: No, Historical Usage Data Release forms must be received as an original with a wet signature. Customers also have the option to authorize the release of historical usage online through their secure login on www.PortlandGeneral.com.

Q: Can third-party vendors sign Historical Usage Data Release forms without further authorization by the customer?

A: No, a Letter of Authorization (LOA) signed by the customer must be received by PGE in order for a Historical Usage Data Release form from a third-party vendor to be accepted.

14.7. Enrollment

Q: How long does it take to process an enrollment?

A: The length of time required to process an enrollment is variable, depending on the specific circumstances of the enrollment. The following timeframes may impact the length of time taken to fully process the enrollment:

- PGE has up to three business days to process the enrollment request once a correctly formatted EDI transaction is received.
- PGE has up to 30 days to install an interval meter if one is not already in place.
- Telephone line installation to the meter may require additional time.
- The ESS must allow at least ten business days before the effective date.

Q: Does PGE review requested EDI transactions for possible unintended requests?

A: No, PGE will automatically process all requests submitted according to Tariff rules. It is the responsibility of the ESS to review EDI content for accuracy before submittal. For more information on EDI transactions, see Chapter 7, Conducting Electronic Business Transactions.

14.8. Metering Services and Interval Data

Q: How will I receive my on-cycle billing usage data?

A: You can access 867 billing usage data from the ESS SFTP server. This data will be available within two business days after the meter read date. Billing usage data is 30 minute kWh and does not include KVAR data. This data is validated, estimated and edited but does not include OPUC Tariff Schedule 600 voltage losses.

Q: Can I receive my on-cycle billing usage data off-cycle or on a calendar basis?

A: PGE supports billing usage through their secured SFTP server based on meter read cycles. Meter read cycles cannot be changed upon request. Other interval usage data may be purchased according to Schedule 320, Meter Information Services.

Q: What are PGE's meter requirements for enrolling customers?

A: PGE requires an interval meter capable of measuring 30 minute intervals with communications in order for a customer to be enrolled. Whenever possible, PGE installs a meter capable of remote communications without a phone line. However, if necessary for communications, a phone line may need to be installed to the meter.

Q: Will PGE use load profiles instead of an interval meter?

A: No, an interval meter must be in place before Direct Access Service can begin with the exception of unmetered services like streetlights.

14.9. Billing the ESS

Q: Will the ESS receive one bill from PGE for all charges related to being an ESS?

A: No, an ESS receives three invoices, one for charges under PGE's OPUC Tariff (retail invoice) and two (1 weekly & 1 monthly) for charges under PGE's FERC Tariff (transmission invoice).

Q: How often does PGE bill an ESS?

A: An ESS is billed weekly (retail bills) for PGE's OPUC Tariff charges. An ESS is also billed weekly and monthly (transmission bills) for PGE's FERC Tariff charges.

Q: Is an ESS responsible for collecting Public Purpose Charges?

A: Yes, the OPUC requires PGE and the ESS to collect a three percent Public Purpose Charge from end-use customers to support energy conservation, renewable energy resources and new low income weatherization. Customers who qualify as a Self-Directing Consumer and are certified by the Oregon Department of Energy are not billed the Public Purpose charge by the ESS.

Q: Is an ESS required to pay bills electronically?

A: Yes, payment must be transmitted to PGE electronically via an EDI transaction.

14.10. Respecting Confidentiality

Q: Why won't PGE's Direct Access Operations department discuss ESS transactions with the customers?

A: Business transactions between the ESSs and PGE are treated confidentially and may only be discussed with the ESS.

Q: How will customers know that an ESS is registered to provide electricity services in PGE's service territory?

A: PGE will post the names and phone numbers of ESSs who are registered to participate in direct access within PGE's service territory on our Direct Access Operations Web page.

Q: What is PGE's relationship with aggregators?

A: Aggregators do not have a business relationship with PGE. Because of the confidentiality of customer and ESS data, aggregators should not contact PGE with specific customer or ESS related questions. The Direct Access Operations department at PGE will not answer aggregator questions about ESS enrollments, or other customer information. Aggregators may contact PGE's Direct Access Operations Department with general questions about energy deregulation in Oregon.

15. For More Information

Use the contacts listed below to contact the Direct Access Operations department or other departments at PGE, and to learn more about the restructuring of Oregon's electric utility industry.

This chapter provides access to information under the following categories:

- Who to Call at PGE
- Publications
- Internet Links

15.1. Who to Call at PGE

- **Direct Access Operations**: (503) 464-7829, or (866) 377-0411
  - Direct access enrollment or drop requests
  - Billing and historical usage data
  - ESS Billing & Collections
  - Finance & Accounting Questions
- Transmission and Reliability Services: (503) 464-7155
  - Transmission Billing Questions
- **End-Use Customer Service**: (503) 228-6322 or (800) 542-8818
- **Outage and Emergency Response**: (503) 464-7777 or (800) 544-1795
- **Power Coordination** (for registered ESSs with a signed Transmission Service Agreement):
  - Real-Time: (503) 464-7410
  - Transmission Pre-scheduling: (503) 464-8802

Unless otherwise advised, please use the following address for all correspondence with PGE:

Portland General Electric Co.
Direct Access Operations
121 SW Salmon Street
1WTC - 0702
Portland, Oregon 97204

15.2. Publications

- ESS Guide
- ESS Application
- EDI Trading Partner Agreement
- ESS Service Agreement

15.3. Internet Links

Federal

- Federal Energy Regulatory Commission
  https://ferc.gov/

- North American Electric Reliability Corporation
  https://www.nerc.com/

- PGE's Open Access Transmission Tariff (FERC) OASIS Web site
  http://www.oatioasis.com/pge/index.html

- BPA transmission Business Line. Includes proposed ancillary service rate levels and OATT
  https://www.bpa.gov/Pages/home.aspx

State of Oregon

- Text of SB 1149 (PDF format)
  https://energytrust.org/About/PDF/sb1149.pdf

- Summary of SB 1149, prepared by OPUC
  https://www.puc.state.or.us/Pages/electric_restruc/consumer/summary.aspx

- ESS Certification Requirements and other industry restructuring information
  https://www.puc.state.or.us/Pages/electric_restruc/consumer/summary.aspx
- OPUC site for electric restructuring, including draft documents, meeting notices and more
  https://www.puc.state.or.us/Pages/Index.aspx

- Direct Access Regulation – Div. 38 Oregon Administrative Rules
  http://arcweb.sos.state.or.us/pages/rules/oars_800/oar_860/860_038.html

California Independent System Operator Corporation's (CAISO) Role

- California ISO's Website
  https://www.caiso.com

Portland General Electric

- Portland General Electric's Corporate Website
  https://www.portlandgeneral.com

- Direct Access Operations department
  https://www.portlandgeneral.com/business/power-choices-pricing/market-based-pricing/direct-access-operations

- ESS Web Portal
  https://portal.portlandgeneral.com/

- PGE – Location where PGE posts alternative pricing plans and other information for nonresidential customers
  https://www.portlandgeneral.com/business/power-choices-pricing/pricing-plans
- PGE – Direct Access Historical Usage Release Form
  https://www.portlandgeneral.com/-/media/public/business/power-choices-pricing/documents/direct-access-release-form.pdf?la=en

16. Glossary

-A B C-

Aggregator: A company or organization that gathers end-use consumers into a buying group to gain purchasing power. An ESS can be an aggregator.
Ancillary Services: Those services that are necessary to support the transmission of capacity and energy from resources to loads while maintaining reliable operation of the Transmission Provider's Transmission System in accordance with Good Utility Practice. FERC definition; Rule B of our OPUC Tariff has a different definition.
Association of Oregon Industries (AOI): An interest group representing industries with facilities in Oregon.
Automatic Clearing House (ACH): A format for the electronic transfer of funds, an option for end-use consumers to use in paying their electric utility bills.
Balancing Authority (electric): The responsible entity that integrates resource plans ahead of time, maintains load-interchange-generation balance within a Balancing Authority Area, and supports Interconnection frequency in real time.
Bonneville Power Administration (BPA): A federal agency that markets the power produced by publicly-funded projects within its power marketing area, most notably the Columbia River Hydroelectric System.
California Independent System Operator (Cal ISO): Operates and schedules transmission over California's transmission system.
California-Oregon border (COB): The point where the alternating current (AC) intertie crosses the state border. A highly active point for electricity transactions and one of the pricing locations for the NYMEX electric futures contracts.
California-Oregon Intertie (COI): A transmission line from Malin and Captain Jack substations at COB to the John Day substation in north central Oregon.
Citizens Utility Board (CUB): A nonprofit organization representing residential utility customers in Oregon.
Coalition for Uniform Business Rules: Industry group sponsored by Edison Electric Institute.
Cost of Service Option (COSO): A regulated rate, charged by a utility to its end-use customers, based on the cost of generating and delivering the electricity and related services.
Customer Service Representative (CSR): One of the terms used to describe personnel at PGE's Customer Response Center, who interact directly with end-use consumers. Also may be referred to as Energy Services Representatives or Community Office Representative

-D E F-

Day of Flow: The day in which electricity deliveries are made; measured as the time period beginning at midnight for the hour ending 0100 and ending at exactly the end of the 2400 hour Pacific Prevailing Time (PPT), i.e., Pacific Standard Time or Pacific Daylight Time as applicable.
Department of Environmental Quality (DEQ): A department of the State of Oregon concerned with environmental issues, including energy emissions labeling.
Digital Universal Number System (DUNS) Number: A unique number assigned to a company by Dun and Bradstreet. Used as a unique identifier, e.g., in certain electronic transactions.
Direct Access: The ability of a retail electricity consumer to purchase electricity and certain ancillary services directly from an entity other than the distribution utility.
Direct Access Service: The delivery of electricity and applicable ancillary services by the company that a nonresidential consumer has purchased from an ESS.

Direct Access Service Request (DASR) for Enrollment: Electronic notification provided by an ESS to PGE that a consumer has selected the notifying ESS as the end-use customer's supplier of Electricity Service. Subsequent DASRs are required to return a direct access customer to PGE Electricity Service, rescind a previously submitted DASR, change the effective date of the enrollment, or update account information of the direct access customer.
Distribution Support Services: Services provided by PGE's Power Supply Coordinator to ESSs to deliver energy to end-use consumers located within our service territory.
e-Tag: As required by NERC, a standardized protocol for electronically communicating and tracking details of open access energy transactions. Information contained on the tag includes such items as interchange transaction ID number, 24-hour energy profiles, loss accounting, transaction path and products, and transaction days.
Election windows: Election windows occur annually in February, September and November. During an election window, large nonresidential customers can opt-out of PGE's annual Cost of Service Option and select a market based pricing option or Direct Access Service. The February Window opens on the 15th (or the following business day) and closes after three full business days. The September Open Election Window begins on September 1 and lasts the entire month of September (long-term opt-out elections only). The November Open Election window begins November 15 (or the following business day) and closes after five full business days.
Electricity Schedule: A Scheduling ESS' projection of its hourly Electricity deliveries, measured in megawatt-hours (MWh), that are necessary to meet the aggregate hourly load of its end-use customers and end-use customers of any Non-Scheduling ESS for which it provides scheduling services. The Electricity Schedule is for a Day of Flow.
Electronic Data Interchange (EDI): A protocol for electronically exchanging data based on the ANSI X12 format used for transmitting data between companies or other entities.
Electricity Service Supplier (ESS): A provider of electrical energy, as certified by the OPUC; may be scheduling or Non-Scheduling, in terms of arranging transmission schedules to a utility's service territory. PGE will classify ESSs as one of the following:

- Scheduling ESS: An ESS that provides its own Electricity Schedule to the Company
- Non-Scheduling ESS: An ESS that does not provide PGE with a Schedule and relies on a Scheduling ESS for services related to scheduling and settlement

Emergency Default Service: A service option provided by PGE to a nonresidential consumer that requires Utility Provided Service with less than five business days' notice by the consumer or its ESS to PGE. This service is available to the consumer for a maximum of five consecutive days from initial purchase.
Energy Imbalance Market: A regional real-time energy wholesale market in which electricity generation and dispatch resources are pooled enabling dispatch of the lowest-cost electricity resources available to meet utility customer needs.
End of Month (EOM): A term used to denote the end of an accounting period in the forecasting and reconciliation process.
End-use customer: An individual, partnership, corporation, organization, government, governmental agency, political subdivision, municipality or other entity enrolled and currently receiving energy service from a certified ESS or PGE's retail services at a single point of delivery.
Energy Trust of Oregon (ETO): A nonprofit corporation established to distribute Public Purpose Charges for energy efficiency and renewables as collected by utilities under the terms of Oregon's restructuring law.
ESS Service Agreement: A contract for service between PGE and an ESS, developed jointly by PGE and PacifiCorp, and approved by the OPUC.
Federal Energy Regulatory Commission (FERC): The federal agency responsible for regulating interstate electric power transmission and the sale of electric power for resale.
Franchise fee: A fee imposed on gas, electric, steam, and water utilities by the cities of Oregon in exchange for the right to conduct utility business within city limits and to occupy city streets and

public ways. Oregon Administrative Rules provide that a 3.5 percent fee is considered a reasonable operating expense and is included in PGE's base rates. Any amount in excess of the 3.5 percent is generally referred to as a privilege tax and, if applicable, is itemized on the consumer's bill.

-G H I-

Gas Industry Standards Board (GISB): A nonprofit, voluntary, independent organization representing all segments of the natural gas industry.
Independent System Operator (ISO): A third-party entity that operates and schedules transmission over a transmission system. See also California ISO.
Independent Verification Agent: An entity that verifies whether a customer has agreed to switch ESSs.
Industrial Customers of NW Utilities (ICNU): An interest group comprised of large industrial companies, such as aluminum manufacturers, based in the Pacific Northwest, who are large customers of electric utilities.
Interval metering: Metering capable of recording usage consumption based on an interval from five to sixty minutes. Interval metering may also have remote communications capability through either wireless network or telephone communications. Interval metering with communications is required in Oregon for direct access enrollment.

-J K L-

kVar: Kilovolt-amperes reactive, a measure of reactive demand.
Load profile: The amount of electricity delivered to or required by a retail electricity consumer at a specific point of delivery over a period of time (generally in 24 hour increments).

-M N O-

Network Integration Transmission Service (NITS): The delivery of capacity and electricity from designated network resources to serve network loads; a firm transmission service.
Network Integration Transmission Service Agreement: An agreement between PGE and a transmission customer for network transmission integration service.
Network Operating Agreement: An executed agreement that contains the terms under which the network customer shall operate its facilities and the technical and operational matters associated with the implementation of Network Integration Transmission Service under PGE's FERC Tariff.
Insufficient funds (NSF): A banking term denoting that funds in a given account will not cover a check or electronic disbursement drawn against that account.
North American Electric Reliability Corporation (NERC): An organization that promotes the reliability of the North American electricity supply by monitoring for compliance with policies, standards, principles, and guides. NERC also reviews transmission outages, and assesses the future reliability of the bulk electric systems.
Open Access Same-Time Information System (OASIS): A dedicated, protected Web-based system used, among other purposes, to make firm transmission capacity reservations.
Open Access Transmission Tariff (OATT): PGE's FERC Tariff, found at http://www.oatioasis.com/pge/.

Oregon Administrative Rules (OAR): Administrative rules set by the OPUC under which PGE operates. Division 38 of the OAR, which regulates direct access in Oregon, is found at http://arcweb.sos.state.or.us/pages/rules/oars_800/oar_860/860_038.html.
Oregon Office of Energy: An office of the State of Oregon concerned with energy use, including energy labeling.
Oregon Public Utility Commission (OPUC): An office of the State of Oregon that regulates investor-owned electric, natural gas companies, telephone, and water utilities. The OPUC also regulates public utilities and municipalities regarding safety issues.

-P Q R-

Service Point (SP): Unless otherwise designated by agreement, the first point of connection of PGE's service drop, service lateral, or bus to the consumer's service entrance conductors or equipment determined without regard to the location of the meter or metering equipment.
Service Point Identification: A code that identifies each unique Point of Delivery and associated meter location (if applicable).
Point of Receipt: Point of interconnection on a transmission system where capacity and electricity is made available; may be firm or nonfirm.
Point-to-Point Transmission Service: The reservation and transmission of capacity and energy on either a firm or nonfirm basis from the Point(s) of Receipt to the Point (s0 of delivery under Part II of PGE's FERC Tariff.
Power Supply Coordinator (PSC): PGE's control area power operations functions. Services include forecasting and reconciliation, systems services, coordinating Universal Standard Offer Services, systems development, developing, and implementing a rate structure.
Privilege tax: See "franchise fee."
Public Purpose Charge (PPC): The Oregon state law requires PGE and the ESS to collect a 3-percent Public Purpose Charge from its end-use customers to support energy conservation, renewable energy resources and new low income weatherization. The Public Purpose Charge is defined as "three percent of the total revenues billed to those consumers for electricity services, distribution, ancillary services, metering and billing, transition charges, and other types of costs that were included in electric rates on July 23,1999."
Reserved capacity: The maximum amount of capacity and electricity that a transmission provider agrees to transmit over its transmission system.
Resource Valuation Mechanism (RVM): Used by PGE to apply the difference between market price and cost of power when calculating customer bills under PGE's Standard Offer pricing options; also may be applied to direct access customer bills.
Rural Electric Assoc. (REA): An affiliation of electric cooperative utilities.

-S T U-

Service Order Dispatch (SOD): A document used by PGE to dispatch technicians for a meter or field activity.
Slamming: The unauthorized enrollment of an end-use consumer by an ESS.
Standard Offer: Market based pricing options for residential and nonresidential customers provided under PGE's restructuring rate case, UE-115.
Suspension (ESS): A status, applied by the utility, under which the ESS is not allowed to enroll direct access customers.
System Benefit Charge (SBC): A charge to fund public purposes consistent with the recommendations of the Comprehensive Review of the Northwest Energy System.

Transmission Service Point (SP): The location where the ESS' power deliveries enter PGE's control area. This is different from the distribution Service Point ID used to identify distribution delivery points.
Unaccounted for Energy (**UFE)**: A factor used in the forecasting and reconciliation process, which can include: (1) load profiling errors; (2) inaccuracies in the loss model; (3) meter recording or reading inaccuracies; (4) energy theft; (5) meter readings not available at the time of final reconciliation; (6) inaccurate magnitude and count of deemed and non-metered loads; (7) a top-down forecast that is an estimate instead of an actual measurement.
Uniform Business Process (UBP): Standardized business practices developed by a workgroup of industry representatives sponsored by the Edison Electric Institute; see www.eei.org.
Utility Distribution Co. (UDC): An electric utility providing distribution services.

-V W X Y Z-

Value-Added Network (VAN): A communications network for transmitting data across private lines.
Validated, Estimated and Edited (VEE): The standardized process by which interval metering usage data is verified for accuracy, or estimated and edited in the event of missing or inaccurate data.
Western Energy Coordinating Council (WECC): An organization that works with its members to assess and enforce compliance with established criteria and policies for ensuring the safety, reliability, and economy of service of the region's electric service. One of the ten electric reliability councils comprising NERC.