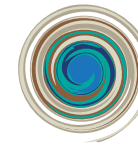




# MARYLAND



## Electric Supplier Compliance Audit Checklist



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### Document Includes:

#### Table of Contents for the Maryland Electric Supplier Compliance Audit Checklist Bundle

For questions about the contents or usage of this document please email Earth Etch at [support@earthetch.com](mailto:support@earthetch.com)

### Notes

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\* Bundle last updated July 1, 2020



## How To Best Use This Document:

This checklist details commission rules, statutes, regulations and/or docket decisions pertaining to operational requirements within the state. It is designed to ensure that employees and agents are informed of and compliant with state regulations.

**This section houses the Table of Contents for the Maryland Electric Supplier Compliance Audit Checklist Bundle.**

## Your Company

**Company Name:**

**Date:**



[Key Definitions](#)

COMAR 20.53.01.02

[Pre-Enrollment Information](#)

COMAR 20.53.03

[Transfers of Service](#)

COMAR 20.53.04

[Supplier-Utility Coordination and Utility Consolidated Billing](#)

COMAR 20.53.05

[Non-Residential Customer Protection](#)

COMAR 20.53.06

[General Residential Customer Protection](#)

COMAR 20.53.07.01 Through 0.53.07.06

[Residential Customer Protection: Advertising and Solicitations](#)

COMAR 20.53.07.07

[Residential Customer Protection: Supplier Contracts](#)

COMAR 20.53.07.08

[Residential Customer Protection: Customer Disclosure](#)

COMAR 20.53.07.09

[Residential Customer Protection: Contract Expiration or Cancellation](#)

COMAR 20.53.07.10

[Residential Customer Protection: Assignment of Contract](#)

COMAR 20.53.07.12

[Residential Customer Protection: Notice of Change in Rate](#)

COMAR 20.53.07.13

[Supplier Agent Relations: General Requirements](#)

COMAR 20.53.08.01, 20.53.08.02 & 20.53.08.03

[Supplier Agent Relations: Door-to-Door Marketing and Sales](#)

COMAR 20.53.08.02, 20.53.08.04, 20.53.08.05 & 20.53.08.06

[Renewable Energy Portfolio Standard Program](#)

COMAR 20.61.01 through 20.61.06

[Net Metering](#)

COMAR 20.50.10

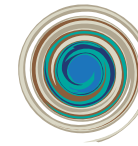


# MARYLAND



## Transfers Of Service

Electric Supplier Compliance Audit Checklist



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### Document Includes Applicable Rules:

**MD. Code Regs.**, Title 20, Subtitle 53

Competitive Electricity Supply

**Comar:** [20.53.04](#)

**State Authority:** Public Utilities Article, [2-113](#), [2-121](#), [5-101](#), [7-507](#), [7-603](#)

Annotated Code of Maryland

**State of Maryland:** Public Service Commission

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### Notes

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## How To Best Use This Document:

This checklist details commission rules, statutes, regulations and/or docket decisions pertaining to operational requirements within the state. It is designed to ensure that employees and agents are informed of and compliant with state regulations.

**This section provides the requirements for supplier or customer cancellations or drops.**

Answers in this document should be marked "Yes" to indicate compliance and understanding of regulatory requirements. Where appropriate, cites to document version/page/section/paragraph numbers should be inserted in the "Comments" form field as proof of compliance. All "No" answers should include a description of deficiency and needed corrective measures or an indication of 'not applicable' in the associated form field.

## Your Company

**Company Name:**

**Date:**



## SCOPE

1. I understand that this chapter applies to customers switching from competitive supply service to another supplier or SOS.

Comments:

\* If "No" describe deficiency & needed corrective measures:

[20.53.04.01](#)

YES  
NO

## SUPPLIER ENROLLMENT/DROP

2. I understand that a supplier may enroll or drop a customer by sending the appropriate electronic enrollment or drop transaction to the utility.

Comments:

\* If "No" describe deficiency & needed corrective measures:

[20.53.04.02 A](#)

YES  
NO\*



### EFFECTIVE DATES

3. I understand that a utility shall process an electronic enrollment or drop from a supplier to be effective within 3 business days after receipt of the electronic transaction.

Comments:

\* If "No" describe deficiency & needed corrective measures:

[20.53.04.02 B](#)

YES  
NO\*

### UTILITY REQUIREMENTS

4. I understand that the utility shall drop a customer from its current supplier when another supplier enrolls the customer.

Comments:

\* If "No" describe deficiency & needed corrective measures:

[20.53.04.02 C](#)

YES  
NO\*

5. I understand that a utility shall assign a customer who has been dropped by a supplier and not enrolled by a supplier to SOS.

Comments:

\* If "No" describe deficiency & needed corrective measures:

[20.53.04.02 C](#)

YES  
NO\*



### ENROLLMENT/DROP LIMIT PER BILL CYCLE

6. I understand that a utility shall not be required to process more than two enrollments and two drops per customer per bill cycle.

Comments:

\* If "No" describe deficiency & needed corrective measures:

[20.53.04.02 D](#)

YES  
NO\*

### ADVANCE NOTICE NOT REQUIRED

7. I understand that a supplier may not require that a customer provide it with advance notice, written or otherwise, before the customer switches to another supplier or to SOS.

Comments:

\* If "No" describe deficiency & needed corrective measures:

[20.53.04.02 E](#)

YES  
NO\*





## TRANSACTION ERROR HANDLING

8. I understand that this regulation applies to enrollment or drop transaction errors that are identified not later than 2 business days after a supplier initiates the transaction.

Comments:

\* If "No" describe deficiency & needed corrective measures:

[20.53.04.03 A](#)

YES  
NO\*

9. I understand and have confirmed that our company has processes in place so that we meet the requirement that a supplier shall notify a utility of a drop error or enrollment error by an electronic cancel transaction not later than 2 business days after the enrollment or drop is initiated by the supplier.

Comments:

\* If "No" describe deficiency & needed corrective measures:

[20.53.04.03 B](#)

YES  
NO\*

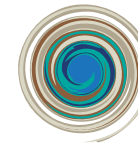


# MARYLAND



## Residential Customer Protection: Advertising and Solicitations

Electric Supplier Compliance Audit Checklist



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## Document Includes Applicable Rules:

**MD. Code Regs.**, Title 20, Subtitle 53

Competitive Electricity Supply

**Comar:** [20.53.07.07](#)

**State Authority:** Public Utilities Article, [2-113](#), [2-121](#), [5-101](#), [7-507](#), [7-603](#),  
Annotated Code of Maryland

**State of Maryland:** Public Service Commission

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## Notes

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\* Last updated July 1, 2020



## How To Best Use This Document:

This checklist details commission rules, statutes, regulations and/or docket decisions pertaining to operational requirements within the state. It is designed to ensure that employees and agents are informed of and compliant with state regulations.

**This section identifies the disclosure requirements for advertising to or soliciting residential customers via internet and telephone and the MD PSC offer posting requirement on its website.**

Answers in this document should be marked "Yes" to indicate compliance and understanding of regulatory requirements. Where appropriate, cites to document version/page/section/paragraph numbers should be inserted in the "Comments" form field as proof of compliance. All "No" answers should include a description of deficiency and needed corrective measures or an indication of 'not applicable' in the associated form field.

## Your Company

**Company Name:**

**Date:**



## SCOPE

1. I understand that this chapter applies to supplier services to residential customers.

Comments:

\* If "No" describe deficiency & needed corrective measures:

[20.53.07.01](#)

YES  
NO

## ADVERTISING PERMITTED

2. I understand that a supplier may advertise its services.

Comments:

\* If "No" describe deficiency & needed corrective measures:

[20.53.07.07 A \(1\)](#)

YES  
NO\*

3. I understand and have confirmed that our company has processes in place so that we meet the requirement that a supplier or its agents may not engage in marketing or trade practices that are unfair, false, misleading, or deceptive.

Comments:

\* If "No" describe deficiency & needed corrective measures:

[20.53.07.07 A \(2\)](#)

YES  
NO\*



## DISCLOSURES

4. I understand and have confirmed that our company has processes in place so that we meet the requirement that all supplier marketing or solicitation information, including that used by its agents or employees, shall include the supplier's Maryland license number in a clear and conspicuous manner.

Comments:

\* If "No" describe deficiency & needed corrective measures:

[20.53.07.07 B \(1\)](#)

YES  
NO\*

5. I understand and have confirmed that our company has processes in place so that we meet the requirement that if a price is quoted, the following required statements are included in all of our marketing material:

- The price quoted is only for the specified commodity provided by the supplier;
- The price quoted does not include any tax, utility distribution charge, or other utility fee or charge; and
- The supplier's price is not regulated by the Commission.

Comments:

\* If "No" describe deficiency & needed corrective measures:

[20.53.07.07 B \(2\)](#)

YES  
NO\*