

Guide for Electric Suppliers

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Docket Control Filing Procedures

Instructions to establish an account and submit information are located on PURA's website.

[Establish an account](#)

[Submit information](#)

For document filing assistance contact the PURA Executive Secretary at 860-827-2836 or

PURA.ExecutiveSecretary@ct.gov.

Statutes and Regulations

[Conn. Gen. Stat. § 16-245d](#)

Must submit the following to the EDC for inclusion on residential bills:

- Term and expiration date
- Next cycle rate
- Cancellation fee
- Fixed or variable rate
- See, Docket No. 14-07-19RE05

[Conn. Gen. Stat. § 16-245o](#)

- Requirements regarding contracts with customers
- Requirements regarding marketing to customers
- Residential early termination fee cannot exceed \$50.

[Conn. Gen. Stat. § 16-245](#)

- 16-245(g)(1) & (2) – Must comply with NLRA and CUTPA
- 16-245(g)(12) – Historical Variable Rates –
 - Filed monthly in licensing docket
 - Ensure each month's filing matches the month before
 - If no variable rates, indicate so in monthly filing
- 16-245(i) – Must notify PURA at least 10 days prior to:
 - Change in corporate structure
 - Change in scope of service
 - Assignment of customers

[Conn. Gen. Stat. § 16-245s](#)

- Confirmation and TPV requirements

[Conn. Agencies Regs. § 16-245-4](#)

- Licensing security

[Conn. Agencies Regs. § 16-245a-1](#)

- RPS security

Ex Parte Communications

- Ex parte communications means communicating with PURA decisional staff about the substance of a pending docket without all other parties to the docket participating in that communication.
- Never allowed in contested dockets
- Not allowed in uncontested dockets unless waived
- Direct procedural questions to the Case Coordinator
- Case Coordinator contact information will be provided in the docket Notice of Proceeding
- Direct any questions about filing information to Docket Control staff or the Case Coordinator.

Education, Outreach & Enforcement – EOE

The key objective of EOE is to provide ratepayers and parties that interact with PURA an improved customer service experience. The "ex parte" rules that apply to PURA's decisional staff do not apply to EOE, meaning ratepayers and other parties may pose questions and concerns to the office.

EOE is comprised of three units, including:

[Licensing & Certification Unit](#)

Processes and analyzes routine licensing and certification matters that are filed with PURA, including electric/water submetering applications; small cell antenna applications; renewable generator certification requests; supplier licensing applications and reviews; and natural gas seller registrations, among others.

[Mediation & Enforcement Unit](#)

- Mediates disputes concerning matters related to regulated entities whenever possible or appropriate.
- Enforces orders, regulations and statutes.
- Independently investigates any PURA-regulated or licensed entities.

[Education, Outreach and Consumer Affairs](#)

In addition to producing, distributing, and presenting educational materials through public forums, EOE receives Connecticut ratepayer complaints, with a focus on providing timely resolution for complainant and relevant educational materials to assist the complainant.

The Consumer Affairs Unit (CAU) is responsible for handling all customer complaints and inquiries. Customers may contact PURA via telephone, email, letter, walk-in, or web-based complaint form. PURA's

CAU handles approximately 18,000 customer contacts per year. Approximately 4,000 are classified as complaints.

CAU staff will generally email a customer complaint to the supplier's regulatory contact. If the matter is urgent, a CAU representative will directly contact the supplier. Suppliers must maintain their contact information (Form 5) to assure PURA has up to date information.

Suppliers must respond to CAU inquiries within three business days. Each response should include:

- Recording of communication with the customer
- TPV
- Copy of the contract
- Copy of notification letter
- Copy of marketing material

PURA docket numbers

Docket number designates the year, month and the number of the docket opened in that month

- Example 98-06-17
- 98 – Docket was opened in 1998
- 06 - Opened in June
- 17 - The 17th docket opened in that month. This number will reset to 01 for the next month
- RE01 – Appears at the end of the docket number to designate a reopening of the original docket and shows the number of the reopening – 'RE01' is the first reopening 'RE02' the second, etc.

Security

All suppliers must maintain licensing security pursuant to Conn. Agencies Regs. § 16-245-4 and RPS security pursuant to § 16-245a-1.

Supplier-Related Decisions

98-01-02RE0 - CL&P and 92-06-05 - UI – Joint Decision

DPUC Review of The Connecticut Light and Power Company's Rates and Charges – Electric Restructuring Rates and Tariffs; and, Application of the United Illuminating Company for an Increase in Rates- -Electric Restructuring Rates and Tariffs

- Decision dated January 12, 2000
- Required to implement retail choice
- Established CL&P and UI's initial tariffs for supplier fees and costs

98-01-02RE03

DPUC Review of The Connecticut Light and Power Company's Rates and Charges – Electric Restructuring Rates and Tariffs

- Decision dated February 16, 2007
- Required to implement retail choice

- Established CL&P's costs to provide some supplier services; e.g. processing a change in supplier.

99-03-35

DPUC Determination of The United Illuminating Company's Standard Offer

- Decision dated October 1, 1999
- Required to implement retail choice

98-06-17

DPUC Investigation Into Billing and Metering Protocols and Appropriate Cost-Sharing Allocations Among Electric Distribution Companies and Electric Suppliers

- Decision dated January 13, 1999
- Required to implement retail choice
- Reviewed:
 - Cost allocation of distribution functions
 - Cost for supplier-related services
 - Billing and metering protocols
- Established the EBT Working Group
- Finalized the initial electronic data exchange (EDE) Guidelines
- Serves as the platform for updating the EDE Guidelines
- Supplier service rates are contained in the EDC tariffs. [Eversource](#) - [United Illuminating](#)

05-08-02RE02

DPUC Investigation Into The Process By Which Customers Can Choose An Electric Supplier When Initiating Electric Service – Amended Referral Program

- Decision dated October 10, 2007
- Finalized the 'Referral Program'
 - Program intended to expand retail choice
 - One-year fixed price option, no cancellation fee or other penalties
 - Price plans under the program called 'Qualifying Offers'
 - Qualifying Offers were subject to separate rules
 - March 2011 – Referral Program had achieved its goal
- Eliminated the 'Anti-Gaming' switching policy
- Implemented Purchase of Receivables which modified the way Eversource paid suppliers

06-10-22

DPUC Monitoring of the State of Competition in the Electric Industry

- Decision dated January 17, 2007
- PURA annually reports to the Legislature
- Docket No. XX-XX-XX - 2018 Legislative Report
- Original Decision represents the 'state of competition' at the time

- Established monthly EDC compliance of supplier-related data
 - Number of customer that have switched – by class, total and supplier
 - EDC and supplier load – by class, total and supplier
 - Clean Energy Options participation
 - Supplier billed prices – consolidated billing only
 - Supply Summary data for recent enrollments - Docket No. 14-07-19RE05
- Additional data will be submitted when enrollment rejection is fully implemented

07-05-33

DPUC Administration of Disclosure Label Requirements and Examination of Direct Billing by Electric Suppliers

- Decision dated February 27, 2008
- Conn. Gen. Stat. 16-245 – Information for consumers
- Modified the original Disclosure Label and clarified its content
- A sample of the Disclosure Label is provided in this Decision and on the PURA website
- Disclosure Label must be provided with each contract
- Direct billing
- Established the Rate Board format and price filing requirements
- Suppliers are required to post all generally available offers
- Suppliers self-report their offers to the Rate Board
- Mass market rates must be all-inclusive assure apples-to-apples comparison.

10-06-24

DPUC Review of the Current Status of the Competitive Supplier and Aggregator Market in Connecticut and Marketing Practices and Conduct of Participants in that Market

- Decision dated March 16, 2011
- Referral Program has met its goal
- Disclosure Label - no changes
- Rate Board
 - Reinforced that suppliers must post generally available offers to the Rate Board
 - Suppliers must also post generally available business offers to the Rate Board
 - Established posting standards
- Direct billing is expanded to the residential class
- Supplier Working Group is established
- Mid-cycle supplier enrollment is discussed
- Marketing and Sales Practices Guidelines are established
 - Training sales agents
 - Requirements for promotional and marketing materials
 - Prohibited conduct
 - Telephone sales and marketing
 - Door-to-door sales and marketing

13-07-18

PURA Establishment of Rules for Electric Suppliers and EDCs Concerning Operations and Marketing in the Electric Retail

- Decision dated November 5, 2014
- Established rules & guidelines suppliers must follow in the Connecticut retail marketplace
- Opened, in part, to address customer complaints following Polar Vortex – Winter 2013/2014:
 - Sudden, steep rate increases with no customer notification
 - Lack of written contracts
 - Concerns over door-to-door and telemarketing practices
- Customer Notification requirements:
 - Customer choice re notification options - USPS, text, email
 - Notification required for upcoming rate change
 - Notification required for term expiration
 - Notification required for rate increase > 25%
- Required use of PURA approved forms
 - Form 2 – end of fixed rate term
 - Form 5 – Company Contact information
 - Form 6 – Third Party Agent information
- Established On-Cycle Date as Date of Enrollment
- Standardized Contract Information:
 - Contract date
 - Expiration date
 - PURA contact information
 - Cancellation provisions
- Supplier Website must be Connecticut specific and include certain information
- Rate Board
 - Residential & business offers defined
 - Offer price must be “All-In”
 - Rate Board offers must align with supplier website
- Historical Variable Rates

14-07-17

PURA Development of Standard Summary Form of Material Contract Terms

- Decision dated February 11, 2015
- Established a standard Contract Summary form for residential customers
 - Generation Rate
 - Rate Plan – Fixed/Variable
 - Service Location – Address
 - Term & Expiration
 - Contract Renewal
 - Other Fees

- Right to Cancel
- Emission & Generation Mix
- Supplier & PURA Contact Information
- Prescribed placement of the Disclosure Label within the contract
- Compared to a Schumer Box

14-07-19

PURA Investigation Into Redesign of the Residential Billing Format

- Decision dated January 21, 2015
- Decision dated January 21, 2015
- Guidelines for implementing the Supply Summary
- Directed the EBT Working Group to develop EDI standards to implement the guidelines
- Eliminated Variable-Daily and Variable-Weekly residential rates
- Approved cost recovery to implement Supply Summary through Distribution rates – cost borne by ratepayers

14-07-19RE01

PURA Investigation Into Redesign of the Residential Billing Format – Billing Format Clarifications

- Decision dated April 12, 2015 Issues not identified in the January 21st Decision or that needed clarification
 - Supply Summary under direct billing
 - Incidental Residential Accounts (IRA)
 - Next Cycle Rate & adjusting that rate
 - How to display the Standard Service rate when the rate is changing
 - Issues where the EBT Working Group needed clarification
- Supply Summary implemented in two phases
 - Phase I – July 2015 EDC-controlled data
 - Phase II – January 2016 Supplier-controlled data

14-07-19RE05

PURA Investigation Into Redesign of the Residential Billing Format – Review of Summary Information, Implementation and Display

- Decision dated December 19, 2018 Initiated to determine compliance with Supply Summary requirements
- Necessary to strengthen the rules governing the transmittal of supplier-controlled Supply Summary information
 - Complete overhaul of the data exchange process
 - EDCs to implement enrollment rejection
 - Supply Summary data must be provided with each enrollment
 - Customers will be returned to Standard Service under certain conditions
 - IRA account identification
 - Revised the EDI timing of the Next Cycle Rate and locked the rate
 - Adjustment to the Next Cycle Rate
 - Cost to implement changes will be borne by suppliers.

15-06-15

PURA Variable Rate Study DPUC

- Decision dated September 30, 2015
- Guidance for implementing the ban on residential variable rates
- Residential contracts entered into on and after October 1, 2015 may not include variable pricing
- Business contracts can include variable rates
- Fixed rate contracts must be no less than four billing cycles

16-12-29

PURA Development of Voluntary Renewable Options Program

- Decision dated October 21, 2020
- Modified the Disclosure Label used for all supply offers including Standard Service
- Approved a modified Clean Energy Options Program
- Established rules and Disclosure Label for supply offers that market renewable energy certificates in excess of the then current RPS.