MarkeTrak & Inadvertent Gain Training
Antitrust Admonition

To avoid raising concerns about antitrust liability, participants in ERCOT activities should refrain from proposing any action or measure that would exceed ERCOT’s authority under federal or state law. For additional information, stakeholders should consult the *Statement of Position on Antitrust Issues for Members of ERCOT Committees, Subcommittees, and Working Groups*, which is posted on the ERCOT website.¹
Housekeeping

Restrooms
Refreshments
Attendance sheet
Questions

Please silence smart phones & other electronics
MarkeTrak Online Training

MarkeTrak online training is available on www.ercot.com and includes the following modules:

- MarkeTrak Overview
- Inadvertent Gain/Loss
- Cancel With/Without Approval
- Switch Hold Removal
- Data Extract Variance (DEV) LSE Subtypes
- Email Functionality
- Usage/Billing Disputes
- Additional Day to Day Subtypes
- Bulk Insert
- Admin Functionality
- Data Extract Variance (DEV) Non-LSE Subtypes
- Reporting

Modules typically can be completed in 30 minutes or less.
MarkeTrak Training Objectives

This training covers the following topics:

- General MarkeTrak Navigation
- Administrator Functionality
- Email Notification
- ListServes
- Missing Enrollments
- Usage & Billing
- Switch Holds
- Siebel Changes
- DEV LSE/Non LSE
- Bulk Insert
- Additional D2D Subtypes
- Other Subtype
- Inadvertent Gains
  - Rescission
  - IAG Walkthrough
  - Verification Process
  - Best Practices
  - Reporting
- Background Reporting
What is MarkeTrak?

MarkeTrak

A web-based database application used to track and manage ERCOT Retail Market data discrepancies

- The ERCOT Retail Market Issue Resolution System used by CRs, TDSPs, and ERCOT to initiate, communicate, and resolve issues
- Discovery, visibility, tracking, historical reporting, and status of issues
- Available to ERCOT market participants with a current Digital Certificate and the MarkeTrak role
What is MarkeTrak?

There are two primary MarkeTrak issue types

**Day to Day**

( **D2D** )

- An issue that can be resolved with a transaction
- For example: syncing transaction status in ERCOT system with TDSP and CR systems (Completed to Cancelled)

**Data Extract Variances**

( **DEVs** )

- An issue that cannot be resolved with a transaction
- *For example*: inserting a Service History Row (for the 727 extract)

Represents 99% of MTs submitted

Represents 1% of MTs submitted
### MarkeTrak Subtypes

There are several issue types including:

<table>
<thead>
<tr>
<th>Issue Sub Type</th>
<th>Issue Sub Type</th>
<th>7/1/17-12/31/17</th>
<th>1/1/18 - 6/30/18</th>
<th>7/1/18 - 12/31/18</th>
<th>1/1/19 - 6/30/19</th>
<th>Last 6 months</th>
<th>Same time last year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inadvertent Losing</td>
<td>IAL</td>
<td>15,477</td>
<td>17,215</td>
<td>19,422</td>
<td>24,408</td>
<td><strong>4,986</strong></td>
<td><strong>7,193</strong></td>
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<tr>
<td>Inadvertent Gaining</td>
<td>IAG</td>
<td>12,810</td>
<td>13,262</td>
<td>14,270</td>
<td>16,636</td>
<td><strong>2,366</strong></td>
<td><strong>3,374</strong></td>
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<tr>
<td>Switch Hold Removal</td>
<td>SH</td>
<td>6,472</td>
<td>5,955</td>
<td>8,188</td>
<td>5,463</td>
<td>-2,725</td>
<td>-492</td>
</tr>
<tr>
<td>Usage/Billing - Dispute</td>
<td>UB-D</td>
<td>4,178</td>
<td>8,641</td>
<td>5,907</td>
<td>5,119</td>
<td>-788</td>
<td>-3,522</td>
</tr>
<tr>
<td>Customer Rescission</td>
<td>RES</td>
<td>4,794</td>
<td>5,606</td>
<td>5,514</td>
<td>5,198</td>
<td>-316</td>
<td>-408</td>
</tr>
<tr>
<td>AMS LSE Interval Dispute</td>
<td>AMS-D</td>
<td>4,615</td>
<td>2,864</td>
<td>4,252</td>
<td>2,104</td>
<td>-2,148</td>
<td>-760</td>
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<tr>
<td>Other</td>
<td>OTH</td>
<td>1,454</td>
<td>2,543</td>
<td>2,871</td>
<td>2,118</td>
<td>-753</td>
<td>-425</td>
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<td>Cancel With Approval</td>
<td>CWA</td>
<td>16,374</td>
<td>2,593</td>
<td>1,612</td>
<td>1,328</td>
<td>-284</td>
<td>-1,265</td>
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<tr>
<td>Missing Enrollment TXNS</td>
<td>MET</td>
<td>805</td>
<td>1,498</td>
<td>1,125</td>
<td>936</td>
<td>-189</td>
<td>-562</td>
</tr>
<tr>
<td>997 Issues</td>
<td></td>
<td>2,307</td>
<td>888</td>
<td>767</td>
<td>735</td>
<td>-32</td>
<td>-153</td>
</tr>
<tr>
<td>Siebel Chg/Info</td>
<td>SBC</td>
<td>771</td>
<td>969</td>
<td>687</td>
<td>702</td>
<td><strong>15</strong></td>
<td>-267</td>
</tr>
<tr>
<td>Bulk Insert</td>
<td>BI</td>
<td>505</td>
<td>730</td>
<td>559</td>
<td>441</td>
<td>-118</td>
<td>-289</td>
</tr>
<tr>
<td>LSE Relationship record present in MP System, not in ERCOT: de-engz</td>
<td>DEV</td>
<td>93</td>
<td>2,119</td>
<td>600</td>
<td>477</td>
<td><strong>-123</strong></td>
<td><strong>-1,642</strong></td>
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<tr>
<td>Projects</td>
<td>PRO</td>
<td>201</td>
<td>393</td>
<td>453</td>
<td>296</td>
<td>-157</td>
<td>-97</td>
</tr>
<tr>
<td>AMS LSE Interval Missing</td>
<td>AMS-M</td>
<td>235</td>
<td>408</td>
<td>353</td>
<td>164</td>
<td>-189</td>
<td>-244</td>
</tr>
<tr>
<td>Ercot Initiated</td>
<td>ERCOT</td>
<td>448</td>
<td>356</td>
<td>294</td>
<td>186</td>
<td>-108</td>
<td>-170</td>
</tr>
<tr>
<td>Safety Net Order</td>
<td>SN</td>
<td>350</td>
<td>677</td>
<td>235</td>
<td>246</td>
<td><strong>11</strong></td>
<td>-431</td>
</tr>
<tr>
<td>Move Out With Meter Removal</td>
<td>MVO</td>
<td>143</td>
<td>254</td>
<td>160</td>
<td>187</td>
<td><strong>27</strong></td>
<td>-67</td>
</tr>
<tr>
<td>Redirect Fees</td>
<td>RF</td>
<td>184</td>
<td>176</td>
<td>112</td>
<td>217</td>
<td>105</td>
<td><strong>41</strong></td>
</tr>
<tr>
<td>Market Rule</td>
<td>MR</td>
<td>60</td>
<td>118</td>
<td>98</td>
<td>163</td>
<td><strong>65</strong></td>
<td><strong>45</strong></td>
</tr>
</tbody>
</table>
IAGs, IALs, and Rescissions account for ~49% of overall MarkeTrak volume.

RMGRR139 removed ERCOT’s one-day Evaluation Window eliminating the need for the Cancel W/ Approval MT.
MarkeTrak Training
General MarkeTrak Navigation
General Functionality: Navigating MarkeTrak

Launch Page

Upon successful login, the user is initially taken to the MarkeTrak Task Page. The Task Page can be used as the starting point for each login or a specific Home Page Report can be selected as the default login page.
General Functionality: Navigating MarkeTrak

Setting a specific Home Page Report

Select the link at the bottom of the Task Page to set a specific Home Page Report.
General Functionality: Navigating MarkeTrak

Select a report from the list displayed for your Home Page Report and click Save.
General Functionality: Navigating MarkeTrak

Home page now defaults to the selected report with each login.

<table>
<thead>
<tr>
<th>Issue ID</th>
<th>Title - State</th>
</tr>
</thead>
<tbody>
<tr>
<td>692252</td>
<td>Bulk Insert - Active</td>
</tr>
<tr>
<td>692276</td>
<td>Bulk Insert - Active</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Issue ID</th>
<th>Title - State</th>
</tr>
</thead>
<tbody>
<tr>
<td>1023131</td>
<td>Background Report - Report Selected</td>
</tr>
<tr>
<td>1037121</td>
<td>Background Report - Parameters Provided</td>
</tr>
<tr>
<td>1187853</td>
<td>Background Report - Report Selected</td>
</tr>
<tr>
<td>1590441</td>
<td>Background Report - Report Selected</td>
</tr>
<tr>
<td>19400391</td>
<td>Background Report - Parameters Provided</td>
</tr>
<tr>
<td>2179156</td>
<td>Background Report - Report Selected</td>
</tr>
<tr>
<td>693031</td>
<td>Background Report - Report Selected</td>
</tr>
<tr>
<td>717637</td>
<td>Background Report - Report Selected</td>
</tr>
<tr>
<td>717673</td>
<td>Background Report - Report Selected</td>
</tr>
<tr>
<td>786985</td>
<td>Background Report - Report Selected</td>
</tr>
</tbody>
</table>
General Functionality: Navigating MarkeTrak

MarkeTrak Tool Bar: The Home, Application Settings, MIS, MarkeTrak Documentation, Legal Disclaimer, Administrator, Help, and Exit links are available across the top of each window view in the MarkeTrak application.

- **Home**: This button returns the user to the Home Page Report.
- **Application Settings**: This link enables the user to select a Home Page Report and preferred projects for the application.
- **MIS**: This link will take you directly to the main page of the Market Information System website. From there, you can select the Reports and Extracts Index link which will take you to your reports and extracts.
- **MarkeTrak Documentation**: This link will take you to the MarkeTrak Information Page which contains several key documents such as the User Guide, Tips & Tricks document, bulk insert templates, etc.
- **Legal Disclaimer**: A quick link to the legal disclaimer relevant to the MarkeTrak application.
- **Help**: The help feature is an indexed and searchable resource with a thorough explanation of ‘out-of-the-box’ tool functionality. The purpose of this guide and appendix is to bridge the gap between the application and the ERCOT help documents.
- **Exit**: This is the method to log out of the MarkeTrak tool.
General Functionality: Navigating MarkeTrak

**Quick Links**: These are links updated to an individual user toolbar. This can include useful URLs such as ERCOT.com or common reports a user may wish to access in one click as demonstrated below:

**To add a quick link:**

- Navigate to the report, form, view, or page to which you want to create a link.
- Click the icon on the application toolbar. The Add to Quick Links dialog box opens.
- Type a name for the quick link. This name is used to label the quick link on the application toolbar and in the Favorites view. Click Save.
General Functionality: Navigating MarkeTrak

Actions dropdown: Available in the header of the issue details pane:

- **Add Note**: This allows the user to include a text message on the individual issue.
- **Add URL**: Creates a hyperlink on an individual issue to an external website.
- **Add File**: Allows the user to locate and attach an external file to an item which will be visible by all MPs Involved. This is not to be used to submit a file of ESI IDs to be researched on the issue.
- **Add Item Link**: This action gives the user the ability to create several different kinds of links to other issues within the MarkeTrak application. In order to successfully create these links, the current user must have visibility rights to both linked items.
- **Add Item Notification**: Selecting this action allows the user to choose one of five distinct item notifications. These differ from the system generated notifications in that they are selected individually on items by any user with visibility.
**General Functionality: Navigating MarkeTrak**

**Navigation Pane:** The navigation pane is available on the left side of the User Workspace. You can do the following in the navigation pane:

- **Submit:** The Submit view provides links to submit issue subtypes.
- **Search:** Provides links to the following search features in the MarkeTrak application.
- **Reports:** Provides links to reports the user has permissions to run, modify, or delete.
- **Favorites:** Favorites enable users to add links to frequently used features, items, and reports to folders that you create or that are provided by the system. Favorites can provide a personal view of items in the system; other users cannot view your favorites, nor can you view other users’ favorites.
- **Public Folders:** Displays links, reports, URLs, etc that can be viewed by all other MarkeTrak users unless specifically restricted by MarkeTrak Administrators.
General Functionality: Navigating MarkeTrak

**States and Transitions** - All issues in the MarkeTrak tool are routed into one of several workflows based on the Type and Sub Type selected by the submitter. These Issue Type/Sub Types are: Day to Day Issues, Cancel with Approval, Cancel without Approval, and Inadvertent Gain related Sub Types as well as Data Extract Variance Issues- LSE Relationship.

**States** - A state is the position of an issue in the workflow process; this is often similar to the concept of an issue status combined with the issue’s current ‘owner’. Examples of this include: New (ERCOT), In Progress(Assignee), or Cancelled (Pending Complete).

**Transitions** - Transitions are the movement of an issue from one state to another. Available transitions are associated on the GUI with buttons. Selection of different buttons from the same state will typically result in the issue appearing in different states when the transition successfully completes. One example is a Day to Day Issue - Cancel with Approval currently in state In Progress with TDSP. If TDSP user selects transition button ERCOT Cancel, the item will move to state Auto Complete. Alternately if the TDSP user is unable to approve the cancel and selects transition button Unable to Cancel, the issue would appear in the submitting CR’s queue in state Unable to Cancel – (PC). Some transitions, such as Unable to Cancel, require additional steps to complete; in this case completion of a required field: Comments.
General Functionality: Navigating MarkeTrak

**Issue Ownership:** There are several varieties of ownership in the MarkeTrak application: Submitter, Responsible MP, MP’s Involved, and Assigned Owner.

- **Submitter:** The Submitter of the item is indicated near the top of each primary data pane on the issue details window. Submitter Duns number is also incorporated into the title of each issue and listed in the MPs Involved field discussed below.

- **Responsible MP:** Responsible MP is the single Duns number contained in the MPs Involved list that is considered to be the next participant responsible for transitioning the item towards a resolution. Examples include: the TDSP when an issue is waiting for approval to cancel a service order, ERCOT when the approval has been granted, and the CR when the cancel is complete and the issue is waiting for acceptance of the resolution.

- **MP’s Involved:** MP’s Involved is a list of all MP duns numbers which are party to an issue. As additional assignments are made to an item the MPs Involved field will be updated with the selected DUNs numbers, reflecting an increase in market participants with the ability to view the item. As ERCOT can always view any issue in the system, this will always be reflected in the MPs Involved list.

- **Assigned Owner:** Assigned Owner is null when an issue is initially assigned to a Market Participant. Assigned owners are individual users. These are assigned by the Responsible MP automatically as issue is acknowledged by way of transition, Begin Working. Taking this action will populate the associated individual’s user id as the Assigned Owner.
Admin Functionality: Roles & Responsibilities

The MP Administrator will be responsible for establishing and maintaining the users associated with their Market Participant organization. MP Administrators will only be able to establish or maintain users associated with their organization.

The MP Administrator will be responsible for maintaining the MarkeTrak Rolodex. This is the list owned by each MP Administrator which determines the destination of Notification Emails.

The MP Administrator will be responsible for maintaining the MarkeTrak Contacts List. This is the list owned by each MP Administrator which provides contact information for each MarkeTrak user for that company.

The MP Administrator will also be responsible for Report Management. – creating reports for use by multiple users registered under the same DUNS.
MarkeTrak Training

Email Notifications
Email Notifications

Automated Email Notifications

• An automated email generated by MarkeTrak’s Notification system is sent to each MP Administrator assigned contact nightly. Attached to the email is a list of issues that have exceeded the time allotted to complete the transition based upon the issue subtype.

• Examples of scenarios which trigger automated email notifications are:
  ◦ Issues that remain in a state of **New** for more than three calendar days
  ◦ Inadvertent Issues:
    ◦ Responsible MP Escalation: after 7 calendar days without transition
    ◦ ERCOT Escalation: 48 hours to update/transition the issue from the “New (ERCOT)” or “In Progress (ERCOT)” states
    ◦ Losing MP Escalation: The Regaining Transaction Status should be “Scheduled” or “Complete” within 72 hours of the “Regaining Transaction Submitted”
  ◦ All other D2D Sub Types without transition after 28 days
Email Notifications

Individual Email Notifications

• Each user with access to an item has the ability to manually select a notification related specifically to that individual issue. The email address entered in MarkeTrak for the user who selects this option from the Actions: drop down list will be the destination for this email notification.

Please Note: When notifications are established an email will be sent for every MT issue assigned to user.
MarkeTrak Training

ERCOT ListServ
ERCOT ListServ

To subscribe to an email distribution list on ERCOT ListServ, navigate to http://lists.ercot.com and create an account.

• Users will receive a confirmation email sent to the email address provided which will be used to log into the listserv application.

• Users will select the desired lists from the menu and click "submit".

• Users will receive an email with a verification link requesting confirmation of subscription to each list selected.

• After clicking the link, the user will receive all subsequent emails sent to the selected list(s).

To unsubscribe to an email distribution list, users navigate to desired list and click “unsubscribe”.

Checkpoint Question

If a user no longer wants to receive notifications from the ListServ, what action should be taken?

a. Contact their ERCOT Account Manager
b. Reply to email requesting to be removed
c. Navigate to desired list and click unsubscribe

Replying to the email will send the request to ALL subscribers and still will not remove you from notifications.
MarkeTrak Training

Missing Enrollment
D2D Issues: Missing Enrollment Transactions

Examples of missing enrollment transactions include a CR missing

- 814’s
- 867_04

NOTE: The reprocessing of retail transactions by ERCOT is limited to one year from the original processing date. If the missing transaction is to be reprocessed, or dependent upon another transaction being reprocessed, the original transaction dates must be within one year of submission of the MarkeTrak issue.

Allow time for transaction processing to complete prior to submitting the MarkeTrak issue – especially new construction

A CR or TDSP can submit this subtype

Required Fields on Submit:

- Assignee
- ESI ID
- Original Tran ID
- Tran Type
MarkeTrak Training

Usage Billing Issues
D2D Issues: Usage Billing Subtypes

867/810s Usage & Billing
- **Missing** – CR is missing 867_03, 867_03F, 810s
- **Dispute** – CR has an issue with the data found on the 867 and/or 810

AMS interval data/LSE files
- **Missing** – No LSE file or interval data for a period of time
- **Dispute** – CR has an issue with the interval data on the LSE file
D2D Issues: Usage Billing - Missing

Examples of Usage/Billing Issues – Missing:

If a CR is missing an 867_03 Monthly usage transaction

If a CR is missing an 867_03 Final usage transaction

If a CR is missing an 810 transaction

If a CR is missing an 867_03 and an 810 transaction

Allow time for transaction processing to complete prior to submitting the MarkeTrak issue.
D2D Issues: Usage Billing - Missing

Submitting a Usage/Billing – Missing Issue:

The following fields must be populated for successful submission of Day to Day issue sub type Usage/Billing-Missing Issues: (For this example, the submitter selects the TDSP.)

- Assignee
- ESIID
- Original Tran ID (Optional except for 867_03 Final) - BGN02 of the 814_01, 814_16 or 814_24. The TDSP will see it as the BGN06 of the 814_03/814_25.
- Tran Type (select from drop down)
- TNX Date – same as the Service period start date (or is the current date)
- IDR/Non-IDR (IDR indicates true IDR meter, does not include AMS meters)
- Start Time = Service Period Start Date
D2D Issues: Usage Billing - Missing

Submitting a Usage/Billing – Missing Issue:

- The Comments field is optional. Please include any additional information in this box. New field added: Stop Time = Service Period Stop Date. Although optional it is encouraged to be populated. If left blank it will be assumed that the Stop date is the date up to the most current read date. The submitting MP will be validated as the ROR for the Start Time provided on the issue to prevent users from submitting invalid issues.

Comments are highly recommended!
D2D Issues: Usage Billing - Missing

Submitting a Usage/Billing – Missing Issue (cont.):

TRAN TYPE:
867_03 F
867_03 Monthly 00- original
867_03 Monthly 01- cancel
867_03 Monthly 05- rebill
810_02 Monthly 00- original
810_02 Monthly 01- cancel
810_02 Monthly 05- replace

Select OK.
D2D Issues: Usage Billing - Missing

Submitting a Usage/Billing – Missing Issue (cont.)

- The issue enters TDSP queue in a state of **New** and is visible only by the Submitting CR and TDSP.
- The Submitting CR can Withdraw the issue at this point.
- The TDSP selects **Begin Working** and the issue is transitioned in a new state of **In Progress-Assigenee**.
- At this point, the Submitting CR can no longer Withdraw the issue.

- TDSP reviews the issue and has the options:
  - **Unexecutable**, which results in state Unexecutable- Pending Complete – requires comments
  - **Return to Submitter** which requires comments and then the issue is transitioned back to the Submitter for additional information
  - **Complete** which transitions to a state of Pending Complete. The Submitter has the option to close the issue by selecting Complete or the issue will be auto closed in 14 calendar days.
D2D Issues: Usage Billing - Missing

Submitting a Usage/Billing – Missing Issue (cont.)

- In this example the TDSP selects **Complete**, provides the required Tran ID of the missing transaction, and the issue is transitioned to the submitting CR in a state of **Pending Complete**. If the issue covers multiple service periods, information regarding those transactions should be provided in the comments.

- The Submitting CR has the option to close the issue by selecting **Complete** or the issue will be Auto Closed in 14 Calendar days.
D2D Issues: Usage Billing - Dispute

Examples of Usage/Billing Issues – Dispute:

For use when a CR has an issue with any data found on an 867 or 810 which may pertain to one or more of the following examples:

- Consumption / Usage Data
- Bill Calculations – kW, kWh, power factor, meter multiplier
- Rate Issues – rate classifications/tariffs
- Discretionary Service Charge dispute
- Crossed Meter Situation
- Dispute of Estimated Bill
- Estimation Methodology
D2D Issues: Usage Billing - Dispute

Submitting a Usage/Billing – Dispute Issue:

The following fields must be populated for successful submission of Day to Day issue sub type Usage/Billing Issues: (For this example, the submitter selects the TDSP.)

- Assignee
- ESIID
- Original Tran ID (Optional except for 867_03 Final) - BGN02 of the 814_01, 814_16 or 814_24. The TDSP will see it as the BGN06 of the 814_03/814_25.
- Tran Type
- TXN Date
- Start Time - Service Period Start Date
- Dispute Category
  - Priority Issue – defined as a subsequent MarkeTrak issue submitted/resubmitted due to initial MarkeTrak issue being auto closed without resolution or a follow-up MarkeTrak issue exceeding Market accepted SLA
  - Consumption/Usage Issue
  - Billing Calculations kWh
  - Billing Calculations kW
  - Billing Calculations Power Factor
  - TDSP Charge Issue
  - Rate Issue
  - Crossed Meter Issues
  - Non-Metered Issues
  - Other – Comments Required
- Tran ID
- IDR/Non-IDR

Comments are highly recommended!
Submitting a Usage/Billing – Dispute Issue (cont.):

NOTE: The Comments field is optional except when the Dispute Category is Other. Please include any additional information in this box. Stop Time = Service Period Stop Date. Although optional it is encouraged to be populated. *If left blank it will be assumed that the Stop date is the date up to the most current read date.* The submitting MP will be validated as the ROR for the Start Time provided on the issue to prevent users from submitting invalid issues.

Select OK.
Submitting a Usage/Billing – Dispute Issue (cont.):

The issue enters TDSP queue in a state of **New** and is visible only by the Submitting CR and TDSP. The Submitting CR can Withdraw the issue at this point.

The TDSP selects **Begin Working** and the issue is transitioned in a new state of **In Progress-Assignee**. At this point, the Submitting CR can no longer Withdraw the issue.

TDSP reviews the issue and has the options:

- **Unexecutable**, which results in state Unexecutable- Pending Complete – requires comments
- **Return to Submitter** which requires comments and then the issue is transitioned back to the Submitter for additional information
- **Complete** which transitions to a state of Pending Complete. The Submitter has the option to close the issue by selecting Complete or the issue will be auto closed in 14 calendar days.

In this example the TDSP selects **Complete** and the issue is transitioned to the submitting CR in a state of **Pending Complete**. The Submitting CR has the option to close the issue by selecting **Complete** or the issue will be Auto Closed in 14 Calendar days.
AMS LSE Interval Subtypes are submitted for questions regarding AMS interval level data whereas questions regarding 867s or 810s are handled via Usage & Billing subtypes.

The Supplemental AMS Interval Data Extract is used as reference for AMS LSE Dispute subtype. The extract is posted daily to the ERCOT Market Information System (MIS) on ercot.com website.

Additional information about the extract can be found in the Supplemental AMS Interval Data Extract User Guide located on ERCOT.com.
AMS LSE Interval: Missing

Competitive Retailers (CRs) submit this Subtype when they discover an interval usage gap with the AMS LSE interval data from the TDSP.

Typically submitted requesting AMS data for one or more consecutive days of a service period. (Remember LSE files will have all 96 intervals completed for each day)

In order to submit this subtype, the following is required:

- The ESIID must have an AMS meter profile at ERCOT. *(AMS Settlement Flag = true on Find ESI functionality)*

- The CR must be the current Rep of Record for ALL usage days specified by the STARTIME and STOPTIME range.
AMS LSE Interval: Missing

How to submit this SubType?

From the MarkeTrak submit tree, under the D2D option:

• Select the Usage/Billing AMS LSE Interval Missing option.

• Enter the data for the required fields.
CR enters required information indicating STARTTIME and STOPTHM as formatted above for the missing period only and selects ‘OK’.
AMS LSE Interval: Missing

“Happy Path”

Requesting CR selects Missing under Usage/Billing AMS LSE Interval from the Submit Tree.

Requesting CR enters all required information and selects ‘OK’.

The issue is now in the state of ‘New’ with the TDSP as Responsible MP.

TDSP selects ‘Begin Working’.

The issue is now in a state of ‘In Progress (Assignee)’.
AMS LSE Interval: Missing

TDSP selects ‘Begin Working’ and then selects ‘Complete’ and enters optional Comments. TDSP selects ‘OK’.

NOTE: If CR is no longer ROR, SMT cannot be referenced and interval data should be attached to MarkeTrak.
AMS LSE Interval: Missing

“Happy Path” (cont.)

TDSP selects ‘Complete’, enters Comments (optional) and selects ‘OK’.

The issue is now in a state of ‘Pending Complete’ with the Submitting MP as the Responsible MP.

Submitting MP selects ‘Complete’ and the issue closes to ‘Complete’.
AMS LSE Interval: Missing

Submitting CR selects ‘Complete’ and the issue is closed to a state of ‘Complete.’
AMS LSE Interval: Dispute

Competitive Retailers (CRs) submit this Subtype when they discover a discrepancy with the AMS LSE interval data from the TDSP.

Before submitting a Usage & Billing AMS LSE Dispute issue, the CR should allow 5 business days for transaction processing to complete.

In order to submit this subtype, the following is required:

- The ESIID must have an AMS meter profile at ERCOT.

- The usage data must be loaded in the ERCOT system and is identified by the unique identifier ‘UIDAMSINTERVAL’ from the Supplemental AMS Interval Data Extract. This code is retrieved and is a required field for this subtype.

Each issue should reflect the intervals from a single day or a consecutive period; a new issue should be created for each additional period.
AMS LSE Interval: Dispute

How to submit this SubType?

From the MarkeTrak submit tree, under the D2D section:

• Select the Usage/Billing AMS LSE Interval **Dispute** option.

• Enter the data for the required fields.
AMS LSE Interval: Dispute

Comments are essential in efficiently and accurately processing the MT in a timely manner.

Code retrieved from AMS Supplemental Extract for service interval in question or the last interval for the specific day or period in question. If past 30 days, enter the oldest date available.

STARTTIME = service period start time formatted as mm/dd/yyyy 00:00:00
STOPTIME = service period stop time (varies by TDSP) mm/dd/yyyy 23:59:59
AMS LSE Interval: Dispute

“Happy Path”

Requesting CR selects Dispute under Usage/Billing AMS LSE Interval from the Submit Tree.

Requesting CR enters all required information and selects ‘OK’.

The issue is now in the state of ‘New’ with the TDSP as Responsible MP.

TDSP selects ‘Begin Working’.

The issue is now in a state of ‘In Progress (Assignee)’.

TDSP selects ‘Begin Working’ and then selects ‘Complete’ and enters optional Comments. TDSP selects ‘OK’.
“Happy Path” (cont.)

TDSP selects ‘Complete’, enters Comments (optional) and selects ‘OK’.

The issue is now in a state of ‘Pending Complete’ with the Submitting MP as the Responsible MP.

Submitting MP selects ‘Complete’ and the issue transitions to ‘Complete’.
AMS LSE Interval: Dispute

Submitting CR selects ‘Complete’ and the issue is closed to a state of ‘Complete.’
Checkpoint Question

Which subtype should a CR submit if a customer is questioning the monthly consumption value they received on their monthly bill?

a) Usage & Billing – Missing

b) Usage & Billing – Dispute

c) AMS LSE – Missing

d) AMS LSE – Dispute
Checkpoint Question

**True or False**

A CR should submit an AMS LSE – Dispute MarkeTrak as soon as they receive the 867_03 monthly from the TDSP.
True or False

When submitting any Usage & Billing MarkeTrak, if the STOP time is left blank it will be assumed it is the end of the 30 day period following the START time.
Checkpoint Question

If a CR has submitted an 814_16 enrollment and has received an 814_05 and an 867_04, but has yet to receive the 867_03 (initial periodic), the CR should submit a ____________ MarkeTrak.

a) Missing Enrollment Transaction
b) Usage & Billing - Missing
c) AMS LSE - Missing
Questions
MarkeTrak Training
Switch Hold
Switch Hold

**Purpose:**
To ensure that the occupant responsible for the financial obligations at the premise satisfies and resolves any outstanding charges with the appropriate entities before switching to a new REP.

**What it is:**
According to PUCT Subst. Rule 25.126 & PUCT Subst. Rule 25.480, a Switch Hold can be placed on a premise by either a Retail Electric Provider (REP) for a Deferred Payment Plan (DPP) or by the Transmission and Distribution Service Provider (TDSP) due to Meter Tampering. The Switch Hold will remain in effect until the specified charges have been paid by the customer.

**Types:**
1) Deferred Payment Plan (DPP) – REP initiated
2) Tampering – TDSP initiated
Types of Switch Hold

Deferred Payment Plan (DPP) Switch Holds:

• Initiated and removed by the REP of Record via 650_01 to TDSP.

• Prevents customers from switching to another REP if they have outstanding charges with current REP of Record (ROR).

• Current ROR must provide clear explanation (orally or written) to customer of the switch hold process before initiation of DPP Switch Hold.

• Current ROR must receive customer’s agreement before initiation of DPP Switch Hold.

• Switch Hold must be removed by ROR in a timely manner once all DPP obligations have been satisfied by the customer.
Types of Switch Hold

Tampering Switch Holds:

• Initiated by the TDSP when Tampering is discovered at the premise.
• TDSP must store evidence of Tampering discovery.
• TDSP sends 814_20 to update ESIID status for Tampering.
• TDSP sends Tampering charges on the 810_02 to ROR.
• Switch Hold prevents customer from switching to another REP if they have outstanding Tampering charges with current ROR.
• Switch Hold must be removed in a timely manner by current ROR via 650_01 once all outstanding Tampering charges are satisfied by the customer.
Switch Hold Removal for Purposes of a Move In

Scenario:

A Premise has a Switch Hold applied, however the customer vacates the premise. An entirely new customer tries to move in, yet encounters the Switch Hold on the Premise.

When this happens, the requesting REP cannot use a 650_01 to remove the Switch Hold, since they are not the initiators of the Switch Hold.

Instead, the requesting REP must follow the process outlined in Retail Market Guide Section 7.16.4.3 (for Tampering) or 7.17.4.3 (for DPP) associated with removal of a Switch Hold for purposes of a Move In.
Switch Hold Removal for Purposes of a Move In

How it works:

1) Using only one (1) MarkeTrak issue per ESI ID, the requesting CR must initiate the Switch Hold MarkeTrak (MT) issue type to begin the removal process.

2) The TDSP, current REP of Record, and requesting CR will collaborate to determine if the New Occupant is in any way associated with the Current Occupant who is subject to Switch Hold.

3) The requesting CR must provide supporting documentation for the New Occupant including a New Occupant Statement (NOS).
   - Confirm a Switch Hold currently exists on the premise via MIS portal
   - Ensure submitter is not ROR
   - Documentation is valid and complete

4) If it is determined that the New Occupant is not associated with the Customer of Record (current occupant), the TDSP will remove any Switch Holds applied to the ESIID.

5) If an issue has been open for more than four (4) business hours without resolution, the TDSP will make the final decision as to whether or not the Switch Hold will remain.
Switch Hold Removal

What does it mean: Four (4) Business Hours?

• MarkeTrak Switch Hold Removals are worked during Business Hours only (Monday-Friday, 8:00AM-5:00PM CPT)

• Market Participant Timelines:
  – TDSP “Initial” review: one (1) business hour
  – Current REP of Record review: one and a half (1.5) business hours
  – TDSP “Final” review: one and a half (1.5) business hours (or any remaining time within the four-hour period)

• If issue remains unresolved at the end of a business day, the Responsible MP’s time will resume next business day at 8:00AM
  – Example: REP of Record is assigned the issue at 4:00PM Friday. Business hours cease at 5:00PM Friday. Business hours resume 8:00AM Monday. REP of Record has until 8:30 AM Monday to respond, for a total of one and a half business hours as Responsible MP.
Switch Hold Removal Documentation

Standard Documentation Requirements

Per RMG 7.16 & 7.17, the Requesting CR must include the New Occupant Statement (RMG Appendix J2) **AND** one of the following:

- Copy of a current signed lease;

- Notarized Affidavit of Landlord (RMG Appendix J9);

- Utility bill, in new occupant’s name, dated within last two months from a different Premise address;

- Closing documents indicating transfer of ownership occurred subsequent to Switch Hold applied to Premise; or

- Certificate of Occupancy

Ensure documentation is valid and complete prior to submitting a MarkeTrak Issue.
Switch Hold Removal Documentation

Standard Documentation “Best Practices”

TDSPs will review all supplied documentation for completeness. For quickest resolution, the documentation provided should include:

- **Current Signed Lease**
  - Customer name, service address, portion of lease signed by both landlord and tenant
  - Dates on lease should align with Move In request
    - Any expired agreements or agreement not signed by all parties will be rejected by TDSP

- **Utility bill**
  - Dated within last two months from a different Premise address and New Occupant’s name and service address should be visible

- **Closing Documents**
  - New Occupant’s name and service address should be visible
  - Indicating transfer of ownership occurring after Switch Hold was applied

- **Affidavit of Landlord**
  - Notarized
  - If form Appendix J9 is not used, the document must contain all data elements required within J9
Continuous Service Agreement (CSA) Documentation Requirements

• For a premise where a CSA agreement is present, only the CSA form in Appendix J4/J5 is required. The New Occupant Statement does not need to accompany the CSA form, and it does not need to be notarized.

• The Requesting CR must be the CSA provider, established via 814_18 CSA Add transaction.

• If there is not an actual CSA, the Requesting CR must use the previously mentioned process.
  – New Occupant Statement + documentation
  – Example: Non-CSA vacant agreement
Switch Hold Removal

“Happy Path” #1 – All users agree and switch hold is removed

1) Requesting CR selects **Switch Hold Removal** from Submit Tree.

2) Requesting CR enters all required information, attaches all valid and necessary documentation and chooses the ‘Submit’ transition.

3) The issue is now in the state of ‘New (TDSP)’ with the TDSP as Responsible MP.

4) TDSP selects ‘Begin Working’.

5) The issue is now in a state of ‘In Progress (TDSP)’.
Switch Hold Removal

“Happy Path” #1 – All users agree and switch hold is removed (cont.)

6) TDSP selects ‘Send to REP of Record’.
   ✔ Enters DUNS/company name via dropdown.

7) The issue is now in a state of ‘New’ with the REP of Record as Responsible MP.

8) REP of Record selects ‘Begin Working’.

9) Issue is now in a state of ‘In Progress (Assignee)’.

10) REP of Record selects ‘Agree’.
Switch Hold Removal

“Happy Path” #1 – All users agree and switch hold is removed (cont.)

11) Issue is now in a state of ‘New (TDSP) - Final Review’ with the TDSP as Responsible MP.

12) TDSP selects ‘Begin Working’.

13) Issue is now in a state of ‘In Progress (TDSP)- Final Review’ with the TDSP as Responsible MP.

14) TDSP selects the ‘Switch Hold Removed’ transition.

15) Issue is now in a state of ‘Pending Complete’ with Requesting CR as Responsible MP.

16) Requesting CR selects ‘Complete’, and issue is closed.
Switch Hold Removal

CR enters required information and attaches file(s).
Switch Hold Removal

TDSP sends to REP of Record.
Switch Hold Removal

REP of Record DUNS is used by TDSP to assign issue.
Switch Hold Removal

REP of Record agrees to release switch hold.
Switch Hold Removal

TDSP confirms removal of switch hold.
Switch Hold Removal

Submitting (Requesting) CR selects ‘Complete’ and the issue is closed.
Alternate Resolution Paths

Step by Step walkthrough of the following paths is located after the checkpoint questions:

1. REP of Record disagrees; TDSP declines to remove hold
2. REP of Record disagrees; TDSP still removes hold.
3. TDSP rejects issue during first step as Responsible MP.
4. REP of Record does not choose “Begin Working”, exceeds time limit.
5. REP of Record selects ‘Begin Working’, exceeds time limit.
6. ‘Time Limit Exceeded’ used before one and a half business hours.

Ultimately the TDSP determines if the Switch Hold will be removed.
Switch Hold Overview

References and General Overview of Switch Hold Process:

**PUCT Rule References:**
- PUCT Subst. Rule 25.126, Adjustments due to Non-Compliant Meters and Meter Tampering in Areas where Customer Choice has been Introduced
- PUCT Subst. Rule 25.480, Bill Payments and Adjustments

**Retail Market Guide References:**
- 7.16, Business Processes & Communications Related to Meter Tampering
  - 7.16.4.3, Removal of a Switch Hold for Meter Tampering for Purposes of a Move In
- 7.17, Business Processes & Communications Related for Switch Holds Related to Deferred Payment Plans
  - 7.17.3.3, Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move In
Checkpoint Question

How long does the REP of Record have to review the Switch Hold Removal request, once the TDSP assigns the issue to them?

a) 1 hour  
b) 4 hours  
c) 1 ½ hours  
d) 6 Hours  
e) None of the Above
The TDSP assigns a Switch Hold Removal MarkeTrak issue to the REP of Record on Friday, at 4:30 pm. When does the REP of Record's review period expire?

a) Friday at 6:00pm
b) Saturday at 9:00 am
c) Sunday at 9:00 am
d) Monday at 9:00 am
e) None of the Above
Checkpoint Question

Which of the following documents is not an “acceptable” document for Switch Hold Removal consideration?

a) Utility bill from a different address dated within the last two months
b) Notarized Affidavit of Landlord
c) Closing documents executed after the Switch Hold was applied
d) Cell phone bill
e) All of the above

Answer: D) Cell phone bill
Questions
MarkeTrak Training
Siebel Change
Siebel Change

Siebel is the ERCOT Registration System of Record that maintains ESI ID activity.

A Siebel change is used to correct order status for an ESI ID’s past activity.

CR or TDSP can submit this subtype.

**TXSET transactions cannot be utilized for Siebel system changes.**

Upon completion, a Siebel Change will align ERCOT’s Siebel system with the impacted Market Participant’s system.

The following fields are required to initiated a Siebel Change issue:

- Assignee
- ESI ID
- Original TranID
- Comments
Examples of Siebel Change/Info

1) **Changing Service Order Status**
   • For out-of-sync scenarios when a transaction’s status is different on ERCOT MIS from the Market Participant’s systems.
   • To inquire why a transaction was cancelled.
   • To inquire why Siebel status is different than the status of the transaction(s) submitted by the TDSP.
   • When changing Service Order Status from “Cancel” to “Complete” or vice versa.

2) **Changing Start Time Discrepancies**
   • To inquire why an ESI ID is not in ERCOT’s system.
   • When changing a start time of a Siebel service order.
MarkeTrak Training

Data Extract Variances (DEVs)
Data Extract Variance (DEV) Overview

Data Extract Variances (DEVs) are used to correct a “Service History Row” on the SCR727 ESI ID Service History & Usage Extract or ESI ID characteristics when corrections cannot be resolved with a TXSET transaction.

Two types of DEVs can be used when a discrepancy is identified:

1. **DEV LSE:**
   - Used to correct the MP's StartTime and/or StopTime for REP of Record (ROR) synchronization.

2. **DEV Non-LSE:**
   - Non-LSE DEVs are used to synchronize ESI ID characteristics, existence and/or usage data.
Checkpoint Question

Today is October 1st, what MarkeTrak subtype is used to correct service history rows for a REP of Record serving the ESI ID from August 1st – August 30th?

a) Siebel Change
b) DEV Non-LSE
c) Inadvertent Gain
d) DEV LSE
Checkpoint Question

*Today is October 1st, what MarkeTrak subtype is used to correct service history rows for a REP of Record serving the ESI ID from September 15th to today?*

a) Siebel Change  
b) DEV Non-LSE  
c) Inadvertent Gain  
d) DEV LSE
MarkeTrak Training

Bulk Insert Process
Bulk Insert: Overview

MarkeTrak Bulk Insert functionality…

- Allows for automated method of submitting multiple MarkeTrak issues of the *same subtype*
- Uses a .CSV file containing data for each issue and is uploaded via the Bulk Insert workflow
- Templates are available on ERCOT.com for each subtype’s .CSV file format. These contain the defined *required* field ordering for the specific issue type.
Bulk Insert: Validations

Two levels of validations are performed on this MT Subtype:

1. **Overall file format** level validations upon submission

2. **Business level** validations on each row of data within .CSV file
   - All validations will default to “off” unless otherwise flagged
   - Any “blank” validation flag assumes validation is turned “off”
   - If populated with “1” in the appropriate field, validation is “on”
Bulk Insert: File Format Validations

Performed on .CSV file by clicking “Attach and Validate”.

• Determine if correct # of columns were uploaded

• Comments will indicate # of rows that successfully uploaded (with correct # of columns) and # of rows not uploaded from .CSV file
Bulk Insert: Business Level Validations

Performed on required fields of template

Report posted to destination of choice: MarkeTrak attachment or MIS

Report includes the following five additional columns added at the end of each row, representing the following data:

- **Success or Fail**: “success” indicates successfully submitted via Bulk Insert and “fail” indicates issue was not submitted
- **Error Code**: if an issue fails, a code will populate in this field
- **Error Message**: field contains error message why the issue failed to submit
- **Date/Time Stamp**: contains date and time stamp of when the issue was submitted
- **Issue ID**: MarkeTrak issue ID for successfully submitted issues

Allow adequate time for processing individual issues. Average processing time is a few seconds per row.
## Bulk Insert: .CSV File Validations

<table>
<thead>
<tr>
<th>Validation</th>
<th>Populate “1”</th>
<th>Populate “0”</th>
</tr>
</thead>
<tbody>
<tr>
<td>ESI ID Duplicate Check - validates ESID</td>
<td>Will not submit issue if duplicate issue exists containing the ESI ID for which submitter has access</td>
<td>Duplicate check overridden, issue will submit provided criteria is met</td>
</tr>
<tr>
<td>Global ID Duplicate Check – validates ESID and original Transaction ID</td>
<td>Will not submit issue if a duplicate issue is located in MarkeTrak system containing the ESI ID and original transaction for which submitter has access</td>
<td>Duplicate check overridden, issue will submit provided criteria is met</td>
</tr>
<tr>
<td>ESI ID Validation - must be enabled for Premise Type to return</td>
<td>Submit for validation of ESI ID against ERCOT registration system</td>
<td>Submit regardless if ESI ID is within ERCOT registration system</td>
</tr>
<tr>
<td>Evaluation Window Check – Global ID Validation must be enabled</td>
<td>Enables TRAN Type/Evaluation rules be applied for Cancel w/Approval issues</td>
<td>Ignores Evaluation rule and submits issue regardless of violation</td>
</tr>
<tr>
<td>Global ID Validation</td>
<td>Enables validation of Global ID against ERCOT registration system</td>
<td>Ignores validation of Global ID with ERCOT registration system</td>
</tr>
</tbody>
</table>

If Validation field is left blank, a “0” will automatically default and the check will not be performed.
Bulk Insert: .CSV File Template

Bulk Insert templates for every applicable subtype are available on the MarkeTrak Information Page. Below is a sample of the template for the Usage/Billing Missing subtype:

- The definition of the data fields is as follows:
  - Required (Req)
  - Optional (Opt)
  - Not Applicable (N/A)
  - Required or Optional (R/O)
  - Required or Not Applicable (R/NA)
  - Optional or Not Applicable (O/NA)
  - DateTime format = ccyy-mm-dd Thh:mm:ss eg: 2019-11-15T13:20:57
  - Date format = ccyy-mm-dd eg: 2015-11-15
Bulk Insert: Tips & Tricks

Tip 1 – One template, one subtype
• Only submit multiple issues via bulk insert for the same subtype

Tip 2 – Request all validations occur
• Select all the validations to ensure data is valid and does not contain duplicates.

Tip 3 – Caution when copying ESI IDs
• Use caution when copying ESI IDs and pasting into the Excel Spreadsheet Bulk Insert Template.
• A normal copy and paste can result in the 17 digit ESI ID being automatically formatted by Excel in Scientific Notation Format (example 1.04437E+16).
• Changing the format of the cell in the spreadsheet will result in the last two digits of the 17 digit ESI ID to change to 00. This will cause the MarkeTrak issue to be created using the wrong ESI ID.
Solution for accurate ESI ID format:

- Open the Excel Spreadsheet Bulk Insert Template and Right Click in ESI ID cells.
- Select *Format Cells* and choose *Text* from the list.
- Copy ESI ID from source document and right click in the ESI ID cell and choose *Paste Special* and then choose *Text*.

This will paste the 17 digit ESI ID into the spreadsheet in text format and avoid Excel changing the ESI ID format.

**Tip 4 – Avoid commas in comments**

- Avoid commas (,;) in any comment on the MarkeTrak issue via Bulk Insert. As a CSV (Comma Separated Value) file, any comma in a comment field will be recognized as a delimiter and misalign the column count causing the file to fail.
Bulk Insert: Tips & Tricks

Tip 5 – Correct format on dates and times
• ensure date/time field has correct format and populates the field in the T-format. If not formatted correctly, bulk insert file will not pass validation.

Correct format on dates and times

DateTime format = ccyy-mm-ddThh:mm:ss  eg: 2015-11-15T13:20:57
Date format = ccyy-mm-dd  eg: 2015-11-15

Tip 6 – Ensure all rows are accounted for
• Before submission of the bulk insert CSV file the user should ensure all rows are accounted for in the file template to successfully pass validation for submission of the file.

Tip 7 – Delete the header row
• Once all data has been entered into required fields on the bulk insert template, the header row should be deleted before saving the file in the CSV format.

Tip 8 – Checking validation errors
• If you receive a validation error, go to notepad and open your CSV file to determine where the error has occurred and correct it. Once the error is corrected save the file with a new name. If you do not save with a new name your corrections will not be saved to the corrected file.
Bulk Insert: Submit

Submitting a Bulk Insert Issue:

- Following fields must be populated for successful submission of Bulk Insert:
  - Issue Type
  - Sub-Type
  - Report Destination

- Submitter selects OK
Bulk Insert: Submit (cont.)

From the Actions dropdown, select **Add File**

- Select **Browse**, locate the CSV file, and press **Upload & Attach File**
Bulk Insert: Submit (cont.)

Select Attach and Validate

- Once the file has been attached select OK to validate the format of the CSV file
Validation will be performed on the uploaded file

1. File failure possibilities:
   a) incorrect number of columns
   b) formatted incorrectly

2. Comments section to display failure message

3. Failures must be corrected

4. Once corrected, original file must be deleted before it can be reattached
   a) To delete the file, select trash can icon next to file name
   b) Select ‘delete file’
Bulk Insert: Submit (cont.)

If the upload is successful, a message indicating “All rows passed validation” will appear.

- Select ‘Submit Bulk File’ to create individual issues.
After submitting the issue it will automatically close the Bulk Insert issue.

• Once submitted, Bulk Insert MarkeTrak Number becomes the “parent” and will be populated on each individual MarkeTrak issue (which are the “children”) created by the Bulk Insert.
Bulk Insert: Report Destination Options

User chooses report destination as either:

- file attached to the MarkeTrak issue
- posted to reports section on MIS
  - user to download the file via MIS
  - access to MIS can be selected at top of the MarkeTrak GUI screen
Bulk Insert: Report Destination

From within MIS, select the **Retail** link to access the reports.
Bulk Insert: Report Destination

Select the *MarkeTrak Bulk Submissions Report* link to access the .csv file.
Checkpoint Question

In what format should your Bulk Insert file be saved, prior to uploading into MarkeTrak?

a) *.pdf
b) *.txt
c) *.csv
d) *.xlsx
True or False:

Bulk Insert templates for every applicable subtype are available on the MarkeTrak Information Page.
MarkeTrak Training

Additional D2D Subtypes
### Additional Day to Day Subtypes - summary

Below is a summary of additional subtypes utilized for specific purposes:

<table>
<thead>
<tr>
<th>Issue Subtype</th>
<th>Purpose</th>
<th>Submitter</th>
</tr>
</thead>
</table>
| Cancel w/ Approval      | • Manually cancelling an initiating transaction – MVI, MVO, or Switch  
• Used by CR or TDSP when experiencing system issues  
• CR requesting cancellation of a past-dated ‘scheduled’ transaction                                                | CR or TDSP |
| 997s                    | Verify if a 997 was sent or received                                                                                                                                                                | CR or TDSP |
| Projects                | Project related requests, i.e. Meter Cycle change request                                                                                                                                               | CR or TDSP |
| ERCOT Initiated         | Used when exceptions are in ERCOT’s system (i.e. conflicting metering dates, etc.)                                                                                                                   | ERCOT     |
| Safety Net Order        | Request for follow up EDI transaction after CR submittal of safety net                                                                                                                               | TDSP      |
Below is a summary of additional subtypes utilized for specific purposes:

<table>
<thead>
<tr>
<th>Issue Subtype</th>
<th>Purpose</th>
<th>Submitter</th>
</tr>
</thead>
<tbody>
<tr>
<td>Move Out w/ Meter Removal</td>
<td>• TDSP notification of meter removal if 650_04 is not sent</td>
<td>TDSP</td>
</tr>
<tr>
<td></td>
<td>• Follow up request for MVO transaction upon 650_04 notification</td>
<td></td>
</tr>
<tr>
<td>Redirect Fees</td>
<td>When an IAG results in a lights out situation, allows Losing CR to submit</td>
<td>Losing CR</td>
</tr>
<tr>
<td></td>
<td>within 3 days of receiving 810_02 for recovery of any discretionary fees from Gaining REP</td>
<td></td>
</tr>
<tr>
<td>Market Rule</td>
<td>Flexible for operationalizing PUCT rulemaking, i.e. AMS Opt-Out customer requests</td>
<td>TDSP or CR</td>
</tr>
<tr>
<td>Reject Transactions</td>
<td>CR or TDSP questions rejected transaction, i.e. invalid EDI, NFI, Dups</td>
<td>CR or TDSP</td>
</tr>
</tbody>
</table>
Below is a summary of additional subtypes utilized for specific purposes:

<table>
<thead>
<tr>
<th>Issue Subtype</th>
<th>Purpose</th>
<th>Submitter</th>
</tr>
</thead>
<tbody>
<tr>
<td>REP of Record</td>
<td>CR questions who ERCOT or TDSP show as ROR – i.e. used in Mass Transition process</td>
<td>CR or TDSP</td>
</tr>
<tr>
<td>Service Order – 650 Issues</td>
<td>Inquiries related to service orders – missing 650_02 responses or rejects of 650_01</td>
<td>CR or TDSP</td>
</tr>
<tr>
<td>Premise Type</td>
<td>Out of sync conditions for premise types requesting TDSP to submit 814_20 to update premise type</td>
<td>CR</td>
</tr>
<tr>
<td>Service Address</td>
<td>CR requests TDSP to submit 814_20 to update a service address for an ESI</td>
<td>CR</td>
</tr>
</tbody>
</table>
MarkeTrak Training

‘Other’ Issues
Examples of Other Issues but not limited to:

- Questions pertaining to discrepancy between sum of AMS Interval data and the 867 consumption value
- Questions pertaining to Siebel Reports
- Questions pertaining to request for filenames
- Questions pertaining to 997 reports
- Questions pertaining to CSAs
- Questions pertaining to missing information on non-required EDI fields
- Request for reprocessing of transactions
- Questions pertaining to Texas SET Transaction Issues
- Questions pertaining to MIS Portal

A CR or a TDSP can submit this subtype

Required Fields on Submit:

- Assignee
MarkeTrak Training

Inadvertent Gain/Loss (IAG)
Overview
What is an IAG?

An **Inadvertent Gain/Loss (IAG)** is an unauthorized change of a customer’s Retail Electric Provider.

Commonly referred to as either an Inadvertent Gain (IAG) or Inadvertent Loss (IAL), an inadvertent situation occurs when a customer or a premise is changed to a REP that is different than their expected REP of choice.

When resolving IAG issues, the **ultimate goal** is to return the Customer to their REP of choice in a **quick and efficient** manner with minimal inconvenience to the Customer.
Gaining CR and Losing CR

The **Gaining CR** is a competitive retailer who inadvertently gains an ESI ID and is responsible for returning the customer to the previous REP of Record.

- When initiating the MarkeTrak process the Gaining CR shall submit the **Inadvertent Gain subtype**.

The **Losing CR** is a competitive retailer who was the REP of Record prior to losing an ESI ID due to an Inadvertent Gain situation.

- When initiating the MarkeTrak process the Losing CR shall submit the **Inadvertent Loss subtype**.
Reference Documents

1. PUCT Subst. Rule §25.495, Unauthorized Change of Retail Electric Provider

2. ERCOT Retail Market Guide Section 7.3, Inadvertent Gain Process

How does an IAG occur?

An Inadvertent Gain or Loss can occur under various circumstances:

- Incorrect information provided by the Customer during enrollment – service address, ESI ID, wrong apartment number.
- Incorrect information entered by the REP during enrollment
- Unauthorized enrollments – slamming
- Variety of different enrollment processes used by REPs
Who does an IAG impact?

- Gaining REP
- ERCOT
- Customer
- Losing REP
- TDU
How is the Market impacted?

**Customer**
- Confusion as to who is their REP
- Delayed Billing
- Possible Lights Out Situation
- Poor Customer Experience

**Market**
- Most used MT Subtype - represents over 49% of all MTs
- One of the longest MT issues to resolve
- It can create distrust and confusion in the Market

**Cost**
- Resource Commitments
- Consumption Write-offs
- IAG Fees from TDSPs
Questions
MarkeTrak Training

Customer Rescission Walkthrough
A REP shall promptly provide the applicant with the terms of service document after the applicant has authorized the REP to provide service to the applicant and the authorization has been verified. For switch requests, the REP shall offer the applicant a right to rescind the terms of service without penalty or fee of any kind for a period of three federal business days after the applicant's receipt of the terms of service document. The provider may assume that any delivery of the terms of service document deposited first class with the United States Postal Service will be received by the applicant within three federal business days. Any REP receiving an untimely notice of rescission from the applicant shall inform the applicant that the applicant has a right to select another REP and may do so by contacting that REP. The REP shall also inform the applicant that the applicant will be responsible for charges from the REP for service provided until the applicant switches to another REP. The right of rescission is not applicable to an applicant requesting a move-in.
Right of Rescission

In other words …

Applicable to Switch requests only, not Move-Ins.

After receiving the Terms of Service, Customer is allowed three (3) federal business days to rescind without penalty or fees from the Gaining REP.

Ultimate goal is to return the Customer to their REP of choice quickly and efficiently with minimal inconvenience to the Customer.
Rescission vs. Inadvertent Switch

Strongly recommended that involved CRs share as much information as possible at the onset of issue creation to aid in resolution of Customer Rescission issue *quickly and efficiently* (e.g. Customer Name, Meter #, etc.)

Although Customer Rescission is part of the Inadvertent Switch ‘family’ within the MarkeTrak tool, resolution of a Customer Rescission does not follow the same criteria nor follow the same completion timeline.

If/when the customer requests rescission (within the 3 federal business day window), the ‘losing’ REP must promptly regain the Customer – *no questions asked*.

- The research and investigation normally pursued during resolution of an Inadvertent Switch is not utilized when resolving Customer Rescission.
# Rescission vs. Inadvertent Switch

## Handling of Fees/Charges Associated with IAG vs Rescission (per TDSP tariff):

<table>
<thead>
<tr>
<th></th>
<th>Customer Rescission</th>
<th>Inadverted Gain/ Loss</th>
</tr>
</thead>
<tbody>
<tr>
<td>Can CRs pass <strong>TDSP fees</strong> to customer?</td>
<td>No</td>
<td>Yes – TDSPs may charge Gaining CRs an IAG fee and/or pass-through charges. Gaining CRs may choose to pass these charges to the customer.</td>
</tr>
<tr>
<td>Can CRs pass <strong>kWh usage</strong> to customer?</td>
<td>No</td>
<td>Yes – because IAG reinstatement date can range from “DOL + 1” to “Date of MT submission +10”, Gaining CRs may choose to pass kWh charges (usage) to the customer.</td>
</tr>
</tbody>
</table>
Customer Rescission Guidelines

Only the **Gaining CR** may submit the rescission-based MarkeTrak.

The issue must be submitted on or before the twenty-fifth (25th) calendar day following ERCOT’s established First Available Switch Date (FASD).

If a Customer Rescission issue has not been submitted within the specified timeframe above, the two CRs should work to resolve the issue through the IAG/IAL subtype.
Completion Timeline for Customer Rescission

Once a Customer Rescission MarkeTrak (MT) issue has been submitted, the Losing CR has two (2) business days to agree to the Customer Rescission MT issue.

Once the Transmission and/or Distribution Service Provider (TDSP) has updated the MT issue to “Ready to Receive”, the Losing CR has another two (2) business days to send a backdated 814_16, Move-In Request.
Rescission Walkthrough – Gaining CR

1. The Gaining CR selects the Submit tab.
2. From the Submit Tree, select **Customer Rescission**.

Note: The submitter should include any details (ex. customer name) in the comments section which may expedite resolution of the issue.
Rescission Walkthrough – Gaining CR

The following fields must be populated:

- ESI ID
- Original Tran ID
- Comments (Recommended)
3. ERCOT validates ESI ID, submission timeframe and valid originating transaction.

4. Upon passing validation, MarkeTrak issue is created and ERCOT updates the issue with the following information:
   - Losing CR Name and Duns
   - TDSP Name and Duns
   - Gaining CR ROR = Y or N
   - Gaining CR Start Date
   - Regain Date – auto populated by ERCOT. (Gaining CR Start Date +1 calendar day)

5. MarkeTrak issue is assigned to the state of ‘New (Losing CR)’ with the Losing CR as the Responsible Party.

   [Starts the 2 Business Day clock for Losing CR to Agree]


Rescission Walkthrough - Validations
Rescission Walkthrough – Losing CR

7. MarkeTrak issue is assigned to the state of ‘In Progress (Losing CR)’ with the Losing CR as the Responsible Party.

8. Losing CR selects ‘Send to TDSP’.

[Implies “Agreement” & ends the 2 Business Day clock]
Rescission Walkthrough – TDSP

9. Issue is in a state of ‘New (TDSP)’ with TDSP as Responsible MP.

10. TDSP selects ‘Begin Working’.

11. Issue is in a state of ‘In Progress (TDSP)’ with TDSP as Responsible MP.
Rescission Walkthrough - TDSP

12. TDSP selects ‘Ready to Receive’

[Starts the 2 Business Day clock for Losing CR to submit BDMVI]
Rescission Walkthrough – Losing CR

13. Issue is in a state of ‘New (Losing CR Submit)’ with the Losing CR as Responsible MP.


15. Issue is in a state of ‘In Progress (Submit Regaining)’ with the Losing CR as Responsible MP.
Rescission Walkthrough – Losing CR

16. Losing CR selects ‘Provide Regaining BGN02’.
17. Losing CR populates all required information:
   - Regaining Transaction Submit Date
   - Regaining BGN 02
18. Issue is in a state of ‘Regaining Transaction Submitted (PC)’ with the Gaining (Submitting CR) as Responsible MP.

19. Once the regaining transaction (Backdated 814_16 MVI) has been successfully sent by (Losing/Original CR), Siebel will automatically:
   - Check Regaining Transaction Siebel Status every 30 minutes using the BGN 02 from the new initiating transaction.
   - Update the issue with the current Regaining Transaction Siebel Status.

20. The issue will move to a state of ‘Complete’ with the Submitting MP as the Responsible Party once the Regaining Transaction Siebel Status is Complete.

[Ends the 2 business day clock for the Losing CR]
Who can submit a Rescission MarkeTrak?

a) The Losing REP  
b) The Gaining REP
In order to efficiently process a Rescission MT, the customer name should be stated in the comments.

a) True
b) False
A customer who has exercised their ‘right of rescission’ may receive fees from the Gaining REP.

a) True

b) False
Checkpoint Question #4

Once the Losing REP has agreed to the Rescission, they have _______ days to submit the BDMVI.

a) 10 days
b) 5 business days
c) 2 business days
d) 14 days

ANSWER: 2 business days
Questions
MarkeTrak Training

Inadvertent Gain (IAG) MarkeTrak Walkthrough
Inadvertent Gain

An inadvertent issue begins upon the discovery of an Inadvertent Gain or Move-In transaction submission.

Upon identification of an Inadvertent Gain, the CR will check the transaction status via the ERCOT MIS.

- If transaction Status is "In Review" or "Scheduled" with a ‘key date’ > 1 day and the Inadventent CR is the submitting CR, then the CR will cancel their submitting transaction by submitting an 814_08 EDI cancel transaction.

- For “Completed” or “Scheduled” status where the ‘key date’ is the same day, or if the CR is not the submitter of the transaction, the CR will log a MarkeTrak Inadvertent issue.
Inadvertent Gain

- CR’s will work together in a manner outlined in Section 7.2 of the Retail Market Guide (RMG) to determine appropriate resolution.

  - CRs, both Losing and Gaining Reps, must investigate the matter and **provide all necessary/relevant information** – *customer name, service address, meter number*

- If resolution requires a backdated move-in (BDMVI), the regain date should be **Date of Loss + 1 (DOL+1) or at the latest 10 days from the date the MarkeTrak was submitted** to avoid creating transaction business process exceptions at ERCOT and the TDSP.

  - The Losing Rep shall **submit the BDMVI 814_16 no later than 12 days after submittal of the MarkeTrak** and shall be dated with the ‘proposed regain date’ as agreed in the MarkeTrak.
Inadvertent Gain

Submitting an Inadvertent Gain – CR Submits as the Gaining CR

1. From the Submit Tree, select IAG – Inadvertent Gaining
2. CR1 (Gaining/Original CR) will enter all required information.
   • ESIID
   • Original Tran ID – The original tran id of the other CR’s enrollment. (BGN06 of the 814_06).

CRITICAL: The Comments field is technically optional; however, not providing the required information referenced in RMG Section 7.3.2(1) could result in a delay of issue resolution.

Please include any additional information in this box.

• Customer Name (Always)
• Meter Number (If available)
• Any other pertinent information that will help expedite resolution
Inadvertent Gain

3. Select OK to create the IAG – Inadvertent Gaining MarkeTrak Issue. The issue enters the state of New (ERCOT) and is visible only by the Submitting CR and ERCOT.

- The Submitting CR has the option to Withdraw the issue at this point

4. ERCOT will select Begin Working to provide the Gaining CR Start Date, if the Gaining CR is still the rep of record (Gaining CR ROR), assign CR2 (Gaining CR) and TDSP. ERCOT will then select “OK” to move the issue to CR2 (Gaining CR).
5. CR2 (Losing CR) will select Begin Working and Issue details and Investigate Market Conditions to determine the appropriate regain date.

A. CR2 (Losing CR) will select Begin Working and Issue details and Investigate Market Conditions to determine the appropriate regain date.
Inadvertent Gain

If CR2 (Losing/Original CR) determines that an Inadvertent Gain has NOT taken place, they have the option to select “Unexecutable” to stop the Inadvertent Gain process as outlined in Section 7.3.2.4 of the Retail Market Guide.

7.3.2.4 Valid Reject/Unexecutable Reasons

(1) The Losing CR may reject the return of an inadvertently gained ESI ID from the Gaining CR for one of the following reasons only:

a) A new transaction has completed in the market, including, but not limited to the following transactions:

i. The 814_16, Move In Request; or

ii. The 814_01, Switch Request.

Use “3rd Party CR has regained/transaction completed”
Inadvertent Gain

7.3.2.4 Valid Reject/Unexecutable Reasons

(1) The Losing CR may reject the return of an inadvertently gained ESI ID from the Gaining CR for one of the following reasons only:

b) Duplicate Inadvertent Gaining issue in MarkeTrak for the same Customer on the same ESI ID.

Use “Duplicate Issue”

NOTE:

“Authorized Enrollment Confirmed” and “Other” are not valid reasons for Losing REP to unexecute.
Invalid Reject Reasons

The **Losing CR** shall not reject the return of an inadvertently gained ESI ID due to:

a) Inability to contact the Customer;
b) Past due balances or credit history;
c) Customer no longer occupies the Premise in question;
d) Contract expiration or termination;
e) Pending TX SETs; or
f) Losing CR serving the Premise under a Continuous Service Agreement (CSA).

Located under RMG 7.3.2.5 Invalid Reject / Unexecutable Reasons
Inadvertent Gain

B. If CR2 (Losing/Original CR) determines they will need more information from CR1 (Gaining CR), then they will need to select Send to Gaining CR. This transition allows both CR’s to talk back and forth while transitioning the issue back and forth before a resolution is made.

C. If CR2 (Losing/Original CR) determines that an Inadvertent Gain has taken place, they will select Send to TDSP, enter the proposed regain date, add comments and select “OK” to move the issue to the TDSP. A validation will occur on the Proposed Regain Date: Validate that the date is less than “Submit Date” + 10 days. If not the following error message will be displayed “Proposed Regain Date is greater than 10 Calendar days from the submittal of MarkeTrak Issue, please update with valid Proposed Regain date.”
6. The TDSP will select Begin Working, investigate the issue details, then select one of the following:

   A. **Ready to Receive** – The TDSP would select this transition to send the issue back to CR1 (Losing/Original CR). It is extremely important that CR1 (Losing/Original CR) wait for the TDSP to select Ready to Receive indicating TDSP’s systems have been prepared to receive the Original MP’s transaction before the EDI is actually sent. If not, the EDI will be rejected at the TDSP.

   B. **Send To Submitting CR** – The TDSP would select this transition if they needed further information from CR1 (Losing/Original CR).

   C. **Request Updated Proposed Regain Date** – The TDSP would select this transition if they do not agree with the proposed regain date that was provided. They would suggest a new date and send the issue back to CR1 (Losing/Original CR).
7. CR2 (Losing/Original CR) will select Begin Working then select Provide Regaining BGN 02. CR2 (Losing/Original CR) will provide the Regaining BGN02 and then select “OK”. When the regaining transactions process into ERCOT’s registration system, the Regaining Transaction Submit Date, Regaining BGN Requested Date and Regaining BGN Priority Code will be auto-populated on the MarkeTrak issue.

8. All parties should continue to monitor MIS and internal systems for the successful delivery and completion of the EDI transaction being sent by CR1 (Losing/Original CR) to the Market to regain a premise and resolve the associated Inadvertent Gain MarkeTrak issue.

- Once the regaining transaction has been successfully sent to the Market by CR2 (Losing/Original CR), Siebel will update the status automatically.
Key Points to Remember

Provide as much information when opening Inadvertent Gain/Loss MarkeTrak in order to help facilitate quick resolution to the issue.

*Suggested Information includes:*

- Customer Name (Always)
- Meter Number (If available)
- Any other pertinent information you may have that is crucial to help resolve issue.

*Regain date should be:*

- Date of Loss (DOL) + 1
- Date of Loss (DOL) less than or equal to 10 days from date MT was submitted when gaining on a prospective basis.
Losing REP **VALID** Reject / Unexecutable Reasons

**RMG 7.3.2.4 Valid Reject / Unexecutable Reasons**

The **Losing CR** may reject the return of an inadvertently gained ESI ID from the Gaining CR for one of the following reasons only:

a) A new transaction has completed in the market, including, but not limited to the following transactions:
   
   i. The 814_16, Move In Request; or
   
   ii. The 814_01, Switch Request.

b) Duplicate **Inadvertent Gaining** issue in MarkeTrak for the same Customer on the same ESI ID.
Gaining REP Valid Reject / Unexecutable Reasons

RMG 7.3.2.4 Valid Reject / Unexecutable Reasons

The **Gaining CR** may reject returning an inadvertently gained ESI ID to the Losing CR for one of the following reasons only:

a) A new transaction has completed in the market, including, but not limited to the following transactions:
   - i. The 814_16 transaction; or
   - ii. The 814_01 transaction.

b) Duplicate **Inadvertent Losing** issue in MarkeTrak for the same Customer on the same ESI ID;

c) Gaining CR has confirmed with the Customer that the Customer’s CR of choice is the Gaining CR:
   - i. Gaining CR has a valid enrollment with the same Customer and provides the Customer name, service address and meter number (if available) in the comments section of the MarkeTrak issue.

d) Customer has successfully completed an enrollment regarding the same ESI ID and the Gaining CR has the most recent effective date; or

e) In cases of Customer rescission, **Inadvertent Losing** MarkeTrak issue is rejected/unexecuted and a **Rescission** MarkeTrak issue is created.
RMG 7.3.2.5 Invalid Reject / Unexecutable Reasons

The Losing CR **SHALL NOT** reject the return of an inadvertently gained ESI ID due to:

a) Inability to contact the Customer;

b) Past due balances or credit history;

c) Customer no longer occupies the Premise in question;

d) Contract expiration or termination;

e) Pending TX SETs; or

f) Losing CR serving the Premise under a Continuous Service Agreement (CSA).
If a Losing CR receives an IAG MT and their customer does not occupy the premise, the Losing CR should Unexecute the IAG.

a) True

b) False
If a Losing CR has agreed to regain an ESI ID yet their customer at the time of the IAG no longer occupies the premise, the Losing CR may propose the following regain date:

a) DOL + 1

b) Date of MT submittal + 10

c) Either
Checkpoint Question #3

A back dated MVI (BDMVI) for an IAG must be submitted within _____ days.

a) 2 days of “ready to receive” status
b) Date of MT submittal + 10
c) 12 days of MT submittal
d) 21 days
A customer enrolled for service at the wrong apartment number. Their REP of choice should issue a MVO on the incorrect address and issue a MVI on the correct address.

a) True
b) False
Questions
MarkeTrak Training

Verification & Reconciliation Process
All parties involved in any Inadvertent Gain related MarkeTrak issue *should perform some sort of Verification and Reconciliation process.*
Verification & Reconciliation

In other words …

In addition to verifying that an Inadvertent Gain has actually taken place, also **verify the state/status of the MT issue** to determine what action needs to take place from either party.

**Verify the current status of the ESI ID** to determine if there are any transactions that may impact the resolution of the issue.

Perform a reconciliation of the transactions sent to the Market to ensure that the transactions are being sent, received and processed successfully as agreed upon by all parties. *(i.e. back dated MVI accepted, BGN02 updated, switch hold issues, etc.)*

Ultimate goal is to return the Customer to their REP of choice **quickly and efficiently** with minimal inconvenience to the Customer.
CR Verification & Reconciliation

All parties have a role in researching IAGs on their end, however for the **Losing CR/Original**, the following verification process can assist in making the resolution of an Inadvertent Gain MarkeTrak run smoothly when the following checks are performed:

- **Any Subsequent transactions in the Market?**
  - Yes – STOP the transaction if possible by submitting an 814_08, Cancel Request.
  - No – Proceed to the next step

- **Any Switch Holds?**
  - Yes – Submit 650_01 to remove any Switch Holds
  - No – Proceed to the next step

- **Proposed Regain Date =< Gaining CR Start Date?**
  (Proposed Regain Date: no greater than 10 days from MT submittal date)
  - Yes – Update “Proposed Regain Date”
  - No – Proceed by “Send to TDSP”
When received by the TDSP, the issue goes through a verification process similar to the CR process. Once those preliminary checks are made, the TDSP will go on to perform the following steps:

- Check for Permit Requirements and override if any exist
- Add ESI ID, Original CR and Proposed Regain Date to the TDSP system to allow a backdated MVI and verify loaded correctly
- Update MarkeTrak issues with comments indicating readiness
- Press the “Ready to Receive” button which will move the issue to a state of New Losing CR (Submit)
- Review the Critical Care status of the account
CR Verification & Reconciliation

Once the TDSP completes their portion of the research, the issue is sent back to the Losing CR/Original who will send an EDI transaction (Backdated MVI) and thus more verification will need to take place:

- Ensure that the MarkeTrak issue is in a State of “New (Losing CR Submit)”
- Any Subsequent transactions in the Market?
  - Yes – Cancel with an 814_08 if possible
  - No – Proceed
- **Send 814_16 for the Proposed Regain Date** that the Original CR entered within the issue
- Verify the 814_16 was processed successfully by reviewing the ERCOT Market Information System (MIS) as well as any internal systems used for verifying transactions.
Final CR Verification & Reconciliation

- The backdated MVI (814_16) can be verified as successful per the receipt of an 814_05 Accept.

- Add the Regaining BGN information into the MarkeTrak issue only after verifying that it was successfully received.

- **DO NOT** click the “Send to TDSP” transition as this will prevent the issue from Auto-completion.

- **DO NOT** transition the MarkeTrak back to the TDSP to ask questions or to get updates on an IAG once the TDSP confirms readiness for the BDMVI (814_16). *Please utilize the e-mail functionality in MarkeTrak to address all questions and concerns after this point.*
Checkpoint Question #1

Once an IAG situation has been discovered it is the responsibility of both the Gaining and Losing CR to verify if there are any new MVI/Switch or MVO transactions pending for the impacted ESI ID.

a) True
b) False
Checkpoint Question #2

Although the RMG officially states a back dated MVI (BDMVI) for an IAG must be submitted within 12 days of MT creation, in order to lessen the possibility of a new transaction being sent to the market, what is considered the best practice for Losing CR’s to submit their BDMVI?

a) Whenever it becomes convenient to do so

b) As soon as the TDSP updates the MarkeTrak giving the Losing CR the ok to send the BDMVI

c) 12 days of MT submittal as the RMG states

Answer: b)
Checkpoint Question #3

If either the Losing CR or the Gaining CR discovers they are unable to communicate with the other party to move the IAG regaining process forward, what resource is available to both CR’s to re-engage communication with the other CR?

a) Contacting ERCOT to intervene
b) Contacting the TDSP to intervene
c) Using the MarkeTrak Rolodex tool to identify escalation contacts within the non communicating CR’s organization
MarkeTrak Training
MarkeTrak Training
Common IAG Issues, Best Practices, & Quick Tips
MVO vs IAG

**Issue:**
MVO’s are incorrectly being submitted for IAG situations

**Solution:**
CR’s **MUST NOT** issue MVOs for active ESI IDs when IAG situations occur and/or while the MarkeTrak IAG/IAL process is in progress.

**Best Practices:**
Ask probing questions to ensure proper customer action is taken. (i.e. “Do you currently live here?”; “Was the original address provided incorrect?”)

For an incorrect address, review ERCOT’s MIS to see if the MVI resulted in an 814_06 Loss Transaction being sent to a Losing REP. If so, issue an IAG MT.

**Transaction Flow for Inadvertent Gain situation**

<table>
<thead>
<tr>
<th>Transaction ID</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>814_01</td>
<td>CR to ERCOT</td>
</tr>
<tr>
<td>814_03</td>
<td>ERCOT to TDSP</td>
</tr>
<tr>
<td>814_04</td>
<td>TDSP to ERCOT</td>
</tr>
<tr>
<td>814_05</td>
<td>ERCOT to CR</td>
</tr>
<tr>
<td><strong>814_06</strong></td>
<td><strong>ERCOT to Losing CR</strong></td>
</tr>
<tr>
<td>867_04</td>
<td>TDSP to CR</td>
</tr>
<tr>
<td>867_03F</td>
<td>TDSP to Losing CR</td>
</tr>
</tbody>
</table>
3rd Party Transactions

**Issue:**
3rd party transaction has occurred, nullifying the IAG MarkeTrak therefore causing the Gaining CR to be left with charges they may not be able to recover.

**Solution:**
Utilize the applicable market approved process to regain a lost ESI ID via MarkeTrak. Educate the customer as to what the process entails and set proper expectations with the customer.

**Best Practices:**
Identify IAGs in progress for ESI IDs by:
- Identifying IAGs on daily basis utilizing ERCOT MarkeTrak reporting or notification
- Flagging within your own system the ESI IDs that have been IAG/IAL to ensure subsequent transactions are not submitted to the market until the IAG is completed.
- Timely resolution of IAG/IAL MarkeTraks
Escalation for resolution of IAGs

**Issue:**
MTs and/or Escalated MTs are not receiving responses or being completed in a timely manner

**Solution:**
Market participants should maintain “rolodex” contacts and work escalations on a daily basis.

**Best Practice:**
Designate one of the escalation contacts as a departmental mailbox instead of an individual

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**Escalation Path Recommendations**

- **First escalation:** email via MarKeTrak to the assigned agent working the issue.
- **Second escalation:** email via MarKeTrak to primary and secondary contact in Rolodex.
- **Third Escalation:** include REP Relations/ERCOT Account Manager

Allow 3-5 business days between escalations.
Expected Level of Performance

**Issue:**
Untimely resolution of IAG issues

**Solution:**
Adoption of timelines stated in Retail Market Guide

**Best Practice:**
REPs to develop internal SLAs to address MTs aligning with market’s expected level of performance

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**MT Submission**
- DAY 0

**Initial Response**
- Due no later than 10 days

**Auto generated email sent if remains in “New” state for 3 days**

**Responses thereafter no longer than 7 days**

**BDMVI to be sent no later than 12 days from MT submission**

**Complete resolution 21 days**

RMG Section 7.3 Inadvertent Gain Process
No Current Occupant

**Issue:**
Losing REP responds to an IAG indicating:
“their customer no longer occupies the premise”
“no longer under contract”
“cannot reach the customer”
“Customer no longer wants us as REP of Record”
and attempts to ‘unexecute’ the IAG MT issue.

**Solution:**
These are **NOT** valid reasons for unexecuting MT (RMG 7.3.2.5 Invalid Reject/Unexecutable Reasons)

**Best Practice:**
Losing REP must regain ESI ID and initiate the Current Occupant process

- **Reference:** PUCT Subst. R. 25.489(i)
Switch Hold on IAG

**Issue:**
A switch hold is active on account which has been identified as having an IAG

**Solution:**
When IAG is submitted and accepted, the switch hold should be removed by the Gaining REP in order prevent BDMVI from being rejected and any delay in completing the MarkeTrak

**Best Practice:**
When working IAL/IAG issues identify if your ESI ID currently has an active Switch Hold and remove as needed

RMG Section 7.3.2.3 Resolution of Inadvertent Gains
Self-Service Portals (online enrollment/Multi-Family Portals)

**Issue:**
Customers use Self-Service portals to initiate MVI’s, Transfers of Service or MVOs

**Solution:**
Establish safeguards ensuring that customers who may have inadvertently selected an incorrect address do not cause a lights out situation.

**Best Practice:**
Limited functionality for transfers of service within XX amount of days.
Redirect the customer to contact call center in move out situations
Display FAQ’s regarding Inadvertent Switches
Linking IAL Issues with Customer Rescission

**Issue:**
Losing REP issues IAL MT prior to the Gaining REP being able to issue Customer Rescission MT

**Solution:**
Gaining REP should create Customer Rescission MT linking it to the Losing REP’s IAL MT.

**Best Practice:**
Rescission MarkeTrak should be created prior to executing the Losing REP’s IAL
Linking the MT’s together allows for quicker resolution and tracking
Unexecute Losing REP’s IAL MT as a duplicate issue.
Questions
MarkeTrak Training

IAG / IAL Reporting
Monthly IAG/IAL Reporting

What information is reported?

- Monthly IAG/IAL Statistics
- Top 10 Monthly – IAG/IAL
- Top 10 – 12 Month Average IAG/IAL
  - % of the aggregated totals for the last 12 months
- Explanation of the IAG/IAL Stats
- Top REPs – 12 Month Average Rescission
  - % of the aggregated totals for the last 12 months
- Explanation of Rescission Stats
- 18 Month Running Market Totals
Monthly IAG / IAL Statistics

Total IAG+IAL % of Total Enrollments: 1.40%

IAG/IAL % Greater Than 1% of Enrollments
Total IAG+IAL Count: 3,547

IAG/IAL % Less Than 1% of Enrollments
Total IAG+IAL Count: 1,806

Retail Electric Provider Counts

<table>
<thead>
<tr>
<th>Enrollment Total</th>
<th>Percent of Enrollments Resulting in IAG/IAL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>.00% to .25%</td>
</tr>
<tr>
<td>&lt;= 500</td>
<td>1</td>
</tr>
<tr>
<td>&gt; 500 and &lt;= 2500</td>
<td>4</td>
</tr>
<tr>
<td>&gt; 2500</td>
<td>2</td>
</tr>
</tbody>
</table>

The above chart shows a count of REPs whose IAG/IAL percentage of their total enrollments is below 1%.

- Blue row shows counts of REPs that have less than 500 total enrollments by their % ranges
- Orange row shows counts of REPs that have between 500 and 2500 total enrollments by their % ranges
- Purple row shows counts of REPs that have greater than 2500 total enrollments by their % ranges
Monthly Top 10 – IAG / IAL Statistics

Top 10 – Monthly – IAG / IAL % Greater Than 1% of Enrollments With Number of Months Greater Than 1%
12 Month Average – IAG / IAL Statistics

Top 10 - 12 Month Average IAG / IAL % Greater Than 1% of Enrollments With Number of Months Greater Than 1%

![Chart showing top 10 IAG / IAL statistics for various representatives.](chart.png)
Explanation of IAG / IAL Slides Data

- Slide 198 charts show the top 10 REPs whose IAG/IAL percentage of their total enrollments is above 1%.
  - The blue chart shows enrollment totals of less than 500 for the month being reported.
  - The orange chart shows enrollment totals between 500 and 2500 for the month being reported.
  - The purple charts show enrollment totals of over 2500 for the month being reported.
  - REPs with the lowest AG/IAL totals start on the left, and move to the highest counts on the right.

- Slide 199 charts show the top 10 REPs whose 12 month average IAG/IAL percentage of their total enrollments is above 1%.
  - The blue chart shows enrollment total averages of less than 500 for the month being reported.
  - The orange chart shows enrollment total averages between 500 and 2500 for the month being reported.
  - The purple charts show enrollment total averages of over 2500 for the month being reported.
  - REPs with the lowest IAG/IAL averages start on the left, and move to the highest counts on the right.
  - Number labels represent the number of months the REP has been over 1% during the 12 month period.
12 Month Average – Rescission Statistics

Top - 12 Month Average Rescission % Greater Than 1% of Switches With number of months Greater Than 1%

The chart shows the variability in rescission rates across different representatives (REP). The orange bars indicate the number of switches with rescission rates greater than 1%, while the blue bars show the number of switches with rates less than 250. The purple bars represent the number of switches with rates greater than 1750.

Representatives with the highest numbers of switches with rescission rates greater than 1% include REP 28, REP 15, and REP 140. Conversely, REP 64 and REP 23 have the lowest numbers in this category.
Explanation of Rescission Slide Data

NOTE:

A 10% chart range limit has been set. REPs data points that exceed 10% will be bordered in yellow. Please see the spreadsheet for actual percentages of these REPs.

Slide 201 charts show the top REPs whose 12 month average Rescission percentage of their total Switches is above 1%.

- The blue shades show switch totals of less than 250 for the month being reported
- The orange shades show switch totals between 250 and 1750 for the month being reported
- The purple shades show switch totals of over 1750 for the month being reported
- The REPs with the lowest count of rescission totals start on the left, and move to the highest counts on the right
- Number labels represent the number of months the REP has been over 1% during the 12 month period
<table>
<thead>
<tr>
<th>Month</th>
<th>SWI</th>
<th>MVI</th>
<th>Total</th>
<th>IAG</th>
<th>IAL</th>
<th>Rescission</th>
<th>IAG,IAL,Res Total</th>
<th>Overall %</th>
<th>Days to Resolution</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018-01</td>
<td>88,933</td>
<td>230,409</td>
<td>319,342</td>
<td>1,879</td>
<td>1,779</td>
<td>778</td>
<td>4,436</td>
<td>1.39%</td>
<td>12 22 9</td>
</tr>
<tr>
<td>2018-02</td>
<td>76,119</td>
<td>215,292</td>
<td>291,411</td>
<td>1,811</td>
<td>1,681</td>
<td>687</td>
<td>4,179</td>
<td>1.43%</td>
<td>12 15 10</td>
</tr>
<tr>
<td>2018-03</td>
<td>95,159</td>
<td>224,289</td>
<td>319,448</td>
<td>2,078</td>
<td>1,738</td>
<td>719</td>
<td>4,535</td>
<td>1.42%</td>
<td>11 16 12</td>
</tr>
<tr>
<td>2018-04</td>
<td>81,291</td>
<td>225,380</td>
<td>306,671</td>
<td>1,773</td>
<td>1,774</td>
<td>703</td>
<td>4,250</td>
<td>1.39%</td>
<td>11 15 9</td>
</tr>
<tr>
<td>2018-05</td>
<td>96,828</td>
<td>244,431</td>
<td>341,259</td>
<td>1,850</td>
<td>1,715</td>
<td>1,106</td>
<td>4,671</td>
<td>1.37%</td>
<td>12 15 11</td>
</tr>
<tr>
<td>2018-06</td>
<td>109,653</td>
<td>257,125</td>
<td>366,778</td>
<td>2,039</td>
<td>2,133</td>
<td>964</td>
<td>5,136</td>
<td>1.40%</td>
<td>12 17 11</td>
</tr>
<tr>
<td>2018-07</td>
<td>121,926</td>
<td>270,122</td>
<td>392,048</td>
<td>2,197</td>
<td>2,449</td>
<td>942</td>
<td>5,588</td>
<td>1.43%</td>
<td>13 16 11</td>
</tr>
<tr>
<td>2018-08</td>
<td>120,867</td>
<td>287,935</td>
<td>408,802</td>
<td>2,208</td>
<td>2,436</td>
<td>1,054</td>
<td>5,698</td>
<td>1.39%</td>
<td>12 15 11</td>
</tr>
<tr>
<td>2018-09</td>
<td>89,078</td>
<td>230,635</td>
<td>319,713</td>
<td>1,936</td>
<td>1,731</td>
<td>760</td>
<td>4,427</td>
<td>1.38%</td>
<td>12 15 10</td>
</tr>
<tr>
<td>2018-10</td>
<td>84,425</td>
<td>245,672</td>
<td>330,097</td>
<td>2,221</td>
<td>1,914</td>
<td>716</td>
<td>4,851</td>
<td>1.47%</td>
<td>12 16 10</td>
</tr>
<tr>
<td>2018-11</td>
<td>185,003</td>
<td>213,210</td>
<td>398,213</td>
<td>1,647</td>
<td>1,831</td>
<td>697</td>
<td>4,175</td>
<td>1.05%</td>
<td>12 16 11</td>
</tr>
<tr>
<td>2018-12</td>
<td>65,380</td>
<td>192,182</td>
<td>257,562</td>
<td>1,609</td>
<td>1,789</td>
<td>570</td>
<td>3,968</td>
<td>1.54%</td>
<td>12 16 12</td>
</tr>
<tr>
<td>2019-01</td>
<td>108,941</td>
<td>236,129</td>
<td>345,070</td>
<td>2,519</td>
<td>2,549</td>
<td>935</td>
<td>6,003</td>
<td>1.74%</td>
<td>11 14 10</td>
</tr>
<tr>
<td>2019-02</td>
<td>87,973</td>
<td>218,467</td>
<td>306,440</td>
<td>2,215</td>
<td>2,284</td>
<td>898</td>
<td>5,397</td>
<td>1.76%</td>
<td>12 15 11</td>
</tr>
<tr>
<td>2019-03</td>
<td>97,148</td>
<td>238,133</td>
<td>335,281</td>
<td>1,997</td>
<td>2,731</td>
<td>726</td>
<td>5,454</td>
<td>1.63%</td>
<td>11 14 9</td>
</tr>
<tr>
<td>2019-04</td>
<td>121,897</td>
<td>237,124</td>
<td>359,021</td>
<td>2,249</td>
<td>2,968</td>
<td>622</td>
<td>5,839</td>
<td>1.63%</td>
<td>12 14 10</td>
</tr>
<tr>
<td>2019-05</td>
<td>145,059</td>
<td>253,622</td>
<td>398,681</td>
<td>2,330</td>
<td>3,224</td>
<td>621</td>
<td>6,175</td>
<td>1.55%</td>
<td>13 16 10</td>
</tr>
<tr>
<td>2019-06</td>
<td>126,031</td>
<td>255,608</td>
<td>381,639</td>
<td>2,558</td>
<td>2,795</td>
<td>564</td>
<td>5,917</td>
<td>1.55%</td>
<td>13 17 11</td>
</tr>
</tbody>
</table>
How can we drive efficiency? Reporting

Reporting to measure success ... New format!!

Impact by REP

- % of IAG/IALs to total enrollments by REP
- Each REP is assigned a REP # - this # won’t change
- Enrollments are MVIs+SWIs for IAG/IALs
- For Rescissions, enrollments are SWIs only
- IAG/IAL totals & % are calculated using the counts of the acknowledged Inadvertent Gaining REP only for both IAG & IAL issues.

- If the Gaining REP in a submitted IAL issue does not agree to return the ESI to the Losing REP, that issue will not be counted
- The Losing REP is not represented in any of the totals or % in any data

- Two month lag in reporting to allow for IAG/IALs to be tied to enrollment transaction

  MVI sent in November that resulted in an IAG MT submitted in December, will be reported on the % IAG/IAL total for November
Market Performance - Volumes

Issue Counts - Valid Inadvertent Issues by Month of Enrollment

**Overall % Change in IAS volume per enrollment:**

- 2015 to 2016 = -6.62%
- 2016 to 2017 = -7.09%
- 2017 to 2018 = 5.38%
- 2018 to 2019 YTD = 19.71%
Market Performance - % of enrollments

IAG / IAL / Rescission Issues - % of Enrollments

<table>
<thead>
<tr>
<th>Year</th>
<th>SWI</th>
<th>MVI</th>
<th>Total</th>
<th>IAG</th>
<th>IAL</th>
<th>Rescission</th>
<th>IAG, IAL, Res Total</th>
<th>Overall %</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015</td>
<td>901,409</td>
<td>2,593,096</td>
<td>3,494,505</td>
<td>22,337</td>
<td>18,861</td>
<td>11,574</td>
<td>52,772</td>
<td>1.51%</td>
</tr>
<tr>
<td>2016</td>
<td>864,357</td>
<td>2,647,635</td>
<td>3,511,992</td>
<td>22,843</td>
<td>16,555</td>
<td>10,210</td>
<td>49,608</td>
<td>1.41%</td>
</tr>
<tr>
<td>2017</td>
<td>1,001,416</td>
<td>2,765,274</td>
<td>3,766,690</td>
<td>21,807</td>
<td>18,017</td>
<td>9,036</td>
<td>48,860</td>
<td>1.30%</td>
</tr>
<tr>
<td>2018</td>
<td>1,214,662</td>
<td>2,836,682</td>
<td>4,051,344</td>
<td>22,979</td>
<td>22,680</td>
<td>9,668</td>
<td>55,327</td>
<td>1.37%</td>
</tr>
<tr>
<td>2019YTD</td>
<td>687,049</td>
<td>1,439,083</td>
<td>2,126,132</td>
<td>13,868</td>
<td>16,551</td>
<td>4,366</td>
<td>34,785</td>
<td>1.64%</td>
</tr>
</tbody>
</table>
Market Performance – Resolution Days

Average Days to Resolution

Valid IAG/IAL/RESC Issues by Close Date
Market Challenge

Together we can make it a …

Great Customer Experience
An Inadvertent Loss MT submitted by the Losing REP will count toward which REP’s % total?

a) The Losing REP

b) The Gaining REP
Checkpoint Question #2

The assigned REP’s # on the IAG report will change each month.

a) True
b) False
Checkpoint Question #3

Driving down the number IAGs / IALs / Rescissions in the market will result in which of the following:

a) Fewer customer complaints
b) Improved customer experience
c) Addressing customer issues faster
d) Fewer back-off resources
e) All of the above
Questions
MarkeTrak Training

Background Reporting
MarkeTrak Background Reporting

MarkeTrak Background Reports provide the following functionality:

• Allow users to run a report and work in the GUI at the same time
• Allow users to search multiple inputs, for example:
  • Multiple Issue IDs
  • Multiple ESI IDs
• Allow users to access archived information that is not available in GUI reports
• API users have the ability to execute and retrieve background reports
# MarkeTrak Background Reporting

## Available Background Reports

<table>
<thead>
<tr>
<th>Report Name</th>
<th>Report Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average Days Open</td>
<td>Report to Provide average days open by subtype for the time frame specified.</td>
</tr>
<tr>
<td>Count of Active and Inactive Issues</td>
<td>Report to provide a count of Active and Inactive issues for the time frame specified.</td>
</tr>
<tr>
<td>Count of Issues Resolved Outside Benchmark</td>
<td>Returns a count of issues closed outside of the specified benchmark number of days for a particular time frame.</td>
</tr>
<tr>
<td>Count of Issues Resolved Within Benchmark</td>
<td>Returns a count of issues resolved within the specified benchmark number of days for a particular time frame.</td>
</tr>
<tr>
<td>Count of Issues in State</td>
<td>Report to provide the total number of issues in each state for the selected subtype(s) for the time frame specified.</td>
</tr>
<tr>
<td>Count of Issues by Sub-Type by Submit MP DUNS</td>
<td>Report to provide the count of issues by sub-type for a given submitting MP DUNS for the sub-type(s) selected.</td>
</tr>
<tr>
<td>Count of Issues by Submitting MP DUNS</td>
<td>Report to provide the total number of issues identifying the submitting MP type of CR or TDSP.</td>
</tr>
<tr>
<td>Count of Issues by Sub-Type</td>
<td>Report to provide the total number of issues submitted for the selected subtype(s).</td>
</tr>
</tbody>
</table>
## MarkeTrak Background Reporting

### Available Background Reports

<table>
<thead>
<tr>
<th>Report Name</th>
<th>Report Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Details for Issues Resolved Outside of Benchmark</td>
<td>Returns details for issues closed outside of the selected benchmark number of days within the time frame specified.</td>
</tr>
<tr>
<td>Issue Details by ESIID</td>
<td>Issue Details for a select group of ESIIDs for the subtype(s) selected.</td>
</tr>
<tr>
<td>Issue Details by Issue ID</td>
<td>Issue Details for a select group of Issue IDs for the subtype(s) selected.</td>
</tr>
<tr>
<td>Time in State</td>
<td>Report to provide the days an issue spent in each distinct state both the first time it moves into the state as well as the last time if applicable.</td>
</tr>
<tr>
<td>Total No. Closed</td>
<td>Report to provide a count by subtype of all issues closed within the specified time frame.</td>
</tr>
<tr>
<td>Issues Open Outside Benchmark</td>
<td>Report to Provide the active issues that have been open outside of the selected benchmark number of days.</td>
</tr>
<tr>
<td>Issue Transition Details</td>
<td>Report to Provide by subtype the issue transition details. This report will also help with tracking the transition details for the Meter Tampering Switch Hold Issues.</td>
</tr>
</tbody>
</table>
MarkeTrak Training
Survey
MarkeTrak Training

Jeopardy
MarkeTrak Training