

Retail Market Guide

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October 1, 2007

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Retail Market Guide
Section 1: Purpose

October 1, 2006

1	PURPOSE	1
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1 PURPOSE

The Retail Market Guide (RMG) contains information for Market Participants(MP) that is necessary for participating in the competitive deregulated retail electric market in Texas. It is not a substitute for the Electric Reliability Council of Texas (ERCOT) Protocols or the Public Utility Commission of Texas (PUCT) Substantive Rules. Each M P shall comply with the Protocols and the PUCT Substantive Rules. In the event of a conflict of Protocols or PUCT Substantive Rules, the Protocols and PUC Substantive Rules take precedence over the RMG.

This RMG may be updated monthly. The most recent version of this RMG is posted on the ERCOT website.

Retail Market Guide
Section 2: Definitions and Acronyms

September 1, 2007

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2 DEFINITIONS AND ACRONYMS

Relevant terms and definitions used in this document can be found in ERCOT Protocol Section 2, Definitions and Acronyms, and PUCT Substantive Rules Chapter 25. Full text of those documents are available on the ERCOT and PUC websites. Section 2.1, Definitions and 2.2, Acronyms contain terms not defined in either the Protocols or PUCT Substantive Rules.

2.1 Definitions

Applicable Legal Authority (ALA)

A Texas or federal law, rule, regulation, or applicable ruling of the Commission or any other regulatory authority having jurisdiction, an order of a court of competent jurisdiction, or a rule, regulation, applicable ruling, procedure, Protocol, guide or guideline of the Independent Organization, or any Entity authorized by the Independent Organization to perform registration or settlement functions.

Business Day

Monday through Friday, excluding ERCOT observed holidays listed below:

- (1) New Year's Day
- (2) Memorial Day
- (3) Independence Day
- (4) Labor Day
- (5) Thanksgiving Thursday and Friday
- (6) Two (2) days at Christmas, as designated by the ERCOT CEO

Bank Business Day

Any day during which the United States Federal Reserve Bank of New York is open for normal business activity.

Retail Business Day

Same as above except in the case of retail transactions processed by a TDSP, CRs shall substitute TDSP holidays for ERCOT holidays when determining the time available to the TDSP to process the transaction. For additional, important information related to Retail Business Days, please refer to the Retail Market Guide.

Business Hours

8:00 A.M. to 5:00 P.M. Central Prevailing Time on Business Days.

Date Certain

Effective Date of a transition which is not necessarily associated with a normally scheduled meter read date for the subject ESI ID.

Decision

Parameters associated with a transition event that dictate the parties involved and the Target Effective Date of a transition. Decision parameters include designation of the Losing CR, the Gaining CR, the preliminary list of transition ESI IDs and the Target Effective Date of the transition.

DUNS Number

A unique nine-digit common company identifier used in electronic commerce transactions.

Effective Date

Date on which the transition of ESI IDs from the Losing CR to the Gaining CR is to take place. This is the date on which the meter reading is taken and is used in transition transactions.

Electric Reliability Council of Texas, Inc. (ERCOT)

A Texas nonprofit corporation that has been certified by the PUCT as the Independent Organization, as defined in §39.151 of PURA, for the ERCOT Region.

Electric Service Identifier (ESI ID)

The basic identifier assigned to each Service Delivery Point used in the registration and settlement systems managed by ERCOT or another Independent Organization.

Entity

Any natural person, partnership, municipal corporation, cooperative corporation, association, governmental subdivision, or public or private organization.

Force Majeure Event

Any event beyond the reasonable control of and that occurs without the fault or negligence of, the Entity whose performance is prevented by the occurrence of such event. Examples of such a Force Majeure Event include, but are not limited, to: an act of God, labor disturbance, act of the public enemy, war, insurrection, riot, fire, storm or flood, explosion, breakage or accident to machinery or equipment, or a curtailment, order, regulation or restriction imposed by governmental, military, or lawfully established civilian authorities.

Gaining Competitive Retailer

Competitive Retailer identified in the initiating decision who is to become the REP of Record as of the Effective Date for a transition ESI ID following the transition.

Governmental Authority

Any Federal, state, local or municipal body having jurisdiction over a Market Participant or ERCOT; provided, however, a Governmental Authority who is also a Market Participant shall not exercise its jurisdiction in any matter that involves the interests of that Market Participant where that matter also involves the interests or responsibilities of any other Market Participant or ERCOT, unless the matter is one in which the Market Participant has exclusive jurisdiction.

In-Flight

Transactions in progress.

Launch

Initial step in the transition process whereby parties are informed that a transition event is underway and overall management of the transition project begins.

Losing Competitive Retailer

Competitive Retailer identified in the initiating decision who is to be removed as the REP of Record upon processing of a transition transaction.

Market Information System (MIS)

An electronic communications interface established and maintained by ERCOT that provides a communications link to Market Participants, including secure access by and communications to individual Market Participants regarding information linked to each individual Market Participant.

Market Participant

An Entity that engages in any activity that is in whole or in part the subject of these Protocols, regardless of whether such Entity has executed an Agreement with ERCOT.

Modified Switch Process

Process of using a switch transaction in which a placeholder date is used to allow the transaction to meet TX SET date validation requirements. The placeholder date is replaced with the Effective Date on which the meter reading was taken.

New Competitive Retailer

Competitive Retailer who is neither the Losing CR nor the Gaining CR and who is involved in a transaction associated with a transition ESI ID during or following a transition.

Non-IDR

Meter device for measuring usage that does not involve Interval Data Recorders.

Off-Cycle

An activity performed not in association with the normally scheduled cycle for reading meters.

Pending Transaction

Any transaction associated with a transition ESI ID that is in-flight (not Completed) when the transition event occurs.

Premise

A Service Delivery Point or combination of Service Delivery Points that are assigned a single ESI ID for purposes of settlement and registration.

Provider of Last Resort (POLR)

The designated Competitive Retailer as defined in the PUCT Substantive Rules for default Customer service, and as further described in Section 15.1, Customer Switch of Competitive Retailer.

Target Effective Date

Effective Date for the transition of ESI IDs identified in the decision. This date may be modified by Agreement among Market Participants based on the transition ESI ID volume, the TDSP capacity to read meters, and process transactions involving manual intervention.

Texas Standard Electronic Transaction (Texas SET)

Texas Standard Electronic Transaction procedures, set forth in Protocol Section 19, Texas Standard Electronic Transaction, used to transmit information pertaining to the Customer Registration Database. Record and Data Element Definitions are provided in the data dictionary in Protocol Section 19, Texas Standard Electronic Transaction.

Transition Event Switch Transaction

Proposed Texas SET transaction that would allow the effect of the Modified Switch Process to be accomplished without manual intervention in systems of transaction processing.

2.2 Acronyms

ALA	Applicable Legal Authority
ANSI	American National Standards Institute
CPT	Central Prevailing Time
CR	Competitive Retailer
CSA	Continuous Service Agreement
DEV	Data Extract Variance
DNP	Disconnect for Non-Pay
ESI ID	Electric Service Identifier
FSR	Field Service Representative
LOA	Letter of Authorization
MOU	Municipal Opt-In Utility
MMWG	Market Metrics Working Group
MVI	Move-In
MVO	Move-Out
NFI	Not First In
PUCT	Public Utility Commission of Texas
REP	Retail Electric Provider
RMG	Retail Market Guide
RMGRR	Retail Market Guide Revision Request
ROR	REP of Record
RNP	Reconnect for Non-Pay
SMRD	Scheduled Meter Read Date
TAC	Technical Advisory Committee
TDSP	Transmission Distribution Service Provider
TDTWG	Texas Data Transport Working Group
TDU	Transmission Distribution Utility
TTPT	Texas Test Plan Team
Texas SET	Texas Standard Electronic Transactions

Retail Market Guide
Section 3: Retail Market Guide Revision Process

September 1, 2007

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3 RETAIL MARKET GUIDE REVISION PROCESS

3.1 Introduction

- (1) A request to make additions, edits, deletions, revisions, or clarifications to this Retail Market Guide (RMG), including any attachments and exhibits to the RMG, is called a “Retail Market Guide Revision Request” (RMGRR). Except as specifically provided in other Sections of the RMG, this Section shall be followed for all RMGRRs. ERCOT Members, Market Participants (MP), Public Utility Commission of Texas (PUCT) Staff, ERCOT Staff, and any other Entities are required to utilize the process described herein prior to requesting, through the PUCT or other Governmental Authority, that ERCOT make a change to the RMG, except for good cause shown to the PUCT or other Governmental Authority.
- (2) All decisions of the Retail Market Subcommittee (RMS), as defined below, the Technical Advisory Committee (TAC) and the ERCOT Board of Directors (Board) with respect to any RMGRR shall be posted to the Market Information System (MIS) within three (3) Business Days of the date of the decision. All such postings shall be maintained on the MIS for at least 180 days from the date of posting.
- (3) The “next regularly scheduled meeting” of the RMS, the TAC or the Board shall mean the next scheduled meeting for which required notice can be timely given regarding the item(s) to be addressed, as specified in the appropriate Board, TAC or RMS procedures.
- (4) The RMS shall ensure that the RMG is compliant with the ERCOT Protocols. As such, the RMS will monitor all changes to the ERCOT Protocols and initiate any RMGRRs necessary to bring the RMG in conformance with the ERCOT Protocols. The RMS will also initiate an ERCOT Protocol Revision Request (PRR) if such a change is necessary to accommodate a proposed RMGRR prior to proceeding with that RMGRR.
- (5) Throughout the RMG, references are made to the ERCOT Protocols. ERCOT Protocols supersede the RMG and any RMGRR must be compliant with the ERCOT Protocols. The ERCOT Protocols are subject to the revision process outlined in Section 21, Process for Protocol Revision, of the ERCOT Protocols.
- (6) ERCOT Staff may make non-substantive corrections at any time during the processing of a particular RMGRR. Under certain circumstances, however, the RMG can also be revised by ERCOT Staff rather than using the RMGRR process outlined in this Section.
 - (a) This type of revision is referred to as an “Administrative RMGRR” or “Administrative Change” and shall consist of non-substantive corrections, such as typos (excluding grammatical changes), internal references (including table of contents), improper use of acronyms, and references to ERCOT Protocols, PUCT Substantive Rules, the Public Utility Regulatory Act (PURA), North American

Electric Reliability Corporation (NERC) regulations, Federal Energy Regulatory Commission (FERC) rules, etc.

- (b) ERCOT shall post such Administrative RMGRR to the MIS and distribute the RMGRR to the RMS at least ten (10) Business Days before implementation. If no interested party submits comments to the Administrative RMGRR, ERCOT Staff shall implement it according to Section 3.6, Revision Implementation. If any interested party submits comments to the Administrative RMGRR, then it shall be processed in accordance with the RMGRR process outlined in this Section.

3.2 Submission of a Retail Market Guide Revision Request

The following Entities may submit a RMGRR:

- (a) Any Market Participant (MP);
- (b) Any Entity that is an ERCOT Member;
- (c) PUCT Staff;
- (d) ERCOT Staff; and
- (e) Any other Entity who resides (or represent residents) in Texas or operates in the ERCOT Region.

3.3 Retail Market Guide Revision Procedure

3.3.1 Review and Posting of Retail Market Guide Revision Requests

- (1) RMGRRs shall be submitted electronically to ERCOT by completing the designated form provided on the MIS.
- (2) The RMGRR shall include the following information:
 - (a) Description of requested revision;
 - (b) Reason for the suggested change;
 - (c) Impacts and benefits of the suggested change on ERCOT market structure, ERCOT operations and MPs, to the extent that the submitter may know this information;
 - (d) RMGRR Impact Analysis (IA), (applicable only for a RMGRR submitted by ERCOT Staff);

- (e) List of affected RMG Sections and subsections;
 - (f) General administrative information (organization, contact name, etc.); and
 - (g) Suggested language for requested revision.
- (3) ERCOT shall evaluate the RMGRR for completeness and shall notify the submitter within five (5) Business Days of receipt if the RMGRR is incomplete, including the reasons for such status. ERCOT may provide information to the submitter that will correct the RMGRR and render it complete. An incomplete RMGRR shall not receive further consideration until it is completed. In order to pursue the revision requested, a submitter must submit a completed version of the RMGRR with the deficiencies corrected.
- (4) If a submitted RMGRR is complete or, once a RMGRR is corrected, ERCOT shall post the complete RMGRR to the MIS and distribute it to the RMS within three (3) Business Days.

3.3.2 *Withdrawal of a Retail Market Guide Revision Request*

- (1) By providing notice to RMS, the submitter of a RMGRR may withdraw the RMGRR at any time prior to a recommendation for approval of the RMGRR by the RMS. ERCOT shall post a notice of the submitter's withdrawal of a RMGRR on the MIS within one (1) Business Day of the submitter's notice to RMS.
- (2) The submitter of a RMGRR may request withdrawal of a RMGRR after its recommendation for approval by RMS. Such withdrawal must be approved by the RMS (if it has not yet been considered by RMS) or by the TAC (if it has been recommended for TAC approval by RMS but not yet considered by the TAC).
- (3) Once approved by TAC, a RMGRR cannot be withdrawn.

3.3.3 *Retail Market Subcommittee Review and Action*

- (1) Any interested party may comment on the RMGRR.
- (2) To receive consideration, comments must be delivered electronically to ERCOT in the designated format provided on the MIS within twenty-one (21) days from the posting date of the RMGRR. Comments submitted after the due date of the twenty-one (21) day comment period may be considered at the discretion of the RMS after these comments have been posted. Comments submitted in accordance with the instructions on the MIS regardless of date of submission shall be posted to the MIS and distributed electronically to the RMS within three (3) Business Days of submittal.
- (3) RMS shall review the RMGRR at its next regularly scheduled meeting after the end of the twenty-one (21) day comment period, unless the twenty-one (21) day comment period

ends less than three Business Days prior to the next regularly scheduled RMS meeting. In that case, the RMGRR will be reviewed at the next regularly scheduled RMS meeting. At such meeting, the RMS may take action on the RMGRR to:

- (a) Recommend approval as submitted or modified;
 - (b) Recommend rejection;
 - (c) Defer action on the RMGRR; or
 - (d) Refer the RMGRR to a working group or task force.
- (4) Within three (3) Business Days after the RMS takes action (other than deferral), ERCOT shall issue a report (“RMS Recommendation Report”) to TAC reflecting the RMS action and post the same to the MIS. The RMS Recommendation Report shall contain the following items:
- (a) Identification of submitter of the RMGRR;
 - (b) Modified RMG language proposed by the RMS, when appropriate;
 - (c) Identification of authorship of comments;
 - (d) Proposed effective date(s) of the RMGRR;
 - (e) Recommended priority and rank for any RMGRR requiring a change to ERCOT’s computer systems; and
 - (f) RMS recommendation.

3.3.4 *Comments to the Retail Market Subcommittee Recommendation Report*

- (1) Any interested party may comment on the RMS Recommendation Report. To receive consideration, comments on the RMS Recommendation Report must be delivered electronically to ERCOT in the designated format provided on the MIS within twenty-one (21) days from the date of posting/distribution of the RMS Recommendation Report. Comments submitted after the due date of the twenty-one (21) day comment period may be considered at the discretion of RMS.
- (2) Within three (3) Business Days of receipt of comments related to the RMS Recommendation Report, ERCOT shall post such comments to the MIS. The comments shall include identification of the commenting Entity. RMS shall review the RMS Recommendation Report and any posted comments to the Recommendation Report at its next regularly scheduled meeting after the end of the twenty-one (21) day comment period.

3.3.5 *ERCOT Impact Analysis for a Retail Market Guide Revision Request*

- (1) ERCOT shall complete an IA for an RMGRR based on the RMS Recommendation Report and will report the IA's results to RMS at the next regularly scheduled RMS meeting.
- (2) The IA shall include:
 - (a) An estimate of any cost and budgetary impacts to ERCOT;
 - (b) The estimated amount of time required to implement the proposed RMGRR;
 - (c) The identification of alternatives to the original proposed language that may result in more efficient implementation; and
 - (d) The identification of any manual workarounds that may be used as an interim solution.
- (3) RMS shall recommend a priority and rank for any RMGRRs having impact to ERCOT systems or staffing.
- (4) If RMS revises its Recommendation Report, a revised RMS Recommendation Report shall be issued by RMS to TAC and posted on the MIS within three (3) Business Days after the RMS decision. Additional comments received regarding the revised RMS Recommendation Report shall be accepted up to three (3) Business Days prior to the TAC meeting at which the RMGRR is scheduled for consideration.
- (5) If ERCOT determines that modifications to a previously submitted IA are needed for a RMGRR, ERCOT shall complete an IA based on the RMS Recommendation Report and will report the IA's results to TAC for review at its next regularly scheduled meeting. If a longer review period is required for ERCOT Staff to update the IA, ERCOT Staff shall submit a schedule for completion of the IA to the RMS and TAC chairs.

3.3.6 *PRS Review of Project Prioritization*

If the IA indicates there will be an impact to ERCOT systems and staffing, then the IA shall be forwarded to PRS for prioritization at its next regularly scheduled meeting. The PRS shall recommend to TAC an assignment of a Project Priority for each RMGRR recommended for approval by RMS that requires a change to ERCOT's computer systems.

3.3.7 *Technical Advisory Committee Review and Action*

- (1) Upon recommendation for approval of a RMGRR by the RMS and issuance of an IA by ERCOT to TAC, the TAC shall review the RMS Recommendation Report and the IA at its next regularly scheduled meeting; provided that the IA is available for distribution to the TAC at least seven (7) days in advance of the TAC meeting.

- (2) The TAC shall take one (1) of the following actions regarding the RMGRR:
 - (a) Approve the RMS Recommendation Report as originally submitted or as modified by TAC;
 - (b) Reject the RMS Recommendation Report; or
 - (c) Remand the RMS Recommendation Report to RMS with instructions.
- (3) If the RMS Recommendation Report is approved by the TAC, as recommended by RMS or as modified by the TAC, the TAC shall review and approve or modify the proposed effective date.
- (4) If TAC approves a RMGRR and it does not require an ERCOT project for implementation, or rejects a RMGRR, ERCOT shall prepare a TAC Action Report and post it on the MIS within three Business Days of the TAC decision. The TAC Action Report shall contain the following items:
 - (a) Identification of the submitter of the RMGRR;
 - (b) Identification of the authorship of comments;
 - (c) Proposed effective date(s) of the RMGRR;
 - (d) Procedural history;
 - (e) RMS recommendation; and
 - (f) TAC Action.
- (5) The chair of TAC shall report the results of all votes by TAC related to RMGRRs to the Board at its next regularly scheduled meeting.
- (6) TAC shall consider the Project Priority of each RMGRR requiring a change to ERCOT's computer systems and make recommendations to the Board. If TAC recommends approval of an RMGRR that requires an ERCOT project which can be funded in the current ERCOT budget cycle based upon its priority and ranking, ERCOT shall prepare a TAC Recommendation Report, issue the report to the Board and post the report on the MIS within three (3) Business Days of the TAC recommendation concerning the RMGRR. The TAC Recommendation Report shall contain the following items:
 - (a) Identification of the submitter of the RMGRR;
 - (b) Modified RMG language proposed by TAC, if applicable;
 - (c) Identification of the authorship of comments;
 - (d) Proposed effective date(s) of the RMGRR;

- (e) Priority and rank of the RMGRR;
 - (f) RMS recommendation; and
 - (g) TAC recommendation.
- (7) If TAC recommends approval of an RMGRR that requires a project for implementation that cannot be funded within the current ERCOT budget cycle, ERCOT shall prepare a TAC Recommendation Report and post the report on the MIS within three (3) Business Days of the TAC recommendation concerning the RMGRR. ERCOT shall assign the approved RMGRR to the “Unfunded Project List” until the Board approves an annual ERCOT budget in a manner that indicates funding would be available in the new budget cycle to implement the project if approved by the Board; in such case, the TAC Recommendation Report would be provided at the next Board meeting following such budget approval for the Board’s consideration under Section 3.3.8, ERCOT Board Review and Action.
- (8) Notwithstanding the above, an RMGRR in the Unfunded Project List may be removed from the list and provided to the Board for approval, as set forth in Protocol Section 21.9, Review of Project Prioritization, Review of Unfunded Project List, and Annual Budget Process. ERCOT shall maintain the Unfunded Project list to track projects that cannot be funded in the current ERCOT budget cycle. Any RMGRR approved by TAC but assigned to the Unfunded Project List may be challenged by appeal as set forth in Section 3.4, Appeal of Decision.

3.3.8 *ERCOT Board Review and Action*

The Board shall review all RMGRRs that impact ERCOT systems or staffing and can be funded in the current ERCOT budget cycle based upon its priority and ranking. The Board shall take one of the following actions regarding RMGRRs recommended by TAC that have such impacts:

- (a) Approve the TAC recommendation as originally submitted or as modified by the Board; or
- (b) Reject the TAC recommendation; or
- (c) Remand the TAC recommendation to TAC with instructions.

3.4 Appeal of Decision

- (1) With reference to a decision by RMS, any interested party may appeal directly to the TAC. Such appeal to the TAC must be submitted to ERCOT within ten (10) Business Days after the date of the relevant decision. Appeals made after this time shall be rejected. Appeals to the TAC shall be posted on the MIS within three (3) Business Days and placed on the agenda of the next available regularly scheduled TAC meeting, provided that the appeal is provided to ERCOT at least eleven (11) days in advance of the

TAC meeting; otherwise the appeal will be heard by the TAC at the next regularly scheduled TAC meeting.

- (2) With reference to a decision by TAC, any interested party may appeal directly to the Board. Such appeal to the Board must be submitted to ERCOT within ten (10) Business Days after the date of the relevant decision. Appeals made after this time shall be rejected. Appeals to the Board shall be posted on the MIS within three (3) Business Days and placed on the agenda of the next available regularly scheduled Board meeting, provided that the appeal is provided to the ERCOT General Counsel at least eleven (11) days in advance of the Board meeting; otherwise the appeal will be heard by the Board at the next regularly scheduled Board meeting. Any interested party may appeal any decision of the Board regarding the RMGRR to the PUCT or other Governmental Authority. Such appeal to the PUCT or other Governmental Authority must be made within thirty-five (35) days of the date of the relevant decision. If the PUCT or other Governmental Authority rules on the RMGRR, ERCOT shall post the ruling on the MIS.

3.5 Urgent Requests

- (1) The party submitting a RMGRR may request that the RMGRR be considered on an urgent (“Urgent”) basis only when the submitter can reasonably show that an existing RMG provision is impairing or could imminently impair ERCOT System reliability or wholesale or retail market operations, or is causing or could imminently cause a discrepancy between a settlement formula and a provision of the ERCOT Protocols.
- (2) If a submitter requests Urgent status for an RMGRR, RMS may designate the RMGRR for Urgent consideration if the RMS determines that such RMGRR requires immediate attention due to:
 - (a) Serious concerns about ERCOT System reliability or market operations under the unmodified language, or
 - (b) The crucial nature of settlement activity conducted pursuant to any settlement formula; or
 - (c) Is of a nature that allows for rapid implementation without negative consequence to the reliability and integrity of the ERCOT System or market operations.
- (3) The Urgent RMGRR and IA (if available) shall be considered at the earliest regularly scheduled RMS meeting, at a special meeting called by the RMS chair to consider the Urgent RMGRR..
- (4) If the submitter desires to further expedite the processing of the RMGRR, a request for RMS to vote via electronic mail may be submitted to the RMS chair. The RMS chair may grant the request for voting via electronic mail. Such voting will be conducted pursuant to TAC procedures.

- (5) If RMS recommends approval of the Urgent RMGRR, ERCOT shall submit a RMS Recommendation Report to the TAC within three (3) Business Days after RMS takes action. The TAC chair may request action from TAC to accelerate or alter the procedures described herein, as needed, to address the urgency of the situation.
- (6) Notice of an Urgent RMGRR pursuant to this subsection shall be posted on the MIS.

3.6 Revision Implementation

- (1) For RMGRRs with no impact to ERCOT systems or staffing, ERCOT shall implement RMGRRs on the first day of the month following TAC approval, unless otherwise provided in the TAC Action Report for the approved RMGRR.
- (2) For RMGRRs with impacts to ERCOT systems or staffing, ERCOT shall implement RMGRRs on the first day of the month following Board approval, unless otherwise provided in the Board Action Report for the approved RMGRR.
- (3) ERCOT shall implement an Administrative RMGRR on the first day of the month following the end of the ten (10) Business Day posting requirement outlined in Section 3.1, Introduction.

Retail Market Guide
Section 4: Public Utility Commission of Texas (PUC)
Requirements

October 1, 2006

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4 PUBLIC UTILITY COMMISSION OF TEXAS (PUCT) REQUIREMENTS

The PUCT Substantive Rules establish the rights and responsibilities of the electric utilities, including transmission distribution service provider (TDSP) non-utility wholesale and retail Market Participants, and electric customers. The PUCT has also approved tariffs for Competitive Retail Access in municipally owned utilities and electric cooperatives. The complete text of the PUCT Substantive Rules is located on the PUCT website.

Competitive Retailers (CRs) intending to operate in Texas must be certified by the PUCT. The PUCT Substantive Rules provide the various administrative, financial and technical requirements for certification, as well as, the conditions under which certification may be suspended or revoked.

Retail Market Guide
Section 5: Electric Reliability Council of Texas (ERCOT)

November 13, 2006

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5 ELECTRIC RELIABILITY COUNCIL OF TEXAS (ERCOT)

The functions of ERCOT are outlined in ERCOT Protocol Section 1.2, Functions of ERCOT. In addition, customer registration information can be found in the ERCOT Protocol Section 15, Customer Registration. As part of the certification process CRs and TDSPs must complete ERCOT registration requirements as described in Protocol Section 16, Registration and Qualification of Market Participants.

5.1 ERCOT Retail Client Services and Help Desk

ERCOT's Retail Client Services department is available to assist with Market Participant questions and provide education as needed on Retail issues. Retail Account Managers act as the liaison between ERCOT and Market Participants as the primary contact for all Retail Market operation questions and issues and are responsible for maintaining business relationships with all Market Participants to facilitate any issue resolution. They will analyze issues as they arise to provide support to Market Participants in their business functions with ERCOT and between other Market Participants and advocate Market Participant issues within ERCOT and provide communication back to Market. Retail Account Managers also address the needs of Market Participants during the certification process and actively participate in the Stakeholder process to communicate and resolve issues, and monitor the rules of the market to assist Market Participants with any questions/issues.

In addition, the Client Relations section also assists with the following:

- (1) ERCOT Protocols;
- (2) Market Participant registration information;
- (3) ERCOT tools such as *www.ercot.com*, Texas Market Link (portal), MarkeTrak, and Retail Testing website;
- (4) Reports and Extracts;
- (5) Training needs; and
- (6) Facilitation and general issue resolution.

Existing Market Participants should contact their assigned Retail Account Manager. Potential new Market Participants may call the general ERCOT Client Services phone number at (512) 248-3900 or contact ERCOT Client Services via e-mail at *ClientRelations@ercot.com*.

For technical questions about automated communications, connectivity issues such as NAESB or TML, IT support, data, and system administration issues, Market Participants should call or e-mail ERCOT's 24-hour Help Desk at (512) 248-6800 or *helpdesk@ercot.com*.

5.2 Retail Market Conference Call

The Retail Market Conference Call was created at the request of Retail Market Subcommittee to support CRs and TDSPs in performing their business functions with ERCOT and between other Market Participants. Topics of discussion for the bi-weekly call include but are not limited to:

- (1) Transaction and System Processing Updates (i.e. processing statistics; slow, late or large volumes).
- (2) Outage Notifications (i.e. planned/unplanned system Outages or maintenance updates).
- (3) Any issues affecting more than one (1) CR or the entire market (i.e., re-bill efforts, synchronization).
- (4) E-mailed agenda topics from the Market.

Individuals interested in receiving market call information (agendas and minutes) should contact their assigned Retail Account Manager. Potential new Market Participants may call the general ERCOT Client Services phone number at (512) 248-3900 or contact ERCOT Client Services via e-mail at *Client Relations@ercot.com*.

5.3 Retail Market Transaction Processing Service Availability

ERCOT is committed to providing reliable retail market transaction processing services to the competitive retail market in Texas. A description of the service availability targets and operating hours for retail market transaction processing services provided by ERCOT is available in document form on ERCOT's website on the Retail Market Subcommittee (RMS) homepage under "Key Documents". The availability targets are intended to build upon the requirements outlined in Protocol Section 15, Customer Registration and to provide additional guidance to Competitive Retailers (CRs) and Transmission and /or Distribution Service Providers (TDSPs) regarding retail market transaction processing service availability. In the event of a conflict with the ERCOT Protocols or PUCT Substantive Rules, the ERCOT Protocols and PUCT Substantive Rules take precedence over the service availability document.

Retail Market Guide
Section 6: Retail Market Subcommittee Working Groups

October 1, 2006

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6 RETAIL MARKET SUBCOMMITTEE WORKING GROUPS

RMS has several working groups that are in place to allow Market Participants the opportunity to participate in the developing business rules and practices that govern the retail electric market. These working groups are described below. Additional information about the working groups is available on the ERCOT website.

6.1 Market Metrics

The following are general procedures of the Market Metrics Working Group (MMWG) and are intended to guide all Working Group operations. Where more specific procedures for this Working Group are approved and communicated by the Retail Market Subcommittee (RMS) and/or the Public Utility Commission of Texas (PUCT), the applicable, specific procedures are intended to guide the operations of the group in lieu of these generally applicable procedures.

Establishment of the Market Metrics Working Group

The Market Metrics Working Group (MMWG) is a voluntary working group that reports to the RMS and performs various functions as set forth in the RMS Bylaws. The RMS and/or the PUCT will direct the MMWG.

The purpose of the MMWG is to:

- (1) Facilitate compliance with *Performance Measures for the Retail Electric Market* (P.U.C. Project No. 24462) and other approved market measurement requirements;
- (2) Recommend Performance Measures;
- (3) Respond to RMS Performance Measurement Requests;
- (4) Implement Performance Measures; and
- (5) Design and modify Performance Measures Reporting Template(s) as directed by RMS and/or PUCT.

MMWG documentations and templates are located on ERCOT's website, click on the Market Participants tab then go to Committees/MMetrics.

6.2 Texas Test Plan Team (TTPT)

The Texas Test Plan Team (TTPT) is a standing working group that reports to the RMS. The TTPT is comprised of Market Participants and ERCOT staff. TTPT performs the following functions:

- (1) Works in a cooperative manner to establish processes and procedures for testing the Market Participants commercial operations to verify retail systems compliant with ERCOT Protocols and PUC rulemakings;

- (2) Develops processes and procedures for testing that represent the consensus view of Market Participants directly involved in the testing process; and
- (3) Evaluates market processes defined by the ERCOT Protocols, Section 23, Texas Test Plan Team-Market Testing, other RMS working groups, and PUC rulemakings to establish testing requirements and materials necessary to validate those processes among Market Participants.

The TTPT works with the ERCOT Flight Administrator to ensure that testing processes and procedures are defined for the Market and that the content of those materials are thoroughly and equitably administered with all participants.

6.3 Texas Standard Electronic Transactions (TX SET) Working Group

The Texas Standard Electronic Transactions (TX SET) Working Group is a voluntary working group that reports to the Retail Market Subcommittee (RMS). TX SET performs various functions as set forth in the RMS Bylaws, and as determined by RMS.

RMS has approved the TX SET Working Group scope listed below:

- (1) Analyze the need for new transactions based upon Market Participants input.
- (2) Recommend & Implement Protocol Changes.
- (3) Control the publication and version management of TX SET documentation.
- (4) Design electronic transactions based on business requirements provided by RMS.
- (5) Enhance and modify existing transaction(s) based upon market need.
- (6) Participate in the National Standards Effort.
- (7) Provide educational material to the market on proper use of TX SET transactions.
- (8) Resolve Technical Standards Disputes/Issues.
- (9) Coordination and participate in various RMS Working Groups and Task Forces.
- (10) Recommend and implement changes to current business practices and business processes:
- (11) Analyze market (posed or potential) issue(s);
- (12) Organize findings on the issue;
- (13) Plan and hold market meetings;
- (14) Discuss findings with the market;
- (15) Develop market consensus;
- (16) Formalize recommendation(s) to RMS; and

(17) Institute changes

The Texas SET Working Group schedules Change Control Conference Calls at its discretion. These conference calls primarily take place during the Texas SET meeting. The purpose of these conference calls is to allow Market Participants and ERCOT a channel for submitting change requests to the current version of TX SET Implementation Guides and processes.

6.4 Texas Data Transport Working Group (TDTWG)

The Texas Data Transport Working Group (TDTWG) is responsible for creating and maintaining data transport implementation guides for the Texas Retail Electric Market. TDTWG assists Market Participants and ERCOT in resolving data transport issues and works with ERCOT and Market Participants during testing and implementation of a new data transport or new version.

As needed, TDTWG provides analysis ensuring new data transport(s) or new versions of an existing transport can support the Texas Market. The analysis must exhibit that a data transport is secure and reliable or it cannot be recommended. The Texas Data Transport Working Group also works with the North American Energy Standards Board (NAESB) as needed to help ensure the most current version of NAESB Electronic Delivery Mechanism specification includes requirements for the Texas Market. The Texas Data Transport Working Group is composed of representatives from Market Participant companies and their vendors, ERCOT and the PUCT. The Texas Data Transport Working Group is one of the working groups reporting to RMS.

6.5 Competitive Metering Working Group (COMET)

The Competitive Metering Working Group establishes the business policies and procedures to implement competitive metering services that became available to commercial and industrial customers on January 1, 2004.

6.6 Ad Hoc Working Groups

RMS may form ad hoc work groups with representation on each work group being appointed or approved by the subcommittee. The members of the work group elect a chair and vice chair, subject to confirmation by the RMS, for a one-year term on a calendar year basis or until the work group is no longer required. The subcommittee will direct these work groups and make assignments as necessary.

Retail Market Guide
Section 7: Market Processes

October 1, 2007

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7 MARKET PROCESSES

Market Participants (MPs) and ERCOT have developed processes to resolve specific issues that allow the market to function in a more timely and efficient manner than initially implemented through Protocols. Some of these processes were developed as short-term “workarounds”, but have since become part of day-to-day operations of the market. Section 7 documents these solutions.

7.1 Market Synchronization

Market synchronization issues may arise as Market Participants submit and process transactions. ERCOT has developed MarkeTrak to help ensure that the various databases are synchronized with each other. The ERCOT MarkeTrak system is a web-based workflow application made available to all active Market Participants. MarkeTrak is the primary issue resolution tool used by CRs, TDSPs and ERCOT to resolve retail market transaction issues, request manual Service Order cancellations, request ERCOT assistance with inadvertent ESI ID transfers, and file data extract variance (a.k.a. DEV) issues.

All retail market transaction issues and data extract variances must be logged in the MarkeTrak system before they can be worked by an ERCOT staff member.

The MarkeTrak Users Guide is available on the ERCOT website.

7.1.1 TDSP Cancel

When it is necessary for a TDSP to request a manual cancellation of a Service Order at ERCOT, the TDSP shall submit the cancellation through the MarkeTrak process. The workflow will allow the CR and TDSP involved with the cancellation to have access to the issue. When ERCOT issues the cancel, it will provide the A13 reject code with explanatory text appropriate for the scenario.

7.1.2 MarkeTrak Day-to-Day

Market Participants use the MarkeTrak Day-to-Day workflow to report an issue to ERCOT and/or their trading partner. By selecting the type “Day-to-Day” and the correct subtype, Market Participants are able to create an issue that involves ERCOT and potentially another Market Participant or a NON-ERCOT issue (“point-to-point” between a Market Participant and their trading partner).

Some examples of issues that should be filed to ERCOT through MarkeTrak are Service Order Cancellations, Rep of Record Requests, Inadvertent Issues, Rejected Transactions and Missing Transactions. Some examples of NON-ERCOT Day-to-Day issues are billing questions and missing monthly usage.

For a more complete list of what constitutes a Day-to-Day issue and for guidelines on issue submission, timing, and issue resolution, Market Participants should refer to the MarkeTrak Users Guide.

7.1.3 *MarkeTrak Data Extract Variance Processes*

In order to ensure that market systems at ERCOT are in synch with Market Participant market systems, ERCOT created the ESI ID Service History and Usage Data Extract. ESI ID service history includes ESI ID relationships and ESI ID characteristics. This data extract provides transparency to Market Participants for ESI ID level data that ERCOT utilizes in market settlement. The Data Extract Variance Process will assist in the expedited resolution of ESI ID level data variances between ERCOT and Market Participant systems. LSEs, MREs, and TDSPs will receive these incremental changes from ERCOT on a daily basis. For Data Extract Variance Issues, Market Participants should refer to the MarkeTrak Users Guide for the business rules concerning filing a data extract variance issue.

If a variance, submitted according to MarkeTrak Users Guide, is not resolved prior to the True-Up Settlement, a Market Participant may seek correction of ESI ID service history and usage information and resettlement pursuant to the provisions of Protocol Section 20, Alternative Dispute Resolution Procedure.

7.2 Inadvertent Gain Process

The Texas retail electric market is designed to minimize inadvertent gains, but inadvertent gains may still occur. The procedures herein are intended to provide operational guidance to address inadvertent gains, in support of the Commission's customer protection rules, in particular P.U.C. SUBST. R. 25.495, Unauthorized Change of Retail Electric Provider. This section is intended to ensure that inadvertently gained Customers are returned to the original CR in a quick and efficient manner with minimal inconvenience to the Customer as required by P.U.C. SUBST. R. 25.495. In case of conflict between these procedures and the PUCT's Rules, the PUCT's Rules shall take precedence. These procedures shall be applied uniformly regardless of class of service.

7.2.1 *Competitive Retailer's Inadvertent Gain Process*

As soon as a CR discovers or is notified of a potential inadvertent gain, the CR shall investigate the matter immediately. If the CR determines that the gain was unauthorized or in error, the CR shall promptly log the inadvertent gain in MarkeTrak. (See Section 7.1, Market Synchronization, for more information about MarkeTrak). The original CR and the Gaining CR may work together to negotiate a reinstatement date for the original CR to take the Customer back and note that date in the MarkeTrak issue. However, the original CR shall ultimately determine the reinstatement date and note that date in the MarkeTrak issue.

The original CR may reject the return of an inadvertently gained Customer from the Gaining CR if the original CR has already regained the ESI ID or a third (3rd) CR has completed a

transaction since the inadvertent gain period. The original CR may not reject the return of an inadvertently gained ESI ID due to its inability to contact the Customer.

That reinstatement date shall be no longer than thirteen (13) Business Days from the date the MarkeTrak issue was logged. The original CR shall submit a backdated or forward-dated Move-In Request (814_16), depending on the terms of the parties' agreement, in addition to notifying the affected TDSP. The original CR shall submit a move-in utilizing the reported reinstatement date no later than fifteen (15) Business Days after the MarkeTrak issue is logged. If the move-in has not been submitted within this specified timeline, or the reinstatement date is different than the date noted in the MarkeTrak issue, refer to the escalation process in the MarkeTrak Users Guide.

If the original CR does not have a record of ever serving the ESI ID involved in the inadvertent gain MarkeTrak issue, the original CR shall update MarkeTrak issue with this information. ERCOT and the original CR will work together to resolve the out-of-sync issue TDSP corrections necessary to reestablish the Customer with the original CR may result in a TDSP invoice for a minimum of a one (1) day charge which includes any applicable TDSP service charges according to the TDSP tariffs. For system logic rules, see "Solution to Stacking and Additional Documentation" available on the TX SET Web-site.

Cancellation of a pending switch/move in/drop that will cause an inadvertent gain shall be addressed as follows:

- (1) Before the evaluation period of a transaction, if a submitting CR discovers that the transaction will cause an inadvertent gain, the submitting CR should cancel the switch/move-in/drop transaction using the 814_08 transaction.
- (2) If the ESI ID is discovered to be an inadvertent gain during the evaluation period, and if the TDSP approves the cancellation during the evaluation period, the submitting CR may follow the MarkeTrak process to request cancellation of the transaction.

7.2.2 TDSP Inadvertent Gain Process

7.2.2.1 AEP Inadvertent Switch Processing

7.2.2.1.1 Inadvertent Competitive Retailer is Current Competitive Retailer of Record

If the inadvertent CR is the current provider of record, the original CR is instructed to send in a backdated MVI with a request date that equals the inadvertent transaction start date plus one (1) day, which will reinstate them as CR of record, if that is it's desire. If the original CR does submit the MVI for this date, and if the ESI ID has a Demand meter, the inadvertent CR **WILL NOT** receive an 867_03 Final, and will have to end the relationship in their systems manually. AEP will Complete the original CR reinstatement MVI on the same day as the inadvertent transaction was Completed, which results in an 867 Exception in ERCOT's systems. AEP will then have ERCOT move the inadvertent transaction to cancelled status in its systems. If the ESI

ID does NOT have Demand meter, the inadvertent CR **WILL** receive an 867_03 Final from AEP, so both transactions will be in complete status in ERCOT's systems.

If the original CR does not submit a backdated MVI for the inadvertent start date plus one (1) day, but instead chooses to send in a MVI for some date after this date, then the inadvertent CR **WILL** receive an 867_03 Final, irregardless of whether there is a Demand meter present or not for the ESI ID in question.

AEP always requests that the original CR send the backdated MVI as soon as possible to avoid possible conflict with future transactions and limit the number of cancel/rebills required. AEP also provides a reminder that the inadvertent CR **SHOULD NOT** send in a Move-Out Request on this ESI ID, which would result in the Customer's power being turned off.

7.2.2.1.2 Another Competitive Retailer is Current Competitive Retailer of Record, other than the Inadvertent Competitive Retailer

If current CR of record is any other than the inadvertent CR, and upon receipt of written authorization from both the original CR and the inadvertent CR involved, AEP manually resets the liability to the original CR to the inadvertent transaction start date. It is AEP's current practice to only do this manual reset for the full period that the inadvertent was CR of record in AEP's systems. No partial or split periods are manually reassigned to the original CR.

It is the responsibility of the original CR to file a data variance MarkeTrak issue to create its liability in ERCOT's systems, and the responsibility of the inadvertent CR to file a data variance MarkeTrak issue to remove their liability in ERCOT's systems, in order to keep all Market Participants in synch.

Both the inadvertent CR and the original CR must manually make whatever changes are necessary to their systems to establish or delete the relationship with the Customer as applicable. This must be done so that when the original CR receives the 810 and 867_03s it does not reject them with an 824 transaction. No 867_04s will be generated by AEP.

AEP would then cancel the 810s and 867_03s sent to inadvertent CR for the applicable period, and send them to the original CR instead. No 867_03 Final will be sent to the inadvertent CR, but the original CR will receive a cancel on the 867_03 Final sent as a result of the inadvertent transaction, and the 867_03 for this same period will be resent without the final flag.

7.2.2.2 CenterPoint Energy Inadvertent Gain Process

When CenterPoint Energy (CNP) receives an electronic Notification from ERCOT via MarkeTrak with an assigned MarkeTrak number along with the information needed regarding the inadvertent Switch/MVI:

- (1) CNP will record this information into its internal inadvertent switch/move-in spreadsheet.

- (2) Designated team members will monitor MarkeTrak daily for any requests that requires attention and/or action from CenterPoint Energy and respond appropriately to each Notification received.
- (3) When a CR sends the original unique transaction reference number (BGN02) for a backdated Move-In (MVI), CNP will update MarkeTrak issue and add the original Tran ID into the comments preceded by the day we received the e-mail containing the BGN02. This will update or upgrade the status from Pending CR Action to In-Progress.
- (4) At the end of the Business Day, all ESI ID's with a status of In-Progress are added to CNP's internal Safety Net Spreadsheet database, which allows back-dated transactions to be accepted by CNP for that particular ESI ID. This will prevent the back-dated transaction from being automatically rejected with: Rejection Code of 'A13' (Other) and Remarks/Comments field showing "INVALID BACKDATED ORDER NO SN LO OR CL."
- (5) At the end of the week, designated team members will filter out all MarkeTrak issues received that are currently in CNP's Safety Net database that have an In-Progress status and CNP has received the correct BGN02 requesting the backed dated MVI. CNP will update its database to show these transactions as Completed unless the transaction is still Pending CR Action prior to resolution.
- (6) After an inadvertent switch/move-in (MVI) has been open for two (2) weeks (ten (10) Business Days) with no BGN02 or resolution, then CNP will send an e-mail to the responsible parties explaining that CNP considers this issue to be closed unless notified otherwise. If after ten (10) Business Days there is no response from the CR, CNP will consider the issue closed out on their end.

Note: If a MarkeTrak was received providing the BGN02 but the transaction has not been received by CNP after ten (10) Business Days, a separate letter will be sent informing the CR of the situation. If CNP does not receive a response within ten (10) Business Days, the MarkeTrak issue will be considered closed.

- (7) TDSP does have visibility to the MarkeTrak issue.
- (8) If a Move-In (MVI) is received under the conditions of an inadvertent Switch/ Move-In that normally requires a permit, the permitting requirement will be manually waived, only if the CR has notified CNP by notation in the comments of the already submitted MarkeTrak issue identifying each specific ESI ID that would apply for the permit waiver prior to the transaction being submitted.

CNP Correspondence may contain the following terms:

Completed – The inadvertent Switch or Gain ESI ID has been corrected, which includes correcting the REP of Record history for this ESI ID.

COMPLETED – CNP has recently been informed of the specific MarkeTrak information of the inadvertent Switch scenario, however it has not received any information on how the inadvertent Switch scenario will be rectified, nor has it received any type of follow-up correspondence from

the CR or CRs involved. At this point CNP has sent a notice to all parties involved that it is our intention to close the issue on our end if we still do not receive further instructions on handling the Inadvertent Switch scenario.

In-Progress – CNP has received prior Notification that the original CR will attempt to regain the Customer via a backdated move-in (MVI) and will be sending the original Tran ID (BGN02) information. At this point, we have not yet received, but are expecting a BGN02 reference number to correct the inadvertent switch scenario, which corrects the REP of Record history for this ESI ID.

Original Tran ID – This is the unique transaction reference number or also known as the BGN02 that is created by the originator of the Texas SET 814_16 Move-In Request transaction. This information is required to be provided to CenterPoint Energy by the reporting CR in order for this issued to be Completed as defined above.

Pending CR Action – CNP has received information of an inadvertent switch or gain via an e-mail notification to the InadvertentSwitch@CenterPointEnergy.com address. The e-mail notifies CNP of the newly created MarkeTrak issue along with an assigned MarkeTrak Issue Number. At this point we have not received any information on how the inadvertent switch scenario will be rectified from the CR or CRs involved.

Inadvertent Switch Group E-mail Address:

InadvertentSwitch@centerpointenergy.com

7.2.2.3 TNMP Inadvertent Process

Inadvertent CR is Current CR of Record

If the inadvertent CR is the current provider of record, the original CR is instructed to send in a backdated MVI with a request date that equals the inadvertent transaction start date plus one (1) day, which will reinstate it as CR of record, if that is its desire.

TNMP will complete the original CR reinstatement MVI on the start date plus one (1) day from the backdated MVI. The inadvertent CR WILL receive an 867_03 Final from TNMP, so both transactions will be in "complete" status in ERCOT's systems.

If the original CR does not submit a backdated MVI for the inadvertent start date plus one (1) day, but instead chooses to send in a MVI for some date other than this date, then the inadvertent CR WILL receive a 867_03 Final effective for the date of the inadvertent gain plus one (1) day.

TNMP notifies the original CR as well as the inadvertent CR that a backdated MVI request will need to be submitted by the original CR. TNMP also requests that the original CR submit the BGN Number of the backdated MVI as soon as the number is available.

Another CR is Current CR of Record, other than the Inadvertent CR

If current CR of record is any other than the inadvertent CR, and upon receipt of written authorization from both the original CR and the inadvertent CR involved, TNMP manually resets

the liability to the original CR to the inadvertent transaction start date. It is TNMP's current practice to only do this manual reset for the full period that the inadvertent CR was the CR of record in TNMP's systems. No partial or split periods are manually reassigned to the original CR.

It is the responsibility of the original CR to file a data variance MarkeTrak issue to create its liability in ERCOT's systems, and the responsibility of the inadvertent CR to file a data variance MarkeTrak issue to remove its liability in ERCOT's systems, in order to keep all Market Participants in synch.

Both the inadvertent CR and the original CR must manually make whatever changes are necessary to their systems to establish or delete the relationship with the Customer as applicable. This must be done so that when the original CR receives the 810 and 867_03 transactions it does not reject them with an 824 transaction. A No 867_04s will be generated by TNMP.

TNMP would then cancel the 810 and 867_03 transactions sent to inadvertent CR for the applicable period, and send them to the original CR instead. No 867_03 Final will be sent to the inadvertent CR. The original CR will not receive a cancel on the 867_03 Final sent as a result of the inadvertent transaction and must manually make whatever changes are necessary to its systems.

7.2.2.4 Oncor Electric Delivery Inadvertent Process

- (1) TDSP does have visibility to the MarkeTrak issue.

Oncor Electric Delivery (Registration) identifies an inadvertent switch once a MarkeTrak issue is received. Oncor Electric Delivery will respond back to the MarkeTrak issue stating:

"To all:

Oncor Electric Delivery has received your MarkeTrak notification regarding an inadvertent switch. We will be happy to backdate your request to the loss date or **up to a maximum of six metering cycles** from the date of the MarkeTrak issue. We request the all updates are made within the MarkeTrak issue, stating both Competitive Retailers are in agreement with the changes requested.

If all parties agree, the original Competitive Retailer will need to submit a backdated **move in**. Once the move in is sent, please notify Oncor Electric Delivery and we will process as requested."

- (2) Once Oncor Electric Delivery receives the approval from both CRs, a request is sent to the regaining CR asking them to send a backdated move in to regain the ESI ID. Once the backdated move in is received with the new BGN06, the MVI is either:
 - (a) Completed if the ESI ID has not billed, or
 - (b) The MVI information is processed internally to begin the backdating process.

Note: If the MVI would normally require an inspection, conditions of an inadvertent switch/move- in would allow the TDSP to waive the inspection.
- (3) Registration will be notified by the internal party once the backdating is complete.
- (4) Upon receipt of notification, Registration will respond to the initial e-mail string from ERCOT stating the Backdating Process has been completed.

A 3rd Party has gained the ESI ID prior to backdating.

Oncor Electric Delivery will respond to the MarkeTrak issue from submitting CR stating “Since a 3rd party has gained the ESI ID, Oncor Electric Delivery will not be able to backdate this request and considers the MarkeTrak issue resolved.”

A CR denies the Inadvertent MarkeTrak Issue.

Oncor Electric Delivery will respond to the MarkeTrak issue stating “Per the CR’s request, Oncor Electric Delivery considers this MarkeTrak issue resolved.”

The original CR has already regained the ESI ID prior to the MarkeTrak issue submitted.

Oncor Electric Delivery will respond to the MarkeTrak issue stating “Since the original CR has already regained the ESI ID, Oncor Electric Delivery will not be able to backdate this request and considers the MarkeTrak issue resolved.”

7.3 Safety-Net Move-In Process

7.3.1 Purpose

This section explains the steps that Market Participants (MPs) will follow when processing safety-net Move-In Requests. This document is not intended to override or in any way contradict P.U.C. SUBST. R. 25.487, Obligations Related to Move-In Transactions.

The safety-net process is a manual work-around process used by MPs in the Texas retail electric market to ensure that a Customer receives electric service in a timely manner.

The Retail Electric Provider (REP) establishes its rights and responsibilities to serve a Customer at the Premise identified by the safety-net move-in ESI ID beginning from the date the Transmission Distribution Utility (TDU) connects service to the Premise.

7.3.2 *Appropriate Use of the Safety-Net Process*

The safety-net process should be used for legitimate purposes and not to bypass standard rules and processes. The REP may submit a standard or priority safety-net spreadsheet if an 814_16 transaction was sent, but the REP has not received an 814_05 or 814_28 Permit Required from ERCOT within the timeframes identified below. The REP can use the safety-net spreadsheet for Customers of all classes. If construction service is required, service may be delayed or completed unexecutable. For all move-ins physically completed by this process, MPs must work to ensure that the Move-In Request and response transactions are sent to and received by all affected parties. The REP may submit a MarkeTrak issue to investigate the missing 814_05, if needed, giving the appropriate TDU access to the issue.

The REP may submit a safety-net spreadsheet for:

- (1) Standard move-ins: Move-ins submitted at least two (2) Business Days prior to the requested date; or
- (2) Priority move-ins: The Customer has requested same or next day service and is willing to pay applicable fees.

7.3.2.1 Standard Safety-Net Procedures

- (1) The REP may submit a safety-net spreadsheet for standard Move-In Requests (with the requested date from the original 814_16 Move-In) between the hours of 1100 to 1200 CPT the Business Day prior to the Customer's requested move-in date, if the REP has not received the 814_05 or 814_28 Permit Required from ERCOT. A TDU will reject safety-net spreadsheet requests received earlier than the day prior to the requested move-in date. This request is done via email using the "Subject Line" included in Table 1, Standard Subject Lines for Safety-Net E-mails.

Table 1. Standard Subject Lines for Safety-Net E-mails

Subject Line	Used For	Submitted By
[REP Name] – Safety-net – [Date Requested]	Move-In Request	REP
[REP Name] – Safety-net – UPDATE – [Date Requested]	Providing Updated BGN02	REP
[REP Name] – Safety-net – CANCEL – [Date Requested]	Cancel Safety-net Request	REP
[TDU Name] – Safety-net – RESPONSE – [Date Requested]	Status of Safety-net Request	TDU

- (2) To initiate a safety-net move-in, the REP attaches to the email the Excel© spreadsheet in the market-approved spreadsheet format. See Table 2, Safety-Net Spreadsheet Format.

Table 2. Safety-Net Spreadsheet Format

Column	Field Name	Note	Data Attributes	
			Type	Length (Min. / Max.)

Column	Field Name	Note	Data Attributes	
			Type	Length (Min. / Max.)
(1)	ESI ID	(required)	AN	1 Min. / 80 Max.
(2)	Customer Contact Name	(required)	AN	1 Min. / 60 Max.
(3)	Customer Contact Phone	(required if available)	AN	1 Min. / 80 Max.
(4)	MVI Street Address	(required)	AN	1 Min. / 55 Max.
(5)	MVI Apartment Number	(if applicable)	AN	1 Min. / 55 Max.
(6)	MVI ZIP	(required)	ID	3 Min. / 15 Max.
(7)	MVI City	(required)	AN	2 Min. / 30 Max.
(8)	CR DUNS Number	(required)	AN	2 Min. / 80 Max.
(9)	CR Name	(prefer D/B/A to corporate name)	AN	1 Min. / 60 Max.
(10)	MVI Request Date	(required)	DT	8 Min. / 8 Max.
(11)	Critical Care Flag	(optional)	AN	1 Min. / 30 Max.
(12)	BGN02	(required)	AN	1 Min. / 30 Max.
(13)	Notes/Directions	(optional)	AN	1 Min. / 80 Max.
(14)	REP Reason for Using Spreadsheet	(optional –free form)	AN	1 Min. / 80 Max.

- (3) If the TDU does not have a transaction to respond to, the TDU shall notify the REP via spreadsheet (see Appendix A2, TDSP MVI Safety Net Response for format) of all safety-net Move-In Requests that could not be Completed as noted in Table 3, TDU Return Codes. The TDU shall respond within one (1) Business Day of receipt of the request. For completed unexecutable only, the TDU shall respond within two (2) Business Days of receipt of the request.

Table 3. TDU Return Codes

Return Code	Description	Data Attributes	
		Type	Length Min/Max
A76	ESI ID Invalid or Not Found	AN	1 Min. / 30 Max.
API	Required information missing	AN	1 Min. / 30 Max.
PT	Permit Required	ID	1 Min. / 2 Max.
09	Complete Unexecutable	AN	1 Min./ 2 Max.

- (4) If the REP wants to cancel a safety-net move-in, it must notify the TDU by e-mail to the same place where the original request was sent. If the REP does not notify the TDU of a cancellation, the TDU will Complete the Move-In Request, and the REP will be responsible for the Customer's consumption and all applicable discretionary charges.
- (a) The REP's e-mail notification must follow the format outlined above in Sections 7.3.2.1(1) and 7.3.2.1(2).

- (b) If a REP cancels a safety-net move-in on the requested date, the TDU may charge the REP a trip charge in accordance with TDU tariffs for canceling the safety-net move-in.
 - (c) If the TDU has already completed the standard move-in and it is too late to cancel, the REP must initiate a MarkeTrak issue to return the Premise to the original status.
- (5) The REP must submit an 814_16 transaction to ERCOT and note the BGN02 on the safety-net spreadsheet that is sent to the TDU.
- (a) If the 814_16 that corresponds with the safety-net request is rejected by ERCOT, the REP must resubmit the transaction by the next Business Day. All resubmitted 814_16 transactions must use same requested date as submitted with the original safety-net spreadsheet. The REP is to submit a MarkeTrak issue after not receiving a response from ERCOT on the 814_16 within 48 hours.
 - (b) If a subsequent 814_16 transaction is accepted by ERCOT, the REP must update the TDU with the latest BGN02 for its safety-net ESI ID.
 - i. All updates must reference the original Move-In Request date.
 - ii. The update e-mail must be in the format outlined in Sections 7.3.2.1(1) and 7.3.2.1(2).

7.3.2.2 Priority Safety-Net Move-In Procedures

- (1) The REP may submit a safety-net spreadsheet for priority Move-In Requests (with the requested date from the original 814_16 Move-In) no earlier than 1400 CPT on the requested date in the priority move-in, if the REP has not received the 814_05 or 814_28 Permit Required from ERCOT. This request is done via email using the “Subject Line” included in Table 1, Standard Subject Lines for Priority Safety-Net E-mails.

Table 1. Standard Subject Lines for Priority Safety-Net E-mails

Subject Line	Used For	Submitted By
[REP Name] – PRIORITY Safety-net – [Date Requested]	PRIORITY Move-In Request	REP
[REP Name] – PRIORITY Safety-net – UPDATE – [Date Requested]	Providing Updated BGN02	REP
[REP Name] – PRIORITY Safety-net – CANCEL– [Date Requested]	Cancel PRIORITY Move-In Request	REP
[TDU Name] – PRIORITY Safety-net – RESPONSE – [Date Requested]	Status of PRIORITY Safety-net request	TDU

- (2) To initiate a priority safety-net move-in, the REP attaches to the email the Excel® spreadsheet in the market-approved format. See Table 2, Safety-Net Spreadsheet Format.

Table 2. Safety-Net Spreadsheet Format

Column	Field Name	Note	Data Attributes	
			Type	Length (Min. / Max.)
(1)	ESI ID	(required)	AN	1 Min. / 80 Max.
(2)	Customer Contact Name	(required)	AN	1 Min. / 60 Max.
(3)	Customer Contact Phone	(required if available)	AN	1 Min. / 80 Max.
(4)	MVI Street Address	(required)	AN	1 Min. / 55 Max.
(5)	MVI Apartment Number	(if applicable)	AN	1 Min. / 55 Max.
(6)	MVI ZIP	(required)	ID	3 Min. / 15 Max.
(7)	MVI City	(required)	AN	2 Min. / 30 Max.
(8)	CR DUNS Number	(required)	AN	2 Min. / 80 Max.
(9)	CR Name	(prefer D/B/A to corporate name)	AN	1 Min. / 60 Max.
(10)	MVI Request Date	(required)	DT	8 Min. / 8 Max.
(11)	Critical Care Flag	(optional)	AN	1 Min. / 30 Max.
(12)	BGN02	(required)	AN	1 Min. / 30 Max.
(13)	Notes/Directions	(optional)	AN	1 Min. / 80 Max.
(14)	REP Reason for Using Spreadsheet	(optional –free form)	AN	1 Min. / 80 Max.

- (3) If the TDU does not have a transaction to respond to, the TDU shall notify the REP via spreadsheet (see Appendix A2, TDSP MVI Safety Net Response for format) of all priority safety-net Move-In Requests that could not be completed as noted in Table 3, TDU Return Codes. The TDU shall respond within one (1) Business Day of receipt of the request. For completed unexecutable only, the TDU shall respond within two (2) Business Days of receipt of the request.

Table 3. TDU Return Codes

Return Code	Description	Data Attributes	
		Type	Length Min/Max
A76	ESI ID Invalid or Not Found	AN	1 Min. / 30 Max.
API	Required information missing	AN	1 Min. / 30 Max.
PT	Permit Required	ID	1 Min. / 2 Max.
09	Completed Unexecutable	ID	1 Min. / 2 Max.

- (4) If the REP wants to cancel a priority safety-net move-in, it must notify the TDU by e-mail to the same place where the original request was sent. If the REP does not notify the TDU of a cancellation, the TDU will complete the priority Move-In Request, and the REP will be responsible for the Customer's consumption and all applicable discretionary charges.

- (a) The REP's e-mail notification must follow the format outlined above in Sections 7.3.2.2(1) and 7.3.2.2(2).
 - (b) If a REP cancels a priority safety-net move-in on the requested date, the TDU may charge the REP a trip charge in accordance with TDU tariffs for canceling the priority safety-net move-in.
 - (c) If the TDU has already completed the priority move-in and it is too late to cancel, the REP must initiate a MarkeTrak issue to return the Premise to the original status.
- (5) The REP must submit an 814_16 transaction to ERCOT and note the BGN02 on the priority safety-net spreadsheet that is sent to the TDU. All "Priority Safety-Net" Move-In spreadsheets that are completed on the same-day or next day by the TDSP shall be charged Priority Move-In discretionary charges by the TDSP according to the TDSP's Tariff, regardless of the Priority code that is reflected in the TX SET Move-In 814_16 submitted by the CR.
- (a) If the 814_16 that corresponds with the priority safety-net request is rejected by ERCOT, the REP must resubmit the transaction by the next Business Day. All resubmitted 814_16 transactions must use the same requested date as submitted with the original priority safety-net spreadsheet. The REP is to submit a MarkeTrak issue after not receiving a response from ERCOT on the 814_16 within 48 hours.
 - (b) If a subsequent 814_16 transaction is accepted by ERCOT, the REP must update the TDU with the latest BGN02 for its priority safety-net ESI ID.
 - (i) All updates must reference the original Move-In Request date.
 - (ii) The update e-mail must be in the format outlined in Sections 7.3.2.2(1) and 7.3.2.2(2).

7.4 Standard Historical Usage Request

In the Texas marketplace, CRs are allowed to request historical data from a Customer when they are not the REP of Record. This data is provided by the TDSP to the requesting CR with a maximum of twelve (12) months of usage. In order to provide the data to the CR, the TDSP must have written authorization (includes electronic authorization) from the Customer to allow them to provide this proprietary information. The TDSPs will provide the requested data electronically in an Excel© format within three (3) Business Days of receipt of a valid Letter of Authorization (LOA).

7.4.1 *Overview of the Standard Letter of Authorization for Historical Usage*

To obtain historical usage for an ESI ID, the requestor must submit a standard Letter of Authorization (LOA) form to the appropriate TDSP (See Appendix B1 and B2). A Customer

may allow the use of the same LOA for any length of time. If the Customer wishes the LOA to expire, the Customer shall indicate the expiration date of the LOA. The Customer may also designate the LOA term to be unlimited, but in either case, the Customer must designate as unlimited or provide an expiration date.

If the request is for a Premise with an Interval Data Recorder (IDR) meter, the requesting CR shall indicate whether summary billing, interval data or both summary billing and interval level data is required by checking the appropriate boxes. The TDSP shall provide all data requesting by the CR, if available and shall use Appendix B4.

The requestor must use the attachment located in Appendix B3 when requesting historical usage from multiple TDSPs on the same LOA. If electronic mail is used to submit the attachment, the requestor shall place the Customer's name first when naming attachments, e.g., CustomerABC.xls, CustomerABC.pdf, CustomerABC-AEP.xls. A TDSP will reject the attachment if it is submitted with ESI IDs that are not located within the TDSP's territory.

7.5 Transfer from Outgoing Provider of Last Resort (POLR) to Incoming POLR upon Termination of POLR Status

This section details the transfer from POLR to POLR process where POLR status has been terminated as noted in P.U.C. Subst. R. 25.43 (o), Provider of Last Resort.

7.5.1 *Overview of the Transfer to POLR Process*

The outgoing POLR initiates the transfer by sending a file by email to ERCOT containing the ESI ID(s) to be transferred. It is the responsibility of the outgoing POLR to provide their transfer file to ERCOT no later than 20 days prior to the end of their POLR term. ERCOT shall allocate the ESI ID(s) to incoming POLRs as required by P.U.C Subst. R. 25.43. ERCOT shall distribute the list of ESI ID(s) to the appropriate POLRs via email. Data in the transfer file will be used by the POLR to send on-cycle Enrollment transactions (814_01) to ERCOT with the PUC Customer protection provisions waived. This Enrollment transaction will follow the normal processing track as detailed in the TX SET implementation guides and the ERCOT Protocols.

7.5.1.1 Transfer to POLR File Format

The transfer to POLR files will be in formatted with data elements detailed in Appendix G, POLR Transfer Template. All unused fields must be blank.

7.5.1.2 File Naming

The transfer file from the outgoing POLR to ERCOT shall have the following naming convention: DUNS_Date. (Date format CCYYMMDD).

7.6 Disconnect and Reconnect for Non-Payment Process

The Disconnect (DNP) and Reconnect for Non-Payment (RNP) process was developed to provide Market Participants (MP) with market approved guidelines to support disconnect and reconnect transactions and business processes as allowed or prescribed by PUC Subst. R. 25.483, Disconnection of Service.

The purpose of this DNP and RNP process is to provide MPs with a document that defines market processing for disconnection and reconnection requests and for managing emergency and contingency procedures in support of disconnection for nonpayment and reconnection activities.

The terms and acronyms below shall have the corresponding meaning when used in this Section.

Retail Business Day

0800 to 1700 CPT Monday through Friday excluding observed company holidays, as outlined on the TDSP websites.

Collection Day

The hours of operation for collection and payment services at the CR.

Complete

Action code on the 650_02 indicating that the service request for either disconnect or reconnect activity has been successfully completed in the field by the field service representative (FSR).

Complete Unexecutable

Action code on the 650_02 indicating that the FSR was unable to successfully complete the service request for either disconnection or reconnection due to conditions at the customer's premise outside of the Transmission and/or Distribution Service Provider's (TDSP) control.

This action code may also be used in the 650_02 for disconnection requests when the TDSP has received a reconnect service request prior to completing the disconnect request.

Field Operational Day

The normal hours of operation for field services at the TDSP.

Overflow

Service order requests not worked on the date wanted due to events such as outages, extreme weather, or an increased volume of higher priority service request types (Reconnects, MVIs, MVOs). These overflow service requests will be scheduled for the next available field operational day until the order is successfully completed or completed unexecutable.

Pending

Any order that is received prior to the requested completion date.

Service Order Request

The TX SET 650_01 issued from the CR to TDSPs requesting field work.

Service Request

Same as above.

Acronyms

ANSI	American National Standards Institute
CPT	Central Prevailing Time
CR	Competitive Retailer
DNP	Disconnect for Non-Pay
ESI ID	Electric Service Identifier
FSR	Field Service Representative
MVI	Move-In
MVO	Move-Out
PUCT	Public Utility Commission of Texas
REP	Retail Electric Provider
ROR	REP of Record
RNP	Reconnect for Non-Pay
TDSP	Transmission Distribution Service Provider

Processes for the following TDSPs are included in this document. Some of these TDSPs are identified by an acronym. These are identified below.

AEP	American Electric Power
CNP	Centerpoint
No acronym	Oncor Electric Delivery
SULP	Sharyland Utilities, L.P
TNMP	Texas New Mexico Power

7.6.1 Assumptions and Market Processes**7.6.1.1 Retail Electric Provider Certification**

Prior to issuing 650_01 for disconnect/reconnect, certified CRs shall have successfully completed market certification testing and have received disconnection authority from the PUCT.

7.6.1.2 Forecasts

CRs will provide to the TDSPs on a weekly basis the number of disconnection requests that they estimate will be issued. This will be an Excel© spreadsheet reporting the total number of disconnects expected for the next week with the report showing the range of disconnects for each day of that week. Please refer to Appendix C1, Weekly REP Disconnect for Non-Payment Forecast for the REP forecast template. These forecast spreadsheets will be e-mailed to the designated TDSP contact listed in Section 7.6.7.2, Disconnect Forecast Contact of this section on the Tuesday of the week before that week's activity would begin. The data submitted by CRs in these forecast spreadsheets is confidential and intended to be an estimate *only* that will allow

TDSPs to plan and allocate Resources in order to Complete disconnect and subsequent reconnect service orders.

7.6.1.3 Safety Nets

Disconnects received prior to safety-nets will be completed as will the subsequent safety-net requests. If a safety-net move-in has been received and Completed by Oncor Electric Delivery for a new CR of Record, a forced move-out will be created for the previous CR of Record. Any subsequent disconnect or Move-Out Request issued from the previous CR will be rejected upon receipt as not CR of Record by Oncor Electric Delivery.

For all *other* TDSPs, if a safety-net move-in has been received and completed for a new CR of Record, *but* the supporting EDI transaction has not been received, any subsequent disconnect or Move-Out Requests received by the TDSP will be Completed.

Upon Notification from the CR of an inadvertent disconnect or move-out that has been Completed by the TDSP, the TDSP will restore service following the procedures outlined in Section 7.6.5.1, Emergency Reconnect of this guide.

Any TDSP charges associated with re-energizing the Customer's Premise will be billed to the CR initiating the safety-net move-in. Charges associated with re-energizing a Customer's Premise while completing an emergency reconnect as a result of an inadvertent disconnect or move-out will be billed to CR of Record. If necessary the CR of Record will need to use the dispute process to remedy any resulting billing issues.

7.6.2 Process Overview

7.6.2.1 DNP Process Overview

CR credit cycle reveals ESI ID population subject to DNP.

CR performs internal validations prior to issuing disconnection requests.

CR submits 650_01 for disconnection according to Texas SET guidelines no later than two (2) Retail Business Days prior to requested completion date. Orders not received with at least two (2) Retail Business Days advance notice will be scheduled for two (2) Retail Business Days from date of receipt.

TDSP receives 650_01 transaction and performs validations.

For orders that do not pass validations, 650_02 Reject with the appropriate code and reason is sent to CR.

If the transaction does not pass ANSI validation, a negative 997 reject is sent.

Upon successfully validating the 650_01, TDSP creates an internal service order which is then routed and scheduled geographically to the appropriate FSR.

For orders that can not be completed, 650_02 Completed Unexecutable is sent to CR with appropriate code and reason.

For orders that can not be completed on the requested date due to time constraints in the field, TDSP will pend the order and schedule on the next available Field Operational Day.

TDSP Completes order and responds to CR with a 650_02 transaction within one (1) Retail Business Day of completion.

7.6.2.2 RNP Process Overview

CR confirms Customer's satisfactory correction of reasons for disconnect.

CR performs internal validations prior to issuing reconnect request.

CR submits 650_01 for reconnection according to timelines outlined in Substantive Rule 25.483 (n) 1-7.

TDSP receives 650_01 transaction and performs validations.

For orders that do not pass validations, 650_02 Reject with the appropriate code and reason is sent to CR.

If the transaction does not pass ANSI validation, a negative 997 reject is sent.

Upon successfully validating the 650_01, TDSP creates an internal service order which is then geographically routed and scheduled to the appropriate Field Service Representative (FSR) to be Completed according within the timelines outlined in Substantive Rule 25.483 (n) 1-7 and within the requirements defined by the TDSP tariff.

For orders that can not be completed, 650_02 Completed Unexecutable is sent to CR with appropriate code and reason.

TDSP completes order and responds to CR with a 650_02 transaction within one (1) Retail Business Day of completion.

7.6.3 Transaction Processing

7.6.3.1 Timelines for Transaction Delivery

Suggested timeframes for receipt of disconnection and reconnection Service Order Requests:

- (1) **Disconnect** - For routine disconnect requests to be scheduled, transactions must be received by all TDSPs by 1700 CPT two (2) Retail Business Days prior to requested work date. Requests received after 1700 CPT or on a day that is not a Retail Business Day, shall be considered received on the next Retail Business Day. Disconnect orders received less than two (2) Retail Business Days prior to the requested date, the DNP will

be scheduled for the Retail Business Day that is two (2) Retail Business Days after the request is received. Backdated orders will be rejected.

- (2) **Reconnect** - For standard reconnect requests to be scheduled no later than the next Field Operational Day, transactions must be sent to the TDSPs according to the timeframes outlined in Substantive rule 25.483 (n) (1-7).

Per TDSP tariff, standard reconnect requests received by TDSP no later than 1400 CPT on a Retail Business Day shall be completed that day. Standard reconnect requests received by TDSP prior to 1700 CPT on a Retail Business Day shall be reconnected that day if possible, but no later than the close of the TDSP's next Field Operational Day. Standard reconnection requests received after 1700 CPT on a day that is not a Retail Business Day shall be considered received on the next Retail Business Day.

Priority same day reconnect requests received by TDSP prior to 1700 CPT on a Retail Business Day shall be reconnected no later than the close of TDSP Field Operational Day.

7.6.3.2 Transaction Validations

- (1) **CR validations prior to initiating 650_01** - Prior to issuing 650_01 for disconnection, CRs shall verify that they are still the CR of Record. Further, verifying that a Pending Disconnect or move-out does not exist will prevent a Service Request from being rejected. CRs will also verify critical care status of residential customers prior to issuing initial disconnection request.
- (2) **TDSP validations upon receipt of 650_01** - Upon receipt of a disconnect or reconnect Service Request, TDSPs may perform the following validations on 650_01 transactions:
 - (a) Verify that the CR is certified for disconnection for non-pay transaction processing.
 - (b) Verify that the CR submitting a disconnect request is the CR of Record.
 - (c) Perform ANSI validations on 650_01.
 - (d) Perform TX SET validations on 650_01.
 - (e) Review meter indicators for ESI ID for critical Load, critical care, and master metered Premise.
 - (f) Verify if a disconnect request is a duplicate.
 - (g) Verify if a reconnect request is a duplicate.
 - (h) Verify if a move-in or switch has been scheduled on the requested date.
 - (i) Verify if a move-out has been received from requesting CR.

- (j) Determine if the requesting CR has indicated that DNP's not completed within three (3) Retail Business Days should not be completed on a Friday.
- (k) Identify if reconnect request is a priority reconnect.
- (l) Verify if a reconnect request has been previously received for disconnect request within the past twenty-four (24) hours. (CNP only)
- (m) Upon receipt of a reconnect, verify if original disconnect request was not rejected (CNP Only)
- (n) Verify if a weather moratorium is in effect.

7.6.3.3 Competing Orders

All TDSP's will Complete Unexecutable a disconnect for non-payment only when the requested date is greater than (after) or equal to the scheduled date of a pending switch or move-in and these transactions have been successfully completed changing either the CR of Record and/or Customer for this Premise. When a disconnect request is received with a requested date that is less than (before) the scheduled date of a switch or move-in the disconnect requests will be worked. Disconnect orders carried over to next Retail Business Day may not be worked due to competing order and will be complete unexecutable.

- (1) **Move-In** - In order to re-energize a Premise that has been disconnected, the new CR of Record's move-in will energize the Customer's Premise and will be subject to applicable fees per TDSP tariffs.

A move-in submitted on a Premise that has been de-energized for non-payment may still require a permit for completion in certain jurisdictions. A move-in submitted on a Premise that has been de-energized for non-payment at a premium disconnect location may be subject to a premium reconnect charge.

- (2) **Off-Cycle Switch** - If the new CR of Record has submitted an Off-Cycle switch the TDSP will re-energize the Premise and bill applicable charges to the new CR of Record.

Table 7. Competing Orders-Off-Cycle Switch

	AEP	CNP	Oncor Electric Delivery	SULP	TNMP
TDSP Action	Re-energize Premise	Re-energize Premise	Re-energize Premise	Re-energize Premise	Re-energize Premise
TDSP Fee	Reconnect Charge	Connection Charge	Connect Charge	Reconnect Fee	Off Cycle meter reading charge

- (3) **On-cycle Switch** - If the new CR of Record has submitted an on-cycle switch at a Premise that has been previously de-energized, the TDSP will perform one of the following actions:

In order to re-energize the Premise CNP and TNMP would require the CR with the ability to submit a 650_01 Reconnect transaction to send the transaction with a purpose code of RC003 to the TDSP in order to restore the service. In the event that a CR is not certified to transmit this transaction, CNP and TNMP would expect the CR to follow the emergency procedures outlined in Section 7.6.5.1, Emergency Reconnects.

Table 8. Competing Orders- On-cycle Switch

	AEP	CNP	Oncor Electric Delivery	SULP	TNMP
TDSP Action	Perform meter read	Perform meter read	Perform meter read	Perform meter read	Perform meter read
Energize	Yes	No	Yes	Yes	No
TDSP Fee	Reconnect Charge	None	Connect Charge	Reconnect Charge	None

7.6.3.4 Reconnect/Disconnect Processing Order

If a reconnect request is received before a disconnect request, all TDSPs except for CNP will reject the reconnect request immediately using Texas SET code “RWD”. Any disconnect requests received after an associated reconnect order has been rejected will be worked by the TDSP. If inadvertent disconnection occurs, then emergency reconnection provisions will be followed.

CNP has developed a process that if a reconnect is received without a corresponding disconnect request, the reconnect request is currently held for twenty-four (24) hours to wait for the corresponding disconnect for non-payment transaction (650_01).

- (1) If no corresponding disconnect is received in the twenty-four (24) hour period the reconnect requested will be Rejected 650_02. If CNP later receives the 650_01 Disconnect Request after the twenty-four (24) hour period and the transaction reference number BGN06 refers to the Reconnect, CNP will reject that DNP request with a 650_02 'RC RECEIVED BEFORE DNP WORKED' reason description.
- (2) If the corresponding disconnect for non-payment arrives during that period, the transactions/requests cancel each other out and produce 650_02 Complete Unexecutable responses with SET code 'V005' reason codes and 'RC RECEIVED BEFORE DNPWORKED' reason description.
- (3) If inadvertent disconnection occurs, then emergency reconnection provisions will be followed.

Table 9. Transaction Processing Order

	AEP	CNP	Oncor Electric Delivery	SULP	TNMP
TDSP Action	Reject 650_01 reconnect	See text Above	Reject 650_01 reconnect	Reject 650_01 reconnect	Reject 650_01 reconnect
Code	RWD	See text Above	RWD	RWD	RWD

7.6.3.5 Disconnection at Premium Disconnect Location

When necessary, service orders without a premium disconnect location indicator (i.e. pole, substation) that can not be completed by the FSR at the meter may be referred within one (1) Retail Business Day to a specialized field group that will disconnect service at the pole or transformer if the CR indicated that it would pay for this charge by sending a 650_01 transaction with the code 'ROL – Roll to Other Location'.

Orders that are re-routed for disconnect at premium disconnect location will be completed within three (3) Retail Business Days of being re-routed. In the event that the TDSP does not complete the DNP service request within three (3) Retail Business Days of the original requested date (and was provided two (2) Retail Business Days notice), the TDSP shall reference the YES or NO authorization found in the Friday Authorization for Overdue Disconnect for Non-Payment segment of the 650_01 transaction and will reschedule all Friday orders with the NO flag for the next Retail Business Day.

Service orders sent with premium disconnect location indicator, 'PDL – Premium Disconnect Location', will be immediately referred to specialized field personnel. A CR that does not want to pay for a premium disconnect will send its Service Order Requests with the code 'MTR – Meter Disconnect Only'.

When service is disconnected at a premium location, TDSP will notify the CR on the 650_02 with a code of 'O' for other than at the meter. For any disconnect performed the appropriate TDSP tariff charges will be applied. When service cannot be disconnected at a premium location, the TDSP will respond with a 650_02 Complete Unexecutable and the CR will need to contact the TDSP for special consideration.

7.6.3.6 Completed Unexecutable and Rejected Orders

The TDSP will issue 650_02s within one (1) Retail Business Day for rejected Service Order Requests or service orders that can not be completed in the field.

No charges will be applied to service orders that are rejected.

Service Requests that are dispatched and then Complete Unexecutable will be subject to the following TDSP charges:

- (1) **AEP** Dispatched order fee
- (2) **CNP** Disconnect or reconnect charge based on initiating Service Order Request with the exception of cancels prior to field completion

- (3) **Oncor Electric Delivery** Disconnect or reconnect charge based on initiating Service Order Request with the exception of cancels prior to field completion.
- (4) **SULP** Disconnect or reconnect charge based on initiating Service Order Request with the exception of cancels prior to field completion
- (5) **TNMP** Disconnect or reconnect charge based on initiating Service Order Request with the exception of cancels prior to field completion.

The most common causes for service orders that are Completed un-executable are:

- (1) Access issues;
- (2) Unsafe conditions at the meter; or
- (3) Reconnect request received before disconnect performed.

Some common causes for rejected Service Requests are:

- (1) Account already in active-disconnected status;
- (2) Requesting party not current CR of Record;
- (3) Pending move-in, switch or move-out (same CR of Record); or
- (4) Account not active.

7.6.3.7 Priority Orders

When issuing a 650_01 for service reconnection, CRs may request priority service where available. The following Texas SET codes should be used to indicate priority status on reconnect service orders:

Table 10. TDSP Priority Codes

	AEP	CNP	Oncor Electric Delivery	SULP	TNMP
Outside Normal Business Hours	99	02	03	TBD	02
Holiday	99	02	04	TBD	02

All routine service orders should be submitted with an “01” priority code. Any service order received by a TDSP with a priority code other than those listed above will be processed as a routine service order.

If a CR issues a priority reconnect order after issuing a routine reconnect order *and* the routine reconnect order has not been Completed, the priority order will be rejected as duplicate request.

7.6.3.8 Service Order Cancellations

In order to cancel a disconnect request that has not been Completed, a CR must send a 650_01 reconnect request referencing the BGN02 disconnect to the TDSP. With the exception of AEP and TNMP, no charges will apply if the reconnect is received prior to completing the disconnect request. For orders that are already in a scheduled status after 0800 CPT on the date of request the following charges will apply:

- | | | |
|-----|--------------------------------|-----------------------------|
| (1) | AEP | Dispatched Order Fee |
| (2) | CNP | No Charges will be applied |
| (3) | Oncor Electric Delivery | No Charges will be applied |
| (4) | SULP | No Charges will be applied. |
| (5) | TNMP | Fifteen dollars (\$15) |

In order to cancel a reconnect request because the CR may have sent the reconnect in error or for the wrong ESI ID, a CR must send a 650_01 "C" Cancel, referencing the BGN02 of the initiating 650_01 Reconnect Service Order Request. For orders that are already in a scheduled status after 0800 CPT on the date of request the following charges will apply:

- | | | |
|-----|--------------------------------|-----------------------------|
| (1) | AEP | Dispatched Order Fee |
| (2) | CNP | No Charges will be applied |
| (3) | Oncor Electric Delivery | No Charges will be applied |
| (4) | SULP | No Charges will be applied. |
| (5) | TNMP | Fifteen dollars (\$15) |

7.6.3.9 Response Transactions

A 650_02 response transaction will be issued by TDSPs for every 650_01 transaction within one (1) Retail Business Day upon the following:

- (1) Rejection of service order after performing initial transaction validations
- (2) Completion of the requested field service activity
- (3) Determination by field service personnel of unexecutable status
- (4) Cancellations of a requested reconnect request
- (5) After unsuccessfully completing the request two (2) days in a row (Oncor Electric Delivery only).

Due to the exceptional conditions outlined in Section 7.6.5, Exceptions, CRs will need to follow up with the TDSP if the 650_02 for a disconnect request is not received within three (3) to five (5) Retail Business Days following the requested disconnect date. Inquiries should be submitted via e-mail as follows:

- (1) **AEP** *crrtx@aep.com*
- (2) **CNP** *BPM-ServiceOrders@centerpointenergy.com*
- (3) **Oncor Electric Delivery** *utiltxn@Oncor.com*
- (4) **SULP** *egarcia@su-power.com*
- (5) **TNMP** *dnprelations@tnpe.com*

7.6.4 Field Service Activities

7.6.4.1 Disconnection Service Orders

The following schedule outlines the availability of field service personnel for performing disconnection requests. DNP orders requesting dates beyond the next Field Operational Day will be scheduled and performed by TDSP according to availability of field service personnel on the requested date. Field activities for disconnection service begin at 0800 CPT for all TDSPs.

Per Customer Protection Rule 25.483 (f), only CRs that have payment centers open and personnel available to submit reconnect requests on Saturdays or holidays can request disconnection of a Customer's electric service for nonpayment on the day before a weekend. Disconnection for non-payment the day prior to a holiday is prohibited by the TDSP tariff.

A Disconnect for Non-Payment Service Request shall be completed within three (3) Retail Business Days of the requested date provided that the TDSP has received the 650_01 Service Request at least two (2) Retail Business Days prior to the requested date. Therefore, CRs should be aware of the potential for Friday DNPs when managing their DNP schedules and activities.

In the event that the TDSP does not complete the Disconnect for Non-Payment Service Request in three (3) Retail Business Days, the TDSP shall reference the YES or NO authorization found in the Friday Authorization for Overdue Disconnect for Non-Payment segment of the 650_01 transaction. The TDSP will appropriately schedule Friday Overdue DNPs (TDSP received DNP request with two (2) Retail Business Days notice but DNP has not been completed in three (3) Retail Business Days) based upon the YES or NO authorization in the transaction. Any DNP requests received from the CR that have a NO authorization that are scheduled for a Friday and are Overdue will be scheduled for the next Retail Business Day.

7.6.4.2 Reconnection Service Orders

The following schedules outline the availability of field service personnel for performing reconnection requests:

- (1) **Routine Reconnects:**

Per PUCT Substantive Rule 25.483, *any* reconnect request, including those for a Premium Disconnect Location (i.e. pole, substation), issued by a CR according to the timeframes outlined in 25.483(n) 1-7, must be Completed by the TDSP no later than the next Field Operational Day.

Per TDSP Standard Terms and Conditions, standard reconnect requests received by TDSP no later than 1400 CPT on a Retail Business Day shall be completed that day. Standard reconnect requests received by TDSP prior to 1700 CPT on a Retail Business Day shall be reconnected that day if possible, but no later than the close of the TDSP's next field operational day. Standard reconnection requests received after 1700 CPT on a day that is not a Retail Business Day shall be considered received on the next Retail Business Day.

All reconnect requests will be Completed no later than forty-eight (48) hours from the time the order is received.

Table 12. CR timelines for submitting reconnect request

Payments made on a Retail Business Day:	Reconnection request must be sent by:
Between 0800 and 1200	1400 that Retail Business Day
Between 1200 and 1700	1900 that Retail Business Day
Between 1700 and 1900	2100 that Retail Business Day
Between 1900 and 0800	1400 the next Retail Business Day
Payments made on a weekend day or holiday	1400 the first Retail Business Day after the payment is made

(2) Emergency Reconnects:

Please refer to Section 7.6.5, Exceptions, for the 24 hours/day 7 days/week emergency reconnection process and appropriate contacts.

(3) After Hours Reconnects:

Standard reconnection requests received after 1700 CPT or on a day that is not a Retail Business Day shall be considered received on the next Retail Business Day. For emergency reconnects, refer to Section 7.6.5, Exceptions.

TNMP offers an after hours reconnect for an additional charge. This reconnect request should be used when submitting a reconnect to be worked outside normal Retail Business Hours. For a CR to initiate an after hours reconnect, a 650_01 reconnect transaction should be sent, as well as a call to TNMP's 24 hours/day 7 days/week Support Center, (888) 866-7456. The CR's phone call to the support center is the only current trigger that will initiate the after hours reconnect. TNMP also requires any reconnect request to be supported by phone call on reconnect requests submitted after 1400 on Fridays or days before a holiday.

7.6.4.3 Requirements for Reconnecting Service

Safe access to the meter or premium disconnect location are required to restore service. Evidence of tampering or damage to the meter equipment may result in delayed or Completed Unexecutable orders when reconnecting service.

TDSPs will not *require* inside or outside breakers to be off when performing a reconnection request. However, CRs are advised to inform customers whose service has been disconnected for non-pay to take appropriate safety measures such as placing all breakers in the “OFF” position and to disconnect any extension cords from a neighboring Facility.

7.6.4.4 Customer Receipting Issue

Due to the fact that the industry has not established a process for the FSR to verify a Customer’s payment and/or determine if the receipt shown is valid for the outstanding amount, the disconnection request may be executed by the FSR. Under this circumstance, the FSR will inform the Customer to contact their Retailer to arrange for reconnection of their service.

7.6.4.5 Premise Access Issues

TDSPs will make every reasonable attempt to gain access to the Customer’s Premise to Complete the service order. These measures may include notifying law enforcement agencies to request assistance, although law enforcement may not ensure access to meter on Customer’s private property, or referring the service order to specialized field personnel for disconnection at a premium location provided that action has been specified by CR on the DNP request. Based upon determinations made in the field at the time the FSR is attempting to disconnect or reconnect, these measures are applied by TDSPs on a case by case basis. The CR may also be requested to assist and participate with this request, as a means to successfully completing the service order.

If access is denied, no additional denial of access fees are applied to a disconnect or reconnect order. These types of orders will be Complete Unexecutable with applicable TDSP tariff charges.

- (1) **AEP** Dispatched order fee.
- (2) **CNP** Disconnect or reconnect charge based on initiating Service Order Request with the exception of cancels prior to field completion.
- (3) **Oncor Electric Delivery** Disconnect or reconnect charge based on initiating Service Order Request with the exception of cancels prior to field completion.
- (4) **SULP** Disconnect or reconnect charge based on initiating Service Order Request with the exception of cancels prior to field completion.
- (5) **TNMP** Disconnect or reconnect charge based on initiating Service Order Request with the exception of cancels prior to field completion.

7.6.4.6 Door Hanger Policies

TDSPs may provide a Disconnect for Non-Payment (DNP) door hanger that informs the Customer that at the request of their Competitive Retailer the TDSP has disconnected the electric service for nonpayment. The language provided in the door hanger encourages the Customer to contact their Competitive Retailer to arrange for reconnection of their service. This door hanger is left at the Premise for DNP, both residential and commercial.

If the FSR is unable to gain the required access to reconnect service a door hanger may be left advising the Customer of the reconnection attempt and the action the Customer may take to have service restored.

Door hangers are used by TDSP as follows:

Table 14. Door Hanger Use by TDSP

	AEP	CNP	Oncor Electric Delivery	SULP	TNMP
Disconnect	No	Yes, for Completed service order	No	Yes	No
Reconnect	Yes, when unable to access meter	Yes, when unable to access meter	Yes, when unable to access meter	Yes	No

7.6.4.7 Meter Seal Policies for Disconnection

The following distinguishing characteristics are used at a Customer Premise meter to indicate the service is off for non-pay (e.g. meter seal, sticker, etc.)

- (1) **AEP** The meter seal is red and is same seal used for Completed Move-Out (MVO) request. In addition, a tan colored attachment to meter seal advises Customer to contact CR to have service restored.
- (2) **CNP** meter seal is red, also this is same seal used for Completed Move-Out (MVO) request.
- (3) **Oncor Electric Delivery** meter seal is orange.
- (4) **SULP** meter seal is red.
- (5) **TNMP** meter seal is gold.

7.6.5 Exceptions

7.6.5.1 Emergency Reconnects

There may be times when a Customer has been disconnected for non-payment in error. For Completed disconnection orders that result in a life threatening situation, PUCT request or are

Completed inadvertently, CRs will need to contact each TDSP to arrange for an emergency reconnection and identify the reason for the emergency Service Request. Life threatening situations should be immediately reported to the TDSP 24 hours/day 7 days/week contacts in order to expedite the reconnection request.

- (1) **AEP** Contact CR Relations team for process.
- (2) **CNP** Contact 24 hours/day 7 days/week Support Center, (713) 207-2222 or (800) 332-7143.
- (3) **Oncor Electric Delivery** Contact 24 hours/day 7 days/week Support Center, (888) 313-6934.
- (4) **SULP** Contact 24 hours/day 7 days/week Support Center, (956) 668-9551.
- (5) **TNMP** Contact 24 hours/day 7 days/week Support Center, (888) 866-7456.

After initiating an emergency service reconnection with the TDSP's 24 hours/day 7 days/week support center, CRs should submit a follow up e-mail, including a Completed Emergency Reconnect Request spreadsheet to the TDSP. Please refer to Appendix C2, Emergency Reconnect Request Data Requirements for the required spreadsheet template. The TDSP e-mail contacts are:

- (1) **AEP** e-mail crrtx@aep.com , 650_01 reconnect *not* required
- (2) **CNP** 0800 to 1700 Monday – Friday, e-mail spreadsheet to CustomerCareCR@CenterPointEnergy.com

After 1700 until 1900 Monday- Friday also on Saturday 0800 to 1600, e-mail spreadsheet to CNP.Priority@CenterPointEnergy.com, 650_01 RC001 or RC003 required. (If CR can not issue RC003 reconnects and is not the CR initiating the original disconnect, 650_01 will not be required.)

- (3) **Oncor Electric Delivery**-0800 to 1700 CPT Retail Business Day utiltxn@Oncor.com, 650_01 reconnect *not* required

For days and times other than stated above: contactcenter@Oncor.com

- (4) **SULP** egarcia@su-power.com, 650_01 reconnect *not* required
- (5) **TNMP** dnprelations@tnpe.com, 650_01 reconnect *not* required

7.6.5.2 Critical Load/Critical Care

In the interest of public safety, DNP requests for customers that have been identified by the TDSP as critical care or critical Load will be either rejected with an A13 code with remarks that

will reflect Life Support/Critical care or Completed Unexecutable by TDSPs with the appropriate Texas SET reason code.

CRs requesting to disconnect service for critical Load or care customers must contact the TDSP to arrange and coordinate special instructions to provide notice as required by PUCT rules and TDSP tariffs, providing the Customer the opportunity to ameliorate the condition. CRs will need to coordinate with their REP Relations managers at each TDSP, with the exception of Oncor Electric Delivery, to complete disconnection requests for critical care premises. For Oncor Electric Delivery, contact Business Support at (888) 313-6934, or contactcenter@Oncor.com.

7.6.5.3 Field Service Exceptions

In the event that a life threatening or hazardous situation is discovered or the FSR determines that the Premise qualifies as either a critical Load or critical care although currently not indicated as such, the disconnect request will be Completed Unexecutable with the appropriate Texas SET reason code.

Per Action 5.3.7.4(1)(E) of Terms and Conditions of the TDSP tariffs:

Company shall not suspend or disconnect Retail Customer when such disconnection will cause a dangerous or life-threatening condition on that Retail Customer's Premise, without prior Notice of reasonable length such that Retail Customer can ameliorate the condition. Retail Customer is responsible for notifying its designated Competitive Retailer if disconnection to its Facility will result in such a condition.

Per PUCT Rule 25.483 (h):

If, in the normal performance of its duties, a TDU obtains information that a Customer scheduled for disconnection may qualify for delay of disconnection pursuant to this subsection, and the TDU reasonably believes that the information may be unknown to the REP, the TDU shall delay the disconnection and promptly communicate the information to the REP. The TDU shall disconnect such Customer if it subsequently receives a confirmation of the disconnect Notice from the CR. Nothing herein should be interpreted as requiring a TDU to assess or to inquire as to the Customer's status before performing a disconnection, or to provide prior Notice of the disconnection, when not otherwise required.

CRs requesting to disconnect service for these previously unexecuted disconnection requests contact the TDSP to arrange and coordinate the special instructions of providing notice as required by PUCT rules and TDSP tariffs, allowing the Customer the opportunity to ameliorate the condition. REPs will need to coordinate with their REP Relations managers at each TDSP, with the exception of Oncor Electric Delivery, to complete subsequent disconnection requests. For Oncor Electric Delivery, contact Business Support at (888) 313-6934, or contactcenter@Oncor.com.

7.6.5.4 Weather Moratoriums

All Market Participants should monitor www.nws.noaa.gov for the following conditions that would establish a weather moratorium. Weather moratorium may be invoked in a service territory at any time during the day when one (1) of the following conditions exists in a county as outlined in PUCT Rule 25.483:

Table 14. Extreme weather emergency due to cold:

The previous day's highest temperature did not exceed 32°F and the predicted temperature for the next 24 hours is at or below 32°F. (Both conditions must be met before disconnection activity is suspended in a service territory).	Saturday	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday
Example I	28°F	28°F	32°F	34°F	34°F	32°F	32°F
			No Disconnect	Disconnect	Disconnect	Disconnect	No Disconnect
Example II	28°F	28°F	32°F	32°F	34°F	32°F	45°F
			No Disconnect	No Disconnect	Disconnect	Disconnect	Disconnect
Example III	28°F	28°F	32°F	30°F	34°F	32°F	25°F
			No Disconnect	No Disconnect	Disconnect	Disconnect	No Disconnect

Table 15. Extreme weather emergency due to heat:

The National Weather Service issues a heat Advisory for that day or on any one (1) of the preceding two (2) calendar days.	Saturday	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday
Example I	Heat Advisory in Effect	Heat Advisory in Effect	Heat Advisory in Effect	No Heat Advisory	No Heat Advisory	No Heat Advisory	Heat Advisory in Effect
			No Disconnect	No Disconnect	No Disconnect	Disconnect	No Disconnect
Example II	Heat Advisory in Effect	No Heat Advisory	No Heat Advisory	No Heat Advisory	Heat Advisory in Effect	No Heat Advisory	No Heat Advisory
			No Disconnect	Disconnect	No Disconnect	No Disconnect	No Disconnect

(1) Disconnection Activity During Extreme Weather

In the event that one (1) of the above conditions exists in a county served by a TDSP, that TDSP shall notify the PUCT as described in PUC Subst. R. 25.483(j)(2) to *outage@puc.state.tx.us* and CRs via e-mail that a weather moratorium has been invoked and that disconnection activity has been suspended as follows:

- | | | |
|-----|--------------------------------|--|
| (a) | AEP | By County |
| (b) | CNP | By Service Territory |
| (c) | Oncor Electric Delivery | By County |
| (d) | SULP | By Service Territory |
| (e) | TNMP | By Service Territory Zone (please refer to Appendix C3, TNMP Weather Zone Zip Code Table or TNMP website for a list of zip codes associated with each zone.) |

CRs will need to provide their company contact to their REP Relations Manager at each TDSP in order to receive these weather notifications.

For the duration of the weather moratorium, CRs shall not issue disconnection request for any affected areas. Any new disconnection requests issued for premises in counties or service territories that are experiencing a weather moratorium will be processed as follows:

- | | | |
|-----|--------------------------------|-------------------------------------|
| (a) | AEP | Completed Unexecutable |
| (b) | CNP | DNP will be rejected with A13 code. |
| (c) | Oncor Electric Delivery | Completed Unexecutable |
| (d) | SULP | Completed Unexecutable |
| (e) | TNMP | Completed Unexecutable |

Disconnection requests that are Pending completion by the TDSP at the time a weather moratorium is established will be Completed Unexecutable.

Disconnection requests that are Completed Unexecutable by a TDSP during a weather moratorium should be re-issued by the CR at the time the moratorium is lifted.

(2) **Reconnection Activity During Extreme Weather**

All types of reconnect request will be processed by all TDSP during a weather moratorium.

Reconnect requests received for pended disconnect orders will be processed in order to cancel the disconnect request. Reconnect requests received for disconnect completed prior to an

extreme weather event are processed and dispatched according to applicable timeframes during a weather moratorium.

7.6.5.5 Force Majeure

In SECTION 4.2.4 of the TDSP tariffs a Force Majeure Event is defined as:

Neither Company nor Competitive Retailer shall be liable in damages for any act or event that is beyond such party's control and which could not be reasonably anticipated and prevented through the use of reasonable measures, including, but not limited to, an act of God, act of the public enemy, war, insurrection, riot, fire, explosion, labor disturbance or strike, wildlife, unavoidable accident, equipment or material shortage, breakdown or accident to machinery or equipment, or good faith compliance with a then valid curtailment, order, regulation or restriction imposed by governmental, military, or lawfully established civilian authorities, including any order or directive of the Independent Organization.

- (1) AEP, Oncor Electric Delivery, and Sulp: Any Pending Service Request, including disconnect, will be Completed Unexecutable during a Force Majeure Event.
- (2) CNP and TNMP: CRs should cancel all Pending disconnect Service Requests with 650_01 reconnect or cancel reconnect requests until the REP Relations group notifies the CR via e-mail and/or telephone that routine operations have been restored.

Once a Force Majeure Event has concluded and the TDSP has re-established routine operations, CRs should submit any Service Requests for ESI IDs that still qualify for disconnection.

All TDSPs will notify the market of the establishment and conclusion of a Force Majeure Event via their REP Relations or Account Management teams.

7.6.5.6 Master Metered Premises

Prior to issuing a disconnection request for a master metered Premise, a CR must fulfill the tenant Notification requirements outlined in PUCT Substantive Rule 25.483 (k). If applicable, a CR may request that a TDSP's field personnel post the required notices at a master metered property for a designated fee listed below:

- (1) **AEP** Notice posting available, forty-two dollars (\$42) per master metered Premise; contact AEP CR Relations account manager to arrange.
- (2) **CNP** Notice posting not available
- (3) **Oncor Electric Delivery** Notice posting not available
- (4) **Sulp** Not applicable, Sulp has no master metered premises
- (5) **TNMP** Notice posting available, thirty-five dollars (\$35) per master metered Premise

Disconnection requests received for a master metered Premise will be Completed Unexecutable by the TDSP. The requesting CR will need contact the TDSP to coordinate the disconnection of the master metered Premise as follows:

- | | | |
|-----|--------------------------------|--|
| (1) | AEP | contact to CR Relations |
| (2) | CNP | <i>hou-cso.operations@centerpointenergy.com</i> |
| (3) | Oncor Electric Delivery | contact Business Support at (888) 313-6934; or
<i>contactcenter@Oncor.com</i> |
| (4) | SULP | not applicable, SULP has no master metered premises |
| (5) | TNMP | contact REP Relations manager |

7.6.5.7 Unmetered Service

An unmetered service that is not a critical Load Premise or that does not present a hazardous condition if disconnected will be subject to the same processing as metered services for disconnection and reconnection.

For all other unmetered services, disconnection requests will be Completed Unexecutable upon receipt or following field investigation. The requesting CR will need contact the TDSP to coordinate the disconnection request as follows:

- | | | |
|-----|--------------------------------|--|
| (1) | AEP | contact to CR Relations |
| (2) | CNP | <i>hou-cso.operations@centerpointenergy.com</i> |
| (3) | Oncor Electric Delivery | contact Business Support at (888) 313-6934; or
<i>contactcenter@Oncor.com</i> |
| (4) | SULP | contact REP Relations manager |
| (5) | TNMP | contact REP Relations manager |

7.6.5.8 Multiple Metered Service (not Master Metered)

For TDSPs that have multiple meters associated with an ESI ID, any 650_01 service order, whether for disconnection or reconnection, will be executed for all meters associated with that Premise. CRs will need to submit 650_01s for multiple meters as follows:

- | | | |
|-----|--------------------------------|----------------------------------|
| (1) | AEP | one (1) service order per ESI ID |
| (2) | CNP | one (1) service order per meter |
| (3) | Oncor Electric Delivery | one (1) service order per ESI ID |
| (4) | SULP | not applicable |

- (5) **TNMP** not applicable

If a disconnect or reconnect can not be Completed for any meter associated with the ESI ID the TDSP will notify the CR via a 650_02.

Discretionary charges for disconnection or reconnection are billed by the TDSP as follows:

- | | | |
|-----|--------------------------------|-----------------------------------|
| (a) | AEP | one (1) service charge per ESI ID |
| (b) | CNP | one (1) service charge per ESI ID |
| (c) | Oncor Electric Delivery | one (1) service charge per ESI ID |
| (d) | SULP | not applicable |
| (e) | TNMP | not applicable |

7.6.5.9 Meter Tampering Issues

While performing a disconnection of service a FSR may discover that there has been tampering at the meter. If the FSR determines that the degree of tampering does *not* present a hazardous condition, the disconnection will be Completed. If the meter tampering has created an unsafe condition, the disconnection request may be referred to specialized field personnel to attempt to Complete the disconnection request at an alternate location as outlined in Section 7.6.3.5, Disconnection at Alternate Location, of this section. If disconnection can not be Completed as a result of the tampering incident the disconnection request will be Completed Unexecutable and the TDSP may notify the CR of the hazardous condition and, if applicable, meter removal by issuing a 650_04.

Tampering may also be detected when a FSR is performing a reconnection request or when re-energizing a disconnected Premise while performing a switch or move-in. If possible, the FSR will reconnect service at the meter. If the meter tampering has created an unsafe condition, the 650_01 reconnection request will be completed unexecutable and the TDSP may notify the CR of the hazardous condition and, if applicable, meter removal by issuing a 650_04.

Tampering fees may be assessed by the TDSP and billed to the CR of Record at either the time of disconnection or upon reconnection of service. Please refer to the TDSP tariffs for specific charges.

If the CR is notified of potential meter tampering at a Premise, the CR may notify the TDSP via a 650_01 MM006 service order for tampering suspected if they are currently the CR of Record and are an Option 1 REP. Any CR may report suspected tampering at any time by contacting the TDSP's general call center phone number.

7.6.5.10 Customer Threatens TDSP Field Service Representative

If threatened by the Customer, the FSR will not disconnect service. However, the FSR may refer the disconnection request to another group specialized in disconnecting service at the pole,

transformer (overhead and padmount), or weatherhead. Similar to resolving access issues, the TDSP will exhaust all means available, which may include communicating with the CR to request their assistance and participation, as a means to successfully complete the Service Request and may request that meter enclosure be relocated to accessible location.

7.6.6 Transmission and/or Distribution Service Provider Charges for Reconnect and Disconnect Services

7.6.6.1 Discretionary Charges

TDSP will use SAC04 codes for discretionary charges resulting for disconnection or reconnection service as outlined below:

Table 16. SAC04 Codes-Discretionary Charges

Charge Description	Service Territory				
	AEP	CNP	Oncor Electric Delivery	SULP	TNMP
<i>Disconnection</i>					
Standard Disconnect at Meter	N/A	SER024	SER024	SER024	SER024
Standard Disconnect at Pole	N/A	SER024	SER026	SER024	SER026
<i>Reconnection</i>					
Standard Reconnect at Meter	SER030	SER028	SER030	SER028	SER030
Standard Reconnect at Meter Special Route	N/A	N/A	SER031	N/A	N/A
Standard Reconnect at Pole	SER030	SER028	SER034	SER028	SER034
Standard Reconnect at Subsurface Box	SER030	N/A	SER034	SER028	N/A
Standard Reconnect at CT Meter	SER030	N/A	N/A	SER028	N/A
Same Day Reconnect at Meter	SER029	N/A	SER029	SER029	N/A
Same Day Reconnect at Pole	SER029	N/A	SER035	SER029	N/A
Same Day Reconnect at Subsurface Box	SER029	N/A	SER035	SER029	N/A
Same Day Reconnect at CT Meter	SER029	N/A	SER035	SER029	N/A
Weekend Reconnect at Meter	N/A	N/A	SER032	SER032	N/A
Weekend Reconnect at Pole	N/A	N/A	SER035	N/A	N/A
Weekend Reconnect at Subsurface Box	N/A	N/A	SER035	N/A	N/A
Weekend Reconnect at CT Meter	N/A	N/A	SER035	SER032	N/A
Holiday Reconnect at Meter	N/A	N/A	SER033	SER033	N/A
Holiday Reconnect at Pole	N/A	N/A	SER036	N/A	N/A
Holiday Reconnect at Subsurface Box	N/A	N/A	SER036	N/A	N/A

Charge Description	Service Territory				
	AEP	CNP	Oncor Electric Delivery	SULP	TNMP
Holiday Reconnect at CT Meter	N/A	N/A	SER036	SER033	N/A
After Hours Reconnect at Meter	N/A	N/A	N/A	SER032	SER032
After Hours Reconnect at Pole	N/A	N/A	N/A	N/A	SER035
After Hours Reconnect at Subsurface Box	N/A	N/A	N/A	N/A	N/A
After Hours Reconnect at CT Meter	N/A	N/A	N/A	N/A	N/A
<i>Denial of Access to Meter</i>					
For Disconnection Orders	SER133	N/A	N/A	SER133	SER133
For Reconnections Orders	SER133	N/A	N/A	SER133	SER133
<i>Order Cancellation Fees</i>					
Disconnect Administration Fee	N/A	N/A	N/A	N/A	SER132
Dispatched Order Fee	SER132	N/A	N/A	SER070	N/A
<i>Tampering Charges</i>					
Broken Meter Seal Fee	SER130	N/A	N/A	SER130	SER130
Meter Tampering Fee	SER072	SER072	SER072	SER072	SER072
<i>Connection Fees</i>					
Connect Fee/Connection Charge at Meter/Account Activation Fee	SER019	SER019	SER030	SER019	SER009

7.6.6.2 Other Charges

Non-usage based charges will continue to be assessed by the TDSP and billed to the CR of Record until service at the disconnected Premise has been terminated upon completion of a Move-Out Request. Non-usage based charges are:

- (1) Customer Charge: All TDSPs use BAS001
- (2) Customer Metering Charge: All TDSPs use BAS003

In order to avoid ongoing liability, a CR must submit a Move-Out Request to terminate service no earlier than five (5) calendar days after receipt of 650_02 indicating successful completion of disconnect for nonpayment. Competitive Retailers receiving reliable information indicating Premise is vacant may submit move-out earlier. Upon completion of the move-out order the TDSP will discontinue billing any non-usage based charges outlined above to the CR. A CR's financial liability for a disconnected Premise is removed upon the completion of a move-out. Until a move-out is effectuated, the CR will remain the CR of Record and will re-energize the Customer's Premise upon remedy of the reason for disconnection if necessary. Whether prior to or after the completion of the move-out request, the CR will re-establish service to the extent required under PUCT rules.

7.6.6.3 TDSP Tariffs

Please refer to the appropriate rate class in each TDSP tariff for rates. TDSP tariffs are located on the following links:

- (1) **AEP** <http://aepcustomer.com/tariffs/default.htm>
- (2) **CNP** http://www.centerpointenergy.com/files/102742_CenterPoint_12-11-02_Retail_Delivery_Tariff_book.pdf
- (3) **Oncor Electric Delivery** www.Oncor.com/electricity/tariffs/distrates
- (4) **SULP** www.su-power.com/Tariff.pdf
- (5) **TNMP** www.tnpe.com/affiliatetransactions/tdutariffs.doc

7.6.7 Contacts

7.6.7.1 Emergency System Outage

In the event of a system Outage during Business Hours and a CR can not submit EDI transactions, CRs should contact their REP Relations manager at the TDSP(s) to arrange for a workaround in order to submit reconnect Service Order Requests. For system Outages that occur outside Business Hours CRs should contact the TDSPs as follows:

- (1) **AEP** For system Outage contact your CR Relations Manager at or email crctx@aep.com
- (2) **CNP** For system Outages contact your REP Relations Manager.
Contact information can be found on CNP website:
http://www.centerpointenergy.com/files/107265_CR_Relations_Contacts_and_PUCT.pdf
After hours contact (800) 332-7143.
- (3) **Oncor Electric Delivery** For system Outage contact Business Support at (888) 313-6934; or contactcenter@Oncor.com
- (4) **SULP** For system Outage contact your REP Relations Manager during Business Hours; or after hours contact (956) 668-9551.
- (5) **TNMP** For system Outage contact your REP Relations Manager during Business Hours; or after hours contact (888) 866-7456.

7.6.7.2 Disconnect Forecast Contact

- (1) **AEP** crctx@aep.com

-
- | | | |
|-----|--------------------------------|--|
| (2) | CNP | hou-cso.operations@centerpointenergy.com |
| (3) | Oncor Electric Delivery | utiltxn@Oncor.com |
| (4) | SULP | egarcia@su-power.com |
| (5) | TNMP | dnprelations@tnpe.com |

7.6.7.3 Website Available Information

- | | | |
|-----|--------------------------------|--|
| (1) | AEP | www.aepcustomer.com |
| (2) | CNP | www.centerpointenergy.com/houston/retail/ |
| (3) | Oncor Electric Delivery | www.Oncor.com |
| (4) | SULP | www.su-power.com |
| (5) | TNMP | www.tnmp.com |

7.6.7.4 TDSP General Call Center Phone Number

- | | | |
|-----|--------------------------------|---|
| (1) | AEP | (877) 373-4858 |
| (2) | CNP | (713) 207-2222 (Houston area local) or (800) 332-7143
(Long Distance- Toll free) |
| (3) | Oncor Electric Delivery | (888) 313-6934 –CRs only, not end-use Customer |
| (4) | SULP | (956) 687-5600 during normal Business Hours
or (956) 668-9551 |
| (5) | TNMP | (888) 866-7456 |

7.7 Transaction Timing Matrix

Appendix D, Transaction Timing Matrix is an abbreviated version of Protocol Section 15, Customer Registration, to assist MPs in identifying transaction flows and timing of transactions between MPs and ERCOT. Additionally, Protocol Section 2, Definitions and Acronyms provides a definition of a Retail Business Day. The Matrix is based upon Protocol Section 15; therefore, if there is inconsistency between the Protocols and the Matrix, the Protocols shall take precedence. Below are the assumptions on which the Matrix is based.

- | | |
|-----|--|
| (1) | Assumptions: |
| (a) | Business Hours are from 0800 – 1700, Monday thru Friday (excluding holidays) |
| (b) | 0800 – 1700 on a Retail Business Day is considered one Business Day |

- (c) Days are counted beginning with Day 0 (day of transaction receipt) and progress sequentially from that day as Day 1, Day 2, etc.
 - i. Day 0 is transaction receipt date and may not be a full Retail Business Day if received after 0800 but before 1700 on a Retail Business Day.
 - ii. If the transaction is received after 1700 on a Retail Business Day, Day 0 will begin the next Retail Business Day and will be a full Retail Business Day as that is considered the date of receipt. Day 0 can only begin on a Retail Business Day during Business Hours.
- (d) Transactions received after 1700, Monday through Thursday, Day 0 will begin at 0800 the following Retail Business Day
 - i. Transactions received after 1700 on Friday, Day 0 will begin at 0800 the following Monday (excluding holidays at which point, if Monday is a holiday, Day 0 would begin the following Retail Business Day).
- (e) Protocol Sections referenced herein are identified for information only and may not be the only Protocol Sections relevant to the transactions.

7.7.1 *Reject Transaction Timing*

824 transactions used to reject 867_03 Monthly Usage and 810 Invoice transactions contain codes that establish the timeframe for when the 824 reject transaction can be sent by the CR. A CR has up to five (5) Retail Business Days from the receipt of the meter usage and Invoice to send an 824 reject. Specific timings based on the 824 reject code used are provided in Appendix D.

7.8 Formal Dispute Process for CRs and TDSPs

It is anticipated that most Transmission and/or Distribution Service Provider (TDSP) Invoice disputes will be resolved informally; however, the market has agreed to a standard process of communication in an effort to reduce any confusion relative to the Formal TDSP Invoice Dispute process. (See Appendix E, Formal TDSP Invoice Dispute Process Communication)

- (1) Provide written Notification of Formal TDSP Invoice Dispute by sending an e-mail with the Subject Line Invoice Dispute to designated address provided by TDSP.
- (2) Attach to the e-mail the Invoice Dispute Spreadsheet. Competitive Retailer (CR) required elements are backfilled with yellow. The basis for these identified fields were extracted from SECTION 4.4.8, INVOICE DISPUTES of the approved TDSP tariffs.
- (3) Upon Notice of disputed Invoice, TDSP will investigate and respond in writing within ten (10) Business Days of transmittal of the notice. Such responses shall include a proposed resolution. CRs may choose to escalate the disputes to the TDSP if no results have been reported after the ten (10) Business Days. Within twenty (20) Business Days of the response, either party may initiate the dispute resolution procedures set forth in

SECTION 4.9, DISPUTE RESOLUTION PROCEDURES of the approved TDSP tariffs. Reference SECTION 4.4.8, INVOICE DISPUTES of the approved TDSP tariffs.

- (4) Disputes received after 1700 CPT by the TDSP will be deemed as Received by the TDSP on the following Business Day.
- (5) Following TDSP investigation and response to CR dispute, the CR will have five (5) Business Days to respond with an Accept or Denied on the spreadsheet. If the CR receives the TDSP's Completed spreadsheet for their response AFTER 1700, the five (5) Business Day clock will begin the following Business Day. If after five (5) Business Days the CR fails to respond with an Accept or Denied on the spreadsheet, the response will be deemed as an Accept.

Dispute Parameters:

- (1) Amounts disputed following stated due date of a Valid Invoice will have Late Payment Charges applied.

A "Valid Invoice" is defined as an invoice transaction that contains all the information required by Texas SET and is in compliance with Texas SET standards as set forth in the Texas SET Implementation Guides and PUCT rules and has not been rejected in accordance with Texas SET Implementation Guides and PUCT rules.
- (2) Reference SECTION 4.4.6, DELINQUENT PAYMENTS, in the approved TDSP Tariffs, for information regarding delinquent payments.
- (3) A rejected Invoice does not constitute a disputed Invoice. CRs shall validate or reject the appropriate SET transaction (Invoice) within five (5) Business Days of receipt. Reference Texas SET 824 Implementation Guide.
- (4) Formal dispute spreadsheets may be submitted by type of dispute or, type of dispute may be indicated by dispute type within column provided in spreadsheet. Examples may include:
 - (a) Outdoor Light Disputes
 - (b) Fee Disputes
 - (c) Tariff Review Disputes
 - (d) Usage Disputes
 - (e) REP of Record Disputes

7.8.1 Calculation and Transmittal of Delivery Service Invoices

Not later than three (3) Business Days after the scheduled date of a meter read for a Point of Delivery, Company shall transmit an electronic invoice for the Company's total Delivery System Charges associated with that Point of Delivery, to the CR supplying

electric power and energy to that point of delivery. Company shall separately identify the delivery system charges and billing determinants on the electronic invoice, to the extent that the transaction allows them to be reported, for each Point of Delivery served by a CR. Company shall provide information on any billing determinants not provided on the electronic transaction free of charge to CR upon request, within two (2) Business Days from the receipt of the request. The start and end dates for the billing period contained on the invoice shall match the start and end dates of the meter read for the Premise.

Charges for Discretionary Services, other than Construction Services, provided to a particular Point of Delivery shall be separately identified on the invoice. Electronic invoices shall be transmitted using the appropriate Texas SET transaction and shall be consistent with the terms and conditions of the TDSP Tariff. The CR shall acknowledge the receipt of the invoice and indicate whether the transaction conformed with ANSI X12 using the appropriate Texas SET transaction within 24 hours of the receipt of the invoice. If Company receives a negative acknowledgement indicating the transaction failed ANSI X12 validation, Company shall correct any Company errors and re-issue the transaction within two (2) Business Days of receipt of the negative acknowledgement.

Following a positive acknowledgement indicating the transaction passed ANSI X12 validation, the CR shall have five (5) Business Days to send a rejection response in accordance with the Texas SET Implementation Guides and Commission Rules.

However, if the CR receives an invoice relating to an ESI ID for which the CR has sent an enrollment or Move-In Request but has not received a response transaction from ERCOT, then the CR shall allow four (4) Business Days to receive the response. If the CR has still not received the response transaction, the CR shall not reject the invoice, but will file a MarkeTrak issue to resolve the discrepancy.

Additionally, a CR shall not reject an invoice, claiming it is not a Valid Invoice, outside the timelines specified in this subsection, or without supplying appropriate rejection reasons in accordance with Texas SET Implementation Guides and Commission Rules. A CR may dispute a Valid Invoice under SECTION 4.4.8, INVOICE DISPUTES of the TDSP tariff, but not reject it.

7.8.2 *Remittance of Invoiced Charges*

Payments for all Delivery Charges invoiced to CR shall be due 35 calendar days after the date of Company's transmittal of a Valid Invoice. Electronic invoices transmitted after 1700 CPT shall be considered transmitted on the next calendar day. The 35 calendar day payment provision shall not apply to invoices that have been rejected according to Applicable Legal Authorities. Disputed invoiced amounts shall be governed by SECTION 4.4.8, INVOICE DISPUTES of the TDSP Tariff. Payments are due without regard to whether or when the CR receives payment from its retail Customer(s). The Company shall specify the due date on the invoice, and the due date shall be the 35th calendar day after the transmittal date of the Valid Invoice, unless the 35th day falls on a weekend or Banking Holiday, in which case the due date shall be the following Business Day that is not a Banking Holiday. Notwithstanding the above, Company and CR may mutually agree to different billing and payment timelines for Discretionary Services, provided that such terms are afforded on a non-discriminatory basis to all Competitive Retailers.

CR shall pay the invoice by electronic funds transfer (EFT) or by wire transfer (WT) to a bank designated by Company. Payment will be considered received on the date Company's bank receives the EFT or WT and the appropriate remittance advice is received by Company in accordance with the requirements specified by Applicable Legal Authorities.

Payments for delivery charges invoiced to CR shall be considered delinquent if not received by 5:00 PM CPT of the due date stated on the Valid Invoice. Delinquent payments will be subject to a one-time late fee of 5% of the delinquent balance existing on the day after the due date stated on the Valid Invoice.

7.8.3 *Invoice Disputes*

Unless otherwise governed by Schedule TC of this Tariff or P.U.C. SUBST. R. 25.108, Financial Standards for Retail Electric Providers Regarding the Billing and Collection of Transition Charges, CR shall pay all undisputed portions of an invoice within the remittance timeframes specified in SECTION 4.4.5, REMITTANCE OF INVOICED CHARGES of the TDSP tariff, unless otherwise agreed to by Company and CR. If a CR disputes all or a portion of an invoice, the CR may refuse to pay the disputed amount. If it does so, it shall provide written notice of the dispute to the Company's designated contact in SECTION 3.9, DESIGNATION OF COMPANY CONTACT PERSONS FOR MATTERS RELATING TO DELIVERY SERVICE of the TDSP tariff and shall include in the notice, at a minimum, an explanation of the disputed portion of the invoice, the basis of the dispute, and a proposed resolution.

Upon notice of a dispute, the TDSP shall investigate and respond in writing to the CR within ten (10) Business Days of transmittal of the notice. Such response shall include a proposed resolution. Within twenty (20) Business Days of the response, either party may initiate the dispute resolution procedures set forth in SECTION 4.9, DISPUTE RESOLUTION PROCEDURES of the TDSP tariff. If Company does not receive notification of a dispute within eleven (11) months from the due date of the invoice in question, said invoice shall be deemed conclusive and binding.

Upon resolution of the dispute, the appropriate adjustments will be reflected on the first subsequent invoice after resolution. If the CR has remitted amounts found to be improperly invoiced, Company shall pay interest on such amounts from the date payment was received by Company until the date of refund of such amounts at the interest rate set in accordance with Tex. Utilities Code Ann. Chapter 183. If the CR has been found to have withheld amounts properly invoiced, CR shall pay interest on the disputed amount from the due date on the invoice at the interest rate set in accordance with TEX. UTIL. CODE ANN. Chapter 183.

If the dispute is resolved in favor of the Company, Company shall not hold CR in default for non-payment of the original invoice based on the original due date. The invoice shall be due within one (1) Business Day of resolution of the dispute.

A Competitive Retailer shall not dispute a methodology used to estimate a meter read if the estimation methodology has been approved by the Commission.

7.8.4 *Dispute Resolution Procedures*

7.8.4.1 Complaint Procedures

For complaints about Delivery Service including billing disputes, CR may contact the Company during normal business hours.

Company and CR shall use good-faith and commercially reasonable efforts to informally resolve all disputes arising out of the implementation or interpretation of this Tariff and/or the activities relating to retail access. Unless otherwise provided for in this Tariff, all disputes shall be conducted pursuant to the following procedures:

- (1) Company or CR may initiate the dispute process by presenting to the other party a notice of the dispute/complaint in writing, unless the dispute involves an invoice and notice has already been given under SECTION 4.4.8, INVOICE DISPUTES of the TDSP Tariff. Notice shall include, at a minimum, a clear description of the dispute, the nature of the dispute, a contact name and telephone number, and a proposed resolution;
- (2) Disputes shall be referred as promptly as practicable to a designated senior representative of each of the parties for resolution on an informal basis;
- (3) The receiving party shall investigate the complaint and provide a response to the complaining party and a proposed resolution in writing as soon as possible, but not later than ten (10) Business Days following receipt of the complaint;
- (4) In the event that the designated representatives are unable to resolve the dispute within 30 calendar days, from the date of the complaining party's initial notice under this Section, such dispute, by mutual agreement, may be referred to mediation or be submitted to binding arbitration and resolved in accordance with the current Commercial Arbitration Rules of the American Arbitration Association; and
- (5) In the event that binding arbitration is not chosen and resolution is not obtained within 30 calendar days after the initial notice or another mutually agreed upon timeline, an affected party may file a complaint with the Commission.

7.8.4.2 TDSP Dispute Process of a CR 824 Reject

Company may dispute the reason for which a CR rejects an invoice as prescribed in SECTION 4.4.1, CALCULATION AND TRANSMITTAL OF DELIVERY SERVICE INVOICES in the TDSP tariff. Company shall provide written notice of the dispute to the CR's designated contact and shall include in the notice, at a minimum, an explanation of the disputed rejection, the basis of the dispute and a proposed resolution.

Upon notice of a dispute, the responding party shall investigate and respond in writing to the disputing party within ten (10) Business Days of transmittal of the notice. Such response shall include a proposed resolution. Within twenty (20) Business Days of the response, either party may initiate the dispute resolution procedures set forth in SECTION 4.9, DISPUTE RESOLUTION PROCEDURES of the approved TDSP tariff. If Company does not receive

notification of a dispute within eleven (11) months from the due date of the invoice in question, said invoice shall be deemed conclusive and binding.

Upon resolution of the dispute, the appropriate adjustments will be reflected on the first subsequent invoice after resolution. If the CR has remitted amounts found to be improperly invoiced, Company shall pay interest on such amounts from the date payment was received by Company until the date of refund of such amounts at the interest rate set in accordance with Tex. Utilities Code Ann. Chapter 183. If the CR has been found to have withheld amounts properly invoiced, CR shall pay interest on the disputed amount from the due date on the invoice at the interest rate set in accordance with TEX. UTIL. CODE ANN. Chapter 183.

If the dispute is resolved in favor of the Company, Company shall not hold CR in default for non-payment of the original invoice based on the original due date. The invoice shall be due within one (1) Business Day of resolution of the dispute.

A CR shall not dispute a methodology used to estimate a meter read if the estimation methodology has been approved by the Commission.

7.8.5 Complaint with Regulatory Authority

Nothing in this section shall restrict the rights of Company or Competitive Retailer to file a complaint with the Commission, or to exercise all other legal rights and remedies.

7.9 No Retail Electric Provider of Record or Left in Hot

Due to problems with delays in processing and transmitting of move-in transactions quickly enough to prevent service interruptions of a Premise, the PUCT mandated that TDSPs provide continuous service to ESI IDs where a Move-Out has been processed in order to avoid power restoration delays and/or issues. The result of this mandate created premises in the TDSPs service territory that were receiving electrical service without a REP of Record or no REP of Record ESI IDs.

The term no REP of Record means a Premise that is receiving electricity equal to or greater than 150 kilowatt-hours (kWh) in a single meter reading cycle, but for which no REP is designated as serving the Premise in the TDSPs system.

See P.U.C. Subst. R. 25.489, *Treatment of Premises with No Retail Electric Provider of Record*.

7.10 867_03 Contingency

In the first quarter of 2002, the Retail Market Subcommittee developed the 867_03 Contingency Plan to ensure monthly usage transactions would be received by the Competitive Retail companies within the timeframe identified in ERCOT Protocols. The process included TDSPs to provide duplicate files of 867_03 transactions to the Competitive Retailers point to point daily as they were transmitted to ERCOT.

Since 2002, the Retail Market has made significant improvements to transaction processing which has enabled some TDSPs to suspend daily transmission of the Contingency files.

Competitive Retailers needing further information regarding the Contingency Plan should contact the REP Relations Manager at the TDSP.

7.11 Mass Transition

During the course of business in the Texas retail electric market, circumstances may necessitate the transition of Electric Service Identifiers (ESI IDs), referred to herein as a “Mass Transition”, from one Competitive Retailer (CR) to a POLR or designated CR, or from one Transmission and/or Distribution Service Provider (TDSP) to another TDSP, in quantity, or within a timeframe, identified by Applicable Legal Authority (ALA). This Section outlines a transition process that can be used when such circumstances exist. In certain circumstances the TDSP will be a Municipally-Owned Utility or Electric Cooperative (MOU/EC). Unless specifically stated as MOU/EC TDSP, the acronym TDSP will apply to a Transmission and/or Distribution Service Provider, a Municipally-Owned Utility or an Electric Cooperative. ERCOT will be responsible for administering and managing Mass Transition events.

The goal of the Mass Transition process shall be to transfer responsibility for affected ESI IDs while abiding by all ALA.

For the purpose of a Mass Transition and the associated timeline, the following definitions shall apply:

- (1) Notification Day:
Market Mass Transition notification by ERCOT (Email of Conference Call), also known as the Pre-launch stage in this process.
- (2) Calendar Day 0:
Date that ERCOT sends 814_03 requesting Scheduled Meter Read Date (SMRD) = current date + Two (2) calendar days.
- (3) Mass Transition Date:
Date requested in the 814_03 transaction from ERCOT.

7.11.1 *Mass Transition Process of Competitive Retailers ESI IDs to POLR or Designated CR*

The processes described in this Section presume that a decision to transfer the ESI IDs has already been made. The launch decision provides assurance to the participants that transition actions and resources are required and will be a collaborative effort between PUCT Staff, ERCOT and MPs involved in the transition.

The parameters for the Mass Transition process will include:

- (1) Identification of the losing CR;

- (2) Designation of the gaining POLR or designated CR(s);
- (3) A list of the affected ESI IDs; and
- (4) The date ERCOT provides in an 814_03 Texas SET transaction indicating the switch Requested Date(s) for each ESI ID. The date the switch is to effectuate for a specific ESI ID is herein referred to as the “Requested Date”.

7.11.2 Mass Transition Initiation

7.11.2.1 Mass Transition Initiation on a Business Day not Prior to a Weekend or ERCOT Holiday

Upon confirmation that a Mass Transition event will occur, ERCOT shall notify the MPs who have responsibilities in completing the Mass Transition via email by close of that Business Day (See Appendix F2, Mass Transition Timelines). Notification shall include:

- (1) Confirmation of a Mass Transition event;
- (2) MPs (by DUNS Number) who have responsibilities in completing the Mass Transition by processing Texas SET transactions; and
- (3) Logistical details for a Mass Transition project coordination meeting scheduled for the next Business Day.

ERCOT will provide a market notification to all affected MPs to alert the market that there is a Mass Transition event In-Progress. This notification will be sent to the primary and secondary authorized representatives for each MP as designated on their ERCOT registration form, in addition to the Retail Market Subcommittee (RMS) email listserv notification.

When exceptions exist that are not addressed in this document, ERCOT, the TDSP and the appropriate CRs, will resolve the exceptions to ensure that the correct population of ESI IDs are transferred.

7.11.2.2 Mass Transition Initiation on a Business Day Prior to a Weekend or ERCOT Holiday

Upon the occasion that a Mass Transition event may be confirmed by the end of the Business Day prior to a weekend or ERCOT holiday, ERCOT shall notify the MPs who may have responsibilities in completing the Mass Transition via email by 3 pm CPT on that Business Day (see Appendix F2, Mass Transition Timelines). Notification shall include:

- (1) Notification that there is potential for a Mass Transition event;
- (2) MPs (by DUNS Number) who may have responsibilities in completing the Mass Transition by processing Texas SET transactions; and

- (3) Logistical details for a Mass Transition project coordination meeting scheduled for 6 pm CPT that same Business Day.

ERCOT will provide a market notification to all affected MPs to alert the market that there is a potential Mass Transition event. This notification will be sent to the primary and secondary authorized representatives for each MP as designated on their ERCOT registration form.

7.11.3 Handling Pending Texas SET Transactions During a Mass Transition

The following processes shall be utilized for handling pending Texas SET transactions as identified by ERCOT.

- (1) For pending transactions that will result in the losing CR having responsibilities for an ESI ID:
 - (a) Pending transaction has a scheduled date that is prior to or equal to Calendar Day 0 (the day that ERCOT sends the 814_03 requesting SMRD) = current date + two (2) calendar days:
 - (i) Switch: Allowed to complete and ERCOT sends 814_03 Mass Transition transaction requesting SMRD = current date + two (2) calendar days.
 - (ii) Move-In: Allowed to complete and ERCOT sends 814_03 Mass Transition transaction requesting SMRD = current date + two (2) calendar days.
 - (iii) Move-Out to CSA: Allowed to complete and ERCOT sends 814_03 Mass Transition transaction requesting SMRD = current date + two (2) calendar days.
 - (b) Pending transaction has a schedule date that is greater than Calendar Day 0 or is not yet scheduled (In Review or Permit Pending):
 - (i) Switch: Cancelled and ERCOT will not send an 814_03.
 - (ii) Move-In: Cancelled by ERCOT and POLR and/or designated CR is responsible for submitting a move-in for the same requested date as the initial Move-In Request. ERCOT will send the 814_03 Mass Transition transaction only if the Premise is energized with the losing CR in this case ERCOT will cancel the pending move-in and the POLR or designated CR is still responsible for submitting a new Move-In Request.
 - (iii) Move-Out to CSA: Cancelled and ERCOT will not send an 814_03. Submitting CR must resubmit move-out once ERCOT deletes CSA relationship with losing CR. If the submitting CR is both the losing and the CSA CR, ERCOT will delete CSA relationship and cancel the move-out prior to sending 814_03 Mass Transition transaction to POLR or

designated CR. POLR or designated CR will submit move-out based on an indicator in the 814_14 transaction.

- (2) For pending Texas SET transactions that will result in an ESI ID being moved away from the losing CR:
 - (a) Pending transaction has a scheduled date that is no greater than two (2) Business Days after the Mass Transition Date:
 - (i) Switch: Allowed to complete per Protocol Section 15, Customer Registration and ERCOT will not send 814_03 Mass Transition transaction.
 - (ii) Move-In: Allowed to complete and ERCOT will not send 814_03 Mass Transition transaction.
 - (iii) Move-Out: Allowed to complete and ERCOT will not send 814_03 Mass Transition transaction.
 - (b) Pending Transaction has a schedule date is greater than two (2) Business Days after the Mass Transition Date or is not yet scheduled (In Review or Permit Pending):
 - (i) Switch: Allowed to complete per Protocol Section 15 and ERCOT will send 814_03 Mass Transition transaction requesting SMRD = current date + two (2) calendar days.
 - (ii) Move In: Allowed to complete and ERCOT will send 814_03 Mass Transition transaction requesting SMRD = current date + two (2) calendar days.
 - (iii) Move Out: ERCOT will cancel the move-out and ERCOT will send the 814_03 Mass Transition transaction requesting SMRD = current date + two (2) calendar days to the POLR or designated CR. ERCOT notifies the POLR or designated CR of the pending move-out date and the POLR or designated CR will submit move-out based on an indicator in the 814_14 transaction. The requested date received from the gaining POLR or designated CR can not be a backdated requested date, unless the TDSP agrees.
- (3) Any cancel pending transaction(s) that affect the ESI IDs involved in the Mass Transition are immediately cancelled (non-response driven) and the ESI ID is evaluated by ERCOT to determine appropriate action to take to transfer the ESI ID(s)

7.11.4 *Competitive Retailer Mass Transition Meter Reading*

TDSPs are responsible for obtaining actual or estimated meter reads that can be used in denoting the transition point for changing responsibility for serving an ESI ID from the losing CR to the POLR or designated CR. The meter reads and the dates on which they were taken will be sent to ERCOT from the TDSP in the appropriate Texas SET transaction.

7.11.5 *Mass Transition Roles/Responsibilities*

7.11.5.1 *Mass Transition Roles/Responsibilities(Pre-launch)*

The following Section outlines the various roles and responsibilities of parties involved in a Mass Transition event pre-launch.

7.11.5.1.1 PUCT

- (1) Designate lead individual from PUCT staff to work with ERCOT project lead and market team for project coordination purposes; and
- (2) Monitor progress of involved parties in completing the transition in accordance with target schedules.

7.11.5.1.2 ERCOT

- (1) Identify the defaulting CR;
- (2) Identify/notify the appropriate POLR(s) or designated CR;
- (3) Identify all of the affected CRs (Current, CSA, and pending ‘new’ CR);
- (4) Determine the Mass Transition launch timeline;
- (5) Determine the Mass Transition completion date to be no more than five (5) Retail Business Days after ERCOT generates and the TDSPs receive the 814_03 transactions for all affected ESI IDs;
- (6) Designate the ERCOT Mass Transition project lead;
- (7) Schedule and conduct initial and on-going Mass Transition coordination meetings;
- (8) Complete and disseminate the market notification of the Mass Transition to parties not involved in the transition;
- (9) Delete or disable Continuous Service Agreements (CSAs) to prevent the losing CR from becoming the REP responsible for an ESI ID (“REP of Record (ROR)”) on an on-going basis after the Mass Transition has begun;

- (10) Identify pending Texas SET transactions associated with those affected ESI IDs;
- (11) ERCOT will send a list of ESI IDs targeted to the POLRs or designated CRs where they are expected to become ROR and to the affected TDSP(s) (See Appendix F3, ERCOT Template-ESI IDs for Gaining CR/TDSP use); and
- (12) Assign ESI IDs to the POLR(s) as directed by ALA and the POLR rule.

7.11.5.1.3 TDSP

- (1) Review and identify any exceptions from the list of ESI IDs provided by ERCOT;
- (2) Confirm accuracy of current list of technical, business and regulatory contacts for Mass Transition event purposes; and
- (3) Participate in initial and on-going Mass Transition project coordination meetings through completion of the transition event.

7.11.5.1.4 POLR or Designated CR

- (1) Confirm accuracy of current list of technical, business and regulatory contacts for Mass Transition event purposes; and
- (2) Participate in initial and on-going Mass Transition project coordination meetings through completion of the transition event.

7.11.5.2 Mass Transition Roles/Responsibilities During the Mass Transition

The following Section outlines the various roles and responsibilities of parties involved during a transition event.

7.11.5.2.1 PUCT

Monitor the progress of involved parties in completing the Mass Transition in accordance with project completion schedules.

7.11.5.2.2 ERCOT

- (1) Create and submit the 814_03 Mass Transition transaction for the affected ESI IDs requesting SMRD = current date + two (2) calendar days;
- (2) Once ERCOT has received the 814_04 response transaction from TDSPs on the affected ESI IDs, forward the 814_14 to the POLRs or designated CRs;

- (3) Schedule and conduct initial and periodic Mass Transition project coordination meetings, as needed, and send periodic updates to involved parties regarding the status of the Mass Transition;
- (4) Work with MPs to resolve exceptions in the list of affected ESI IDs;
- (5) Maintain the official list of affected ESI IDs;
- (6) Work with involved parties to determine specific transactions and processes to be used to resolve exceptions with pending transactions;
- (7) Monitor the progress of the Mass Transition project and recommend conclusion of project based on successful completion of transition activities; and
- (8) Process final and initial meter reads from the TDSP and forward to the appropriate CR.

7.11.5.2.3 TDSP

- (1) Participate in initial and periodic Mass Transition project coordination meetings through completion of the transition event;
- (2) Provide the schedule meter read dates using the 814_04 to ERCOT for each affected ESI ID;
- (3) Provide final and initial meter reads to ERCOT using the appropriate Texas SET transaction; and
- (4) Work with involved parties to determine the process to be used for exception ESI IDs.

7.11.5.2.4 POLR or Designated CR

- (1) Work with involved parties to determine the process to be used for exception ESI IDs; and
- (2) Participate in initial and periodic Mass Transition project coordination meetings through completion of the transition event.

7.11.5.3 Mass Transition Roles and Responsibilities (After the Scheduled Completion Date)

The following Sections outline the various roles and responsibilities of parties involved in a Mass Transition event.

7.11.5.3.1 PUCT

Monitor progress of involved parties in completing the Mass Transition in accordance with project completion schedules.

7.11.5.3.2 ERCOT

- (1) Monitor the progress of the Mass Transition;
- (2) Ensure all affected ESI IDs have been transitioned according to the official list of affected ESI IDs; and
- (3) Provide notification to involved parties of the conclusion of the Mass Transition based on successful completion of transition activities.

7.11.5.3.3 TDSPs

Work with ERCOT to ensure all affected ESI IDs have been transitioned according to the official list of affected ESI IDs.

7.11.5.3.4 POLRs and/or Designated CR

- (1) Work with ERCOT to ensure all affected ESI IDs have been transitioned according to the official list of affected ESI IDs.
- (2) Complete any outstanding activities associated with follow-up due to handling of pending transactions as referenced in Section 7.11.3, Handling Pending Texas SET Transactions during a Mass Transition.

7.11.6 Customer Billing Contact Information File**7.11.6.1 Flight Testing Submission of Customer Billing Contact Information**

All Competitive Retailers (CRs) participating in flight testing as new Market Participants (MPs) shall submit via NAESB a Customer billing contact information file containing mock data in order to verify their ability to send a Customer billing contact information file. ERCOT will send a response to the submitting CR via NAESB. See Appendix F6, File Layout for Customer Billing Contact Information, for information on file formats for transmittal of Customer billing contact information and ERCOT responses.

7.11.6.2 Semi-Annual Submission of Customer Billing Contact Information

All CRs shall submit, semi-annually, timely and complete Customer billing contact information files. Files shall be created and submitted to ERCOT between the 1st and the 15th of April and October. The recommended file naming convention is <DUNS><Reportname><datetime><counter>.csv in addition to any application file naming conventions used in transmitting the file. For example, “999999999MTCRCustomerInformation20070427113001999.csv” where:

DUNS	CR DUNS Number	Numeric (9 or 13)
Reportname	'MTCRCustomerInformation'	Alphanumeric (23)
datetime	File transmission date/time stamp	Datetime format = ccyyymmddhhmmss
counter	Counter with no specified value	Numeric (3)
.csv	Value of .csv mandatory in file name	

At a minimum the filename must contain .csv after decryption otherwise the file will be rejected by ERCOT. Files will be sent with a NAESB input-format of "FF". Any file extension other than .csv, such as .xml or .x12 will fail at ERCOT.

CRs will not split their Customer Billing Contact Information for a single DUNS into multiple files. An additional file for the same DUNS number will overwrite the previously sent file, resulting in only partial information being saved. For any DUNS numbers that do not have active ESI IDs, the CR will not be required to submit a file for Customer Billing Contact Information.

ERCOT will validate that all mandatory data elements are present and meet formatting requirements. ERCOT will send a response to the submitting CR via NAESB. ERCOT will inform the submitting CR of any data fields that did not meet formatting requirements or of any required data fields that were not provided. See Appendix F6, File Layout for Customer Billing Contact Information, for information on the formats for transmittal of Customer billing contact information and ERCOT responses.

7.11.6.2.1 Retention of Semi-Annual Customer Billing Contact Information

ERCOT will retain the data from the last semi-annual submission, to be used in lieu of data from the exiting CR, in instances where the exiting CR does not provide such data. ERCOT will safeguard the Customer billing contact information in accordance with Protocol Section 1.3, Confidentiality.

7.11.6.3 Submission of Customer Billing Contact Information During Mass Transition Event

Upon the initiation of a Mass Transition event, ERCOT will request that the exiting CR provide Customer billing contact information for all ESI IDs which the exiting CR serves. CRs shall submit timely and complete files, as required by ERCOT in a Mass Transition event. All information must be sent in a pipe delimited .csv file format via NAESB and must contain all required Customer billing contact information.

ERCOT will validate that all mandatory data elements are present and meet formatting requirements. ERCOT will also validate that information is provided for all ESI IDs involved in the Mass Transition and will contact the exiting CR with any discrepancies. All ERCOT response files will be transmitted back to the exiting CR via NAESB. See Appendix F6, File Layout for Customer Billing Contact Information, and ERCOT responses.

7.11.6.3.1 Sending Customer Billing Contact Information During a Mass Transition Event

7.11.6.3.1.1 Provision of Data to the Gaining CR

Upon receipt of the Customer billing contact information from the exiting CR during a Mass Transition event, ERCOT shall provide each gaining CR with available Customer billing contact information for the ESI IDs each gaining CR will be receiving through the Mass Transition event. ERCOT will transmit files in csv file format via NAESB.

7.11.6.3.1.2 Provision of Data to the TDSPs

Upon receipt of the Customer billing contact information from the exiting CR during a Mass Transition event, ERCOT shall provide each TDSP affected by the Mass Transition with available Customer contact information for the ESI IDs involved in the Mass Transition event. Prior to transmitting the files to the TDSPs, ERCOT shall first remove all billing data leaving only ESI ID, Customer name and contact number. ERCOT will transmit files in .csv file format via NAESB. See Appendix F6, File Layout for Customer Billing Contact information.

7.11.6.3.2 Sending Semi-Annual Customer Billing Contact Information to Gaining CRs and TDSPs When No File is Received from the Exiting CR

Should the exiting CR fail to send current Customer billing contact information, ERCOT will distribute information received in the last semi-annual report submission no later than three (3) Retail Business Days after the Mass Transition notification. In instances where information is not provided through either a current or stored file, the gaining CR shall request that the TDSP provide any relevant information in its possession.

7.11.6.4 Reporting by ERCOT to the PUCT

ERCOT will provide a confidential report to the PUCT by the 1st of May and November of each year; the following information will be included on the report:

- (1) Name and DUNs Number of CRs who submitted semi-annual Customer billing contact information files:
 - (a) Date of file submission;
 - (b) Number of rows provided by CR;
 - (c) Count of ESI IDs ERCOT has associated with CR;

- (d) Total number of mandatory fields expected from CR;
 - (e) Number of mandatory fields provided by CR; and
 - (f) Number of mandatory fields not provided by CR.
- (2) Name and DUNs Number of CRs that did not submit reports: Count of ESI IDs ERCOT has associated with CR.

7.11.7 Mass Transition Process of Transmission and/or Distribution Service Provider ESI ID

For information on PUCT communication requirements when transitions occur between TDSPs, please refer to P.U.C. SUBST. R. §25.74, Reports on Sale of Property and Mergers.

7.11.8 Transmission and/or Distribution Service Provider ESI ID Transition Roles and Responsibilities

The following are the various roles and responsibilities of parties involved in a transition event. These may need to be revised based on the specific circumstances associated with any particular event.

- (1) PUCT
 - (a) Establish or approve transition event decision parameters including designation of the losing TDSP, gaining TDSP, general population of transitioning ESI IDs and target effective date(s).
 - (b) Authorize ERCOT to initiate transition process in the market.
 - (c) Designate lead individual from PUCT staff to work with ERCOT project lead and MP team for project coordination purposes.
 - (d) Review and approve, as needed, market communications with Customers associated with transition of ESI IDs.
 - (e) Approve as necessary, exceptions to the application of the recommended market process for completing the transition.
 - (f) Monitor progress of involved parties in completing the transition in accordance with targeted schedules.
- (2) ERCOT
 - (a) Upon PUCT approval, initiate TDSP to TDSP ESI ID transition process.

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- (b) Identify parties involved in the transition event, including losing TDSP, gaining TDSP, and all affected CRs, including CSA CRs and CRs with pending transactions.
 - (c) Designate ERCOT transition project lead.
 - (d) Schedule and facilitate initial and on-going transition coordination meetings and conference calls through completion of the transition event.
 - (e) Coordinate market notification of transition event to parties not involved in the transition.
 - (f) Review initial list of transitioning ESI IDs for synchronization issues and work with MPs to resolve discrepancies and distribute to MPs.
 - (g) Maintain and distribute the official list of transitioning ESI IDs.
 - (h) Work with the TDSPs and CRs to determine the specific transactions and processes to be used to resolve issues surrounding pending transactions.
 - (i) Continually monitor the progress of the transition project and recommend conclusion of project based upon successful completion of all transition activities.
- (3) TDSPs
- (a) Provide to ERCOT and maintain a current list of technical, business and regulatory contacts for transition event purposes.
 - (b) Work with ERCOT and CRs to resolve all discrepancies of transitioning ESI IDs.
 - (c) Provide scheduled meter read dates for transitioning of ESI IDs.
 - (d) Work with involved parties to determine the specific transactions and process to be used to complete the transition plan.
 - (e) Provide MPs with a tentative schedule and on-going progress reports throughout transition for completion of transition.
 - (f) Participate in initial and on-going transition project coordination meetings and/or conference calls through completion of the transition event.
- (4) Designated CR, includes CSA CR
- (a) Provide to ERCOT and maintain currency of technical, business and regulatory contacts for transition event purposes.
 - (b) Review initial list of transition ESI IDs for accuracy and work with TDSP and ERCOT to resolve discrepancies.
 - (c) Notify Customers involved of transition.

- (d) Work with involved parties to resolve issues with pending transactions.
 - (e) Submit transactions associated with transitioning ESI IDs in accordance with ERCOT directives, Protocols, and PUCT regulatory requirements.
 - (f) Participate in initial and on-going transition project coordination meetings and/or conference calls through completion of the transition event.
 - (g) If the gaining TDSP is a MOU/EC TDSP, designated CR must supply Customer billing information to the MOU/EC TDSP.
- (5) “New” CR
- (a) Submit transactions associated with transitioning ESI IDs in accordance with ERCOT directives, Protocols, and PUCT regulatory requirements.
 - (b) Work with involved parties to resolve issues with pending transactions.

7.11.9 Transmission and/or Distribution Service Provider Transition Process Narrative

- (1) Decision
- (a) The processes described in this Section presume that a decision to transition the ESI IDs has already been made by the PUCT and appropriate parties. The process used by the PUCT to make that decision was not within the scope of the RMS task force sponsoring this Section. The mission of the task force was to determine the appropriate method to be utilized to transition the ESI IDs as efficiently as possible and with little or no impact to the retail Customer.
 - (b) The launch decision provides assurance to the participants that transition actions and resources are required and will be a collaborative effort among representatives from the PUCT, ERCOT and MPs involved in the transition.
 - (c) The parameters for the transition process will include:
 - (i) Identification of the losing TDSP
 - (ii) Designation of the gaining TDSP
 - (iii) A list of the ESI IDs affected by the transition
 - (iv) Identification of all of the affected CRs (Current, CSA, and pending ‘New’ CR)
 - (v) Assessment of Wholesale Market impacts
 - (vi) Effective date(s) of the transition

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- (d) The transition of the designated ESI ID population may encompass more than one effective date. However, individual ESI IDs will have only one effective date. If conditions permit, then the individual effective date should be aligned with a regular scheduled meter read date.
- (2) Launch
- (a) After the PUCT has approved the transition of ESI IDs, ERCOT will issue periodic notifications to the affected CRs:
 - (i) Indicating that they are affected by an approved TDSP territory transition.
 - (ii) Stating that they are certified according to ERCOT processes to serve in the gaining TDSP territory
 - (iii) Indicating that the gaining TDSP may have additional requirements before the CR can continue to serve the Load in the gaining TDSPs certified territory.
 - (iv) Describing what transactions are required
 - (v) Describing when the CR is required to submit transactions.
 - (b) The Losing TDSP will provide a file capable of being converted to a csv file with a final set of ESI IDs that are targeted for the transition to the gaining TDSP and all affected CRs.
 - (c) ERCOT will confirm that its record of ESI ID ownership is consistent with the losing TDSP's and identify any ESI IDs for which there are pending market transactions.
 - (d) When discrepancies exist, ERCOT, the TDSP, and the appropriate CR(s) will resolve the discrepancies to ensure that the correct population of ESI IDs is transitioned.
- (3) Requirements
- (a) Gaining TDSP will change the ESI IDs for the premises acquired. When a partial TDSP transition event takes place, such partial TDSP transition requires the gaining TDSP to create new and unique ESI IDs for all ESI IDs involved in the transition.
 - (b) Transition of equipment and Customers will occur by the transition date agreed upon by both the losing and gaining TDSP .
 - (c) Issues with transferring equipment may delay the transition. These subsequent dates will be a part of the PUCT final approval.
 - (d) When applicable, the Texas SET 814_20 transaction will be sent by the Gaining TDSP and must process prior to any relationship activity taking place on the ESI

ID to account for the one day difference between ERCOT's Siebel and Lodestar systems.

- (e) When creating a new ESI ID(s), the process is:
 - (i) Upon completion of the move-out for the existing CR, the losing TDSP is responsible for deactivation and retirement of the old ESI ID;
 - (ii) Gaining TDSP is responsible for new ESI ID setup and activation. All actions are performed utilizing the appropriate transactions. Note: Transition of CR within ERCOT's system must occur simultaneously to prevent the old and new ESI IDs from being active or de-energized at the same time for the same Premise.
- (f) Out of synch conditions between ERCOT and the TDSP will be resolved through current market synchronization processes.
- (g) Losing TDSP will maintain the historical information for the time period they owned the ESI ID according to present record retention rules for TDSPs.
- (h) Losing TDSP will maintain ability to perform cancel/rebills for the time period they owned the ESI ID.
- (i) Throughout the transition period, the gaining MOU/EC TDSP must identify those affected ESI IDs involved in the transition between competitive and non-competitive Load in its certificated service territory for the purpose of settlement at ERCOT.
- (j) The gaining MOU/EC TDSP must confirm that the Service Address is also the billing address, utilizing Current CR provided information on each affected ESI ID.
- (k) The gaining TDSP and CR will determine how to communicate any fees to the retail Customer.
- (l) All pending transactions with effective dates before the transition date will be completed by the losing TDSP before the transition date.
- (m) Move-out date for the losing TDSP's ESI ID will have the same effective date as the move-in effective date for the gaining TDSP when creating a new ESI ID.

7.11.10 *Transmission and/or Distribution Service Provider ESI ID Transition Detailed Process Steps*

Any partial or full TDSP transition of ESI IDs that occurs shall follow current processing at ERCOT. For information on processing for TDSP to TDSP Partial Transition;

- (1) PUCT notification and notice of intent to CRs.

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- (2) ERCOT receives updated CR listing from losing TDSP.
 - (3) ERCOT forwards list of ESI IDs to gaining TDSP and all applicable CRs.
 - (4) The losing TDSP will complete all pending orders that are effective before the effective date of the transition with an 867_03F or 867_04, also including 650 Service Order Requests, if applicable.
 - (5) The gaining TDSP or MOU/EC receives historical data from losing TDSP for profile validation. The gaining TDSP must successfully complete the Load Profile ID validation process with ERCOT no later than 90 days prior to the actual transfer of the ESI IDs. The losing TDSP shall provide historical usage information to the gaining TDSP in a manner that helps to expedite this process.
 - (6) When ESI IDs are being transitioned between competitive service territories, the gaining TDSP shall evaluate the number of ESI IDs that are transitioning into its service area to determine if the additional Premises substantially change its distribution system. If the additional premises constitute a substantial change in their distribution system, then the gaining TDSP will be required to submit an update to its annual Distribution Loss Factor (DLF) methodology it previously submitted to ERCOT. If the gaining TDSP determines that the additional ESI IDs are not a substantial change to its Distribution Systems, no DLF submittal will be required from the gaining TDSP, but ERCOT reserves the right to request a copy of the TDSP's analysis for review and approval. In either case, the gaining TDSP is responsible for making the DLF assignment for each ESI ID via the 814_20. If the gaining TDSP requires modeling information from the losing TDSP to complete this requirement, then the losing TDSP shall provide that information in a timely manner.
 - (7) ERCOT notifies REP of Record (ROR) of certification status in the gaining TDSP's territory.
 - (8) The gaining TDSP (if previously a MOU/EC) will provide information to the Steady State Working Group and ERCOT, via the Annual Load Data Request and ongoing Base Case updates, regarding any substations to be added, if and where applicable. Gaining TDSP establishes eligibility date for the new ESI IDs.
 - (9) The gaining TDSP sends transition plan to losing TDSP and ERCOT. This transition plan will include:
 - (a) Losing TDSP's ESI IDs
 - (b) Gaining TDSPs new ESI IDs
 - (c) Eligibility Date
 - (d) REP of Record (ROR)
 - (e) Service Address
 - (f) Membership Number (if available)

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- (g) Transition date for each ESI ID affected
 - (10) ERCOT validates for ROR and forwards transition plan to current REP of Record and CSA Competitive Retailer.
 - (11) In an MOU/EC TDSP transition where the MOU/EC TDSP is the gaining TDSP, CRs will forward billing information in a file that is capable of being converted to a CSV file to the MOU/EC TDSP after PUCT approval of the transition filing.
 - (12) ERCOT uses transition plan for subsequent and final ROR validation.
 - (13) Current CR, New CR, or CSA CR will communicate to their Retail Customers the TDSP's' transition as outlined by PUC Substantive Rule §25.74.
 - (14) Gaining TDSP sends an 814_20 Create ESI ID request with an eligibility date that is at least 10 (ten) Business Days prior to the transition date and receives a response.
 - (15) ERCOT receives 814_20 Create, validates and sends 814_21 accept/reject response. If the 814_20 is rejected by ERCOT, then the TDSP will make the necessary corrections and resend the 814_20 to ERCOT.
 - (16) CRs can send move-in (814_16) transactions to ERCOT as of the eligibility date on the 814_20; however, the effective date of the move-in must be equal to or greater than the eligibility date. The current REP of Record (ROR) will initiate the 814_16 move-in transaction of the gaining TDSP's ESI ID with transition date as move-in effective date.
 - (17) When the gaining TDSP is a MOU/EC, the ROR will send customer billing address information updates via the 814PC, on any ESI ID where the Customer billing information has changed prior to the transition date.
 - (18) Current CSA CR must establish Continuous Service Agreements on new ESI IDs and dissolve CSA relationships on losing TDSP ESI IDs through appropriate market transactions.
 - (19) Current ROR initiates move-out (814_24) process on old ESI IDs with transition date as the effective move-out date. To prevent move-in(s) for CSA CR, ERCOT should have already removed CSA agreements on all the transitioning ESI IDs, where applicable.

Following the transition date:

- (20) Losing TDSP will send an 867_03F upon completion of the move-out.
- (21) Gaining TDSP will send an 867_04 Initial Meter Read upon completion of the move-in. The effective dates of the move-out for the losing TDSP and the move-in for the gaining TDSP will be the same.

7.12 Estimated Meter Readings

The TDSPs (Transmission Distribution and/or Service Provider) will provide a monthly manual spreadsheet to identify two (2) or more consecutive estimates (until July 1, 2007 implementation of the changes to the 867_03, Monthly Usage as prescribed by the Substantive Rule 25.214) to Competitive Retailers (CR).

The TDSP will identify the first meter estimation on the corresponding 867_03 in the MEA (Meter Reads) segment, as an ME01=AE.

Subsequent consecutive meter estimations are identified on the corresponding 867_03 in the MEA segment, as an ME01=EE.

CRs will be responsible for Customer contact to resolve accessibility issues to allow the TDSP access to the meter. If the resolution to the accessibility issue requires TDSP assistance, the CR should contact the TDSP REP Relations group to discuss additional options to access the meter.

In the event the TDSP removes an active meter due to Safety or Code issues (e.g., meter pulled due to fire at premise), the TDSP may continue to provide estimated meter readings. A TDSP will send the 650_04, Suspension of Delivery Service Notification or Cancellation transaction with the 'R8' code to communicate to the CR the meter removal. If the TDSP sends a service suspension date in the 650_04 the CR has the option to use this date in their 814_24, move-out otherwise the CR will use a future date in their Move- Out Request. Upon receipt of the TDSP notification, the CR may investigate and will send an 814_24 to the TDSP within (ten) 10 Business Days.

CRs will contact the TDSP Rep Relations Groups for all communications regarding CR contact information. The following TDSP REP Relations groups may be contacted at the following e-mail addresses:

Texas New Mexico Power Company	mprelations@tnpe.com
CenterPoint Energy	CR.Support@CenterPointEnergy.com
American Electric Power	crrtx@aep.com
Oncor Electric Delivery	REPreations@Oncor.com
Sharyland	egarcia@su-power.com
Nueces	dlowder@nueceselectric.org

7.12.1 Estimation Based on Denial of Access

- (1) If the TDSP encounters a Premise where access to the meter has been denied, a door hanger requesting permanent access in the future will be left at the Premise (see Appendix I, Door Hanger Sample). The door hanger will include, but is not limited to, the following information:

-
- (a) A request for access to the meter;
 - (b) An explanation of the consequences (includes disconnection language) for failure to provide access; and
 - (c) A description of who to contact for options and resolution.
- (2) The TDSP will provide notification to the CR, via the 867_03 identifying:
- (a) The reason that the meter reading was estimated and the number of sequential estimates without an actual read;
 - (b) Sufficient detail to communicate to the retail Customer why access was unavailable; and
 - (c) Notification of whether a door hanger was left at the Premise.
- (3) Upon notification by the TDSP that a meter was estimated for denial of access, the CR shall contact the Customer to request ongoing access for the TDSP and inform the retail Customer of the consequences for continuing to fail to provide ongoing access. The CR will contact the Customer by phone, mail or door to door contact. The options available to the Customer are:
- (a) Provide access to the existing meter and company owned facilities;
 - (b) Disconnection of service (after three (3) monthly denials of access estimates);
 - (c) TDSP installation of a remote read capable meter at the Customer's expense and billed directly to the CR. (This option will require Customer coordination); or
 - (d) Customer's relocation of the Customer owned meter base, at Customer's expense. (This option requires coordination with the customer and TDSP.)
- (4) If the Customer or CR has not selected one of the options identified in Section 7.12.1(3) within ten (10) Retail Business Days following the 3rd consecutive estimate, the TDSP will select one of the available options.
- (5) If a CR is notifying the TDSP of the Customer's choice or the CR's choice for the Customer the CR will send the TDSP a 650 service order including pertinent information the Customer has provided. Otherwise the CR will contact the TDSP or ask the Customer to contact the TDSP directly to resolve the access issue.
- (6) The TDSP may continue to estimate residential or a non-critical Load for an additional sixty (60) days from the 3rd consecutive estimate in order to implement one of the options identified in Section 7.12.1(3).

7.12.2 Disconnection and Reconnection for Denial of Access

- (1) A request for disconnection by the CR, regardless of service order option chosen, will use the appropriate Texas SET (TX SET) code for denial of access on the 650_01. CR's requesting reconnection after resolution of the access issue will use the appropriate 650_01 with an explanation of what has been done to resolve the denial of access issue. If the Customer was disconnected at the request of the CR via a 650_01, the TDSP will not reconnect the Premise without a reconnect request from a CR.
- (2) If the TDSP initiates the disconnection for denial of access, the TDSP will send a 650_04, using the appropriate TX SET code, to the CR when the TDSP has disconnected service. The TDSP will reconnect at Customer request or a request from the CR when the access issue is resolved. When the request comes to the TDSP via the Customer the TDSP will reconnect service upon resolution of the denial of access issue and submit a 650_04 to the CR to communicate reconnection of service.

7.12.3 Estimation for Denial of Access by Non-residential Critical Load Customers

- (1) Denial of Access by a critical Load Customer will follow the same process as identified in Section 7.12.1, Estimation Based on Denial of Access, excluding disconnection of service and with the following provision added:
- (2) After the 5th consecutive meter estimation, if access has not been provided, the TDSP may charge a denial of access fee each month until the access issue is resolved.

7.12.4 Estimations for Reasons Other than Denial of Access by the Customer

- (1) TDSPs may not estimate a meter reading for more than three (3) consecutive months where denial of access is not the issue.
- (2) TDSPs may estimate a meter reading for Force Majeure, weather, tampering or mass transition of Customer accounts. These estimates will not be counted as an estimate by the TDSP.
- (3) If the TDSP estimates a meter reading for any reason other than denial of access, the estimate will not be considered a break in a series of consecutive months of denial of access and shall not be considered a month in which the retail Customer has denied access.

7.13 Interval Data Recorder (IDR) Optional Removal/Installation Process

7.13.1 IDR Optional Removal Process

Pursuant to Protocols Section 18.6.7, IDR Optional Removal Threshold, a Competitive Retailer (CR) upon a Customer's request, may request removal of an IDR at a Premise. This section

details the steps that Market Participants shall follow when processing such IDR optional removal requests.

7.13.1.1 Customer Request

- (1) Upon request by a Customer or authorization to their CR to remove an IDR, the CR shall first validate that the request satisfies the requirements of Protocol Section 18.6.7, IDR Optional Removal Threshold.
 - (a) If the request satisfies the Protocol requirements, the CR shall complete the IDR Optional Removal Request Form and submit it by e-mail to the appropriate TDSP for processing at the TDSP's e-mail address listed below. For existing Customers, the request form shall be submitted to the TDSP within ten (10) Retail Business Days of the Customer's request to their CR. For new Customers, the request shall be submitted to the TDSP within ten (10) Retail Business Days of the request to their CR, provided that at least forty five (45) consecutive days of usage has been covered by meter readings and the Customer has communicated the request to the CR no more than one hundred twenty (120) consecutive days since the Customer's move-in date.
 - i. AEP – crrtx@aep.com
 - ii. CNP – CR.Support@CenterPointEnergy.com
 - iii. Nueces – eflores@nueceselectric.org
 - iv. Sharyland – egarcia@su-power.com
 - v. TNMP – MV90operator@tnpe.com
 - vi. Oncor – meteringservices@Oncor.com
 - (b) If the request does not satisfy the Protocol requirements, the CR shall inform the Customer that the request cannot be honored, per Section 7.13.1.3(3) below.
- (2) If a Customer contacts the TDSP directly to request removal of an IDR, the TDSP shall refer the Customer to their CR to initiate the request, regardless of the option a CR has chosen for service order request.

7.13.1.2 IDR Optional Removal Request Form

The CR must complete all relevant sections of the IDR Optional Removal Request Form found in Appendix H1, including:

- (1) CR name, CR contact name, phone number, CR contact email address, date the request is sent to the TDSP, and the name of the TDSP.
- (2) In addition, for each applicable ESI ID, the form must include the associated service address;
 - (a) An indicator appropriately identifying each as an existing Customer or a new Customer;
 - (b) For an existing Customer, the twelve (12) month actual peak demand;

- (c) For a new Customer, the actual peak demand since the move-in date; and
- (d) The date the Customer made the request to the CR.

An incomplete request form may be rejected by the TDSP, whereupon the CR shall add the missing information and resubmit the request form with a new date that the request is sent to the TDSP.

7.13.1.3 TDSP Processing

- (1) Within ten (10) Retail Business Days of receipt of the IDR Optional Removal Request Form, the TDSP shall verify usage and Customer history for the requested ESI ID(s) and determine if the request satisfies the requirements of Protocol Section 18.6.7.
 - (a) If the request satisfies the Protocol requirements, the TDSP shall
 - i. Complete the appropriate sections of the request form indicating that the ESI ID does qualify for an IDR removal and the estimated date of removal, and
 - ii. Return the completed request form by e-mail to the originating CR.
 - (b) If the request does not satisfy the Protocol requirements, the TDSP shall
 - i. Complete the appropriate sections of the request form indicating that the ESI ID does not meet the qualifications for an IDR removal and include supporting evidence, and
 - ii. Return the completed request form by e-mail to the originating CR.
- (2) For requests where there is mutual agreement by the CR and TDSP that the applicable Protocol requirements have been satisfied, the TDSP shall proceed with scheduling the removal of the IDR.
 - (a) The IDR removal must be completed no later than the Customer's second billing cycle after the date on which agreement is reached.
 - (b) The TDSP shall send the appropriate Texas SET transaction to change the Profile Type Code and the Meter Data Type Code as directed by the Load Profiling Guide along with all applicable meter data.
 - (c) A TDSP may elect to virtually remove an IDR, however, the virtual removal must comply with the provisions of (2)(a) and (2)(b) immediately above.
 - (d) IDR optional removals are subject to applicable TDSP Tariff charges. Consult each TDSP's Tariff for complete details.
- (3) For requests where the TDSP has determined that the applicable Protocol requirements have not been satisfied and the CR concurs, the CR will provide the Customer with sufficient evidence as to why the request for IDR removal was denied. Such evidence shall include the Customer's demand history and the applicable Protocol language. Customer's inquiries or complaints regarding the processing of the IDR Removal request will be handled in accordance with P.U.C.T. SUBST. R. 25.485, Customer Access and Complaint Handling.
- (4) For requests where the TDSP has determined that the applicable Protocol requirements have not been satisfied and the CR disputes the TDSP's determination, the CR may use the

MarkeTrak process, if appropriate, to resolve any disputes arising from the IDR optional removal process. If a MarkeTrak resolution is not possible for a dispute, the CR may request Alternative Dispute Resolution in accordance with Protocol Section 20, Alternative Dispute Resolution Procedure.

- (5) For all IDR removals that have occurred and subsequently are determined to have been removed erroneously, an IDR must be re-installed. The discovering party shall notify the CR and/or TDSP as appropriate; both the CR and the TDSP shall mutually agree upon an IDR re-installation date.

7.13.2 Interval Data Recorder (IDR) Installation Process

Pursuant to Protocols Section 18.6.1, Interval Data Recorder (IDR) Installation and Use in Settlement, this section details the steps that Market Participants shall follow when processing a Mandatory or Optional IDR installation.

7.13.2.1 IDR Requirement Report

The IDR Requirement Report consists of the following criteria:

- (1) **Report Generation**
The IDR Requirement Report is generated on the second calendar day of each month. In addition to the ESI IDs that are already on the IDR Requirement Report, the ERCOT system identifies active and de-energized ESI IDs that meet the IDR mandatory installation threshold as defined in Protocol Section 18.6.1, Interval Data Recorder (IDR) Installation and Use in Settlement, and are not assigned the BUSIDRRQ Profile Type.
- (2) **Posting of the Report**
ESI IDs that meet the above criteria are placed on the IDR Requirement Report, which is available on ERCOT's Market Information System (MIS) to the respective CRs (REP of Record), TDSPs, and the PUCT. Should an ESI ID listed on the report Switch to a different CR that ESI ID would show up on the Gaining CR's report, and will no longer appear on the report of the Losing CR. Updated IDR Requirement Reports are normally posted on the second calendar day of each month.
- (3) **Resolution**
ESI IDs listed on the IDR Requirement Report ordinarily remain on the report until an IDR is installed and the Profile ID has been changed to reflect a Profile Type of 'BUSIDRRQ' and a Meter Data Type of 'IDR'. The month and year of the IDR installation will be shown in the 'Month Resolved' column for the next three monthly reports, after which the ESI ID is dropped from the report

The 'Month Resolved' column for each ESI ID will:

- (a) Be blank if one-hundred twenty (120) calendar days have not yet passed since the ESI ID first appeared on the report;

- (b) Show the month and year that the IDR was installed and the Profile Type was changed (via TX SET transaction) to BUSIDRRQ; or
- (c) Show 'Overdue' if one-hundred twenty (120) calendar days have passed since the ESI ID first appeared on the report and the Profile Type has not been changed to BUSIDRRQ as a result of the required IDR being installed.

If an ESI ID was placed on the IDR Requirement Report because of one (1) or more errors (e.g., incorrect meter reads), the TDSP shall submit market transactions to correct the error(s) or contact the appropriate ERCOT Retail Account Manager to explain the situation and request that the ESI ID be manually removed from the IDR Requirement Report. ERCOT shall take action to correct subsequent IDR Requirement Reports following such notification.

7.13.2.2 Mandatory IDR Installation Process

Each month following ERCOT's publishing of the IDR Requirement Report, the CR has thirty (30) calendar days to verify that each ESI ID satisfies the requirements of Protocol Section 18.6.1 and if so, initiate the appropriate request to the TDSP or notify the TDSP of any discrepancies for investigation.

- (1) If the IDR installation request satisfies the Protocol requirements, the CR shall initiate a request to the TDSP for an IDR to be installed using one of the following options:
 - (a) Send the appropriate TX SET Service Order Request transaction requesting an exchange of the current meter to an IDR installation, also included in the TX SET transaction the CR will provide in the comments/text field the reason for the exchange request (example, ESI ID met mandatory install requirements) along with all CR and Customer contact information in order that the TDSP can appropriately coordinate and schedule the request with the CR and/or Customer.
 - (b) Complete the IDR Installation Request Form (Appendix H2) and submit it by e-mail to the appropriate TDSP for processing at the TDSP's e-mail address listed below.
 - i. AEP - crrtx@aep.com
 - ii. CNP - CR.Support@CenterPointEnergy.com
 - iii. Nueces - eflores@nueceselectric.org
 - iv. Sharyland - egarcia@su-power.com
 - v. TNMP - MV90operator@tnpe.com
 - vi. Oncor - meteringservices@Oncor.com
 - (c) Submit the request via TDSP's website where available. Currently, Oncor Electric Delivery is the only TDSP with this option.
- (2) If an ESI ID appears on the report, but the CR determines that a Customer does not want to have an IDR installed and meets the criteria specified in Protocol Section 18.6.7, IDR Optional Removal Threshold, which would allow an IDR to be removed the CR shall

contact the appropriate ERCOT Retail Account Manager and explain the reason why the CR will not request an IDR installation for this ESI ID. The CR shall also notify the TDSP of reason(s) that an IDR installation will not be requested. Upon receipt of such notification the TDSP shall determine whether the reason(s) satisfy the requirements of Protocol Section 18.6.7. If the reason(s) do not satisfy the Protocol requirements, the TDSP shall notify the CR of its findings along with all supporting evidence. If the reason(s) do satisfy the Protocol requirements, the TDSP shall not install the IDR.

- (3) If after one hundred twenty (120) days of the ESI ID appearing on the report the TDSP has not received notification of either a dispute of an IDR requirement or an ESI ID qualifying for optional removal as identified in proceeding paragraph, the TDSP may proceed with the IDR installation only after providing notification to the CR of the TDSP's intent to perform the installation. Upon completing the installation, the TDSP shall provide market notification of the installation through normal market transactions.
- (4) In the absence of a CR request, the TDSP shall not install an IDR for an ESI ID prior to one-hundred twenty (120) days of the ESI ID first appearing on the report.
- (5) Costs associated with mandatory installation of IDRs by TDSPs shall be the responsibility of the TDSP.

If a CR determines that an ESI ID appears on the IDR Requirement Report in error, the CR shall notify the TDSP for that premise. If the TDSP agrees with the CR's determination, the TDSP shall submit the appropriate TX SET transaction(s) to correct the error(s) as specified in Section 7.13.2.1 of this Retail Market Guide, IDR Requirement Report. If the CR and TDSP cannot come to an agreement concerning the IDR requirement for an ESI ID, either party may use the MarkeTrak process, if appropriate, to resolve any disputes. If a MarkeTrak resolution is not possible for a dispute, either party may request Alternative Dispute Resolution in accordance with Protocol Section 20, Alternative Dispute Resolution Procedure.

TDSP processing of Mandatory IDR installations are as follows:

- (1) Within ten (10) Retail Business Days of receipt of the IDR Installation Request Form, the TDSP shall:
 - (a) Complete the appropriate sections of the request form indicating TDSP contact name and telephone number, contact email address, along with estimated date of IDR installation; and
 - (b) Return the completed request form by e-mail to the originating CR.
 - i. The IDR installation must be completed no later than the Customer's second billing cycle after the date the completed installation request was received by the TDSP.
 - ii. The TDSP shall send the appropriate Texas SET transaction to change the Profile Type Code and the Meter Data Type Code of the Load Profile ID

as directed by the Load Profiling Guide along with all applicable meter data.

7.13.2.3 Optional IDR Installation Request Process

Upon a Retail Customer's request to a CR for installation of an IDR at a specific premise, the CR shall verify that the IDR installation would be consistent with Protocols Section 18.6.7. If so, the CR shall then request the TDSP to initiate the installation, per Section 7.13.2.2 (a) of this Retail Market Guide.

Once the TDSP receives the optional IDR installation request from the CR, the TDSP shall verify that the request satisfies the requirements of Protocol Section 18.6.7. If the request does not satisfy the Protocol requirements, the TDSP shall notify the CR of its findings along with all supporting evidence. If the request satisfies the Protocol requirements, the TDSP shall install the IDR no later than the Customer's second billing cycle following receipt of a valid request. The TDSP shall then submit the appropriate Texas SET transaction to change the Profile Type Code and the Meter Data Type Code of the Profile ID as directed by the Load Profiling Guide, along with all applicable meter data.

- (1) If a Customer contacts the TDSP directly to make an optional request for the installation of an IDR, the TDSP shall refer the Customer to its Competitive Retailer to initiate the request, regardless of the option a CR has chosen for service order request.
- (2) IDR optional installations are subject to applicable TDSP tariff charges. Consult each TDSP's tariff for complete details.

7.13.2.4 IDR Installation Request Form

If a CR chooses to make its request to the TDSP by sending the IDR Installation Request form, the CR must complete all relevant sections of the request form found in Appendix H2 including:

- (1) CR name, CR contact name, telephone number, CR contact email address, date the request is sent to the TDSP, and the name of the TDSP.
- (2) In addition, for each applicable ESI ID, the form must include:
 - (a) Customer contact information, which includes name, primary phone number, additional contact numbers, if available, any special time customer is available for contact or instructions to assist TDSP with coordinating and scheduling installation; and
 - (b) The associated service address; and
 - (c) The actual peak demand for the most recent twelve (12) months.

An incomplete request form may be rejected by the TDSP, whereupon the CR shall add the missing information and resubmit the request form reflecting the date that the request is being resubmitted to the TDSP.

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Section 8: Municipalities and Cooperatives

October 1, 2006

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8 MUNICIPALITIES AND COOPERATIVES

8.1 Municipal and/or Cooperative Transmission and/or Distribution Service Provider Market (MC/TDSP)

In the Texas Market Place, there are TDSPs (such as Nueces, San Patricio, etc.) which are categorized as Municipal and/or Cooperative Entities (MC/TDSP). There are differences between the MC/TDSP market and the IOU TDSP market (both ERCOT and Non-ERCOT). These differences can be found in review of the respective Terms and Conditions documents.

Some areas of differences between the IOU TDSP market and the MC/TDSP market:

BILLING

Billing may be consolidated billing or separate billing (based on Customer Choice) in a MC/TDSP territory versus consolidated billing only by the CR in an IOU TDSP territory. Please note, the MC/TDSP could choose to delegate the consolidated billing to the CR or contract with a third party. There are other billing and remittance differences as specified in the terms and conditions of each MC/TDSP (such as the number of days that the billing party has to remit payments to the non-billing party)

OUTAGE REPORTING

Differences in who the Customer calls to report an Outage or make a

Service Request. Compare section 4.10 in the MC/TDSP Terms and

Conditions to section 4.11 in the IOU terms and conditions

CUSTOMER PROTECTION

In an IOU TDSP territory, the PUCT Customer protection rules apply.

However, in a MC/TDSP territory, the specific MC/TDSP utility service rules apply which in many cases are different from the PUC Customer protection rules such as the due date of the bill.

TX SET

The market added two (2) new TX SET transactions (810_03 MC/TDSP Invoice; 820_03 MC/TDSP Remittance) and made some modifications to others (i.e., added Customer Billing Information to SET 814_01, 814_16, 814_03, 814_PC, etc.) to support the MC/TDSP market.

It is recommended that a Market Participant contact the respective MC/TDSP to get more specifics related to that MC/TDSPs territory.

8.2 Municipals and Co-Ops Tariff Requirements

PUCT Substantive Rule 25, Appendix V, applies to the Access Tariff of a Municipally Owned Utility or Electric Cooperative. For information, go to:
www.puc.state.tx.us/rules/subrules/electric/25.appV.pdf

A Municipally-Owned Utility and Electric Cooperative (MOU/Coop) is required to register with ERCOT and sign the applicable agreements that apply to the functions it performs in the ERCOT Region, regardless of whether planning to be a Non-Opt Entity (NOIE) or a REP. MOUs/Coops in the ERCOT Region, must notify ERCOT six (6) months prior to opting into retail competition, and register with ERCOT as a REP. Every MOU/Coop must designate a Qualified Scheduling Entity (QSE) to schedule and settle with ERCOT on its behalf. All Non-Opt-In Entities shall have ESI IDs assigned to their wholesale points of delivery as specified in these Protocols. The ESI IDs must be assigned to an LSE. For more information, go to:
www.ercot.com/tac/retailisoadhoccommittee/protocols/keydocs/draftercotprotocols

8.3 Municipal and Cooperative Disconnect Reconnect Process Guide

PURPOSE

The purpose of this Municipal and Cooperative Disconnect Reconnect Process Guide is to provide market participants with a document that defines market processing for disconnection and reconnection requests and for managing emergency and contingency procedures in support of disconnection for nonpayment and reconnection activities.

DEFINITIONS AND ACRONYMS

Complete

Action code on the 650_02 indicating that the service request for either disconnect or reconnect activity has been successfully completed in the field by the field service representative (FSR). This may also be communicated to the CR from the Municipal or Cooperative on the 650_04 once the disconnection has been successfully completed in the field by the field service representative (FSR).

Complete Unexecutable

Action code on the 650_02 indicating that the FSR was unable to successfully complete the service request for either disconnection or reconnection due to conditions at the customer's premise outside of the Municipal or Cooperative's control.

This action code may also be used in the 650_02 for disconnection requests when the Municipal or Cooperative has received a reconnect service request prior to completing the disconnect request.

Pending

Any order that is received prior to the requested completion date.

Overflow

Service order requests not worked on the date wanted due to events such as outages, extreme weather, or an increased volume of higher priority service request types (Reconnects, MVIs, MVOs). These overflow service requests will be scheduled for the next available Field Operational Day until the order is successfully completed or completed unexecutable.

Service Order Request

The Texas SET 650_01 issued from the CR to Municipal or Cooperative and the 650_04 issued from Municipal or Cooperative to the CR indicating completed field work.

Service Request

Same as above.

Business Day

8:00 AM to 5:00 PM CPT Monday through Friday excluding observed company holidays, as outlined on the Municipal or Cooperative website.

Field Operational Day

The normal hours of operation for field services at Municipal or Cooperative. Refer to section VI. Field Service Activities.

Collection Day

The hours of operation for collection and payment services at the CR.

Acronyms included in this document

ANSI	American National Standards Institute
CPT	Central Prevailing Time
CR	Competitive Retailer
DNP	Disconnect for Non-Pay
DSP	Distribution Service Provider
ESI ID	Electric Service Identifier
FSR	Field Service Representative
MVI	Move-In
MVO	Move-Out
PUCT	Public Utility Commission of Texas
REP	Retail Electric Provider
ROR	REP of Record
RNP	Reconnect for Non-Pay
S/O	Service Order
TDSP	Transmission Distribution Service Provider
NEC	Nueces Electric Cooperative Pilot DSP

8.3.1 *Assumptions and Market Processes*

8.3.1.1 CR Certification

Prior to issuing 650_01 for disconnect/reconnect, certified CRs shall have successfully completed market certification testing and have received disconnection authority from the PUCT.

8.3.1.2 Forecasts

CRs will provide to the Municipal or Cooperative on a weekly basis the number of disconnection requests that they estimate will be issued. This will be an Excel spreadsheet reporting the total number of disconnects expected for the next week with the report showing the range of disconnects for each day of that week. Please refer to Appendix C1, Weekly REP Disconnect for Non-Payment Forecast for the CR forecast template. These forecast spreadsheets will be emailed to the designated Municipal or Cooperative contact listed in section 8.3.7.2, Municipals and Cooperatives Disconnect Forecast Contact, of this guide on the Tuesday of the week before that week's activity would begin. The data submitted by CRs in these forecast spreadsheets is confidential and intended to be an estimate *only* that will allow the Municipal or Cooperative to plan and allocate resources in order to complete disconnect and subsequent reconnect service orders.

8.3.1.3 Service Order Dispatching

In order to efficiently manage all types of service requests, field service orders are dispatched in accordance to their respective priority by geographic area.

Below are the field execution priorities associated with Municipal or Cooperative:

- (1) Priority One: Priority and Routine move-ins, Priority and Routine Reconnects, Off Cycle Reads for Switches, move-outs
- (2) Priority Two: move-outs, DNP, Investigation Orders, Re-Read and Maintenance Requests

8.3.1.4 Safety Nets

Disconnects received prior to safety nets will be completed as will the subsequent safety net requests.

If a safety net move-in has been received and completed for a new CR of Record, *but* the supporting EDI transaction has not been received, any subsequent disconnect or move-out requests received by the Municipal or Cooperative will be completed.

Upon notification from the CR of an inadvertent disconnect or move-out that has been completed by the Municipal or Cooperative, the Municipal or Cooperative will restore service following the

Emergency Reconnect procedures outlined in Section 8.3.5.1, Emergency Reconnect of this guide.

Any Municipal or Cooperative charges associated with re-energizing the Customer's Premise will be billed to the CR initiating the safety net move-in. Charges associated with re-energizing a Customer's Premise while completing an Emergency Reconnect as a result of an inadvertent disconnect or move-out will be billed to CR of Record. If necessary the CR of Record will need to use the dispute process to remedy any resulting billing issues.

8.3.2 *Process Overview*

8.3.2.1 Disconnect Process Overview

CR credit cycle reveals ESI ID population subject to DNP.

CR performs internal validations prior to issuing disconnection requests.

CR submits 650_01 for disconnection according to TX SET guidelines no later than one day prior to requested completion date.

Municipal or Cooperative receives 650_01 transaction and performs validations.

For orders that do not pass validations, 650_02 Reject with the appropriate code and reason is sent to CR.

If the transaction does not pass ANSI validation, a negative 997 reject is sent.

Upon successfully validating the 650_01, Municipal or Cooperative creates an internal service order which is then routed and scheduled geographically to the appropriate FSR.

For orders that can not be completed, 650_02 Completed Unexecutable is sent to CR with appropriate code and reason.

For orders that can not be completed on the requested date due to time constraints in the field, Municipal or Cooperative will pend the order and schedule on the next available Field Operational Day.

Municipal or Cooperative completes order and responds to CR with a 650_02 transaction within one business day of completion.

8.3.2.2 Disconnect Process Overview When Municipal or Cooperative Initiates

Municipal or Cooperative credit cycle reveals ESI ID population subject to DNP.

Municipal or Cooperative submits 650_04 for disconnection according to TX SET guidelines within one business day of completion in the field.

8.3.2.3 Reconnect Process Overview

CR confirms customer's satisfactory correction of reasons for disconnect.

CR performs internal validations prior to issuing reconnect request.

CR submits 650_01 for reconnection according to timelines outlined in Municipal or Cooperative Customer Protection Rule.

Municipal or Cooperative receives 650_01 transaction and performs validations.

For orders that do not pass validations, 650_02 Reject with the appropriate code and reason is sent to CR. If the transaction does not pass ANSI validation, a negative 997 reject is sent.

Upon successfully validating the 650_01, Municipal or Cooperative creates an internal service order which is then geographically routed and scheduled to the appropriate FSR to be completed according to the timelines outlined in Municipal or Cooperative Customer Protection Rule

For orders that can not be completed, 650_02 Completed Unexecutable is sent to CR with appropriate code and reason.

Municipal or Cooperative completes order and responds to CR with a 650_02 transaction within one business day of completion.

8.3.2.4 Reconnect Process Overview When DNP was initiated by Municipal or Cooperative

Municipal or Cooperative confirms member's satisfactory correction of reasons for disconnect.

Municipal or Cooperative releases reconnect request to FSR to be completed according to the timelines outlined in Municipal or Cooperative Customer Protection Rules.

Municipal or Cooperative submits 650_04 for reconnection according to TX SET guidelines within one business day of completion in the field.

8.3.3 Transaction Processing

8.3.3.1 Timelines for Transaction Delivery

Suggested timeframes for receipt of Disconnection and Reconnection service order requests:

- (1) **Disconnect** - For routine disconnect requests to be scheduled on the next Field Operational Day transactions must be received by Municipal or Cooperative by 5:00 PM CPT. Disconnect orders received prior to 5:00 PM CPT with a requested date that equals the date submitted will be scheduled for next available Field Operational Day.

Any valid Texas SET approved EDI 650_01 disconnect requests received prior to the next Field Operational Day will be accepted and scheduled for the requested date by Municipal or Cooperative.

- (2) **Reconnect** - For routine reconnect requests to be scheduled no later than the next Field Operational Day, transactions must be sent to Municipal or Cooperative according to the timeframes outlined in customer protection rules established by the Municipal or Cooperative for its service area .

For priority reconnect requests to be scheduled on the same Field Operational Day transactions must be received by the Municipal or Cooperative by 2:00PM of the requested date for reconnect. Priority and after hours reconnect process in VI. B will be applied to all reconnect requests for the same Field Operational Day.

8.3.3.2 Transaction Validations

- (1) **CR validations prior to initiating 650_01** - Prior to issuing 650_01 for disconnection, CRs shall verify that they are still the CR of Record. Further, verifying that a pending disconnect or move-out does not exist will prevent a service request from being rejected. CRs will also verify critical care status of residential customers prior to issuing initial disconnection request.
- (2) **Municipal or Cooperative validations upon receipt of 650_01** - Upon receipt of a disconnect or reconnect service request, NEC may perform the following validations on 650_01 transactions:
- (a) Verify that the CR is certified for disconnection for non-pay transaction processing.
 - (b) Verify that the CR submitting a disconnect request is the CR of Record.
 - (c) Perform ANSI validations on 650_01.
 - (d) Perform TX SET validations on 650_01.
 - (e) Review meter indicators for ESI ID for critical load, critical care, and master metered premise.
 - (f) Verify if a disconnect request is a duplicate.
 - (g) Verify if a reconnect request is a duplicate.
 - (h) Verify if a move-in or switch has been scheduled on the requested date.
 - (i) Verify if amove-out has been received by requesting CR.
 - (j) Verify if the requesting CR is available for reconnection the following day if requested date for disconnection is Friday.

- (k) Identify if reconnect request is a priority reconnect.
- (l) Verify if a weather moratorium is in effect.
- (3) **Municipal or Cooperative validations prior to initiating 650_04** - Municipal or Cooperative will complete the validations listed below before issuing a S/O to the FSR for a disconnect. The 650_04 will be forwarded to the CR after the completion of the disconnect S/O.
 - (a) Verify that a move-in for new member does not exist.
 - (b) Verify that a critical care status does not exist.

8.3.3.3 Competing Orders

Municipal or Cooperative will complete unexecutable a disconnect for non-payment only when the requested date is greater than (after) or equal to the scheduled date of a pending Switch or Move-In and these transactions have been successfully completed changing either the CR of Record and/or the customer for this premise. When a disconnect request is received with a requested date that is less than (before) the scheduled date of a switch or move-in the disconnect requests will be worked. Disconnect orders carried over to next business day may not be worked due to competing order and will be complete unexecutable.

- (1) **Move In** - In order to re-energize a premise that has been disconnected, the new CR of Record's move-in will energize the customer's premise and will be subject to applicable move-in, membership requirements, or reconnect fees per Municipal or Cooperative tariffs.

Table 1. Competing Orders- Move-In

	NEC
650_01 DNP requested date 1 days prior to MVI or Switch	Will work 650_01
650_01 DNP requested date >= MVI or Switch	Reject 650_01
Fee	Connect Fee

A move-in submitted on a premise that has been de-energized for non-payment may still require a permit for completion in certain Municipal or Cooperative areas.

- (2) **Off-cycle Switch** - If the new CR of Record has submitted an *off-cycle* switch Municipal or Cooperative will re-energize the premise, provided the disconnect was completed based on a service request initiated by another CR, and bill applicable off-cycle switch or reconnect charges to the new CR of Record.

Table 2. Competing Orders-Off-cycle Switch

	NEC
Municipal or Cooperative Action	Reenergize premise
Municipal or Cooperative Fee	Connect Charge

If Municipal or Cooperative initiated the DNP (650_04), the premise will not be reconnected until Municipal or Cooperative confirms Customer's satisfactory correction of reasons for disconnect. Off-cycle switch requests for a premise that has been disconnected for non-payment by the Municipal or Cooperative will be rejected to the CR with an 814_04 reject with a reject code A13 and a reason description of "Disconnected for Non-Pay".

- (3) **On-cycle Switch** - If the new CR of Record has submitted an *on-cycle* switch at a premise that has been previously de-energized, Municipal or Cooperative will perform the following action, provided the disconnect was completed based on a service request initiated by another CR:

Table 3. Competing Orders- On-cycle Switch

	NEC
Municipal or Cooperative Action	Perform Meter read
Energize	Yes
Municipal or Cooperative Fee	Connect Charge

If Municipal or Cooperative initiated the DNP (650_04), premise will not be reconnected until Municipal or Cooperative confirms customer's satisfactory correction of reasons for disconnect. On-cycle Switch Requests for a premise that has been disconnected for non-payment by the Municipal or Cooperative will be rejected to the CR with an 814_04 reject with a reject code A13 and a reason description of "Disconnected for Non-Pay".

8.3.3.4 Reconnect/Disconnect Processing Order

If a reconnect request is received before a disconnect request, Municipal or Cooperative will reject the reconnect request immediately using SET code "RWD". Any disconnect requests received after an associated reconnect order has been rejected will be worked by the Municipal or Cooperative. If inadvertent disconnection occurs, then emergency reconnection provisions will be followed.

Table 4. Transaction Processing Order

	NEC
Municipal or Cooperative Action	Reject 650_01 reconnect
Code	RWD

8.3.3.5 Disconnection at Alternate Location

When necessary, service orders without a premium disconnect location indicator (i.e. pole, substation) that can not be completed by the FSR at the meter may be *referred* within one business day to a specialized field group that will disconnect service at the pole or transformer. Service orders *with* premium disconnect location indicator will be immediately referred to specialized field personnel.

When service is disconnected at an alternate location, Municipal or Cooperative will notify the CR on the 650_02 with a code of ‘O’ for “other than at the meter”. For any disconnect performed the appropriate Municipal or Cooperative tariff charges will be applied. When service cannot be disconnected at an alternate location, Municipal or Cooperative will respond with a 650_02 complete unexecutable and the CR will need to contact the Municipal or Cooperative for special consideration.

8.3.3.6 Completed Unexecutable and Rejected Orders

Municipal or Cooperative will issue 650_02s within one business day for rejected service order requests or service orders that can not be completed in the field.

No charges will be applied to service orders that are rejected.

No charges will be applied to service orders that are completed unexecutable prior to dispatch.

(1) The most common causes for service orders that are completed un-executable are:

- (a) Access Issues
- (b) Unsafe Conditions at the Meter
- (c) Reconnect request received before Disconnect performed

(2) Some common causes for rejected service requests are:

- (a) Account already in “active-disconnected” status
- (b) Requesting party not current CR of Record
- (c) Pending move-in, switch or move-out (same CR of Record)

- (d) Account not active

8.3.3.7 Priority Orders

When issuing a 650_01 for service reconnection, CRs may request priority service where available. The following Texas SET codes should be used to indicate priority status on reconnect service orders:

Table 5. Municipal or Cooperative Priority Codes

	<i>NEC</i>
Outside Normal Business Hours	02
Holiday	02

All routine service orders should be submitted with an “01” priority code. Any service order received by a Municipal or Cooperative with a priority code other than those listed above will be processed as a routine service order. If a CR issues a priority reconnect order after issuing a routine reconnect order *and* the routine reconnect order has not been completed, the priority order will trump the routine order provided that a follow up call is placed to the Municipal or Cooperative dispatch.

8.3.3.8 Service order cancellations

In order to cancel a disconnect request that has not been completed, a CR must send a 650_01 reconnect request referencing the BGN02 disconnect to the Municipal or Cooperative. No charges will apply if the reconnect is received prior to dispatching the disconnect request. In order to cancel a reconnect request because the CR may have sent the reconnect in error or for the wrong ESI ID, a CR must send a 650_01 "C" Cancel, referencing the BGN02 of the initiating 650_01 Reconnect Service Order Request.

Service requests that are dispatched and then cancelled by the CR prior to completion will be completed unexecutable and be subject to a cancellation charge by the Municipal or Cooperative. Please refer to the Municipal or Cooperative tariff for applicable charges.

8.3.3.9 Response Transactions

A 650_02 response transaction will be issued by NEC for every 650_01 transaction within one business day upon the following:

- (1) Rejection of service order after performing initial transaction validations
- (2) Completion of the requested field service activity
- (3) Determination by field service personnel of unexecutable status

(4) Cancellations of a requested reconnect request

Municipal or Cooperative will populate the field completion date and time in the 650_02 transaction for successfully completed service order requests.

Due to the exceptional conditions outlined in Section 8.3.5, Exceptions of this guide, CRs will need to follow up with the Municipal or Cooperative if the 650_02 for a disconnect request is not received within 3-5 business days following the requested disconnect date. Inquiries should be submitted via email as follows:

NEC: dlowder@nueceselectric.org

8.3.4 Field Service Activities**8.3.4.1 Disconnection Service Orders**

The following schedule outlines the availability of field service personnel for performing disconnection requests.

Table 6. Field Service Hours-Disconnect

	<i>NEC</i>
Routine	4:00 PM
Priority	Not available
Weekend	Not available
Holiday	Not available
After hours	Not available

Disconnect orders requesting dates beyond the next Field Operational Day will be scheduled and performed by the Municipal or Cooperative according to availability of field service personnel on the requested date. Field activities for disconnection service begin as follows:

NEC: 8:00 AM CPT

Municipal or Cooperative will not disconnect a customer's electric service for nonpayment on a day preceding a weekend or holiday or after hours.

8.3.4.1.1 Disconnection Order Overflow

If a disconnect request can not be completed on the requested day and the next available Field Operational Day immediately precedes a weekend or holiday, the Municipal or Cooperative will pend the order and reschedule the disconnect request on the next available Field Operational Day.

8.3.4.2 Reconnection Service Orders

The following schedules outline the availability of field service personnel for performing reconnection requests:

(1) **Routine Reconnect:**

Any reconnect request, including those for a Premium Disconnect Location (i.e. pole, substation), issued by a CR will be completed by the Municipal or Cooperative no later than the next Field Operational Day as outlined in the Municipal or Cooperative Customer Protection Rules.

Table 7. CR timelines for submitting reconnect request

Payments made on a Business Day:	Reconnection request must be sent by:
Between 8:00AM and 12:00 PM	2:00 PM that business day
Between 12:00 PM and 5:00 PM	7:00 PM that business day
Between 5:00 PM and 7:00 PM	9:00 PM that business day
Between 7:00 PM and 8:00 AM	2:00 PM the next business day
Payments made on a weekend day or holiday	2:00 PM the first business day after the payment is made

(2) **Emergency Reconnects:**

Please refer to Section 8.3.5.1, Emergency Reconnect of this guide for the 24x7 emergency reconnection process and appropriate contacts.

(3) **After Hours Reconnects:**

The Municipal or Cooperative offers after hours reconnect for an additional charge. This reconnect request should be used when submitting a reconnect to be worked outside normal business hours. For a CR to initiate an after hours reconnect, a 650_01 reconnect transaction should be sent, as well as a call to the Municipal or Cooperative's 24x7 Support Center:

NEC: 1-361-387-2581, CR pass code required

The CR's phone call to the Support Center is the only current trigger that will initiate the after hours reconnect. The Municipal or Cooperative also requires any reconnect request to be supported by phone call on reconnect requests submitted after 2pm.

Table 8. Field Service Hours-Reconnection

	<i>NEC</i>
Routine	4:30 PM
Friday	4:30 PM
Priority	24 X 7 Priority Code Required and a phone call with CR pass code
Weekend	24x7 <i>Priority Code Required and a phone call with CR pass code</i>
Holiday	24x7 <i>Priority Code Required and a phone call with CR pass code</i>
After hours	24x7 <i>Priority Code Required and a phone call with CR pass code</i>
Emergency	See Section VII.A. of this document. <i>Priority Code Required</i>

8.3.4.3 Requirements for reconnecting service

Safe access to the meter or premium disconnect location are required to restore service. Evidence of tampering or damage to the meter equipment may result in delayed or completed unexecutable orders when reconnecting service.

The Municipal or Cooperative will *require* inside or outside breakers to be off when performing a reconnection request. CRs are advised to inform customers whose service has been disconnected for non-pay to take appropriate safety measures such as placing all breakers in the “OFF” position and to disconnect any extension cords from a neighboring facility.

8.3.4.4 Customer receipting issue

The Municipal or Cooperative’s FSRs will wait no more than 15 minutes for member to call the CR and have the CR advise the Municipal or Cooperative’s office if receipt is valid and to cancel disconnect request. Cancellation and trip fees will apply.

8.3.4.5 Premise access issues

The Municipal or Cooperative will make every reasonable attempt to gain access to the customer’s premise to complete the service order. These measures may include notifying law enforcement agencies to request assistance or referring the service order to specialized field personnel for disconnection at a premium location. Based upon determinations made in the field at the time the FSR is attempting to disconnect or reconnect, these measures are applied by the Municipal or Cooperative on a case by case basis. The CR may also be requested to assist and participate with this request, as a means to successfully complete the service order.

If access is denied, no additional denial of access fees are applied to a disconnect or reconnect order. These types of orders will be completed unexecutable and the Municipal or Cooperative

will charge the CR a disconnect or reconnect charge based on initiating service order request. The CR will be charged a routine dispatch fee for every time the FSR attempts to complete the service order that was initiated by CR.

8.3.4.6 Door Hanger Policies

Municipal or Cooperatives will offer door hangers as indicated below:

NEC: does not provide door hangers.

8.3.4.7 Meter Seal Policies for Disconnection

Municipal or Cooperative will tag meters as indicated below:

NEC: No meter seal used, meter will be removed if at all possible for all disconnect requests.

8.3.5 Exceptions

8.3.5.1 Emergency Reconnects

There may be times when a customer has been disconnected for non-payment in error. For completed disconnection orders that result in a life threatening situation, PUCT request or are completed inadvertently, CRs will need to contact the Municipal or Cooperative to arrange for an emergency reconnection and identify the reason for the emergency service request. Life threatening situations should be immediately reported to the Municipal or Cooperative 24x 7 support center in order to expedite the reconnection request.

NEC: Contact 24x7 Support Center, 1-361-387-2581 with pass code assigned on Delivery Service Agreement

After initiating an emergency service reconnection with the Municipal or Cooperative 24x7 support center, CRs should submit a follow up email, including a completed Emergency Reconnect Request spreadsheet to the Municipal or Cooperative. Please refer to Appendix C2, Emergency Reconnect Request Data Requirements for the required spreadsheet template. The Municipal or Cooperative email contacts are:

NEC: dnp@nueceselectric.org, 650_01 RC001 required.

8.3.5.2 Critical Load

In the interest of public safety, disconnection requests for non-residential customers that have been identified by the Municipal or Cooperative as critical or sensitive load will be either rejected with an A13 code with remarks that will reflect Life Support/Critical care or completed unexecutable with a reason code of V002 Life Support Customer.

NEC: Disconnect request is completed unexecutable

In the event that a life threatening situation is discovered or the FSR determines that the premise qualifies as a Critical Load although currently not indicated as such, the disconnect request will be completed unexecutable with reason code V002-Life Support Customer. There will be No charges billed to the CR for service orders completed unexecutable orders would be billed to the CR under this scenario.

Upon discovery of red lights or equipment associated with supporting air traffic control or other associated FAA activities, FSR will complete unexecutable the disconnect request. In the Municipal or Cooperative territory, CRs requesting to disconnect service for FAA related premises must contact the Municipal or Cooperative to arrange for disconnection. CRs will need to coordinate with their CR Relations managers at the Municipal or Cooperative to complete disconnection requests for critical load premises.

8.3.5.3 Critical Care

Disconnection requests received by the Municipal or Cooperative for residential customers that the Municipal or Cooperative has identified as critical care will be completed unexecutable with reason code V002.

8.3.5.4 Field Service Exceptions

In the event that a life threatening or hazardous situation is discovered or the FSR determines that the premise qualifies as either a Critical Load or Critical Care although currently not indicated as such, the disconnect request will be completed unexecutable with reason code V002-Life Support Customer.

NEC will process these types of field exceptions as follows:

NEC shall not suspend or disconnect Retail Customer when such disconnection will cause a dangerous or life-threatening condition on that Retail Customer's premise, without prior notice of reasonable length such that Retail Customer can ameliorate the condition. Retail Customer is responsible for notifying its designated Competitive Retailer if disconnection to its facility will result in such a condition.

Per NEC Customer Protection Rule:

If, in the normal performance of its duties, NEC obtains information that a member scheduled for disconnection may qualify for delay of disconnection pursuant to this subsection, and NEC reasonably believes that the information may be unknown to the CR, NEC shall delay the disconnection and promptly communicate the information to the CR. NEC shall disconnect such customer if it subsequently receives a confirmation of the disconnect notice from the CR. Nothing herein should be interpreted as requiring NEC to assess or to inquire as to the member's status before performing a disconnection, or to provide prior notice of the disconnection, when not otherwise required. NEC will also provide documentation to member to register and/or renew critical care status.

8.3.5.5 Weather Moratoriums

All Market Participants should monitor www.nws.noaa.gov for the following conditions that would establish a weather moratorium. Weather moratorium may be invoked in a service territory at any time during the day when one of the following conditions exists in a county as outlined in the Municipal or Cooperative Customer Protection Rule:

Table 10. Extreme weather emergency due to cold:

<i>The previous day's highest temperature did not exceed 32°F and the predicted temperature for the next 24 hours is at or below 32°F. (Both conditions must be met before disconnection activity is suspended in a service territory).</i>							
	Saturday	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday
Example I	28°F	28°F	32°F No Disconnect	34°F Disconnect	34°F Disconnect	32°F Disconnect	32°F No Disconnect
Example II	28°F	28°F	32°F No Disconnect	32°F No Disconnect	34°F Disconnect	32°F Disconnect	45°F Disconnect
Example III	28°F	28°F	32°F No Disconnect	30°F No Disconnect	34°F Disconnect	32°F Disconnect	25°F No Disconnect

Table 11. Extreme weather emergency due to heat:

<i>The National Weather Service issues a heat advisory for that day or on any one of the preceding two calendar days.</i>							
	Saturday	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday
Example I	Heat Advisory in Effect	Heat Advisory in Effect	Heat Advisory in Effect No Disconnect	No Heat Advisory No Disconnect	No Heat Advisory No Disconnect	No Heat Advisory Disconnect	Heat Advisory in Effect No Disconnect
Example II	Heat Advisory in Effect	No Heat Advisory	No Heat Advisory No Disconnect	No Heat Advisory Disconnect	Heat Advisory in Effect No Disconnect	No Heat Advisory Disconnect	No Heat Advisory No Disconnect

(1) Disconnection Activity During Extreme Weather

In the event that one of the above conditions exists in a county served by the Municipal or Cooperative, the PUCT and CRs will be notified via email that a weather moratorium has been invoked and that disconnection activity has been suspended as follows:

NEC: By Service Territory

CRs will need to provide their company contact to their CR Relations Manager at each Municipal or Cooperative in order to receive these weather notifications.

For the duration of the weather moratorium, CRs shall not issue disconnection request for any affected areas. Any disconnection requests issued for premises in counties or service territories that are experiencing a weather moratorium will be processed as follows:

NEC: Completed Unexecutable

Disconnection requests that are pending completion by the Municipal or Cooperative at the time a weather moratorium is established will be processed as follows:

NEC: Completed Unexecutable

Disconnection requests that are completed unexecutable by the Municipal or Cooperative during a weather moratorium should be re-issued by the CR at the time the moratorium is lifted.

In the event of a PUCT mandated weather moratorium for an extend length of time, 7-calendar days or more, the CR will cancel all pending disconnect requests with 650_01 reconnect requests until the PUCT has declared that the weather moratorium has been

lifted. This would prevent any outstanding and/or pending disconnect requests from being completed after the moratorium is lifted where customers may have made payments during that time period, also the Municipal or Cooperative would now be working with and scheduling more up to date DNP transactions.

(2) **Reconnection Activity During Extreme Weather**

All types of reconnect request will be processed by the Municipal or Cooperative during a weather moratorium.

Reconnect requests received for pended disconnect orders will be processed in order to cancel the disconnect request. Reconnect requests received for disconnect completed prior to an extreme weather event are processed and dispatched according to applicable timeframes during a weather moratorium.

8.3.5.6 Force Majeure

Force Majeure is defined in the Municipal or Cooperative Terms and Conditions.

NEC tariffs a Force Majeure event is defined as:

‘Neither Company nor Competitive Retailer shall be liable in damages for any act or event that is beyond such party's control and which could not be reasonably anticipated and prevented through the use of reasonable measures, including, but not limited to, an act of God, act of the public enemy, war, insurrection, riot, fire, explosion, labor disturbance or strike, wildlife, unavoidable accident, equipment or material shortage, breakdown or accident to machinery or equipment, or good faith compliance with a then valid curtailment, order, regulation or restriction imposed by governmental, military, or lawfully established civilian authorities, including any order or directive of the Independent Organization.’

During a Force Majeure event, the Municipal or Cooperative will process service requests as follows:

NEC: Disconnect or reconnect requests will be completed unexecutable during a Force Majeure event.

Once a Force Majeure event has concluded and the Municipal or Cooperative has re-established routine operations, CRs should submit any service requests for ESI IDs that still qualify for disconnection or reconnection.

The Municipal or Cooperative will notify the market of the establishment and conclusion of a force majeure event via their CR Relations or Account Management teams.

8.3.5.7 Master Metered Premises

Prior to issuing a disconnection request for a master metered premise, the CR or the Municipal or Cooperative initiating the disconnection request must fulfill the tenant notification requirements outlined in the Municipal or Cooperative Customer Protection Rule.

Disconnection requests received for a master metered premise will be completed unexecutable by the Municipal or Cooperative. The requesting CR will need contact the Municipal or Cooperative to coordinate the disconnection of the master metered premise as follows:

NEC: contact dnp@nueceselectric.org.

8.3.5.8 Unmetered Service

An unmetered service that is not a critical load premise or that does not present a hazardous condition if disconnected will be subject to the same processing as metered services for disconnection and reconnection.

For all other unmetered services, disconnection requests will be completed unexecutable upon receipt or following field investigation. The requesting CR will need to contact the Municipal or Cooperative to coordinate the disconnection request as follows:

NEC: contact dnp@nueceselectric.org

8.3.5.9 Multiple Metered Service (not Master Metered)

For Municipal or Cooperatives that have multiple meters associated with an ESI ID, any 650_01 service order, whether for disconnection or reconnection, will be executed for all meters associated with that premise. CRs will need to submit 650_01s for multiple meters as follows:

NEC: No multiple metered premises in service territory as of February 23, 2005

8.3.5.10 Meter Tampering Issues

While performing a disconnection of service a FSR may discover that there has been tampering at the meter. If the FSR determines that the degree of tampering does *not* present a hazardous condition, the disconnection will be completed. If the meter tampering has created an unsafe condition, the disconnection request may be referred to specialized field personnel to attempt to complete the disconnection request at an alternate location as outlined in *Disconnection at Alternate Location* of this guide. If disconnection can not be completed as a result of the tampering incident the disconnection request will be completed unexecutable and the Municipal or Cooperative will notify the CR of the hazardous condition and, if applicable, meter removal by issuing a 650_04.

Tampering may also be detected when a FSR is performing a reconnection request or when re-energizing a disconnected premise while performing a switch or move-in. The Municipal or Cooperative's FSR will contact the Municipal or Cooperative's offices and advise the supervisor of the detected tampering. At the discretion of the supervisor, the Municipal or Cooperative will not reconnect service and will likely notify local law enforcement of the possible tampering. Only after all facts and any applicable monies owed by the member as a result from the tampering have been paid to the Municipal or Cooperative (e.g. deposits, reconnect, tampering fees, etc.) will the service be reenergized regardless of the initiating party. If the meter

tampering has created an unsafe condition, the 650_01 reconnection request will be completed unexecutable and the Municipal or Cooperative will notify the CR of the hazardous condition and, if applicable, meter removal by issuing either a 650_02 completed unexecutable or 650_04.

Please refer to the Municipal or Cooperative tariffs for specific charges regarding meter tampering.

If the CR is notified of potential meter tampering at a premise, the CR may notify the Municipal or Cooperative via a 650_01 MM006 service order for tampering suspected if they are currently the CR of Record and are an Option 1 CR. Any CR may report suspected tampering at any time by contacting the Municipal or Cooperative general call center phone number.

8.3.5.11 Customer Threatens Municipal or Cooperative FSR

If threatened by the customer, the FSR will not disconnect service. However, the FSR may refer the disconnection request to another group specialized in disconnecting service at the pole, transformer (overhead and pad mounted), or weather head. Similar to resolving access issues, the Municipal or Cooperative will exhaust all means available, which may include communicating with the CR to request their assistance and participation, as a means to successfully complete the service request. The CR will be charged a routine dispatch fee for every time the FSR attempts to complete the service order that was initiated by CR.

8.3.6 *Municipal or Cooperative Charges for Reconnect and Disconnect Services*

8.3.6.1 Discretionary Charges

SAC04 codes for discretionary charges resulting for disconnection or reconnection service are outlined below:

Table 12. SAC04 Codes-Discretionary Charges

Charge Description	Service Territory
	NEC
<i>Disconnection</i>	
Routine Disconnect at Meter	N/A
Routine Disconnect at Pole	N/A
Priority Disconnect at Meter	N/A
Priority Disconnect at Pole	N/A
Priority Disconnect at Subsurface Box	N/A
<i>Reconnection</i>	
Routine Reconnect at Meter	SER030
Routine Reconnect at Meter Special Route	SER031
Routine Reconnect at Pole	SER030

Charge Description	Service Territory
	NEC
Routine Reconnect at Subsurface Box	SER030
Routine Reconnect at CT Meter	SER034
Priority Reconnect at Meter	SER029
Priority Reconnect at Pole	SER035
Priority Reconnect at Subsurface Box	SER035
Priority Reconnect at CT Meter	SER035
Weekend Reconnect at Meter	SER032
Weekend Reconnect at Pole	SER035
Weekend Reconnect at Subsurface Box	SER035
Weekend Reconnect at CT Meter	SER035
Holiday Reconnect at Meter	SER032
Holiday Reconnect at Pole	SER035
Holiday Reconnect at Subsurface Box	SER035
Holiday Reconnect at CT Meter	SER035
After Hours Reconnect at Meter	SER032
After Hours Reconnect at Pole	SER035
After Hours Reconnect at Subsurface Box	SER035
After Hours Reconnect at CT Meter	SER035
<i>Denial of Access to Meter</i>	
For Disconnection Orders	SER133
For Reconnections Orders	SER133
<i>Order Cancellation Fees</i>	
Disconnect Administration Fee	N/A
Dispatched Order Fee	N/A
Routine Dispatch	SER132
<i>Tampering Charges</i>	
Broken Meter Seal Fee	SER130
Meter Tampering Fee	SER072
<i>Connection Fees</i>	
Connect Fee/Connection Charge at Meter/Account Activation Fee	SER019

8.3.6.2 Other Charges

Non-usage based charges will continue to be assessed by the Municipal or Cooperative and may be billed to the CR of Record until service at the disconnected premise has been terminated upon completion of a Move-Out Request. Non-usage based charges are:

- (1) Customer Charge: NEC: bills member directly for these charges
- (2) Customer Metering Charge: NEC: not applicable

In order to avoid ongoing liability, a CR must submit a Move-Out Request to terminate service no earlier than 5 calendar days after receipt of a 650_04 or 650_02 indicating successful completion of disconnect for nonpayment. Competitive Retailers receiving reliable information indicating premise is vacant may submit move-out earlier. Upon completion of the move-out order the Municipal or Cooperative will discontinue billing any non-usage based charges outlined above to the CR. A CR's financial liability for a disconnected premise is removed upon the completion of a move-out. Until a move-out is effectuated, the REP will remain the REP of Record and will re-energize the customer's premise upon remedy of the reason for disconnection if necessary. Whether prior to or after the completion of the Move-Out Request, the CR will re-establish service to the extent required under the Municipal or Cooperative Customer Protection Rules.

8.3.6.3 Municipal or Cooperative Tariffs

Please refer to the appropriate rate class for each Municipal or Cooperative tariff for rates. Municipal or Cooperative tariffs are located on the following links:

NEC: www.nueceselectric.org

8.3.7 Contacts

8.3.7.1 Emergency System Outage

In the event of a system outage during business hours and a CR can not submit EDI transactions, CR should contact their CR Relations manager at the Municipal or Cooperative to arrange for a workaround in order to submit reconnect service order requests. For system outages that occur outside business hours CRs should contact the Municipal or Cooperative as follows:

NEC: For system outages contact your CR Relations Manager,
1-361-387-2581

8.3.7.2 Municipals and Cooperatives Disconnect Forecast Contact

NEC: dnp@nueceselectric.org

8.3.7.3 Municipals and Cooperatives Website available information

NEC: www.nueceselectric.org

8.3.7.4 Municipals and Cooperatives general call center phone number

NEC: 1-361-387-2581

**Retail Market Guide
Section 9: Appendices**

October 1, 2007

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9 APPENDICES

Appendix A1

CR Safety Net Request

[illegible]

Appendix A2

TDSP MVI Safety Net Response

ESI	MVI Street Address	MVI Apartment Number	MVI Zip Code	MVI City	CR Name (D/B/A Preferred)	MVI Request Date	BGN02 (optional)	TDU Return Code	Completed Unexecutable Description (optional)

Appendix B1

Standard Letter of Authorization for the Request of Historical Usage Information (English)

Date: _____

Expiration Date: _____

LIST TDU (REQUIRED; List TDUs that apply to request)

☐ Oncor Electric Delivery☐ CenterPoint☐ Sharyland☐ AEP☐ TNMP☐ Entergy Texas

Please accept this letter as a formal request and authorization for the above referenced Distribution Company (TDU) to release energy usage data, including kWh, kVA or KW, and interval data (if applicable) at the following location(s) to <<(NAME OF CR/representative)>>. This information request shall be limited to no more than the most recent 12-month period of service. If the ESI ID(s) are IDR accounts, please indicate whether summary level and/or interval data is required.

☐ Summary Billing Data Only☐ Interval Data Only☐ Both Summary and Interval Data

Please forward usage and load information in electronic (Microsoft Excel) format to: E-mail: <<(EMAIL ADDRESS OF CR REPRESENTATIVE)>>

If an attachment is used, please use a separate attachment per TDSP with the ESI IDs that are specific to a TDSP. TDSP will reject if ESI IDs are submitted that are not associated with their territory.

Service AddressESI ID Number (found on bill)

AUTHORIZATION

I affirm that I have the authority to make and sign this request on behalf of my company for all ESI IDs that are associated with this request.

(Signature)_____
(Company)

☐ By checking this box, the Customer identified below and (Requesting party)_____ affirm that the authorizing signature is the Customer identified below and hold the TDU harmless for providing the historical data to requested party as identified on this form.

(Name, printed)

(Billing Street Address)

(Title)

(City, State, Zip Code)

(Telephone Number)

Appendix B2

Carta De Autorizacion Para La Solicitud De Informacion Historica De Consumo (Letter of Authorization for the Request of Historical Usage Information – Spanish)

Fecha: _____

Fecha de vencimiento: _____

LISTA DE TDU (REQUERIDO : Enliste las TDU que se apliquen a la solicitud)

☐ Oncor Electric Delivery☐ CenterPoint☐ Sharyland☐ AEP☐ TNMP☐ Entergy Texas

Favor de aceptar la presente como una solicitud y autorización formal para que la Compañía Distribuidora (TDU) mencionada anteriormente dé a conocer datos sobre el uso de energía, incluyendo kWh, kVA o KW, así como datos de intervalos (de ser aplicable) de los siguientes sitios a <<(NAME OF CR/representative)>>. Esta solicitud de información estará limitada solamente al período de servicio de 12 meses más reciente. Si los ESIDs son cuentas del IDR, indique por favor si los datos sumarios de nivel y/o intervalo estan requeridos.

☐ Datos sumarios Facturacion _____ ☐ Datos del intervalo _____ ☐ Datos del sumario y del intervalo

Favor de enviar la información de uso y carga en formato electrónico (Microsoft Excel) a: Correo electrónico:

<<(EMAIL ADDRESS OF CR REPRESENTATIVE)>>

Domicilio del servicio
Eléctrico

Número del Identificador de Servicio

(en la factura)

AUTORIZACIÓN

Declaro que tengo la autoridad para hacer esta solicitud y firmarla a nombre de mi compañía, para todos los Identificadores de Servicio Eléctrico que estén relacionados con esta solicitud.

(Firma)

(Compañía)

☐ En marcar la casilla correspondiente, el cliente identificado debajo y (Nombre de CR/REP/EI Partido Que Solicita)_____ declaran que la firma que autoriza es del cliente y mantiene el TDU inocuo de los datos históricos identificado y solicitado en esta forma.

(Nombre, en letra de imprenta)

(Domicilio de facturación)

(Puesto)

(Ciudad, estado, código postal)

(Número telefónico)

Appendix B3

Excel Format to be Completed by the Requestor as an Attachment to the Letter of Authorization

	Requestor Name:		
	TDSP:		
	Customer Name:		
	ESI ID		Service Address (Optional)
1		1	
2		2	
3		3	
4		4	
5		5	
6		6	
7		7	
8		8	
9		9	
10		10	
11		11	
12		12	
13		13	
14		14	
15		15	
16		16	
17		17	
18		18	
19		19	
20		20	
21		21	

Appendix B4

Excel Format Used by the TDSP to Provide Data to the Requestor

ESI ID	Customer Name	Rate Class/Code	Zip Code	Metered KW	Actual KWH	Billed KW	TDSP Charges	Start Date	End Date	Meter Read Cycle	Service Address 1	Service Address 2	Service Address 3	Load Profile	Power Factor	ERCOT Region	Metered KVA	Billed KVA
1008901000333333333333	*	111	77067	0	489	0	0	2002-11-26	2002-12-26	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
1008901000333333333333	*	111	77067	0	538	0	0	2002-12-24	2003-01-24	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
1008901000333333333333	*	111	77067	0	23	0	0	2003-01-26	2003-02-26	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
1008901000333333333333	*	111	77067	0	0	0	0	2003-02-06	2003-03-06	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
1008901000333333333333	JOE DOE	111	77067	0	499	0	0	2003-04-27	2003-05-27	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
1008901000333333333333	JOE DOE	111	77067	0	510	0	0	2003-05-25	2003-06-25	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
1008901000333333333333	JOE DOE	111	77067	0	444	0	0	2003-06-24	2003-07-24	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
1008901000333333333333	JOE DOE	111	77067	0	616	0	0	2003-07-25	2003-08-25	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
1008901000333333333333	JOE DOE	111	77067	0	494	0	0	2003-08-24	2003-09-24	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
1008901000333333333333	JOE DOE	111	77067	0	267	0	0	2003-09-23	2003-10-23	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
1008901000333333333333	JOE DOE	111	77067	0	354	0	0	2003-10-20	2003-11-20	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
1008901000333333333333	JOE DOE	111	77067	0	830	0	0	2003-11-26	2003-12-26	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0

Appendix C1

Weekly REP Disconnect for Non-Payment Forecast

Date Report Created:	6/1/2004							
Time Report Created:	9:00 AM							
CR DUNS	12345678							
CR Contact Name	John Young							
CR Contact Phone	713-201-1111							
CR Contact Email Address	john.young@CRDNP.com							
Weekly Disconnect for Non-Payment Forecast Sunday - Saturday								
Day of Week	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Total for Week
Requested Date	6/6/2004	6/7/2004	6/8/2004	6/9/2004	6/10/2004	6/11/2004	6/12/2004	
Total Number per day	0	100-150	50-100	50-100	50-100	0	0	450

Appendix C2

Emergency Reconnect Request Data Requirements

[illegible]

Appendix C3

**Texas-New Mexico Power Company Service Territory Zone to Zip Code
Table**

SERVICE TERRITORY	ZIP CODE	SERVICE TERRITORY	ZIP CODE	SERVICE TERRITORY	ZIP CODE
CENTRAL	70631	GULF COAST	77515	NORTH CENTRAL	75475
CENTRAL	76043	GULF COAST	77539	NORTH CENTRAL	75485
CENTRAL	76048	GULF COAST	77546	NORTH CENTRAL	75487
CENTRAL	76050	GULF COAST	77565	NORTH CENTRAL	75489
CENTRAL	76055	GULF COAST	77566	NORTH CENTRAL	75490
CENTRAL	76070	GULF COAST	77568	NORTH CENTRAL	75491
CENTRAL	76077	GULF COAST	77573	NORTH CENTRAL	76027
CENTRAL	76093	GULF COAST	77581	NORTH CENTRAL	76038
CENTRAL	76401	GULF COAST	77584	NORTH CENTRAL	76046
CENTRAL	76433	GULF COAST	77588	NORTH CENTRAL	76057
CENTRAL	76436	GULF COAST	77590	NORTH CENTRAL	76227
CENTRAL	76442	GULF COAST	77591	NORTH CENTRAL	76251
CENTRAL	76453	GULF COAST	77592	NORTH CENTRAL	76255
CENTRAL	76455	GULF COAST	77598	NORTH CENTRAL	76258
CENTRAL	76457	NORTH CENTRAL	75003	NORTH CENTRAL	76261
CENTRAL	76463	NORTH CENTRAL	75019	NORTH CENTRAL	76265
CENTRAL	76472	NORTH CENTRAL	75029	NORTH CENTRAL	76271
CENTRAL	76475	NORTH CENTRAL	75056	NORTH CENTRAL	76301
CENTRAL	76476	NORTH CENTRAL	75057	NORTH CENTRAL	76305
CENTRAL	76528	NORTH CENTRAL	75067	NORTH CENTRAL	76357
CENTRAL	76531	NORTH CENTRAL	75077	NORTH CENTRAL	76365
CENTRAL	76538	NORTH CENTRAL	75096	NORTH CENTRAL	76370
CENTRAL	76580	NORTH CENTRAL	75117	NORTH CENTRAL	76372
CENTRAL	76627	NORTH CENTRAL	75407	NORTH CENTRAL	76374
CENTRAL	76629	NORTH CENTRAL	75409	NORTH CENTRAL	76377
CENTRAL	76634	NORTH CENTRAL	75412	NORTH CENTRAL	76427
CENTRAL	76636	NORTH CENTRAL	75413	NORTH CENTRAL	76450
CENTRAL	76638	NORTH CENTRAL	75414	NORTH CENTRAL	76459
CENTRAL	76649	NORTH CENTRAL	75416	NORTH CENTRAL	76460
CENTRAL	76652	NORTH CENTRAL	75417	NORTH CENTRAL	76481
CENTRAL	76657	NORTH CENTRAL	75423	WEST	78851
CENTRAL	76665	NORTH CENTRAL	75424	WEST	79719
CENTRAL	76671	NORTH CENTRAL	75434	WEST	79730
CENTRAL	76689	NORTH CENTRAL	75435	WEST	79735
CENTRAL	76690	NORTH CENTRAL	75436	WEST	79740
CENTRAL	76692	NORTH CENTRAL	75440	WEST	79745
GULF COAST	77422	NORTH CENTRAL	75442	WEST	79772
GULF COAST	77463	NORTH CENTRAL	75452	WEST	79777
GULF COAST	77480	NORTH CENTRAL	75453	WEST	79785
GULF COAST	77486	NORTH CENTRAL	75462	WEST	79788
GULF COAST	77511	NORTH CENTRAL	75468	WEST	79789
GULF COAST	77512	NORTH CENTRAL	75472	WEST	79848

Appendix D

Transaction Timing Matrix

Transaction	From	To	Timing/Business Rules	Example/Protocol Reference Section
814_01	CR	ERCOT	N/A	Protocol Section 15.1.1.1
814_02	ERCOT	CR	One (1) Retail Business Day	814_01 Received by ERCOT on Monday @ 1500 = Day 0 814_02 Sent to CR by Tuesday @ 1700 = Day 1 Protocol Section 15.1.1.9
814_03 (Switch)	ERCOT	TDSP	One (1) Retail Business Day	814_01 Received by ERCOT on Monday @ 1500 = Day 0 814_03 Sent to TDSP by Tuesday @ 1700 = Day 1 Protocol Section 15.1.1.4
814_03 (Move-Out CSA)	ERCOT	TDSP	Two (2) Retail Business Hours	814_24 Processed by ERCOT on Monday @ 1500 = Hour 0 814_03 Sent to TDSP by Monday @ 1700 = Hour 2 Protocol Section 15.1.5.3
814_03 (Priority Move-In)	ERCOT	TDSP	One (1) Retail Business Hour	Priority 814_16 Processed by ERCOT on Monday @ 1500 = Hour 0 814_03 Sent to TDSP by Monday @ 1600 = Hour 1 Protocol Section 15.1.4.4 (EXCEPTION: “Invalid ESI ID” requires 48 hours for ERCOT to reject)
814_03 (Standard Move-In)	ERCOT	TDSP	Two (2) Retail Business Hours	Standard 814_16 Processed by ERCOT on Monday @ 1500 = Hour 0 814_03 Sent to TDSP by Monday @ 1700 = Hour 2 Protocol Section 15.1.4.4 (EXCEPTION: “Invalid ESI ID” requires 48 hours for ERCOT to reject)
814_04	TDSP	ERCOT	Two (2) Retail Business Days	814_03 Received by TDSP on Monday @ 1500 = Day 0 814_04 Sent to ERCOT by Wednesday @ 1700 = Day 2 Protocol Section(s) 15.1.4.5 (Move-In), 15.1.5.4 (Move-Out CSA), 15.1.1.5 (Switch), 15.1.3 (Mass

Transaction	From	To	Timing/Business Rules	Example/Protocol Reference Section
				Transition)
814_05	ERCOT	CR	One (1) Retail Business Day	814_04 Received by ERCOT on Monday @ 1500 = Day 0 814_05 Sent to CR by Tuesday @ 1700 = Day 1 Protocol Section(s) 15.1.1.6 (Switch) and 15.1.4.6 (Move-In)
814_06 (Move-In)	ERCOT	CR	Two (2) Retail Business Days PRIOR to effectuating date	<u>EXAMPLE 1:</u> Move-In effectuating date is Wednesday, 6/10. 814_06 Sent by 0800 on Monday, 6/8. <u>EXAMPLE 2:</u> Move-In effectuating date is Monday, 7/10. 814_06 Sent by 0800 on Thursday 7/5 (NOTE: exclude Saturday & Sunday) Protocol Section 15.1.4.17
814_06 (Switch)	ERCOT	CR	Five (5) Retail Business Days PRIOR to effectuating date	<u>EXAMPLE 1:</u> Switch effectuating date is Friday, 8/10. 814_06 Sent by 0800 on Friday, 8/3. (NOTE: exclude Saturday & Sunday) <u>EXAMPLE 2:</u> Switch effectuating date is Wednesday 9/10. 814_06 Sent by 0800 on Wednesday, 9/3 (NOTE: exclude Saturday & Sunday) Protocol Section 15.1.1.7
814_07 (Switch)	CR	ERCOT	Two (2) Retail Business Days	814_06 Received by CR on Monday @ 1500 = Day 0 814_07 Sent to ERCOT by Wednesday @ 1700 = Day 2 Protocol Section 15.1.1.7 (Switch)
814_07 (Move-In)	CR	ERCOT	One (1) Retail Business Day	814_06 Received by CR on Monday @ 1500 = Day 0 814_07 Sent to ERCOT by Wednesday @ 1700 = Day 1 Protocol Section(s) 15.1.4.7 (Move-In), 15.1.9.4 (Move-In), 15.1.10.4 (CSA)
814_08 (CR Initiated)	CR	ERCOT	N/A	CR must send the Cancel BEFORE: Five (5) Retail Business Days prior to the effectuating Switch date Two (2) Retail Business Days prior to the effectuating move-in date Two (2) Retail Business Days prior to the effectuating move-out date Protocol Section 15.1.8
814_08 (CR Initiated)	ERCOT	TDSP	Two (2) Retail Business Hours	814_08 Received by ERCOT on Monday @ 1500 = Day 0 814_08 Sent to TDSP by Monday @ 1700 = Day 0 Protocol Section 15.1.8
814_08 (ERCOT Initiated)	ERCOT	CR TDSP	N/A	AFTER the twenty (20) Business Day expiration OR the effectuating date of the Switch/Move-In – TDSP has NOT

Transaction	From	To	Timing/Business Rules	Example/Protocol Reference Section
				sent the 814_04 Protocol Section(s) 15.1.1.5 (Switch) and 15.1.4.5 (Move-In) or Customer Objection Protocol Section 15.1.1.5
814_09	CR	ERCOT	One (1) Retail Business Day	814_08 Received by CR on Monday @ 1500 = Day 0 814_09 Sent to ERCOT by Tuesday @ 1700 = Day 1 Protocol Section(s) 15.1.1.5 (Switch), 15.1.4.5 (Move In), and 15.1.4.4 (Move Out)
814_09	TDSP	ERCOT	One (1) Retail Business Day	814_08 Received by TDSP on Monday @ 1500 = Day 0 814_09 Sent to ERCOT by Tuesday @ 1700 = Day 1 Protocol Section (s) 15.1.1.6 (Switch), 15.1.4.5 (Move-In), and 15.1.5.4 (Move-Out)
814_09	ERCOT	CR	Two (2) Retail Business Hours	814_09 Received by ERCOT on Monday @ 1500 = Day 0 814_09 Sent to CR by Monday @ 1700 = Day 0 Protocol Section 15.1.8
814_10 (No longer used)	NA	NA	N/A	Protocol Section 15.1.2
814_11 (ERCOT Reject)	ERCOT	CR	One (1) Retail Business Day	814_10 Received by ERCOT on Monday @ 1500 = Day 0 814_11 REJECT Sent to CR by Tuesday @ 1700 = Day 1 Protocol Section 15.1.2
814_11 (Mass Transition)	ERCOT	CR	One (1) Retail Business Day	814_04 Received by ERCOT on Monday @ 1500 = Day 0 814_11 Sent to CR by Tuesday @ 1700 = Day 1 Protocol Section 15.1.3
814_12 (CR Initiated)	CR	ERCOT	N/A	Protocol Section 15.1.7
814_12 (CR Initiated)	ERCOT	TDSP	Two (2) Retail Business Hours	814_12 Received by ERCOT on Monday @ 1500 = Day 0 814_12 Sent to TDSP by Monday @ 1700 = Day 0 Protocol Section 15.1.7
814_13	CR	ERCOT	One (1) Retail Business Day	814_12 Received by CR on Monday @ 1500 = Day 0 814_13 Sent to ERCOT by Wednesday @ 1700 = Day 2 Protocol Section 15.1.7

Transaction	From	To	Timing/Business Rules	Example/Protocol Reference Section
814_13	TDSP	ERCOT	Two (2) Retail Business Days	814_12 Received by TDSP on Monday @ 1500 = Day 0 814_13 Sent to ERCOT by Tuesday @ 1700 = Day 2 Protocol Section 15.1.7
814_13	ERCOT	CR	Two (2) Retail Business Hours	814_12 Received by ERCOT on Monday @ 1500 = Day 0 814_13 Sent to CR by Monday @ 1700 = Day 0 Protocol Section 15.1.7
814_14 (Mass Transition)	ERCOT	CR	One (1) Retail Business Day	814_04 Received from TDSP on Monday @ 1500= Day 0 814_14 Sent to POLR by Tuesday @ 1700 = Day 1 Protocol Section 15.1.3
814_15	CR	ERCOT	N/A	Protocol Section 15.1.3
814_16 (Priority Move- In)	CR	ERCOT	N/A	Protocol Section 15.1.4.2
814_16 (Standard Move- In)	CR	ERCOT	N/A	Protocol Section 15.1.4.2
814_17	ERCOT	CR	One (1) Business Hour	EXCEPTION: Move-In that is invalid because of “Invalid ESI ID” Requires 48 hours for ERCOT to reject. Protocol Section 15.1.4.2
814_18	CR	ERCOT	N/A	Protocol Section 15.1.9.1
814_18	ERCOT	CR	One (1) Retail Business Day	814_18 Received by ERCOT on Monday @ 1500 = Day 0 814_18 Sent to CR by Tuesday @ 1700 = Day 1 Protocol Section 15.1.9.1
814_19	ERCOT	CR	One (1) Retail Business Day	814_18 Received by ERCOT on Monday @ 1500 = Day 0 814_19 Sent to CR by Tuesday @ 1700 = Day 1 Protocol Section 15.1.9.1
814_19	CR	ERCOT	One (1) Retail Business Day	814_18 Received by CR on Monday @ 1500 = Day 0 814_19 Sent to ERCOT by Tuesday @ 1700 = Day 1 Protocol Section 15.1.9.1
814_20	TDSP	ERCOT	N/A	Protocol Section 15.4.1.4
814_20 (Maintain)	ERCOT	CR	Four (4) Retail Business Hours	814_20 Received by ERCOT on Monday @ 0800 = Day 0 814_20 Sent to CR by Monday @ 1200 = Day 0 Protocol Section 15.5

Transaction	From	To	Timing/Business Rules	Example/Protocol Reference Section
814_21 (Maintain or Retire)	ERCOT	TDSP	Four (4) Retail Business Hours	814_20 Received by ERCOT on Monday @ 0800 = Day 0 814_20 Sent to TDSP by Monday @ 1200 = Day 0 Protocol Section 15.5
814_21 (Creates)	ERCOT	TDSP	One (1) Retail Business Hour	814_20 Received by ERCOT on Monday @ 1500 = Day 0 814_21 Sent to TDSP by Monday @ 1600 = Day 0 Protocol Section 15.4.1.4
814_21	CR	ERCOT	One (1) Retail Business Day	814_20 Received by CR on Monday @ 1500 = Day 0 814_21 Sent to ERCOT by Tuesday @ 1700 = Day 1 Protocol Section 15.5
814_22	ERCOT	CSA CR	Two (2) Retail Business Days PRIOR to effectuating date	<u>EXAMPLE 1:</u> Move-Out effectuating date is Wednesday, 6/10. 814_22 Sent by 0800 on Monday, 6/8. <u>EXAMPLE 2:</u> Move-Out effectuating date is Monday, 7/10. 814_22 Sent by 0800 on Thursday 7/5 (NOTE: exclude Saturday & Sunday) Protocol Section 15.1.9.3
814_23	CSA CR	ERCOT	One (1) Retail Business Day	814_22 Received by CSA CR on Monday @ 1500 = Day 0 814_23 Sent to ERCOT by Tuesday @ 1700 = Day 1 Protocol Section 15.1.9.3
814_24	CR	ERCOT	N/A	Protocol Section 15.1.5.1
814_24	ERCOT	TDSP	Two (2) Retail Business Hours	814_24 Received by ERCOT on Monday @ 1500 = Day 0 814_24 Sent to TDSP by Monday @ 1700 = Day 0 Protocol Section 15.1.5.3
814_25 (ERCOT reject)	ERCOT	CR	Two (2) Retail Business Hours	814_24 Processed by ERCOT on Monday @ 1500 = Day 0 814_25 REJECT Sent to CR by Monday @ 1700 = Day 0 Protocol Section 15.1.5.2 (EXCEPTION: “De-Energized ESI ID” requires 48 hours for ERCOT to reject)
814_25	TDSP	ERCOT	Two (2) Retail Business Days	814_24 Received by TDSP on Monday @ 1500 = Day 0 814_25 Sent to ERCOT by Wednesday

Transaction	From	To	Timing/Business Rules	Example/Protocol Reference Section
				@ 1700 = Day 2 Protocol Section 15.1.5.4
814_25	ERCOT	CR	Two (2) Retail Business Hours	814_25 Received by ERCOT on Monday @ 1500 = Day 0 814_25 Sent to CR by Monday @ 1700 = Day 0 Protocol 15.1.5.4
814_26	CR	ERCOT	N/A	Protocol Section 15.1.1.3.2
814_26	ERCOT	TDSP	One (1) Retail Business Day	814_26 Received by ERCOT on Monday @ 1500 = Day 0 814_26 Sent to TDSP by Tuesday @ 1700 = Day 1 Protocol Section 15.1.1.3.2
814_27	TDSP	ERCOT	Two (2) Retail Business Days	814_26 Received by TDSP on Monday @ 1500 = Day 0 814_27 Sent to ERCOT by Wednesday @ 1700 = Day 2 Protocol Section 15.1.1.3.2
814_27	ERCOT	CR	One (1) Retail Business Day	814_27 Received by ERCOT on Monday @ 1500 = Day 0 814_27 Sent to CR by Tuesday @ 1700 = Day 1 Protocol Section 15.1.1.3.2
814_28 (Unexecutable)	TDSP	ERCOT	N/A	Protocol Section(s) 15.1.4.5 (Move-In), 15.1.5.4 (Move-Out), and 15.1.4.7.1 (Completed Unexecutable)
814_28 (Unexecutable)	ERCOT	CR	Two (2) Retail Business Hours	814_28 Received by ERCOT on Monday @ 1500 = Day 0 814_28 Sent to CR by Monday @ 1700 = Day 0 Protocol Section(s) 15.1.4.5 (Move-In) and 15.1.5.4 (Move-Out)
814_28 (Permit)	TDSP	ERCOT	Two (2) Retail Business Days	814_03 Received by TDSP on Monday @ 1500 = Day 0 814_28 Sent to ERCOT by Wednesday @ 1700 = Day 2 Protocol Section 15.1.4.5
814_28 (Permit)	ERCOT	CR	Two (2) Retail Business Hours	814_28 Received by ERCOT on Monday @ 1500 = Day 0 814_28 Sent to CR by Monday @ 1700 = Day 0 Protocol Section 15.1.4.5
814_29	CR	ERCOT	One (1) Retail Business Day	814_28 Received by CR on Monday @ 1500 = Day 0 814_29 Sent to ERCOT by Tuesday @ 1700 = Day 1 Protocol Section 15.1.4.5
814_29	ERCOT	TDSP	Two (2) Retail Business Hours	814_29 Received by ERCOT on Monday @ 1500 = Day 0

Transaction	From	To	Timing/Business Rules	Example/Protocol Reference Section
				814_29 Sent to TDSP by Monday @ 1700 = Day 0 Protocol Section 15.1.4.5
867_02	TDSP	ERCOT	Two (2) Retail Business Days	814_03 Received by TDSP on Monday @ 1500 = Day 0 867_02 Sent to ERCOT by Wednesday @ 1700 = Day 2 Protocol Section(s) 15.1.1.3.1 (Switch), 15.1.1.3.2 (Ad Hoc), and 15.1.4.1 (Move-In)
867_02	ERCOT	CR	Four (4) Retail Business Hours	867_02 Received by ERCOT on Monday @ 0800 = Day 0 867_02 Sent to CR by Monday @ 1200 = Day 0 Protocol Section(s) 15.1.1.3.1 (Switch), 15.1.1.3.2 (Ad Hoc), and 15.1.4.1 (Move-In)
867_03 (Final)	TDSP	ERCOT	Within three (3) Retail Business Days of the effectuating meter read	Protocol Section 15.1.1.8
867_03 (Final – Switch)	ERCOT	CR	Twelve (12) Hours	867_03F Received by ERCOT on Monday @ 1800 = Hour 0 867_03F Sent to CR by Tuesday @ 0600 = Hour 12 Protocol Section 15.1.1.8
867_03 (Final – Move-Out)	ERCOT	CR	Four (4) Retail Business Hours	867_03 Received by ERCOT on Monday @ 0800 = Day 0 867_03 Sent to CR by Monday @ 1200 = Day 0 Protocol Section 15.1.5.6
867_03 (Monthly)	TDSP	ERCOT	No Later than Three (3) Retail Business Days after the scheduled meter read cycle or scheduled meter cycle by day of the month for a Point of Delivery	Protocol Section 15.3
867_03 (Monthly)	ERCOT	CR	One (1) Retail Business Day	867_03 Received by ERCOT on Monday @ 1500 = Day 0 867_03 Sent to CR by Tuesday @ 1700 = Day 1 Protocol Section 15.3
867_04	TDSP	ERCOT	Within three (3) Retail Business Days of the	Protocol Section 15.1.1.8

Transaction	From	To	Timing/Business Rules	Example/Protocol Reference Section
			effectuating meter read	
867_04 (Switch)	ERCOT	CR	Twelve (12) Hours	867_04 Received by ERCOT on Monday @ 1800 = Hour 0 867_04 Sent to CR by Tuesday @ 0600 = Hour 12 Protocol Section 15.1.1.8
867_04 (Move-In)	ERCOT	CR	Four (4) Retail Business Hours	867_04 Received by ERCOT on Monday @ 0800 = Day 0 867_04 Sent to CR by Monday @ 1200 = Day 0 Protocol Section 15.1.4.8
867_04 (MVO CSA)	ERCOT	CR	One (1) Retail Business Day	867_04 Received by ERCOT on Monday @ 1500 = Day 0 867_04 Sent to CR by Tuesday @ 1700 = Day 1 Protocol Section 15.1.5.6

824 Reject Transaction Timing

Reject Code	Description	Reject Timing
008	ESIID Exists but is not Active	ERCOT Only. Within 1 Retail Business Day
A13	Other	Reject upon verification not to exceed 5 Retail Business Days
A76	ESIID is not found	Reject upon receipt if the ESIID is invalid
A83	Information provided was not supported in the Texas SET Standards. This reject code is only used when a transaction fails TX SET Validation	Reject upon verification not to exceed 5 Retail Business Days
A84	Receiver obtained a document from an entity that has not established a relationship with the sender.	Reject upon verification not to exceed 5 Retail Business Days
ABN	Duplicate Request Received	Reject upon verification not to exceed 5 Retail Business Days
ABO	Corrected transaction received prior to	Reject upon verification not to exceed 5 Retail

Reject Code	Description	Reject Timing
	cancellation or rejection transaction	Business Days
API	Required information missing. Explanation Required in NTE~ADD. May not be used in place of other, more specific error codes. For ERCOT Use Only	Reject upon verification not to exceed 5 Retail Business Days
ASP	Service Period Start Date is After Service Period End Date within the transaction	Upon validation of the dates within the transaction not to exceed 5 Retail Business Days
CAO	810 Cancel Total Amount does not equal Original 810 Total Amount	Upon validation of the values in the 810 not to exceed 5 Retail Business Days
CRI	The cross reference number on the 810 does not match the cross reference number on an open 867, or the cross reference number provided on the 810 or 867 Cancel does not match the cross reference number on an open 867.	Upon validation of the cross references numbers in the file not to exceed 5 Retail Business Days
D76	DUNS Number Invalid or Not Found	Reject upon verification not to exceed 5 Retail Business Days
DDM	Valid for 810, 867 810: The Service Period Begin and End Dates do not match the same dates on an open 867. 867: The Service Period Dates do not match. The Service Period End Date from the previous period does not match with the beginning date of current service period. There is a gap in service periods. For example, last read was August 27, and the first read was August 30. Additional Example - an invoice is received for the billing period of 8/1/2004 to 9/1/2004 but the corresponding 867_03's consumption start and end dates are 6/1/2004 to 9/1/2004	Reject upon verification not to exceed 5 Retail Business Days
DIV	Date Invalid. Valid date format: YYYYMMDD	Upon validation of the date format of the transaction not to exceed 5 Retail Business Days
DNM	Dates not Matched	Upon validation of the dates within the transaction not to exceed 5 Retail Business Days
I76	Invoice Number Invalid or Missing	Reject upon verification not to exceed 5 Retail Business Days
IMI	Membership ID or account number used by the MCTDSP does not exist, is	Reject upon verification not to exceed 5 Retail Business Days

Reject Code	Description	Reject Timing
	inactive, or is otherwise invalid. For use by Market Participants operating in MOU/EC territory only.	
IMN	Meter number on 867_03 does not match transactions (814_05, or 814_20).	Reject upon verification not to exceed 5 Retail Business Days
INT	Interval Data Invalid or Not Found. Valid for 867	Reject upon verification not to exceed 5 Retail Business Days
MBW	Missed Bill Window. Used by MCTDSP for consolidated billing.	Reject upon verification not to exceed 5 Retail Business Days
MQM	Meter Quantity Mismatch. Meter information, Unmetered Device, or Unmetered Device Quantity does not match maintenance transaction. 814_20 does not match 867_03 or 810	Reject upon verification not to exceed 5 Retail Business Days
MRI	Incorrect Meter Role for ID Type	Reject upon verification not to exceed 5 Retail Business Days
NLP	No Late Payment Original Invoice. Late Payment Charge does not reference an original 810 received	Upon determination that the late payment invoice does not match an existing invoice not to exceed 5 Retail Business Days
PCO	Previously Cancelled Original. Original transaction reference number on a cancel references a previously cancelled 810 or 867	Reject upon verification not to exceed 5 Retail Business Days
PMC	Prior Monthly Charge. Invoice contains monies that were accrued from previous billing periods	Reject upon verification not to exceed 5 Retail Business Days
RDF	Read Dates in Future. Read dates on 867 are in the future	Upon receipt of the 867 not to exceed 5 Retail Business Days
SSS	SAC Does Not Balance. SAC08 multiplied by SAC10 does not equal SAC05	Reject upon verification not to exceed 5 Retail Business Days
SUM	Sum of details does not equal Total. Valid for both the 810 and 867	Reject upon verification not to exceed 5 Retail Business Days
TOU	Incorrect TOU Period	Reject upon verification not to exceed 5 Retail Business Days
TRC	Tariff Rate Code Mismatch. The SAC04 code does not correspond with the correct amount of the tariff that relates to that code. Used on an 810 Only.	Upon determination that the tariff dollar amount is incorrect not to exceed 5 Retail Business Days

Appendix E

Formal TDSP Invoice Dispute Process Communication

Date Dispute Submitted	Type of Dispute	ESI ID	Invoice Number	Invoice Date	Original Invoice Due Date	Amount Disputed	Reason for Dispute	Supporting Detail	Proposed Resolution	Paid (Y/N)	Contact Name	Contact Telephone Number	Contact E-Mail Address	Date e- mail Received	TDSP Resolution	Date of TDSP Response	Comments	CR Response (accept /deny resolution)
	CR Required Elements																	
	TDSP Response Fields																	

Appendix F1

Format for Retail Customer Transition Contact List

In order for ERCOT to contact the proper parties the Launch of a transition event, each Market Participant must provide ERCOT with the following contact information:

DUNS Number:

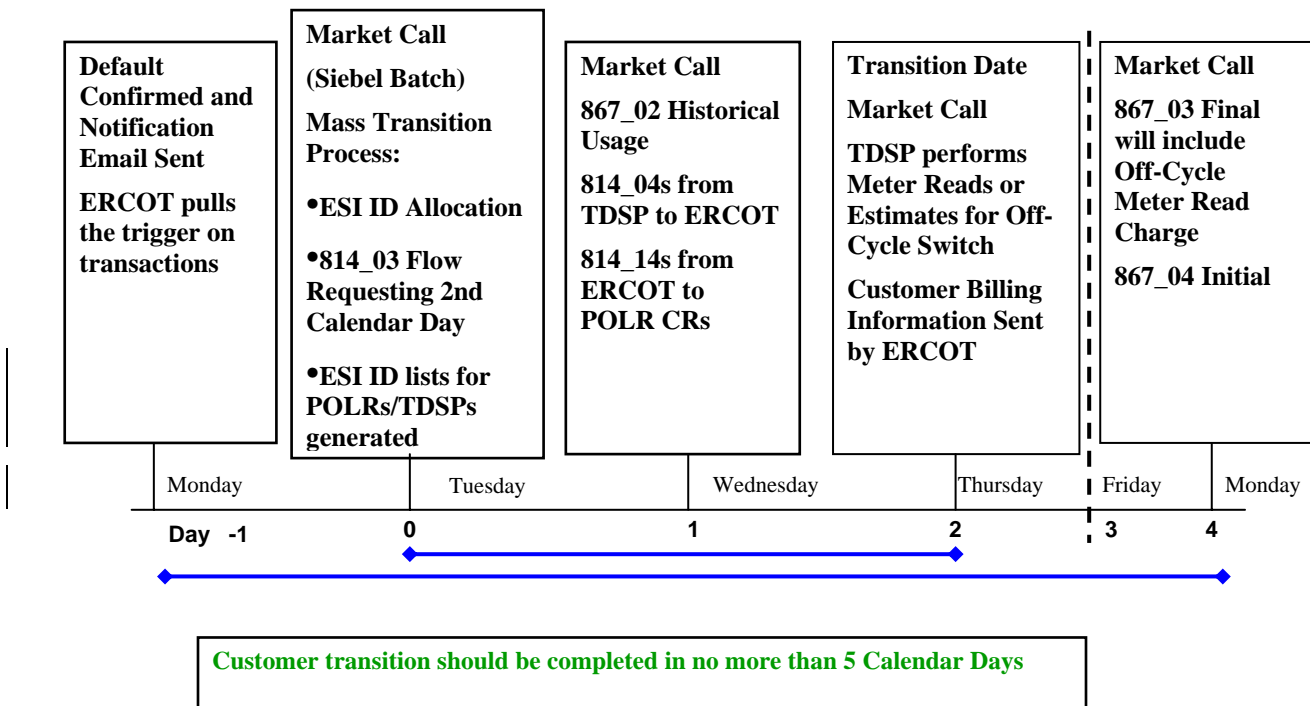
Market Participant:

Contact Type	Name	Telephone #	Fax #	E-mail	24 Hour Contact (Y/N)
Regulatory					
Business					
Technical					

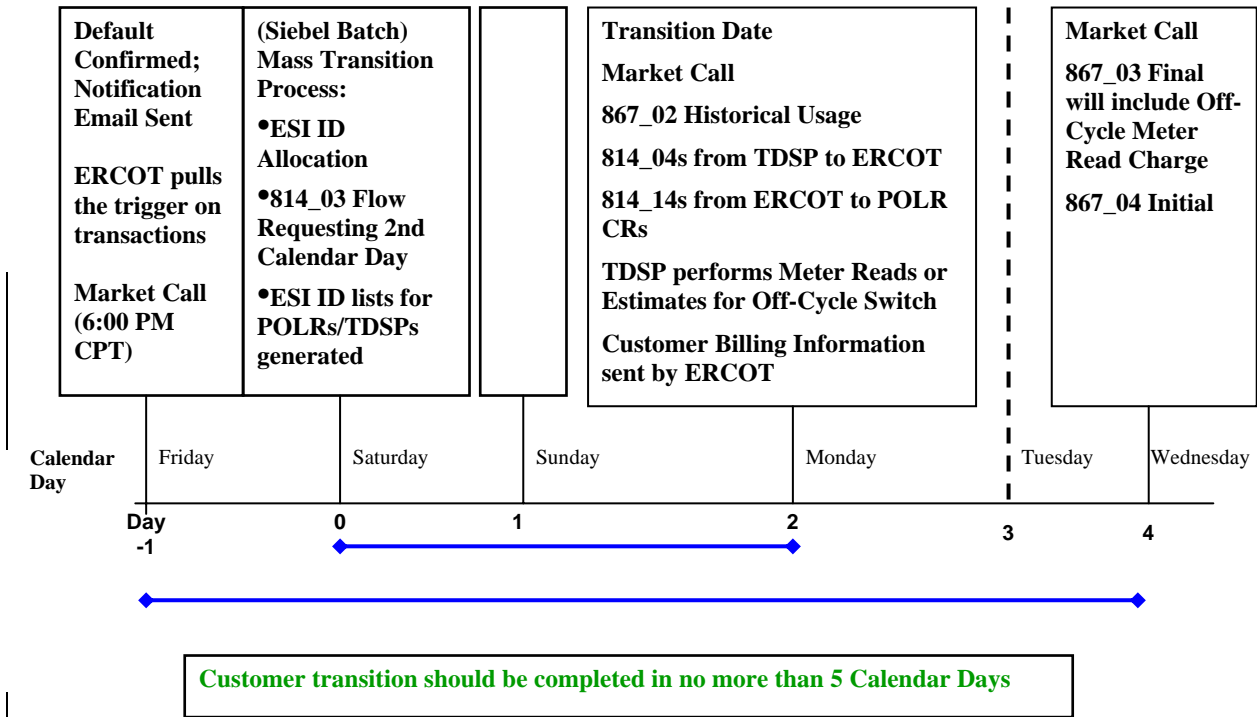
Appendix F2

Mass Transition Timelines

Mass Transition Timeline (Weekday)



Mass Transition Timeline (Day before Weekend or ERCOT Holiday)



Appendix F3

ERCOT Template – ESI IDs for Gaining CR/TDSP Use

Detailed ESI ID List

This spreadsheet is emailed to the Gaining CRs and TDSP containing the information below for each ESI ID affected. In addition, the email will note the Losing CR Name and DUNS Number.

Data Element	Definition
Exiting CR DUNs	DUNs Number of the CR Loosing the ESI ID
POLR CR DUNs	DUNs Number of the POLR CR Gaining the ESI ID
TDSP DUNs	DUNs Number of the TDSP associated with the ESI ID
ESI ID	The basic identifier assigned to each Service Delivery Point
Service Address Line 1	Service Address Line 1 associated with the ESI ID in ERCOT System
Service Address Line 2	Service Address Line 2 associated with the ESI ID in ERCOT System
Service City	Service City associated with the ESI ID in ERCOT System
Service State	Service State associated with the ESI ID in ERCOT System
Service Zip	Service Zip associated with the ESI ID in ERCOT System
814_03 or 814_16 Designation	Designates whether ERCOT will generate an 814_03 or the POLR should submit an 814_16
Request Date for 814_16	If POLR needs to submit an 814_16, this is the requested date that should be populated on the 814_16
POLR Customer Class	POLR Customer Class associated with the ESI ID in ERCOT System
Volunteer POLR or Non-Volunteer POLR Designation	Designates whether the POLR is being assigned the ESI ID as a Volunteer or Non-Volunteer POLR

Appendix F4

ERCOT Template – ESI IDs for New CR with Pending Transactions

Detailed ESI ID List

New CR DUNS Number:

New CR Name:

ESI	Pending Transaction		TDSP	TDSP	Gaining	Gaining
	Type	Effective Date	DUNS Number	Name	CR DUNS	CR Name

Appendix F5

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Appendix F6

File Layout for Customer Billing Contact Information

There are four (4) files within this process.

1. MTCRCustomerInformation file will be the file sent by the CR to populate the file system at ERCOT.
2. MTCRCustomerInformationERCOTResponse file is the acknowledgement sent by ERCOT to the CR with information as to the status of the data.
3. MTERCOT2CRCustomerInformation file will be sent by ERCOT to the gaining CR upon a Mass Transition event.
4. MTERCOT2TDSPCustomerInformation file will be sent by ERCOT to the appropriate TDSPs upon a Mass Transition event.

File 1 and 3 use the same format with one additional record for each ESI ID without Customer information.

All information must be sent in a pipe delimited .csv file format via NAESB and must contain all required Customer billing contact information. All records sent in the file must be terminated by a Carriage Return Line Feed (CRLF).

File 1 – (CR to ERCOT) Record Layout for the MTCRCustomerInformation file

Header record – Use this template to identify the data provided, a unique tracking number and the sender or receiver.

Data Element	TX SET Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag "HDR"	alpha numeric (3)
Report Name	Mandatory	Mutually defined report definition. Hard Code "MTCRCustomerInformation"	alpha numeric (80)
Report ID	Mandatory	The unique report number designated by the Sender to be used in the MTCRCustomerInformationERCOTResponse	alpha numeric
CR DUNS Number	Mandatory	REP of Record DUNS Number. This is the DUNS Number for the CR submitting customer information file or used as the receiver when ERCOT is sending the Customer information during a Mass Transition event.	Numeric (9 or 13)

Detail record - The DET record contains the customer contact information sent by the CR and represents the positively validated data sent by ERCOT to the gaining CR upon a Mass Transition event.

Data Element	TX SET Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag "DET"	alpha numeric (3)
Record Number	Mandatory	The unique sequential record number starting with "1"	Numeric (8)
CR DUNS Number	Mandatory	REP of Record DUNS Number. This is the DUNS number for the CR submitting information during either file submission or the exiting CR in a Mass Transition event.	Numeric (9 or 13)
ESI ID Number	Mandatory	The basic identifier assigned to each Service Delivery Point.	alpha, numeric (36)
Customer Account Number	Optional	Recommended to help with communication	alpha numeric (80)
Customer First Name	Conditional	Must be provided (along with Customer last name) if Customer Company Name is not provided.	alpha numeric (30)
Customer Last Name	Conditional	Must be provided (along with Customer First Name) if Customer Company Name is not provided.	alpha numeric (30)
Customer Company Name	Conditional	Must be provided if Customer First Name and Customer Last Name are not Provided.	alpha numeric (60)
Customer Company Contact Name	Optional	Used in conjunction with (Company Name) if the company has designated a specific contact.	alpha numeric (60)
Billing Care Of Name	Optional		alpha numeric (60)
Billing Address Line 1	Mandatory	If billing address is the same as the Service Address, populate with Service Address.	alpha numeric (55)
Billing Address Line 2	Optional	Use for address Overflow. If billing address is not different than the Service Address, populate with Service Address.	alpha numeric (55)
Billing City	Mandatory	If billing address is the same as the Service Address, populate with Service Address.	alpha numeric (30)
Billing State	Mandatory	If billing address is the same as the Service Address, populate with Service Address.	alpha numeric (2)
Billing Postal Code	Mandatory	If billing address is the same as the Service Address, populate with Service Address. Note that punctuation (spaces, dashes, etc.) must be excluded. Postal codes will only contain uppercase letters (A to Z) and digits (0 to 9).	alpha numeric (15)

Data Element	TX SET Mandatory / Optional	Comments	Format
Billing Country Code	Optional	Required when billing address is outside the United States, use valid X-12 Country Code	alpha numeric (3)
Primary Phone Number	Mandatory	Needed for gaining CR to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.	alpha numeric (10)
Primary Phone Number Extension	Optional	Needed for gaining CR to contact customers. Punctuation (dashes, symbols etc.) must be excluded.	alpha numeric (10)
Secondary Phone Number	Optional	Needed for gaining CR to contact customers. Punctuation (dashes, symbols etc.) must be excluded.	alpha numeric (10)
Secondary Phone Number Extension	Optional	Needed for gaining CR to contact customers. Punctuation (dashes, symbols etc.) must be excluded.	alpha numeric (10)

Summary record – This template is used to convey record totals of the number of DET records from the file being sent from the sender or receiver.

Data Element	TX SET Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag "SUM"	alpha numeric (3)
Total Number of DET Records	Mandatory	Total number of DET records, should be equal to the Record Counter in the last DET record. Use Zero if no records sent	Numeric (8)

File 2 – Record Layout for the MTCRCustomerInformationERCOTResponse file (ERCOT to submitting CR)

Header record – First row of csv - Used to designate the data to be presented, with a unique tracking number and an indication of the sender to ERCOT or receiver of the data set from ERCOT response.

Data Element	Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag "HDR"	alpha numeric (3)
Report Name	Mandatory	Mutually defined report definition. Hard Code "MTCRCustomerInformationERCOTResponse"	alpha numeric (80)
Original Report ID	Mandatory	Report ID as sent in the MTCRCustomerInformation file"	alpha numeric (80)
CR DUNS Number	Mandatory	REP of Record DUNS Number. This is the DUNS Number for the CR receiving this	Numeric (9 or 13)

		response report information based on the original file submission. If this is not your CR DUNS, end processing	
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ER1 record – used to designate a record with an invalid value or format, with a reference to the original record in error.

Data Element	Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag “ER1”	alpha numeric (3)
Record Number	Mandatory	The unique sequential record number starting with “1”	Numeric (8)
Original Record Type	Mandatory	The type of record in error. Valid values are DET, HDR, and SUM	Alpha numeric (3)
Original Record Number	Conditional	Original DET Record Number sent from MTCRCustomerInformation report that is in error. Required if Original Record Type is DET.	Numeric (8)
Field Name	Mandatory	Field Name of record that is in error	alpha numeric (80)
Error Description	Mandatory	Description of error	alpha numeric (80)

ER2 record – used to designate a record with a missing mandatory field, with a reference to the original record in error.

Data Element	TX SET Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag “ER2”	alpha numeric (3)
Record Number	Mandatory	The unique sequential record number starting with “1”	Numeric (8)
Original Record Type	Mandatory	The type of record in error. Valid values are DET, HDR, and SUM	alpha numeric (3)
Original Record Number	Conditional	Original DET Record Number sent from MTCRCustomerInformation report that is in error. Required if Original Record Type is DET.	Numeric (8)
Field Name	Mandatory	Field Name of record that is in error	alpha numeric (80)
Error Description	Mandatory	Description of error	alpha numeric (80)

Sum record – provides the sum of all records received in the original file, the number of records processed, and the number of DET records in error.

Data Element	Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag “SUM”	alpha numeric (3)
Total Number of DET Records	Mandatory	Total number of DET records in the original MTCRCustomerInformation report	Numeric (8)
Total Number of processed DET Records	Mandatory	Total number of DET records processed without error from the MTCRCustomerInformation report	Numeric (8)
Total Number of Error Records	Conditional	Total number of DET records in error	Numeric (8)

Sample File 2 Output Data:

HDR|MTCRCustomerInformationERCOTResponse|200608300001|123456789

ER1|1|DET|123|Billing State|Invalid Value

ER2|2|DET|789|Company Name|Missing Value

ER1|3|DET|890|Billing State|Invalid Value

SUM|3|1|3

File 3 – MTERCOT2CRCustomerInformation file (ERCOT to Gaining CR)

Header record – First row of delimited file - Used to designate the data to be presented, with a unique tracking number and an indication of the sender to ERCOT or receiver of the data set from ERCOT response.

Data Element	TX SET Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag “HDR”	alpha numeric (3)
Report Name	Mandatory	Mutually defined report definition. Hard Code “MTERCOT2CRCustomerInformation”	alpha numeric (80)
Report ID	Mandatory	The unique report number designated by the sender to be used in the MTERCOT2CRCustomerInformation	alpha numeric
CR DUNS Number	Mandatory	REP of Record DUNS Number. This is the DUNS Number for the CR submitting Customer information file or used as the receiver when ERCOT is sending the Customer information during a Mass	Numeric (9 or 13)

		Transition event.	
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Detail record- The DET record contains the Customer contact information sent by the CR. Also represents the validated data sent by ERCOT to the gaining CR upon a Mass Transition event.

Data Element	TX SET Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag "DET"	alpha numeric (3)
Record Number	Mandatory	The unique sequential record number starting with "1"	Numeric (8)
CR DUNS Number	Mandatory	REP of Record DUNS Number. This is the DUNS Number for the CR submitting information during either file submission or the exiting CR in a Mass Transition event.	Numeric (9 or 13)
ESI ID Number	Mandatory	The basic identifier assigned to each Service Delivery Point.	alpha numeric (36)
Customer Account Number	Optional	Recommended to help with communication	alpha numeric (80)
Customer First Name	Conditional	Must be provided (along with Customer last name) if Customer Company Name is not provided.	alpha numeric (30)
Customer Last Name	Conditional	Must be provided (along with Customer first name) if Customer Company Name is not provided.	alpha numeric (30)
Customer Company Name	Conditional	Must be provided if Customer first name and Customer last name are not Provided.	alpha numeric (60)
Customer Company Contact Name	Optional	Used in conjunction with (Company Name) if the company has designated a specific contact.	alpha numeric (60)
Billing Care Of Name	Optional		alpha numeric (60)
Billing Address Line 1	Mandatory	If billing address is the same as the Service Address, populate with Service Address.	alpha numeric (55)
Billing Address Line 2	Optional	Use for address Overflow. If billing address is not different than the Service Address, populate with Service Address.	alpha numeric (55)
Billing City	Mandatory	If billing address is the same as the Service Address, populate with Service Address.	alpha numeric (30)
Billing State	Mandatory	If billing address is the same as the Service Address, populate with Service Address.	alpha numeric (2)
Billing Postal Code	Mandatory	If billing address is the same as the Service Address, populate with Service Address. Note that punctuation (spaces, dashes, etc.) must be excluded. Postal codes will only contain uppercase letters (A to Z) and digits (0 to 9).	alpha numeric (15)

Billing Country Code	Optional	Required when billing address is outside the United States, use valid X-12 Country Code	alpha numeric (3)
Primary Phone Number	Mandatory	Needed for gaining CR to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.	alpha numeric (10)
Primary Phone Number Extension	Optional	Needed for gaining CR to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.	alpha numeric (10)
Secondary Phone Number	Optional	Needed for gaining CR to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.	alpha numeric (10)
Secondary Phone Number Extension	Optional	Needed for gaining CR to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.	alpha numeric (10)

IDT (Invalid) record - contains data that failed the data format or condition validation once received at ERCOT. Since it is deemed necessary to forward the data even after failing validation, this record is an indicator that the receiver will have to review the content. To be sent by ERCOT to the gaining CR upon a Mass Transition event.

Data Element	TX SET Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag "IDT"	alpha numeric (3)
Record Number	Mandatory	The unique sequential record number starting with "1"	Numeric (8)

NDT (Missing) record - used when there is missing Customer information for that ESI ID possibly due to completion of service orders since file was submitted. To be sent by ERCOT to the gaining CR upon a Mass Transition event.

Data Element	TX SET Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag "NDT"	alpha numeric (3)
Record Number	Mandatory	The unique sequential record number starting with "1"	Numeric (8)
CR DUNS Number	Mandatory	REP of Record DUNS Number	Numeric (9 or 13)
ESI ID Number	Mandatory	The basic identifier assigned to each Service Delivery Point.	alpha, numeric (36)
Contact Message	Mandatory	"No Information Provided"	alpha numeric (30)

Sum record – provides sum of all DET, IDT, and NDT records that should be represented in the file. To be sent by ERCOT to the gaining CR upon a Mass Transition event.

Data Element	TX SET Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag “SUM”	alpha numeric (3)
Total Number of DET Records	Mandatory	Total number of DET records, should be equal to the Record Counter in the last DET record. Use Zero if no records sent	Numeric (8)
Total Number of IDT Records	Mandatory	Total number of DET records, should be equal to the Record Counter in the last IDT record. Conditional upon the use of IDT Records. Use Zero if no records sent	Numeric (8)
Total Number of NDT Records	Mandatory	Total number of DET records, should be equal to the Record Counter in the last NDT record. Conditional upon the use of NDT Records. Use Zero if no records sent	Numeric (8)

File 4 – MTERCOT2TDSPCustomerInformation file (ERCOT to TDSP)

Header record – First row of delimited file - Used to designate the data to be presented, with a unique tracking number and an indication of the sender to ERCOT or receiver of the data set from ERCOT response.

Data Element	TX SET Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag “HDR”	alpha numeric (3)
Report Type	Mandatory	Mutually defined report definition. Hard Code “MTERCOT2TDSPCustomerInformation”	alpha numeric (80)
Report ID	Mandatory	The unique report number designated by the Sender to be used in the MTERCOT2TDSPCustomerInformation	alpha numeric
TDSPDUNS Number	Mandatory	TDSP DUNS Number. This is the DUNS Number for the TDSP receiving the Customer information file.	Numeric (9 or 13)

Detail record- The DET record contains the Customer contact information sent by the CR. Also represents the validated data sent by ERCOT to the TDSP upon a Mass Transition event.

Data Element	TX SET Mandatory /	Comments	Format
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	Optional		
Record Type	Mandatory	Record Tag "DET"	alpha numeric (3)
Record Number	Mandatory	The unique sequential record number starting with "1"	Numeric (8)
CR DUNS Number	Mandatory	REP of Record DUNS Number. This is the DUNS Number for the exiting CR in a Mass Transition event.	Numeric (9 or 13)
ESI ID Number	Mandatory	The basic identifier assigned to each Service Delivery Point.	alpha numeric (36)
Customer First Name	Conditional	Must be provided (along with Customer last name) if Customer Company Name is not provided.	alpha numeric (30)
Customer Last Name	Conditional	Must be provided (along with Customer first name) if Customer Company Name is not provided.	alpha numeric (30)
Customer Company Name	Conditional	Must be provided if Customer first name and Customer last name are not Provided.	alpha numeric (60)
Customer Company Contact Name	Optional	Used in conjunction with (Company Name) if the company has designated a specific contact.	alpha numeric (60)
Primary Phone Number	Mandatory	Needed for TDSP to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.	alpha numeric (10)
Primary Phone Number Extension	Optional	Needed for TDSP to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.	alpha numeric (10)

IDT (Invalid) record - Contains data that failed the data format or condition validation once received at ERCOT. Since it is deemed necessary to forward the data even after failing validation, this record is an indicator that the receiver will have to review the content. To be sent by ERCOT to the gaining CR upon a Mass Transition event.

Data Element	TX SET Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag "IDT"	alpha numeric (3)
Record Number	Mandatory	The unique sequential record number starting with "1"	Numeric (8)

NDT (Missing) record - Used when there is missing Customer information for that ESI ID possibly due to completion of service orders since file was submitted. To be sent by ERCOT to the TDSP upon a Mass Transition event.

Data Element	TX SET Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag "NDT"	alpha numeric (3)
Record Number	Mandatory	The unique sequential record number starting with "1"	Numeric (8)
CR DUNS Number	Mandatory	REP of Record DUNS Number	Numeric (9 or 13)
ESI ID Number	Mandatory	The basic identifier assigned to each Service Delivery Point.	alpha, numeric (36)
Contact Message	Mandatory	"No Information Provided"	alpha numeric (30)

Sum record – Provides sum of all DET, IDT, and NDT records that should be represented in the file. To be sent by ERCOT to the TDSP upon a Mass Transition event.

Data Element	TX SET Mandatory / Optional	Comments	Format
Record Type	Mandatory	Record Tag "SUM"	alpha numeric (3)
Total Number of DET Records	Mandatory	Total number of DET records, should be equal to the Record Counter in the last DET record. Use Zero if no records sent	Numeric (8)
Total Number of IDT Records	Mandatory	Total number of DET records, should be equal to the Record Counter in the last IDT record. Conditional upon the use of IDT Records. Use Zero if no records sent	Numeric (8)
Total Number of NDT Records	Mandatory	Total number of DET records, should be equal to the Record Counter in the last NDT record. Conditional upon the use of NDT Records. Use Zero if no records sent	Numeric (8)

Sample Data:

1. (Inbound From exiting CR to ERCOT)

HDR|MTCRCustomerInformation|200608300001|123456789

DET|1|123456789|1001001001001||JOHN|SMITH|IRWIN TRAVEL|||123 MAIN STREET||ANYTOWN|TX|78125||7775552222|||

DET|2|123456789|1001001001002|||SMITH|||111 ELM STREET|||TEXAS|78125||5554443333|||

DET|3|123456789|1001001001003||ELMER|SMITH|||1007 ERNHART ROAD||ANYTOWN|TX|78125||888331111|||

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SUM|3|0|0

2. Mass Transition Occurs

3. (Output from ERCOT to Gaining CR)

HDR|MTERCOT2CRCustomerInformation |200608300001|987654321

DET|1|123456789|1001001001001||JOHN|SMITH|IRWIN TRAVEL|||123 MAIN STREET||ANYTOWN|TX|78125||7775552222||

IDT|1|123456789|1001001001002||SMITH||||111 ELM STREET||**TEXAS**|78125||5554443333||

IDT|2|123456789|1001001001003||ELMER|SMITH||||1007 ERNHART ROAD||ANYTOWN|TX|78125||**888331111**||

NDT|1|123456789|1001001001005|**No Information Provided**

SUM|1|2|1

4. (Output from ERCOT to TDSP)

HDR|MTERCOT2TDSPCustomerInformation |200608300001|666666666

DET|1|123456789|1001001001001||JOHN|SMITH|IRWIN TRAVEL|||123 MAIN STREET||ANYTOWN|TX|78125||7775552222||

NDT|1|123456789|1001001001005|**No Information Provided**

SUM|1|2|1

Appendix G

Transfer to POLR File Format

Data Element	Mandatory / Optional	Data Format	Comments
DUNS Number	Mandatory	alpha numeric (9 or 13)	DUNS number for REP submitting the drop
ESID	Mandatory	alpha numeric (36)	
Customer Account Number	Optional	alpha numeric	Strongly requested by the AREP to help with communication to the submitting REP
Customer Name Prefix	Optional	alpha numeric (60)	MR., MRS., DR., etc.
Customer First Name	Optional	alpha numeric (60)	At least one of (Customer First Name and Customer Last Name) or (Customer Company Name) is required
Customer Middle Initial	Optional	alpha numeric (1)	
Customer Last Name	Optional	alpha numeric (60)	At least one of (Customer First Name and Customer Last Name) or (Customer Company Name) is required
Customer Name Suffix	Optional	alpha numeric (60)	
Customer Title	Optional	alpha numeric (60)	
Customer Company Name	Optional	alpha numeric (60)	At least one of (Customer First Name and Customer Last Name) or (Customer Company Name) is required
Service Address Line 1	Mandatory	alpha numeric (55)	
Service Address Line 2	Optional	alpha numeric (55)	use for address overflow
Service City	Mandatory	alpha numeric (30)	

Data Element	Mandatory / Optional	Data Format	Comments
Service State	Mandatory	alpha numeric (2)	Use valid X-12 state code
Service Zip	Mandatory	numeric (5 or 9)	either 5-digit or 9-digit (no dash)
Service Country	Optional	alpha numeric (3)	Use valid X-12 country code
Billing Care Of Name	Optional	alpha numeric (60)	AREP will default to Customer information when blank
Billing Attention To	Optional	alpha numeric (60)	AREP will default to Customer information when blank
Billing Address Line 1	Optional	alpha numeric (55)	Required when billing address is different from service address AREP will default to Customer information when blank
Billing Address Line 2	Optional	alpha numeric (55)	use for address overflow, AREP will default to Customer information when blank
Billing City	Optional	alpha numeric (30)	Required when billing address is different from service address AREP will default to Customer information when blank
Billing State	Optional	alpha numeric (2)	Required when billing address is different from service address AREP will default to Customer information when blank, Use valid X-12 state code
Billing Zip	Optional	numeric (5 or 9)	Required when billing address is different from service address AREP will default to Customer information when blank, use 5-digit or 9-digit (no dash)
Billing Country	Optional	alpha numeric (3)	Required when billing address is different from service address AREP will default to Customer information when blank, required if outside the United States, use valid X-12 Country Code

Data Element	Mandatory / Optional	Data Format	Comments
Phone/E-Mail 1	Optional	alpha numeric (80)	
Phone/E-Mail 2	Optional	alpha numeric (80)	
Premise Type	Mandatory	alpha numeric (2)	01, 02, or 03 (Conform to TX SET implementation guides)
Driver's License Number	Optional	alpha numeric (30)	Strongly requested by the AREP to help identify the customer
Driver's License State Issued	Optional	alpha numeric (2)	Strongly requested by the AREP to help identify the customer
Spanish/English Indicator	Optional	Binary (E/S)	"E" = English, "S" = Spanish - Strongly requested by the AREP to assist in communicating with the customer
Meter Class	Mandatory	alpha numeric (9)	IDR, NIDR, or UNMETERED
Critical Care Indicator	Mandatory	Binary (Y/N)	Y or N
Spouse/Roommate First Name	Optional	alpha numeric (60)	
Spouse/Roommate Last Name	Optional	alpha numeric (60)	
Out of Cycle Drop Date	Optional	date (CCYYMMDD)	Required when requesting off-cycle meter read
Load Profile	Optional	alpha numeric(80)	One AREP needs this on non-residential to set up the customer before sending out the switch. Not providing this information may result in a slight delay.

Appendix H1

IDR Optional Removal Request Form

IDR Optional Removal Request Form									
	CR Name:							<i>Color Key</i>	Completed by CR
	CR Contact Name & Phone Number:								Completed by TDSP
	CR Contact Email Address								
	Date Request sent from CR to TDSP: MM/DD/YYYY								
	TDSP Name:								
	TDSP Contact Name & Phone Number:								
	TDSP Contact Email Address:								
A	Column B	C	Column D	Column E	Column F	Column G	Column H	Column I	Column J

##	ESI ID	##	Service Address	12 Month Peak or if New Customer Peak since Move-In Date	Existing Customer (Use Existing) or New Customer (Provide Move-In Date)	Date Retail Customer Requested IDR Removal to CR (acceptable format: MM/DD/YYYY)	Qualified for Removal (Y/N)	*If Column G = Y (YES) provide Estimated Date of Meter Removal (acceptable format: MM/DD/YYYY)	*If Column G = N (NO) All Supporting Evidence is Attached (Y/N)
1		1							
2		2							
3		3							
4		4							
5		5							
6		6							
7		7							
8		8							
9		9							
10		10							
11		11							
12		12							
13		13							
14		14							
15		15							
16		16							
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43		43							
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47		47							
48		48							
49		49							
50		50							

Appendix H2

IDR Installation Request Form

IDR Installation Request Form				
	CR Name and CR DUNs:		Color Key	Completed by CR
	CR Contact Name & Telephone Number:			Completed by TDSP
	CR Contact Email Address			
	Date Request sent from CR to TDSP: MM/DD/YYYY			
	TDSP Name:			
	TDSP Contact Name & Telephone Number:			

	TDSP Contact Email Address:		
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A	Column B	Column C	Column D	Column E	Column F	Column G	Column H	Column I	Column J	Column K
##	ESI ID	Customer Name	Customer Primary and Alternate Area Code and Telephone number(s) XXX-XXX-XXXX	Special Instructions or Arrangements required by Customer	Service Address	O- Optional M – Mandatory IDR Installation	If Column G = M (Mandatory) provide Demands as Reported on the IDR Requirement Report	Qualified for IDR Installation (Y/N)	*If Column I = Y (YES) provide Estimate Date of IDR Install format: MM/DD/YYYY	*If Column J = N (NO) All Supporting Evidence is Attached (Y/N)
1										
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16										
17										
18										
19										

A	Column B	Column C	Column D	Column E	Column F	Column G	Column H	Column I	Column J	Column K
##	ESI ID	Customer Name	Customer Primary and Alternate Area Code and Telephone number(s) XXX-XXX-XXXX	Special Instructions or Arrangements required by Customer	Service Address	O- Optional M – Mandatory IDR Installation	If Column G = M (Mandatory) provide Demands as Reported on the IDR Requirement Report	Qualified for IDR Installation (Y/N)	*If Column I = Y (YES) provide Estimate Date of IDR Install format: MM/DD/YYYY	*If Column J = N (NO) All Supporting Evidence is Attached (Y/N)
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A	Column B	Column C	Column D	Column E	Column F	Column G	Column H	Column I	Column J	Column K
##	ESI ID	Customer Name	Customer Primary and Alternate Area Code and Telephone number(s) XXX-XXX-XXXX	Special Instructions or Arrangements required by Customer	Service Address	O- Optional M – Mandatory IDR Installation	If Column G = M (Mandatory) provide Demands as Reported on the IDR Requirement Report	Qualified for IDR Installation (Y/N)	*If Column I = Y (YES) provide Estimate Date of IDR Install format: MM/DD/YYYY	*If Column J = N (NO) All Supporting Evidence is Attached (Y/N)
45										
46										
47										
48										
49										
50										

APPENDIX I

Door Hanger Sample

Minimum Standard Language to be used by TDSPs for notification of Denial of Access

TDSP Logo

NOTICE TO ELECTRIC CUSTOMER

We are unable to gain access to your electric meter.

**YOU MUST ACT NOW
to Stop Your Electric Service From Being Turned Off.**

Please do not delay. Call your Retail Electric Provider for additional information and to select one of the three options below.

- 1. Provide Permanent Access to the Meter**
- 2. Request Automated Reading (you may be charged for the equipment and installation cost of a meter that can be remotely read – requires coordination with “your TDSP name”)**
- 3. Relocate the Meter Base and Service Point at your expense (requires coordination with your electrician and “your TDSP name”)**

**Failure to select one of the three options above
may result in Disconnection of Your Electric Service and
subject you to disconnection and reconnection fees.**

The Public Utility Commission of Texas requires an actual meter reading for billing, and prohibits estimating a meter reading for more than three consecutive months.