

Retail Market Guide

October 26, 2009

ERCOT Retail Market Guide

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October 26, 2009

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Retail Market Guide
Section 1: Purpose

October 1, 2006

1 PURPOSE.....1

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 (PUC) Substantive Rules. Each M P shall comply with the Protocols and the PUC Substantive Rules. In the event of a conflict of Protocols or PUC 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

August 1, 2009

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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.

LITE-UP TEXAS

Program designed to help qualified low-income individuals reduce the monthly cost of electric service pursuant to P.U.C. SUBST. R. 25.454, Rate Reduction Program.

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 Texas 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 Protocol 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 |
| LSP | Large Service Provider |
| MOU | Municipal Opt-In Utility |
| 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 |
| VREP | Volunteer Retail Electric Provider |

Retail Market Guide
Section 3: Retail Market Guide Revision Process

September 1, 2009

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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, Public Utility Commission of Texas (PUC) Staff, ERCOT, and any other Entities are required to utilize the process described herein prior to requesting, through the PUC or other Governmental Authority, that ERCOT make a change to the RMG, except for good cause shown to the PUC 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 with respect to any RMGRR shall be posted to the Market Information System (MIS) within three 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 ERCOT 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 ERCOT 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 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 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, PUC 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 Business Days before implementation. If no interested party submits comments to the Administrative RMGRR, ERCOT 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 Retail Market Guide Revision Request (RMGRR):

- (1) Any Market Participant;
- (2) Any Entity that is an ERCOT Member;
- (3) Public Utility Commission of Texas (PUCT) Staff;
- (4) ERCOT; and
- (5) 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) Retail Market Guide Revision Requests (RMGRRs) shall be submitted electronically to ERCOT by completing the designated form provided on the Market Information System (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 Market Participants to the extent that the submitter may know this information;
 - (d) RMGRR Impact Analysis, (applicable only for an RMGRR submitted by ERCOT);
 - (e) List of affected Retail Market Guide (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 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 an RMGRR is corrected, ERCOT shall post the complete RMGRR to the MIS and distribute it to the Retail Market Subcommittee (RMS) within three Business Days.

3.3.2 *Withdrawal of a Retail Market Guide Revision Request*

- (1) By providing Notice to RMS, the submitter of an 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 Business Day of the submitter's Notice to RMS.
- (2) The submitter of an RMGRR may request withdrawal of an 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 Technical Advisory Committee (TAC) (if it has been recommended for TAC approval by RMS but not yet considered by the TAC).
- (3) Once approved by TAC, an 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 21 days from the posting date of the RMGRR. Comments submitted after the due date of the 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 Business Days of submittal.
- (3) RMS shall review the RMGRR at its next regularly scheduled meeting after the end of the 21 day comment period, unless the 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. The quorum and voting

requirements for RMS action are set forth in the Technical Advisory Committee Procedures. In considering action on an RMGRR, RMS may:

- (a) Recommend approval of the RMGRR as submitted or as modified;
 - (b) Reject the RMGRR;
 - (c) Defer decision on the RMGRR; or
 - (d) Refer the RMGRR to another RMS working group or task force with instructions.
- (4) If a motion is made to recommend approval of an RMGRR and that motion fails, the RMGRR shall be deemed rejected by RMS unless at the same meeting RMS later votes to recommend approval of, or refer the RMGRR. The rejected RMGRR shall be subject to appeal pursuant to Section 3.4, Appeal of Action.
- (5) Within three 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 21 days from the date of posting/distribution of the RMS Recommendation Report. Comments submitted after the due date of the 21 day comment period may be considered at the discretion of RMS.
- (2) Within three 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 21 day comment period.

3.3.5 ERCOT Impact Analysis for a Retail Market Guide Revision Request

- (1) ERCOT shall complete an Impact Analysis for RMGRRs to assess the impact of the proposed RMGRR on ERCOT computer systems, operations, and/or business functions and 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.
- (2) Upon receipt of RMGRRs submitted by any Entity other than ERCOT that are limited to Point-to-Point transactions or processes between Competitive Retailers (CRs) and Transmission Distribution Service Providers (TDSPs) which are not intended to impact ERCOT, ERCOT shall perform an initial evaluation to verify if there is any impact on ERCOT and include the evaluation in a preliminary Impact Analysis. ERCOT shall post the preliminary Impact Analysis prior to the RMS' initial review of the RMGRR, if practicable.
- (3) If the preliminary Impact Analysis is available for RMS, RMS could then consider both the language and the preliminary Impact Analysis and choose to forward both to TAC for approval. After initial review and recommendation of approval of the RMGRR by RMS, and the issuance and posting of the RMS Recommendation Report, ERCOT shall prepare an Impact Analysis based on the RMS Recommendation Report to identify and evaluate the required changes to ERCOT systems and staffing needs, including, but not limited to, ERCOT's operating systems, settlement systems, business functions, operating practices, and ERCOT System operations. If ERCOT has already prepared an Impact Analysis, then ERCOT shall instead update the existing Impact Analysis, if needed, to accommodate the RMS Recommendation Report.
- (4) After ERCOT posts the results of the Impact Analysis, RMS shall review the Impact Analysis at its next regularly scheduled meeting. RMS may revise its RMS Recommendation Report after considering the information included in the Impact Analysis.
- (5) 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 Business Days after the RMS decision. Additional comments received regarding the revised RMS Recommendation Report shall be accepted up to three Business Days prior to the TAC meeting at which the RMGRR is scheduled for consideration.
- (6) If ERCOT determines that modifications to a previously submitted Impact Analysis are needed for an RMGRR, ERCOT shall complete an Impact Analysis based on the RMS

Recommendation Report and will report the Impact Analysis' results to TAC for review at its next regularly scheduled meeting. If a longer review period is required for ERCOT to update the Impact Analysis, ERCOT shall submit a schedule for completion of the Impact Analysis to the RMS and TAC chairs.

- (7) RMS shall recommend a priority and rank for any RMGRRs having impact to ERCOT systems or staffing.

3.3.6 *PRS Review of Project Prioritization*

If the Impact Analysis indicates there will be an impact to ERCOT systems and staffing, then the Impact Analysis shall be forwarded to Protocol Revision Subcommittee (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 an RMGRR by the RMS and issuance of an Impact Analysis by ERCOT to TAC, the TAC shall review the RMS Recommendation Report and the Impact Analysis at its next regularly schedule meeting; provided that the Impact Analysis is available for distribution to the TAC at least seven days in advance of the TAC meeting.
- (2) The quorum and voting requirements for TAC action are set forth in the Technical Advisory Committee Procedures. In considering action on an RMS Recommendation Report, TAC shall:
 - (a) Approve the RMS Recommendation Report as originally submitted or as modified by TAC;
 - (b) Reject the RMS Recommendation Report;
 - (c) Defer decision on the RMS Recommendation Report;
 - (d) Remand the RMS Recommendation Report to RMS with instructions; or
 - (e) Refer the RMS Recommendation Report to another TAC subcommittee or a TAC working group or task force with instructions.
- (3) If a motion is made to approve an RMS Recommendation Report and that motion fails, the RMGRR shall be deemed rejected by TAC unless at the same meeting TAC later votes to approve, remand, or refer the RMS Recommendation Report. The rejected RMGRR shall be subject to appeal pursuant to Section 3.4, Appeal of Action.

- (4) 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.
- (5) If TAC approves an RMGRR and it does not require an ERCOT project for implementation, or rejects an 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.
- (6) The chair of TAC shall report the results of all votes by TAC related to RMGRRs to the ERCOT Board at its next regularly scheduled meeting.
- (7) TAC shall consider the project priority of each RMGRR requiring a change to ERCOT's computer systems and make recommendations to the ERCOT 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 ERCOT Board and post the report on the MIS within three 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.
- (8) 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 Business Days of the TAC recommendation concerning the RMGRR. ERCOT shall assign the approved RMGRR to the “Unfunded Project List” until the ERCOT 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 ERCOT Board; in such case, the TAC Recommendation Report would be provided at the next ERCOT Board meeting following such budget approval for the ERCOT Board’s consideration under Section 3.3.8, ERCOT Board Review and Action.

- (9) Notwithstanding the above, an RMGRR on the Unfunded Project List may be removed from the list and provided to the ERCOT 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 Action.

3.3.8 *ERCOT Board Review and Action*

- (1) The ERCOT 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.
- (2) The quorum and voting requirements for ERCOT Board action are as set forth in the ERCOT Bylaws. In considering action on a TAC Recommendation Report, the ERCOT Board shall:
 - (a) Approve the TAC Recommendation Report as originally submitted or as modified by the ERCOT Board; or
 - (b) Reject the TAC Recommendation Report
 - (c) Defer decision on the merits of the TAC Recommendation Report; or
 - (d) Remand the TAC Recommendation Report to TAC with instructions.
- (3) If a motion is made to approve a TAC Recommendation Report and that motion fails, the RMGRR shall be deemed rejected by the ERCOT Board unless at the same meeting the ERCOT Board later votes to approve or remand the TAC Recommendation Report. The rejected RMGRR shall be subject to appeal pursuant to Section 3.4, Appeal of Action.

3.4 *Appeal of Action*

- (1) Any interested party may appeal directly to the Technical Advisory Committee (TAC), any Retail Market Subcommittee (RMS) action regarding a Retail Market Guide Revision Request (RMGRR). Such appeal to the TAC must be submitted to ERCOT

within ten Business Days after the date of the relevant RMS appealable event. Appeals made after this time shall be rejected. Appeals to the TAC shall be posted on the Market Information System (MIS) within three 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 11 days in advance of the TAC meeting; otherwise the appeal will be heard by the TAC at the next regularly scheduled TAC meeting. An appeal of an RMGRR to TAC suspends consideration of the RMGRR until the appeal has been decided by TAC.

- (2) Any interested party may appeal directly to the ERCOT Board, any TAC action regarding an RMGRR. Such appeal to the ERCOT Board must be submitted to ERCOT within ten Business Days after the date of the relevant TAC appealable event. Appeals made after this time shall be rejected. Appeals to the ERCOT Board shall be posted on the MIS within three Business Days and placed on the agenda of the next available regularly scheduled ERCOT Board meeting, provided that the appeal is provided to the ERCOT General Counsel at least 11 days in advance of the ERCOT Board meeting; otherwise the appeal will be heard by the ERCOT Board at the next regularly scheduled ERCOT Board meeting. An appeal of an RMGRR to the ERCOT Board suspends consideration of the RMGRR until the appeal has been decided by the ERCOT Board.
- (3) Any interested party may appeal any decision of the ERCOT Board regarding the RMGRR to the Public Utility Commission of Texas (PUCT) or other Governmental Authority. Such appeal to the PUCT or other Governmental Authority must be made within 35 days of the date of the relevant appealable event. 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 Retail Market Guide Revision Request (RMGRR) may request that the RMGRR be considered on an urgent (“Urgent”) basis only when the submitter can reasonably show that an existing Retail Market Guide (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, the Retail Market Subcommittee (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 Impact Analysis (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 the Technical Advisory Committee Procedures.
- (5) If RMS recommends approval of the Urgent RMGRR, ERCOT shall submit a RMS Recommendation Report to the Technical Advisory Committee (TAC) within three 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 Market Information System (MIS).

3.6 Revision Implementation

- (1) For Retail Market Guide Revision Requests (RMGRRs) with no impact to ERCOT systems or staffing, ERCOT shall implement RMGRRs on the first day of the month following Technical Advisory Committee (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 ERCOT 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 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)

March 1, 2009

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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 Ad Hoc Retail Market Conference Calls

Market Participants (MPs) may request an ad hoc retail market conference call by contacting the chair and/or vice-chair of the Retail Market Subcommittee (RMS). RMS leadership will contact ERCOT Client Services who will announce the call via a market Notice to the Retail Market Call (RMC) e-mail distribution list. MPs interested in receiving ad hoc retail market conference call announcements should subscribe to the RMC distribution list located on the ERCOT Market Information System (MIS). Topics of discussion for the ad hoc call might 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); and
- (3) Any issues affecting more than one (1) Competitive Retailer (CR) or the entire market (i.e., re-bill efforts, synchronization).

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

July 1, 2009

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6 RETAIL MARKET SUBCOMMITTEE WORKING GROUPS

The Retail Market Subcommittee (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 Texas Test Plan Team (TTPT)

The Texas Test Plan Team (TTPT) is a standing working group that reports to the Retail Market Subcommittee (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 Public Utility Commission of Texas (PUCT) 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 Protocol Section 23, Texas Test Plan Team – Retail Market Testing, other RMS working groups, and PUCT 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.

6.2 Texas Standard Electronic Transactions (Texas SET) Working Group

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

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

- (1) Analyze the need for new transactions based upon Market Participant input;
- (2) Recommend and implement Protocol changes';
- (3) Control the publication and version management of Texas 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 Texas SET transactions;
- (8) Resolve technical standards disputes/issues;
- (9) Coordinate 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 Texas SET Implementation Guides and processes.

6.3 Texas Data Transport Working Group (TDTWG)

The Texas Data Transport Working Group (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 versions. In addition, TDTWG supports market metric activities as directed by the Retail Market Subcommittee (RMS). TDTWG performs the following functions:

- (1) Maintains the guide which describes the data transport process used by Market Participants and ERCOT;
- (2) Maintains the Retail Market IT Services Service Level Agreement (SLA);
- (3) Monitors ERCOT's adherence to performance targets specified in the Retail SLA;
- (4) Monitors market performance metrics reported by ERCOT to the Public Utility Commission of Texas (PUCT);
- (5) Supports market metric activities:
 - (a) Maintains metric templates; and

- (b) Facilitates compliance of the P.U.C. SUBST. R. 25.88, Retail Market Performance Measure Reporting;
- (6) Addresses issues as directed by the RMS.

6.4 Retail Metering Working Group

The Retail Metering Working Group (RMWG), reporting to the Retail Market Subcommittee (RMS), is involved in policy issues and operational aspects of retail metering. RMWG provides a forum in which Market Participants and others may participate to facilitate changes in standards, specifications, procedures and practices associated with retail metering as reflected in the ERCOT Protocols and the Competitive Metering Guide (CMG). In addition, the RMWG will provide a forum for discussing other retail metering guides required for the implementation of Advanced Metering and future Public Utility Commission of Texas (PUCT) rulemakings.

RMWG also helps develop business requirements for any changes necessary to implement PUCT rules related to retail metering and deliver these requirements to the appropriate subcommittee and/or working group.

6.5 Ad Hoc Working Groups

The Retail Market Subcommittee (RMS) may form ad hoc working groups with representation on each working group being appointed or approved by the subcommittee. The members of the working 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 working group is no longer required. The subcommittee will direct these working groups and make assignments as necessary.

Retail Market Guide
Section 7: Market Processes

August 18, 2009

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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 Electric Service Identifiers (ESI IDs) are returned to the original Competitive Retailer (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 Public Utility Commission of Texas' (PUC's) Rules, the PUC's Rules shall take precedence. These procedures shall be applied uniformly regardless of class of service.

7.2.1 *Escalation Process*

Each Market Participant (MP) is responsible for its own compliance with the PUC Rules and the procedures and timelines in this section. Each MP shall provide escalation contacts, consistent with the process outlined in Section 1.7.1, Rolodex, of the MarkeTrak User's Guide, to assist in resolution of delays and disputes regarding the procedures. MarkeTrak will send escalation emails to MP's escalation contact(s) whenever an issue has remained untouched for seven (7) days.

7.2.2 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. The CR investigation should include reviewing the ESI ID service history on the Texas Market Link (TML).

7.2.2.1 Buyer's Remorse

7.2.2.1.1 Rescission Period

An untimely notice of rescission does not constitute and should not be treated as an inadvertent gain or loss. Any CR receiving an untimely notice of rescission from the Customer shall inform the Customer that they have a right to select another CR and may do so by contacting that CR. The CR shall also inform the Customer that they will be responsible for charges from the CR for service provided until they switch to another CR. The right of rescission is not applicable to a Customer requesting a move-in.

CRs that receive a notice of rescission in a timely manner shall first attempt to cancel the order in question. If this is not possible due to the order having completed, MarkeTrak shall be utilized to restore the Customer to their previous Retail Electric Provider (REP). The submitting REP for a rescinded switch shall utilize the appropriate subtype, following the process outlined in the MarkeTrak User's Guide.

7.2.2.1.2 Breach of Contract

The MarkeTrak inadvertent gain process shall not be used to resolve a Customer's intentional breach of a contract.

7.2.2.2 Prevention of Inadvertent Gains

If the gaining CR determines that a potential inadvertent gain may be avoided by cancelling a pending switch or move-in transaction during the evaluation period (two (2) days prior to a move-in and five (5) days prior to a switch), the gaining CR shall file a *Cancel with Approval* MarkeTrak issue in order to prevent the need for an *Inadvertent* MarkeTrak issue. The gaining CR shall note in the comments field of the *Cancel with Approval* MarkeTrak issue that this cancellation is being requested in order to prevent an inadvertent gain.

If an *Inadvertent Gain* MarkeTrak issue has already been created, the *Cancel with Approval* MarkeTrak issue should be linked to it, and the gaining CR shall note in the comments field of the *Inadvertent Gain* MarkeTrak issue that a *Cancel with Approval* MarkeTrak issue has been created. The Transmission Distribution Service Providers (TDSPs) shall attempt to cancel the pending transaction even if the transaction currently falls within the evaluation period.

Cancellation of a pending switch/move-in 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 shall cancel the transaction using the 814_08, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Request.
- (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 shall follow the MarkeTrak process to request cancellation of the transaction.

7.2.2.3 Resolution of Inadvertent Gains

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 gaining CR shall not send in a Move-Out Request or a Disconnect for Non-Pay on an ESI ID that was gained in error.

7.2.2.3.1 Reinstatement Date

The original CR and the gaining CR may work together to negotiate a reinstatement date for the original CR to take the ESI ID 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 reinstatement date shall be one (1) day beyond the date of loss (date of loss is the date the Customer started with the gaining CR) or any subsequent date chosen by the original CR for which the original CR had authorization to serve the Customer but no greater than fifteen (15) days past the date the MarkeTrak issue was logged.

The original CR shall submit an 814_16, Move-In Request, that is backdated by at least one (1) Business Day. The original CR shall submit a move-in no later than seventeen (17) days after the MarkeTrak issue was logged, utilizing the reported reinstatement date.

If the reinstatement process is delayed, the reinstatement date shall not be extended beyond fifteen (15) days from the date the MarkeTrak issue was logged.

If the move-in has not been submitted within this required timeline, or the reinstatement date is different than the date noted in the MarkeTrak issue, refer to the escalation process in the MarkeTrak User's Guide.

MarkeTrak issues where all parties have agreed and the MarkeTrak issue remains untouched for twenty (20) days from the date the TDSP selects "Ready to Receive" will be "auto closed" in the system.

7.2.2.4 Valid Reject Reasons

The original CR may reject the return of an inadvertently gained ESI ID from the gaining CR only for one of the following reasons:

- (1) The original CR has already regained the ESI ID or a third CR has completed a transaction since the inadvertent gain period.
- (2) Upon investigation of the inadvertent gain issue, the gaining CR determines that they possess an authorized enrollment.
- (3) The Customer has entered into multiple, valid contracts regarding the same ESI ID(s).

7.2.2.5 Invalid Reject Reasons

The original CR may not reject the return of an inadvertently gained ESI ID due to:

- (1) Inability to contact the Customer;
- (2) Past due balances or credit history;
- (3) Customer having moved out from the Premise in question;
- (4) Contract expiration or termination;
- (5) Pending Texas Standard Electronic Transaction (Texas SET) transactions where notification has not been sent; or
- (6) Original CR serving the Premise under a Continuous Service Agreement (CSA).

7.2.2.6 Out-of-Sync Condition

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 the 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 ESI ID 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 Texas SET website.

7.2.2.7 No Original CR of Record

If it is determined that the original CR is no longer active in the market, then it is recommended that the gaining CR should make all reasonable attempts to contact the Customer to resolve the issue and request that ERCOT close the MarkeTrak issue. If the gaining CR is unable to contact the Customer, they may consider following the rules established in P.U.C. SUBST. R. 25.488, Procedures for a Premise with No Service Agreement.

7.2.3 Charges Associated with Returning the Customer

The affected CRs and the TDSP shall take all actions necessary to correctly bill all charges, so that the end result is that the CR that served the ESI ID without proper authorization shall pay all transmission, distribution and discretionary charges associated with returning the ESI ID to its original CR, or CR of choice in the case of a move-in. Each CR shall be responsible for all non-by passable TDSP charges and wholesale consumption costs for the periods that they bill the Customer.

If the gaining CR sends a move-out (in violation of Section 7.2.2.3, Resolution of Inadvertent Gains), and in order for the TDSP to reverse fees associated with the inadvertent gain, the original CR should file the inadvertent gain MarkeTrak issue prior to submitting a priority move-in. Within the comments field of the MarkeTrak issue, the original CR shall state, "Reverse fees due to Inadvertent Gain." If the gaining CR agrees that an inadvertent gain has occurred, then the gaining CR shall not dispute any of the valid TDSP fees associated with returning the ESI ID to its original CR.

The losing CR shall not submit a priority 814_16, Move-In Request if the Customer currently has power.

7.2.4 TDSP Inadvertent Gain Process

As soon as a TDSP is assigned an inadvertent gain issue, the TDSP shall acknowledge receipt of the issue by placing comments in the MarkeTrak issue.

7.2.4.1 Inadvertent Dates Greater than 150 Days

If the inadvertent gain occurred more than one hundred fifty (150) days in the past, the TDSPs shall not issue billing corrections more than one hundred fifty (150) days in the past from the date of the receipt of the move-in transaction by the TDSP. For those instances in which the requested reinstatement date in the MarkeTrak issue is one hundred fifty (150) days or greater in the past, the TDSP will place comments in the MarkeTrak issue to indicate an acceptable reinstatement date for the move-in. For instances in which the backdated move-in date is further in the past than the date provided by the TDSP, the move-in will be completed unexecutable with remarks. The CR must resubmit their move-in with a new date.

7.2.4.2 Inadvertent Order is Pending

If the inadvertent order is pending, TDSPs will respond with the following statement:

Since the inadvertent transaction is still pending, an attempt should be made by the gaining CR to cancel the transaction, provided that the gaining CR agrees to do so. If so, please submit a Day to Day Cancel With Approval MarkeTrak cancellation request by 2:00 pm CST (at least 3 days in advance for Switches and 2 days in advance for move-ins) prior to the date the inadvertent transaction is scheduled to complete and advise of MarkeTrak number. Requests received after these time periods will be

attempted but will not be guaranteed. Otherwise, the inadvertent gain will follow the standard inadvertent process.

7.2.4.3 Third Party has Gained ESI ID (Leapfrog Scenario)

If a third party CR legitimately acquires a previously inadvertently gained ESI ID or if the backdated transaction is requesting a date prior to a scheduled transaction where the evaluation has already occurred (two (2) Retail Business Days prior to scheduled move-in, move-out or Mass Transition drop and five (5) Retail Business Days prior to a scheduled switch), the TDSPs shall respond with the following statement:

Gaining CR is no longer the Retail Electric Provider(REP) of record or scheduled to be the REP of record for this ESI ID. A third party has gained or is in the process of gaining the account. The TDSP no longer considers this an inadvertent issue.

7.2.4.4 TDSP Billing

Once a backdated move-in has been accepted by the TDSP, the TDSP shall invoice all transmission, distribution and discretionary charges associated with returning the Customer to its original CR, or CR of choice in the case of a move-in, to the gaining CR. The TDSP shall be responsible for invoicing all non-by passable TDSP charges to the CRs in accordance with the periods that they each served the Customer.

Any disputes regarding TDSP charges shall be filed in accordance with Section 7.8, Formal Dispute Process for CRs and TDSPs.

7.2.5 Customer Rescission after Completion of a Switch Transaction

The time period allowed for a Customer to rescind a switch transaction may extend beyond the completion date of a switch. If a Customer requests to cancel a switch for the purpose of rescission, the CR scheduled to gain the Premise shall attempt to cancel the transaction by following the steps outlined in Section 7.2.2.2, Prevention of Inadvertent Gains, regarding cancellation of the pending 814_01, Enrollment Request. If the TDSP is unable to cancel the switch, or the Customer waits until after the switch is complete to exercise the rescission (but is still rescinding the agreement within the timelines specified in P.U.C. SUBST. R. 25.474, Selection of Retail Electric Provider), the Gaining CR shall file a MarkeTrak issue to initiate reinstatement of the Customer to the previous CR.

The TDSP shall not assess any fees related to Customer reinstatement in cases of a valid Customer rescission, provided the submit date of the MarkeTrak issue falls on or before the 25th day following the established First Available Switch Date (FASD) of the 814_03, Switch/Move-In CR Notification Request, per the timeline specified in Protocol Section 15.1.1, Submission of a Switch Request. Once this timeframe has expired, a MarkeTrak issue shall be rejected by the TDSP and must be filed using the *Inadvertent Gaining* subtype. The Gaining CR will incur all TDSP charges normally associated with the return of a Premise through that subtype. In order to ensure a fee is not assessed, the REP shall follow the process outlined in the MarkeTrak User's

Guide, including specific pre-determined comments stating “Customer rescission-please process this issue per P.U.C. SUBST. R. 25.474 (n).”

The original CR shall reinstate the Customer for one day beyond the original date of loss. The option to reinstate the Customer for any date beyond this as outlined in Section 7.2.2.3.1, Reinstatement Date, is not applicable for rescissions received within the timelines specified in this scenario.

The rules and guidelines set forth in previous sections regarding valid/invalid reject reasons, back dated transactions over 150 days, pending order notification and third party transactions/leapfrog scenarios shall apply to rescission-based reinstatement.

Only those enrollments initiated by an 814_01 transaction may be returned through the process outlined in this Section. Only the Gaining CR may initiate the process of returning the Customer to the original CR by filing a MarkeTrak issue upon being contacted by the Customer exercising rescission. If a Gaining CR attempts to submit an inadvertent gain issue in MarkeTrak only to discover an *Inadvertent Losing* issue has been submitted by the original CR for the same transaction, the Gaining CR shall mark the *Inadvertent Losing* issue unexecutable and proceed with submission of the inadvertent gaining issue.

7.2.5.1 Additional Valid Reasons for Rejection of a Rescission-based Issue

The TDSP may return an issue to the submitting CR due to the Gaining CR has requested and the TDSP has completed a move-out transaction for the inadvertently gained ESI ID.

7.3 Safety-Nets

7.3.1 Purpose of Safety-Net Move-In

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 when market transactions are delayed, not functional, or for priority orders that require immediate notification to the Transmission Distribution Service Provider (TDSP) 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 Electric Service Identifier (ESI ID) beginning the date the TDSP connects service to the Premise.

7.3.1.1 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, Move-In Request, transaction was sent, but the REP has not received an 814_05, Switch/Move-In Response, 814_17, Move-In Reject Response, or 814_28, Completed Unexecutable or 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 Electronic Data Interchange (EDI) 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 response transaction, if needed, giving the appropriate TDSP 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, if the 814_05, 814_17, or 814_28 has not been received by the day 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.

7.3.1.2 Standard Move-In Safety-Net Spreadsheet Format and Timing

- (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 Request) **between the hours of 1100 to 1200 CPT on the Business Day prior to the Customer's requested move-in date**, if the REP has not received the 814_05, Switch/Move-In Request, 814_17, Move-In Reject Response, or 814_28, Completed Unexecutable or Permit Required, from ERCOT. A TDSP will reject safety-net spreadsheet requests received earlier than the day prior to the requested move-in date. This request is done via e-mail using the "Subject Line" included in Table 1, Required Subject Lines for Standard Safety-Net Move-In E-mails.

Table 1. Required Subject Lines for Standard Safety-Net Move-In 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 |
| [TDSP Name] – Safety-net – RESPONSE – [Date Requested] | Status of Safety-net Request | TDSP |

7.3.1.3 Priority Move-In Safety-Net Spreadsheet Format and Timing

- (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 Request) **no earlier than 1400 CPT on the requested date in the priority move-in**, if the REP has not received the 814_05, Switch/Move-In Response, 814_17, Move-In Reject Response, or 814_28, Completed Unexecutable or Permit Required, from ERCOT. This request is done via e-mail using the "Subject Line" included in Table 2, Required Subject Lines for Priority Safety-Net Move-in E-mails.

- (2) 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 814_16 submitted by the Competitive Retailer (CR).

Table 2. Required Subject Lines for Priority Safety-Net Move-In 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 |
| [TDSP Name] – PRIORITY Safety-net – RESPONSE – [Date Requested] | Status of PRIORITY Safety-net request | TDSP |

7.3.1.4 Standard and Priority Safety Net Procedures

- (1) To initiate a safety-net move-in, the REP attaches to the e-mail, the Excel© spreadsheet in the market-approved spreadsheet format. See Table 3, Safety-Net Spreadsheet Format.

Table 3. 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. |

- (2) If the TDSP does not have a transaction to respond to, the TDSP 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 4, TDSP Return Codes. The TDSP shall respond within one (1) Business Day of receipt of the request. For completed unexecutable only, the TDSP shall respond within two (2) Business Days of receipt of the request.

Table 4. TDSP 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. |

- (3) If the REP wants to cancel a safety-net move-in, it must notify the TDSP by e-mail to the same place where the original request was sent. If the REP does not notify the TDSP of a cancellation, the TDSP 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 7.3.1.2(1), Standard Move-In Safety-Net Spreadsheet Format and Timing or 7.3.1.3(1), Priority Move-In Safety-Net Spreadsheet Format and Timing and 7.3.1.4(1), Standard and Priority Safety Net Procedures.
 - (b) If a REP cancels a safety-net move-in on the requested date, the TDSP may charge the REP a trip charge in accordance with TDSP tariffs for canceling the safety-net move-in.
 - (c) If the TDSP 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.
- (4) The REP must submit an 814_16 transaction to ERCOT and note the BGN02 on the safety-net spreadsheet that is sent to the TDSP.
- (a) If the 814_16, Move-In Request, that corresponds with the safety-net request is rejected by ERCOT with an 814_17, Move-In Reject Response, 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 safety-net spreadsheet. The REP is to submit a MarkeTrak issue after not receiving a response from ERCOT on the 814_16 within forty-eight (48) hours.
 - (b) If a subsequent 814_16 transaction is accepted by ERCOT, the REP must update the TDSP 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 7.3.1.2 and 7.3.1.3.

7.4 Standard Historical Usage Request

In the Texas marketplace, with a Customer's authorization, Competitive Retailers (CRs) may request a Customer's historical data when they are not the Retail Electric Provider (REP) of Record. This data includes the most recent twelve (12) months of usage and is provided by the Transmission Distribution Service Provider (TDSP) to the requesting CR. 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 Electric Service Identifier (ESI ID), the requestor must submit a standard LOA form to the appropriate TDSP (See Appendices B1, Standard Letter of Authorization for the Request of Historical Usage Information (English) and B2, Carta Estándar De Autorización Para Solicitar Información De Consumo Histórico (Letter of Authorization for the Request of Historical Usage Information – Spanish)). A Customer may allow the use of the same LOA for any length of time or the Customer shall indicate an 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.

In lieu of the Customer completing and signing the LOA, the requestor may complete the LOA if authorized to do so by the Customer and may submit it electronically to the TDSP. The requestor takes full responsibility for obtaining such Customer authorization and shall hold the TDSP harmless for providing the historical data. Requestor must check the box under the "Authorization" section of the LOA, complete the Customer identification information, and send the completed LOA to the TDSP.

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 requested by the CR and authorized by the Customer, if available and shall use Appendix B4, Excel Format Used by the TDSP to Provide Data to the Requestor.

The requestor must use the attachment located in Appendix B3, Excel Format to be Completed by the Requestor as an Attachment to the Letter of Authorization, 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 This Section Intentionally Left Blank

7.6 Disconnect and Reconnect for Non-Payment Process

The Disconnect for Non-Pay (DNP) and Reconnect for Non-Pay (RNP) process was developed to provide Market Participants (MPs) with market approved guidelines to support disconnect and reconnect transactions and business processes as allowed or prescribed by P.U.C. 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.

Collection Day

The hours of operation for collection and payment services at the Competitive Retailer (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's) 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, Move-Ins (MVI's), Move-Outs (MVO's)). 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.

Retail Business Day

0800 to 1700 Central Prevailing Time (CPT) Monday through Friday excluding observed company holidays, as outlined on the TDSP websites.

Same Day

As defined in the standard TDSP Tariff for Retail Delivery Service.

Service Order Request

The Texas Standard Electronic Transactions (Texas SETs) 650_01 issued from the CR to TDSPs requesting field work.

Service Request

Same as above.

Standard

As defined in the standard TDSP Tariff for Retail Delivery Service.

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 Energy |
| Oncor | Oncor |
| SULP | Sharyland Utilities, L.P |
| TNMP | Texas New Mexico Power |

7.6.1 Assumptions and Market Processes**7.6.1.1 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 Retail Electric Provider (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.

7.6.1.2 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 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.

For all *other* TDSPs, if a safety-net move-in has been received and completed for a new CR of Record, *but* the supporting Electronic Data Interchange (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 Reconnects, 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 Electric Service Identifier (ESI ID) population subject to DNP.

CR performs internal validations prior to issuing disconnection requests.

CR submits 650_01, Service Order Request, 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.

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 Friday orders with the NO flag for the next Retail Business Day. AEP, TNMP and Oncor will

utilize the Friday Authorization segment of the 650_01 transaction regardless of the overdue status and will reschedule Friday orders with the NO flag for the next Retail Business Day.

TDSP receives 650_01 transaction and performs validations.

For orders that do not pass validations, a 650_02, Service Order Complete, Complete Unexecutable, Reject Response, or Notification of Permit Required reject transaction will be created with the appropriate code and reason and sent to the CR.

If the transaction does not pass American National Standards Institute (ANSI) validation, a negative 997, Functional Acknowledgement, reject is sent.

Upon successfully validating the 650_01, the 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 P.U.C. SUBST. R. 25.483(m) 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 FSR to be completed according within the timelines outlined in P.U.C. SUBST. R. 25.483(m) 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**

Timelines for receipt of disconnection and reconnection of Service Order Requests:

- (1) **Disconnect** - For DNP 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 RNP 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 P.U.C. SUBST. R. 25.483(m) (1-7).

Per TDSP tariff, Standard RNP 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 or on a day that is not a Retail Business Day shall be considered received on the next Retail Business Day.

Same Day RNP 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 disconnect for non-payment, 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 DNP or RNP Service Request, TDSPs may perform the following validations on 650_01 transactions:
 - (a) Verify that the CR submitting a disconnect request is the CR of Record.
 - (b) Perform ANSI validations on 650_01.
 - (c) Perform Texas SET validations on 650_01.

- (d) Review meter indicators for ESI ID for critical Load, critical care, and master metered Premise.
- (e) Verify if a DNP request is a duplicate.
- (f) Verify if a RNP request is a duplicate.
- (g) Verify if a move-in or switch has been scheduled on the requested date.
- (h) Verify if a move-out has been received from requesting CR.
- (i) Determine if the requesting CR has indicated that DNPs not completed within three (3) Retail Business Days should not be completed on a Friday. AEP, TNMP and Oncor will utilize the Friday Authorization segment of the 650_01 transaction regardless of the overdue status and will reschedule Friday orders with the NO flag for the next Retail Business Day.
- (j) Identify if reconnect request is a Same Day reconnect.
- (k) Verify if a reconnect request has been previously received for disconnect request within the past twenty-four (24) hours for CNP and within the past one (1) hour for Oncor.
- (l) Upon receipt of a reconnect, verify that the original disconnect request was not rejected (CNP and Oncor only).
- (m) Verify if a weather moratorium is in effect.

7.6.3.3 Competing Orders

All TDSP's will Complete Unexecutable a DNP when the requested date is greater than (after) or equal to the scheduled date of a Pending switch or move-in. 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 scheduled. Disconnect orders carried over to next Retail Business Day may not be worked due to competing orders and will be Completed 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) **Self-selected switch** - If the new CR of Record has submitted a self-selected switch, the TDSP will re-energize the Premise and bill applicable charges to the new CR of Record.

Table 7. Competing Orders - Self-selected Switch

| | AEP | CNP | Oncor | 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 | Out-of-cycle meter reading charge |

- (3) **Standard switch** - If the new CR of Record has submitted a standard 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, TNMP would require the CR with the ability to submit a 650_01, Service Order Request, 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, TNMP would expect the CR to follow the emergency procedures outlined in Section 7.6.5.1, Emergency Reconnects.

Table 8. Competing Orders - Standard Switch

| | AEP | CNP | Oncor | SULP | TNMP |
|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| TDSP Action | Perform meter read | Perform meter read | Perform meter read | Perform meter read | Perform meter read |
| Energize | Yes | Yes | Yes | Yes | No |
| TDSP Fee | Reconnect charge | Reconnect charge | Connect charge | Reconnect charge | None |

7.6.3.4 Reconnect/Disconnect Processing Order

If a reconnect request is received before a disconnect request, AEP and TNMP 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.

If a reconnect is received without a corresponding disconnect request, the reconnect request is currently held for twenty-four (24) hours at CNP and one (1) hour for Oncor, to wait for the corresponding disconnect for non-payment transaction (650_01). If no corresponding disconnect for non-payment transaction is received within the timeframes described above, the reconnect request transaction will be rejected using the Texas SET reject code of “RWD.”

- (1) If the corresponding disconnect for non-payment arrives during that period, the transactions/requests cancel each other out and produce a 650_02 Complete Unexecutable response with Texas SET code ‘V005’ reason codes and 'RC RECEIVED BEFORE DNPWORKED' reason description.
- (2) If inadvertent disconnection occurs, then emergency reconnection provisions will be followed.

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 after being re-routed. The TDSP shall reference the YES or NO authorization found in the 650_01 transaction and will reschedule all orders that would have been scheduled for Friday 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) **For CNP, Oncor, Sulp and TNMP** will apply disconnect or reconnect charge based on initiating Service Order.

7.6.3.7 Same Day Reconnect or Disconnect for Non-Payment (Priority Orders)

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

Table 9. TDSP Priority Codes

| | | | | | |
|--|------------|------------|--------------|-------------|-------------|
| | AEP | CNP | Oncor | Sulp | TNMP |
|--|------------|------------|--------------|-------------|-------------|

| | | | | | |
|--|----|----|----|-----|----|
| Same Day Reconnect | 99 | 02 | 03 | TBD | 02 |
| Holiday Reconnect | 99 | 02 | 04 | TBD | 02 |
| Prepay for ESI IDs With Provisioned AMS Meters NOTE: Used for Both Reconnects and Disconnects for Non-Payment | 05 | 05 | 05 | 05 | 05 |

Any service order received by a TDSP with a priority code other than those listed above will be processed as a Standard service order except Oncor who will reject the reconnect request if the priority code is invalid.

If a CR issues a Same Day reconnect order after issuing a Standard reconnect order and the Standard reconnect order has not been completed, the Same Day order will be rejected as a duplicate request.

The prepay priority code, listed in Table 9, TDSP Priority Codes, shall only be used by the REP of Record (ROR) for ESI IDs identified by the TDSP as being provisioned with an Advanced Metering System (AMS) meter that is capable of remote disconnect and reconnect. TDSPs will convert service orders received with a prepay priority code on ESI IDs that do not have remote disconnect and reconnect capability to the Standard disconnect or reconnect for non-payment processes adhering to all tariff timelines for scheduling and charges of the request.

The prepay priority code shall not be used by the ROR unless the current Customer is on a prepay service offering as applicable in P.U.C. SUBST. R. 25.498, Retail Electric Service Using a Customer Prepayment Device or System. All disconnect service orders with a prepay priority code will be worked as the current prevailing timeline within each TDSP's service area. All reconnects after DNP service orders with prepay priority shall be worked within one (1) hour of the reconnect service order being received by the TDSP from the ROR. TDSPs will make reasonable efforts to perform manual processing of the prepay reconnects when necessary to overcome communication interference to the AMS meter. Applicable TDSP discretionary service charges may apply for service orders completed manually.

Oncor requires that each REP offering prepay services provide a current list of all prepay ESI IDs at least weekly. The MarkeTrak tool should be used to send the prepay ESI IDs list. REPs should submit a single issue to Oncor using the "Other" subtype and attach a txt file with the list of ESI IDs. The filename for the REP Prepay ESI ID list should be "REP NAME_13_digit DUNS_PREPAY ESIID_filedat.txt." The txt file list should have two (2) fields of information per row: REP DUNS and ESI ID.

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** No Charges will be applied.
- (4) **SULP** No Charges will be applied.
- (5) **TNMP** No Charges will be applied.

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** No Charges will be applied.
- (4) **SULP** No Charges will be applied.
- (5) **TNMP** No Charges will be applied.

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

Due to the exceptional conditions outlined in Section 7.6.5, Exceptions, and 7.6.2.1, DNP Process Overview, CRs will need to follow up with the TDSP if the 650_02 for a disconnect request is not received within 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** *EMO-ServiceOrders@centerpointenergy.com*
- (3) **Oncor** *utiltxn@Oncor.com*
- (4) **SULP** *egarcia@su-power.com*

(5) **TNMP** *dnprelations@tnmp.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, P.U.C. SUBST. R. 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 subsection (e) of P.U.C. SUBST. R. 25.29, Disconnection of Service.

A DNP 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 DNP 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. AEP, TNMP and Oncor will utilize the Friday Authorization segment of the 650_01 transaction regardless of the overdue status and will reschedule Friday orders with the NO flag 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) **Standard Reconnects for Non Payment:**

Per P.U.C. SUBST. R. 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 P.U.C. SUBST. R. 25.483(m) 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 or 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 10. 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) **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.

Oncor will accept after hour priority reconnect request via the "Emergency Reconnect Spreadsheet".

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 may 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** 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 DNP door hanger that informs the Customer that at the request of their CR, the TDSP has disconnected the electric service for non-payment. The language provided in the door hanger encourages the Customer to contact their CR 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 11. Door Hanger Use by TDSP

| | AEP | CNP | Oncor | SULP | TNMP |
|-------------------|------------|----------------------------------|--------------|-------------|-------------|
| Disconnect | No | Yes, for completed service order | No | Yes | No |

| | AEP | CNP | Oncor | SULP | TNMP |
|------------------|----------------------------------|----------------------------------|----------------------------------|-------------|-------------|
| 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 the same seal used for completed MVO request. In addition, a tan colored attachment to meter seal advises Customer to contact CR to have service restored.
- (2) **CNP** The meter seal is red, and also this is the same seal used for completed MVO request.
- (3) **Oncor** The meter seal is orange.
- (4) **SULP** The meter seal is red.
- (5) **TNMP** The 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 seven 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 seven days/week Support Center, (713) 207-2222 or (800) 332-7143.
- (3) **Oncor** Contact 24 hours/day seven days/week Support Center, (888) 313-6934.
- (4) **SULP** Contact 24 hours/day seven days/week Support Center, (956) 668-9551.
- (5) **TNMP** Contact 24 hours/day seven days/week Support Center, (888) 866-7456.

After initiating an emergency service reconnection with the TDSP's 24 hours per day, seven days per week support center, CRs shall submit a follow up e-mail, including a completed Emergency Reconnect Request spreadsheet to the TDSP. Please refer to Section 9, Appendices,

Appendix C2, Emergency Reconnect Request Data Requirements, for the required spreadsheet template. The TDSP e-mail contacts are:

- (1) **AEP** e-mail crctx@aep.com , 650_01 reconnect *not* required
- (2) **CNP** 0800 to 1700 Monday – Friday, e-mail spreadsheet to CustomerCare-CR@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 is required of the CR by CNP. (If CR can not issue RC003 reconnects and is not the CR initiating the original disconnect, 650_01 will not be required.)

- (3) **Oncor** 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@tnmp.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, to complete disconnection requests for critical care premises. For Oncor, 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 subsection (d)(1), Figure: part 5.3.7.4(1)(E) of P.U.C. SUBST. R. 25.214, Terms and Conditions of Retail Delivery Service Provided by Investor Owned Transmission and Distribution Utilities: *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 P.U.C. SUBST. R. 25.483(g)(3):

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 REP. 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, to complete subsequent disconnection requests. For Oncor, contact Business Support at (888) 313-6934, or contactcenter@Oncor.com.

7.6.5.4 Weather Moratoriums

All MPs 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 P.U.C. SUBST. R. 25.483:

Table 12. 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 13. 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 P.U.C. SUBST. R. 25.483(i)(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** 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** 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.

DNP requests that are Completed Unexecutable by a TDSP during a weather moratorium and still qualify for disconnection 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 TDSPs 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

Per P.U.C. SUBST. R. 25.214(d)(1), Figure: part 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, CNP, Oncor, and Sulp:** During both Weather Moratorium and Force Majeure, disconnects for non-payment that are pending/scheduled to be worked during the event are Completed Unexecutable throughout the term of the event. For Weather Moratorium, all reconnects for non-payment will continue to be scheduled for completion throughout the duration of the moratorium. However, during a Force Majeure event, reconnects for non-payment will remain pending until management has acknowledged and communicated to the market that routine operations have been re-established.
- (2) **TNMP:** CRs should cancel all Pending disconnect Service Requests with a 650_01 reconnect request until the REP Relations group notifies the CR via e-mail and/or telephone that routine operations have been restored.

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

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 P.U.C. SUBST. R. 25.483(j). 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** 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** *hou-cso.operations@centerpointenergy.com*.
- (3) **Oncor** Contact Business Support at (888) 313-6934; or *contactcenter@Oncor.com*.
- (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** *hou-cso.operations@centerpointenergy.com*.
- (3) **Oncor** Contact Business Support at (888) 313-6934; or *contactcenter@Oncor.com*.
- (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** 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:

- (1) **AEP** One (1) service charge per ESI ID.
 (2) **CNP** One (1) service charge per ESI ID.
 (3) **Oncor** One (1) service charge per ESI ID.
 (4) **SULP** Not applicable.
 (4) **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 Premium Disconnect 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 14. SAC04 Codes-Discretionary Charges

| Charge Description | Service Territory | | | | |
|---|-------------------|--------|--------|--------|--------|
| | AEP | CNP | Oncor | SULP | TNMP |
| <i>Disconnection</i> | | | | | |
| Standard Disconnect at Meter | SER024 | SER024 | SER024 | SER024 | SER024 |
| Standard Disconnect at Pole | SER026 | SER024 | SER026 | SER024 | SER026 |
| | | | | | |
| <i>Reconnection</i> | | | | | |
| Standard Reconnect at Meter | SER030 | SER028 | SER030 | SER028 | SER030 |
| Standard Reconnect at Meter Special Route | N/A | SER034 | SER031 | N/A | N/A |
| Standard Reconnect at Pole | SER034 | SER028 | SER034 | SER028 | SER034 |
| Standard Reconnect at Subsurface Box | SER034 | SER034 | SER034 | SER028 | N/A |
| Standard Reconnect at CT Meter | SER034 | SER034 | SER034 | SER028 | N/A |
| | | | | | |
| Same Day Reconnect at Meter | SER031 | SER029 | SER029 | SER029 | N/A |

| Charge Description | Service Territory | | | | |
|---|-------------------|--------|--------|--------|--------|
| | AEP | CNP | Oncor | SULP | TNMP |
| Same Day Reconnect at Pole | SER029 | SER035 | SER035 | SER029 | N/A |
| Same Day Reconnect at Subsurface Box | SER029 | SER035 | SER035 | SER029 | N/A |
| Same Day Reconnect at CT Meter | SER029 | SER035 | SER035 | SER029 | N/A |
| | | | | | |
| Weekend Reconnect at Meter | SER032 | SER032 | SER032 | SER032 | N/A |
| Weekend Reconnect at Pole | SER035 | SER035 | SER035 | N/A | N/A |
| Weekend Reconnect at Subsurface Box | SER035 | SER035 | SER035 | N/A | N/A |
| Weekend Reconnect at CT Meter | SER035 | SER035 | SER035 | SER032 | N/A |
| | | | | | |
| Holiday Reconnect at Meter | SER033 | SER033 | SER033 | SER033 | N/A |
| Holiday Reconnect at Pole | SER036 | SER036 | SER036 | N/A | N/A |
| Holiday Reconnect at Subsurface Box | SER036 | SER036 | SER036 | N/A | N/A |
| Holiday Reconnect at CT Meter | SER036 | SER036 | SER036 | SER033 | N/A |
| | | | | | |
| After Hours Reconnect at Meter | N/A | N/A | SER032 | SER032 | SER032 |
| After Hours Reconnect at Pole | N/A | N/A | SER035 | N/A | SER035 |
| After Hours Reconnect at Subsurface Box | N/A | N/A | SER035 | N/A | N/A |
| After Hours Reconnect at CT Meter | N/A | N/A | SER035 | N/A | N/A |
| | | | | | |
| <i>Denial of Access to Meter</i> | | | | | |
| For Disconnection Orders | SER133 | SER026 | SER026 | SER133 | SER133 |
| For Reconnections Orders | SER133 | SER026 | SER035 | 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 | SER107 | SER130 | SER130 | SER130 | SER130 |
| Broken Meter Seal Fee (Self Connect or Repeat Offender) | SER130 | N/A | N/A | N/A | N/A |
| 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 the DNP. CRs 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.

7.6.7 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 crrtx@aep.com.
- (2) **CNP** For system outages contact your REP Relations Manager. Contact information can be found on CNP website: <http://www.centerpointenergy.com/services/electricity/competitiveretailers/contactus/>
After hours contact (800) 332-7143.
- (3) **Oncor** 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](mailto:hcu-cso.operations@centerpointenergy.com)
- (3) **Oncor** utiltxn@Oncor.com
- (4) **SULP** egarcia@su-power.com
- (5) **TNMP** dnprelations@tnmp.com

7.6.7.3 Website Available Information

- (1) **AEP** <http://www.aeptexas.com/Customerservice/Default.aspx>
- (2) **CNP** <http://www.centerpointenergy.com/home>
- (3) **Oncor** 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** (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 Provider of Last Resort (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 pursuant to P.U.C. SUBST. R. 25.43, Provider of Last Resort (POLR), and may include ESI IDs that are transferred to a designated CR as a result of an acquisition pursuant to SUBST. R. 25.493, Acquisition and Transfer of Customers from one Retail Electric Provider to Another. The goal of the Mass Transition process shall be to transfer responsibility for all affected ESI IDs while abiding by all ALA and requires that **all** ESI IDs served under the losing CR DUNS shall be transitioned to a POLR and/or designated CR. All Market Participants (MPs) and ERCOT will work to honor the Customer’s choice to switch to its chosen CR. 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 (MOU), or an Electric Cooperative (EC). ERCOT will be responsible for administering and managing Mass Transition events. MPs who wish to transfer Customers for reasons other than P.U.C. SUBST. R. 25.43 should contact ERCOT Client Relations and Public Utility Commission of Texas (PUCT) Staff.

Per Protocol Section 16.1.1, Re-Registration as a Market Participant, any MP that has had its Customers dropped via the Mass Transition Process must provide to ERCOT a new DUNS Number to re-register as an MP with ERCOT

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 or conference call), also known as the pre-launch stage in this process.
- (2) Calendar Day 0:
Date that ERCOT sends 814_03 transactions.
- (3) Mass Transition Date:

Scheduled meter read date will be equal to the current date plus two (2) days. It will be the date requested in the 814_03 transaction from ERCOT to the TDSPs. POLRs will be responsible for ESI IDs no earlier than the Mass Transition Date.

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 Standard Electronic Transaction (Texas SET) 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 #) who have responsibilities in completing the Mass Transition by processing Texas Standard Electronic Transaction (Texas SET) transactions; and
- (3) Logistical details for a Mass Transition project coordination meeting scheduled for the same or the next Business Day. If the email notification is sent before 1500 Central Prevailing Time (CPT), the coordination meeting will be scheduled for the same Business Day for no later than 1800 CPT, accelerating the Mass Transition. There will be a minimum of two (2) hours notice between the time ERCOT sends the email and the meeting start time.

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 1500 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 #) 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 1800 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.

- **Pending** – A status other than ‘Complete’ or ‘Cancelled.’ May also be referred to as ‘Open.’
- **In Review** - A status at ERCOT indicating the initiating transaction has been received and processed. The scheduling transaction has not been received from the TDSP.
- **Scheduled** - A status at ERCOT indicating the scheduling transaction has been received and processed. The effectuating meter read has not been received from the TDSP.
- **Permit Pending** - A status at ERCOT indicating ERCOT has received the 814_28, Completed Unexecutable or Permit Required, with the Permit Pending indicator from the TDSP, but has not received a subsequent 814_04, Switch/Move-In CR Notification Response, or 814_28 unexecutable.

- **Cancel Pending** - A status as ERCOT indicating ERCOT has sent a response driven cancel to the TDSP and has not received a response.
- (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:
 - (i) Switch: Allowed to complete and ERCOT sends 814_03, Mass Transition, transaction.
 - (ii) Move-in: Allowed to complete and ERCOT sends 814_03 transaction.
 - (iii) Move-out to CSA: Allowed to complete and ERCOT sends 814_03 transaction.
 - (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 transaction.
 - (ii) Move-in: Cancelled by ERCOT and POLR and/or designated CR is responsible for submitting a move-in for the Mass Transition Date or any future date that is the same requested date as the initial Move-In Request. The POLR is not required to use a Requested Date that is prior to the Mass Transition Date. 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 transaction. Submitting CR must resubmit move-out once ERCOT deletes Continuous Service Agreement (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, Drop Enrollment Request, 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 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.

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- (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 that is greater than two 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.
 - (ii) Move in: Allowed to complete and ERCOT will send 814_03 Mass Transition.
 - (iii) Move out: ERCOT will cancel the move-out and ERCOT will send the 814_03 Mass Transition 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.
- (c) ERCOT will provide a list of ESI IDs to each affected CR (both POLR and non-POLR CRs) of all Pending switch transactions they are scheduled to receive with a scheduled date greater than two Business Days after the Mass Transition Date (including in-review and scheduled) (See Section 9, Appendices, Appendix F4, ERCOT Template – ESI IDs for New CR with Pending Transactions). The lists will include ESI ID, requested date or scheduled date. CRs should take action to work with the Customer to expedite the switch in order to minimize the time the Customer is served by the POLR. CRs may use a move in transaction in extreme circumstances as authorized by Commission designee. If the CR takes no action, the Pending order will be allowed to complete on the originally scheduled date.
- (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) calendar days after ERCOT generates and the TDSPs receive the 814_03, Mass Transition, 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 CSAs to prevent the losing CR from becoming the Retail Electric Provider (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.

- (13) ERCOT will provide a list of ESI IDs to any CR (both POLR and non-POLR) of any pending switch transactions with a scheduled date greater than two (2) Business Days after the Mass Transition Date (including in-review and scheduled). See Appendix F4, ERCOT Template – ESI IDs for New CR with Pending Transactions.
- (14) ERCOT will manage the POLR DUNS Number list according to the registration by the POLR entities.

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;
- (2) Participate in initial and on-going Mass Transition project coordination meetings through completion of the transition event; and
- (3) Confirm accuracy of DUNS number provided to ERCOT to be used for allocation of ESI IDs. File appropriate Notice of Change of Information form to authorize ERCOT to make changes.

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

- (1) Monitor the progress of involved parties in completing the Mass Transition in accordance with project completion schedules.
- (2) Provide the list of ESI IDs served by the losing REP that are eligible for the LITE UP TEXAS discount to both POLR and non-POLR CRs.

7.11.5.2.2 ERCOT

- (1) Create and submit the 814_03 Mass Transition transaction for the affected ESI IDs;

- (2) Once ERCOT has received the 814_04, Switch/Move-In CR Notification Response, from TDSPs on the affected ESI IDs, forward the 814_14, Drop Enrollment Request, 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.

[RMGRR079: Insert paragraph (2) and renumber accordingly, upon system implementation:]

- (2) Identify and monitor all transitioned ESI IDs to ensure that the first switch following a Mass Transition (if received within 60 days of the effective date provided in the 814_03 of the Mass Transition) is forwarded to the TDSP with a requested effective date equal to the FASD. Identification of the transitioned ESI ID shall terminate either upon the first completed switch, move-in, move-out or at the end of the 60 day period, whichever occurs first.

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, Switch/Move-In CR Notification Response, 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.

[RMGRR079: Insert paragraph (3) and renumber accordingly, upon system implementation:]

- (3) Identify and monitor all transitioned ESI IDs to ensure that no fee is charged for the first switch received within 60 days of the effective date provided in the 814_03 of the Mass Transition. Identification of the transitioned ESI ID shall terminate either upon the first

completed switch, move-in, move-out or at the end of the 60 day period, whichever occurs first.

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.
- (3) Provide LITE UP TEXAS program benefits to qualifying Customers based upon the list of eligible ESI IDs provided by the PUCT pursuant to paragraph (2) of Section 7.11.5.2.1, PUCT.

7.11.5.2.5 CRs other than the POLR or Designated CR

CRs shall provide LITE UP TEXAS program benefits to qualifying Customers based upon the list of eligible ESI IDs provided by the PUCT pursuant to Section 7.11.5.2.1(2).

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 CRs participating in flight testing as new MPs shall submit, via North American Energy Standards Board (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 Monthly Submission of Customer Billing Contact Information

All CRs shall submit monthly, timely and complete Customer billing contact information files. Files shall be created and submitted to ERCOT between the 1st and the 15th of each month. 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 Number 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 Monthly Customer Billing Contact Information

ERCOT will retain the data from the last monthly 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 Comma Separated Values (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 include all ESI IDs on the list that is sent to the gaining CR, even if no Customer information is available. 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 Monthly 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 monthly 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 each month; the following information will be included on the report:

- (1) Name and DUNS Number of CRs who submitted monthly Customer billing contact information files:
 - (a) Date of file submission;
 - (b) Number of rows provided by CR;
 - (c) Count of ESI IDs ERCOT has as the active ROR 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, Report on Change in Control, Sale of Property, Purchase of Stock, or Loan..

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.
- (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.

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- (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.

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- (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
 - (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.

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- (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, Create/Maintain/Retire ESI ID Request, 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.
- (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, Monthly Usage, or 867_04, Initial Meter Read Notification, also including 650_01, 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 ninety (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 transaction. 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
 - (e) Service Address
 - (f) Membership Number (if available)
 - (g) Transition date for each ESI ID affected
 - (10) ERCOT validates for ROR and forwards transition plan to current REP of Record and CSA CR.
 - (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 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 CSAs 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

7.12.1 Texas Standard Electronic Transaction (Texas SET) 867_03, Monthly Usage

Meter reading estimates are identified within the 867_03, Monthly Usage, in the MEA 01 (Meter Reads) segment and also in greater detail in the REF (Reason for Estimate) segment to identify the reason and number of consecutive monthly estimates.

7.12.2 Estimations Due to Safety and/or Meter Removal

In the event the Transmission Distribution Service Provider (TDSP) removes an active meter due to safety or violation of electrical code issues (e.g., meter pulled due to fire at premise), the TDSP may provide estimated meter readings after the meter has been removed.

A TDSP will send the 650_04, Suspension of Delivery Service Notification or Cancellation, with the 'R8' code to communicate to the Competitive Retailer (CR) the permanent meter removal. Upon receipt of the TDSP notification, the CR should send an 814_24, Move-Out Request, to the TDSP within ten (10) Business Days. 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 transaction; otherwise the CR will use a future date in their 814_24 transaction.

CRs will contact the TDSP Retail Electric Provider (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 | mprelations@tnmp.com |
| CenterPoint Energy | CR.Support@CenterPointEnergy.com |
| American Electric Power | crrtx@aep.com |
| Oncor | REPrelations@Oncor.com |
| Sharyland | egarcia@su-power.com |
| Nueces | dlowder@nueceselectric.org |

7.12.3 *Estimation Based on Denial of Access*

- (1) 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.
- (2) 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.
- (3) The TDSP will provide notification to the CR, via the 867_03, Monthly Usage, 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.
- (4) 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.)
- (5) If the Customer or CR has not selected one of the options identified in paragraph (3) of Section 7.12.3, Estimation Based on Denial of Access, within ten (10) Retail Business Days following the three (3) consecutive estimates, the TDSP will select one of the available options.
- (6) 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_01 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.
- (7) The TDSP may continue to estimate residential or a non-critical Load for an additional sixty (60) days from the three (3) consecutive estimate in order to implement one of the options identified in Section 7.12.3(3).

7.12.4 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 Standard Electronic Transactions (Texas SET) code for denial of access on the 650_01, Service Order Request. CR's requesting reconnection after resolution of the access issue will use the appropriate 650_01 transaction 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 transaction, 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, Suspension of Delivery Service Notification or Cancellation, using the appropriate Texas 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.

7.12.5 *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 7.12.3, Estimation Based on Denial of Access, excluding disconnection of service and with the following provision added:
- (2) After the five (5) consecutive meter estimates, if access has not been provided, the TDSP may charge a denial of access fee each month until the access issue is resolved.

7.12.6 *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 tampering or Mass Transition of Customer's Premise. 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 Texas 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 Texas SET Service Order Request transaction requesting an exchange of the current meter to an IDR installation, also included in the Texas 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 - MN90operator@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 from the CR of either a dispute of an IDR requirement or an ESI ID qualifying for optional removal as identified in the preceding paragraph, the TDSP shall proceed with the IDR installation and shall provide 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 agreement with the CR, and in collaboration with the Customer, the TDSP may install an IDR for an ESI ID prior to expiration of the one hundred twenty (120) days.
- (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 Texas 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.

7.14 Out-flow Power from Distributed Renewable Generation Facilities

Beginning on January 1, 2009, Customers with on-site Distributed Renewable Generation (DRG) facilities as defined in Public Utility Regulatory Act, TEX. UTIL. CODE ANN. § 39.904 (Vernon 1998 & Supp. 2007) (PURA) with a capacity of less than fifty (50) kW, may sell out-flow power that is delivered onto the distribution network. Retail Electric Providers (REPs), via their Qualified Scheduling Entities (QSEs), can receive a wholesale settlement adjustment for this out-flow power energy, according to the process and requirements outlined below.

7.14.1 Primary Requirements for Receiving a Settlement Adjustment for Out-Flow Power

In order for ERCOT to provide the wholesale settlement adjustment for out-flow power, the following requirements must be met:

- (1) A current and valid Interconnection Agreement must be in place with the Transmission and/or Distribution Service Provider (TDSP), as described in P.U.C. SUBST. R. 25.211, Interconnection of On-Site Distributed Generation (DG), and P.U.C. SUBST. R. 25.212, Technical Requirements for Interconnection and Parallel Operation Of On-Site Distributed Generation.
- (2) Customer requested metering that measures and reports separately, consumption from the distribution network and out-flow power from the Customer's side of the meter to the distribution network must be installed.
- (3) For non-Interval Data Recorder (IDR) metering, both the Load and out-flow power measured at the point of common coupling must be settled with non-IDR data and the Electric Service Identifier (ESI ID) must be assigned to a DRG Load Profile (see the Load Profiling Guide for further information on Load Profile requirements).
- (4) For IDR metering, both the Load and out-flow power measured at the point of common coupling must be settled with IDR data and the facility must be registered with ERCOT as a Generation Resource and be assigned a Resource ID (RID). Out-flow power associated with the RID will be settled to the QSE associated with the RID.

For more detailed information about the resource registration process, Market Participants (MPs) should contact their designated ERCOT account representative.

7.14.2 *TDSP Communication to ERCOT and the REP of Record of Technical Information from Distributed Renewable Generation Interconnection Agreements*

This section applies to non-IDR metering only. In order to assign a DRG Load Profile, ERCOT requires that the information below from the Interconnection Agreement between the TDSP and the retail Customer be provided. Once the TDSP establishes an Interconnection Agreement with a DRG owner, the TDSP shall provide information from the Interconnection Agreement, specified in Appendix D, Profile Decision Tree, of the Load Profiling Guide, to ERCOT within ten (10) Retail Business Days of the effective date of the Interconnection Agreement.

7.14.3 *Metering Required for Measurement and Settlement of Out-flow Power*

In order for out-flow power to be measured, the Premise must have metering that measures in-flow and out-flow power of electricity separately at the point of common coupling. Customers choosing to have their out-flow power measured, shall contact their TDSP to request the necessary metering if they have not already done so in conjunction with their interconnection activities. TDSP charges may apply for the cost of the metering. See P.U.C. SUBST. R. 25.213, Metering for Distributed Renewable Generation, for further details.

7.14.4 *Transmittal of Out-flow Power Meter Data*

For non-IDR metering, the out-flow power value (kWh) will be transmitted on the Texas Standard Electronic Transaction (Texas SET) 867_03, Monthly Usage, and the 867_02, Historical Usage, transactions in the REF~JH~I segment (REF = Meter Role, PTD = Non-Interval Detail). As of January 1, 2009, the REF~JH~I (REF = Meter Role, PTD = Non-Interval Detail) segment is dedicated for out-flow power values only. For instances where there has been no out-flow power, the segment should either be omitted or included and populated with zero ("0"). In the absence of a meter that measures out-flow power, the REF~JH~I shall not be included on the 867_02 or 867_03 transactions.

For IDR metering, interval out-flow power values will be transmitted on the Texas SET 867_03 transaction using the RID to identify the point of generation, as described in the Texas SET Implementation Guide.

7.14.5 *ERCOT Processing of Meter Data for Out-Flow Power*

For non-IDR metering, ERCOT will process out-flow power values for settlement received for any ESI ID, provided that the ESI ID is also assigned to a DRG Load Profile. Any 867_03, Monthly Usage, received by ERCOT that contains a value for out-flow power in the REF~JH~I segment for an ESI ID that is not assigned to a DRG Load Profile will be processed but the out-flow power value will be ignored by ERCOT for settlement purposes.

For a detailed description of the wholesale settlement impact of out-flow power values, see Protocol Sections 11.4.4.2, Load Reduction for Excess PhotoVoltaic Generation, and 11.4.4.3, Load Reduction for Excess Non-PhotoVoltaic Generation.

For IDR metering, ERCOT will process out-flow power values for settlement received for any RID, provided that the registration process for the Resource has been completed. The RID meter data will be processed as part of the generation aggregation and settlement process.

Until such time as additional processes for Advanced Metering are developed by the market, Premises with Advanced Meters and DRG will be settled by ERCOT according to the current Load profile.

[RMGRR075: Insert Section 7.15 upon system implementation:]

7.15 Advanced Meter Interval Data File Format and Submission

7.15.1 Ad Hoc Connectivity Test of Advanced Metering System (AMS) Interval Data

Transmission and/or Distribution Service Providers (TDSPs) will contact the ERCOT Flight Test Administrator to perform an ad hoc connectivity test with ERCOT to ensure that they can successfully send and ERCOT receive the ERCOT Specified File Format (Section 9, Appendices, Appendix F7, File Layout for ERCOT Specified File Format). ERCOT will send a response to the submitting TDSP via North American Energy Standards Board (NAESB). The acceptable file layout can be found in Section 9, Appendix F7.

7.15.2 Submission of Interval Data on ESI ID(s) with AMS Meters

All TDSPs shall submit fifteen (15) minute Settlement Quality Meter Data to ERCOT daily for provisioned Advanced Metering System (AMS) meters. Each file shall contain up to, but not to exceed, 50,000 data records. For optimum processing at ERCOT, it is suggested that the file contain a minimum of 10,000 data records. Files shall be zipped prior to Pretty Good Privacy (PGP) encryption and compression. See Section 9, Appendices, Appendix F7, File Layout for ERCOT Specified File Format.

The recommended file naming convention is <DUNS><ReportName><DateTime><Counter>.lse<.optional data> in addition to any application file naming conventions used in transmitting the file. For example, “999999999IntervalData20081227113001123.lse<.optional data>” where:

| Element | Explanation | Format |
|----------------|-----------------------------------|----------------------------------|
| DUNS | TDSP DUNS Number | Numeric (9 or 13) |
| ReportName | ‘IntervalData’ | Alphanumeric (12) |
| DateTime | File transmission date/time stamp | Datetime format = ccyymmddhhmmss |
| Counter | Counter with no specified value | Numeric (3) |

| | | |
|------------------|---------------------------------|--------------------|
| .lse | Value of .lse in file extension | |
| <.optional data> | Any optional data, if necessary | Cannot contain csv |

At a minimum the filename must contain .lse after decryption otherwise the file will be rejected by ERCOT. The filename cannot contain .csv after decryption. Files will be sent with a NAESB input-format of “FF.” ERCOT will send a response to the submitting TDSP via NAESB indicating receipt of the file.

After receipt, ERCOT will validate that all mandatory data elements are present and meet formatting requirements. ERCOT will inform the submitting TDSP of the success or failure of their file via the Interval Data LSE Activity Report. The layout of this report can be found on the ERCOT website.

7.15.2.1 Missing Data or Gaps in Data

TDSPs will provide estimated data for any missing data or gaps in the interval data on a provisioned AMS meter prior to posting the file to the TDSP’s File Transfer Protocol (FTP) site or sending the file to ERCOT.

7.15.3 Posting Data to TDSP FTP Site

TDSPs will provide on their FTP site, fifteen (15) minute Settlement Quality Meter Data no later than 11:00 PM Central Prevailing Time (CPT) of the next calendar day using the ERCOT specified file format (Section 9, Appendices, Appendix F7, File Layout for ERCOT Specified File Format) for each Electric Service Identifier (ESI ID) with a provisioned AMS meter. The TDSPs will attempt to provide the data earlier than 11:00 PM CPT and, in all cases, will provide the data as soon as it is available. Competitive Retailers (CRs) will access the TDSP’s FTP site to retrieve the daily fifteen (15) minute interval data associated with a provisioned AMS meter for their ESI IDs.

TDSPs will discontinue posting interval data to their FTP sites after this functionality is available on the Common Web Portal for CRs to retrieve.

7.15.4 Availability of Interval Data for Provisioned AMS Meters

CRs will access ERCOT’s Market Information System (MIS) for interval data for their ESI IDs to allow them to shadow settle. CR disputes or disagreements of interval data obtained from the AMS provisioned meter should be based on the data used by ERCOT in Settlement and not the data provided to CRs on the TDSP’s FTP Site.

TDSPs will retain the daily interval data on their FTP site for ESI ID(s) with a provisioned AMS meter for ten (10) calendar days from the date that the file was initially posted to the FTP site.

Retail Market Guide
Section 8: Municipalities and Cooperatives

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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, Out-of-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 DNP 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) **Self-selected switch** - If the new CR of Record has submitted a *self-selected* switch, the 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 self-selected switch or reconnect charges to the new CR of Record.

Table 2. Competing Orders - Self-selected 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. Self-selected 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) **Standard switch** - If the new CR of Record has submitted a *standard* 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 - Standard 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. Standard 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 |

| | |
|-------------|------------|
| | NEC |
| 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

| | NEC |
|--------------------------------------|-----|
| 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

| | NEC |
|-------------|---------------|
| 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

| | |
|-------------|---|
| | NEC |
| 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

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Appendix B1

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

Date: _____

Expiration Date: _____

Select Transmission Distribution Service Provider (TDSP) (Required: Select TDSPs that apply to request)

 Oncor CenterPoint Energy Sharyland AEP TNMP Nueces

Please accept this letter as a formal request and authorization for the above referenced TDSP 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 Address

ESI 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, (requesting party)_____ affirms that they have authorization from the Customer identified below to obtain Customer's historical usage information and holds the TDSP 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 Estándar De Autorización Para Solicitar Información De Consumo Histórico (Letter of Authorization for the Request of Historical Usage Information – Spanish)

Fecha: _____ Fecha de vencimiento: _____

Seleccione las empresas de transmisión y distribución TDSP, siglas en inglés) que se aplique a la solicitud (REQUERIDO)

- | | | |
|--------------------------------|---|------------------------------------|
| <input type="checkbox"/> Oncor | <input type="checkbox"/> CenterPoint Energy | <input type="checkbox"/> Sharyland |
| <input type="checkbox"/> AEP | <input type="checkbox"/> TNMP | <input type="checkbox"/> Nueces |

Tenga la amabilidad de aceptar esta carta como una solicitud y autorización formal para que la TDSP mencionada anteriormente dé a conocer datos sobre su uso de energía, eléctrica lo que incluye kWh, kVA o KW, así como datos de intervalos (en caso de que corresponda) de los siguientes sitios a <<(NAME OF CR/representative)>>. La presente solicitud de información se limitará al último período de servicio de 12 meses. Si el/los identificadores del servicio eléctrico (ESI IDs, siglas en inglés) fueran las cuentas del registrador de datos de intervalos por favor indique si se solicita información resumida y/o de intervalos.

- Datos sumarios Facturación Sólo información de intervalos Información resumida y de intervalos

Por favor envíe la información de consumo y carga en formato electrónico (Microsoft Excel) a: Correo electrónico: <<(EMAIL ADDRESS OF CR REPRESENTATIVE)>>

En caso de incluir un anexo, por favor utilice una hoja separada para cada TDSP con el ESI que sean específicos para cada TDSP. El TDSP no se aceptará si se presentan ESI ID no relacionados con su territorio.

Domicilio del servicio Número del Identificador de Servicio Eléctrico(en la factura)

AUTORIZACIÓN

Declaro que tengo la autoridad para presentar y firmar esta solicitud en nombre de mi compañía, para todos los ESI IDs que estén relacionados con esta solicitud.

(Firma)

(Compañía)

Al tildar esta casilla (la parte solicitante) _____ afirma que ellos tienen la autorización del Cliente identificado abajo para obtener la información de uso histórica del cliente y sostener el inocuo TDSP para proporcionar los datos históricos al partido solicitado como identificado en esta forma.

(Nombre, en letra de imprenta)

(Domicilio de facturación)

(Cargo)

(Ciudad, Estado, Código Postal)

(Número de teléfono)

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 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 | Business Process | From | To | Timing/ Business Rules | Example | Protocol Reference Section |
|--|------------------|-------|-------|---------------------------|--|--|
| 814_01, Enrollment Request | | CR | ERCOT | N/A | | 15.1.1, Submission of a Switch Request |
| 814_02, Enrollment Reject Response | | ERCOT | CR | One Retail Business Day | 814_01 received by ERCOT on Monday @ 1500 = Day 0 814_02 sent to CR by Tuesday @ 1700 = Day 1 | 15.1.1.8, Rejection of Switch Request |
| 814_03, Switch/Move-In CR Notification Request | Switch | ERCOT | TDSP | One Retail Business Day | 814_01 received by ERCOT on Monday @ 1500 = Day 0 814_03 sent to TDSP by Tuesday @ 1700 = Day 1 | 15.1.1.3, Switch Registration Notification Request to TDSP |
| 814_03, Switch/Move-In CR Notification Request | Move-out CSA | ERCOT | TDSP | Two Retail Business Hours | 814_24 processed by ERCOT on Monday @ 1500 = Hour 0 814_03 sent to TDSP by Monday @ 1700 = Hour 2 | 15.1.5.3, Notification to TDSP of Move-Out |
| 814_03, Switch/Move-In CR Notification Request | Priority move-in | ERCOT | TDSP | One Retail Business Hour | Priority 814_16 processed by ERCOT on Monday @ 1500 = Hour 0 814_03 sent to TDSP by Monday @ 1600 = Hour 1 (EXCEPTION: “Invalid ESI ID” requires 48 hours for ERCOT to reject.) | 15.1.4.3, Notification to TDSP of Move-In |
| 814_03, Switch/Move-In CR Notification Request | Standard move-in | ERCOT | TDSP | Two Retail Business Hours | Standard 814_16 processed by ERCOT on Monday @ 1500 = Hour 0 814_03 sent to TDSP by Monday @ 1700 = Hour 2 (EXCEPTION: “Invalid ESI ID” requires 48 hours for ERCOT to reject.) | 15.1.4.3, Notification to TDSP of Move-In |

| Transaction | Business Process | From | To | Timing/ Business Rules | Example | Protocol Reference Section |
|---|------------------|-------|-------|---|---|--|
| 814_04, Switch/Move-In CR Notification Response | | TDSP | ERCOT | Two Retail Business Days | 814_03 received by TDSP on Monday @ 1500 = Day 0 814_04 sent to ERCOT by Wednesday @ 1700 = Day 2 | Move-In 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) Move-Out CSA 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP Switch 15.1.1.4, Response from TDSP to Registration Notification Request Mass Transition 15.1.3, Mass Transition |
| 814_05, Switch/Move-In Response | Priority move-in | ERCOT | CR | One Retail Business Hour | 814_04 received by ERCOT on Monday @ 1500 = Hour 0 814_05 sent to CR by Monday @ 1600 = Hour 1 | 15.1.4.5, Response to Valid Move-In Request |
| 814_05, Switch/Move-In Response | Standard move-in | ERCOT | CR | Two Retail Business Hours | 814_04 received by ERCOT on Monday @ 1400 = Hour 0 814_05 sent to CR by Monday @ 1600 = Hour 2 | 15.1.4.5, Response to Valid Move-In Request |
| 814_05, Switch/Move-In Response | Switch | ERCOT | CR | One Retail Business Day | 814_04 received by ERCOT on Monday @ 1500 = Day 0 814_05 sent to CR by Tuesday @ 1700 = Day 1 | 15.1.1.5, Response to Valid Switch Request |
| 814_06, Drop Due to Switch/Move-In Request | Move-in | ERCOT | CR | Two Retail Business Days PRIOR to effectuating date | EXAMPLE 1: Move-in effectuating date is Wednesday, 6/10. 814_06 sent by 0800 on Monday, 6/8. EXAMPLE 2: Move-in effectuating date is Monday, 7/10. 814_06 sent by 0800 on Thursday 7/5 (NOTE: Exclude Saturday & Sunday) | 15.1.4.6, Notification to Current CR |
| 814_06, Drop Due to Switch/Move-In Request | Switch | ERCOT | CR | Two Retail Business Days PRIOR to effectuating date | EXAMPLE 1: Switch effectuating date is Friday, 8/10. 814_06 sent by 0800 on Wednesday, 8/8. EXAMPLE 2: Switch effectuating date is Tuesday, 9/9. 814_06 sent by 0800 on Friday, 9/3 (NOTE: Exclude Saturday & Sunday) | 15.1.1.6, Notification to Current CR of Drop Due to Switch (with date) |
| 814_07, Drop Due to Switch/Move-In Response | Switch | CR | ERCOT | Two Retail Business Days | 814_06 received by CR on Monday @ 1500 = Day 0 814_07 sent to ERCOT by Wednesday @ 1700 = Day 2 | 15.1.1.6, Notification to Current CR of Drop Due to Switch (with date) |

| Transaction | Business Process | From | To | Timing/ Business Rules | Example | Protocol Reference Section |
|--|------------------|-------|------------|---------------------------|--|---|
| 814_07, Drop Due to Switch/Move-In Response | Move-in | CR | ERCOT | One Retail Business Day | 814_06 received by CR on Monday @ 1500 = Day 0 814_07 sent to ERCOT by Tuesday @ 1700 = Day 1 | 15.1.4.6, Notification to Current CR |
| 814_08, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Request | CR initiated | CR | ERCOT | N/A | CR must send the Cancel BEFORE: Two Retail Business Days prior to the effectuating switch date. Two Retail Business Days prior to the effectuating move-in date. Two Retail Business Days prior to the effectuating move-out date. | 15.1.8, Cancellation of Registration Transactions |
| 814_08, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Request | CR initiated | ERCOT | TDSP | Two Retail Business Hours | 814_08 received by ERCOT on Monday @ 1500 = Hour 0 814_08 sent to TDSP by Monday @ 1700 = Hour 2 | 15.1.8, Cancellation of Registration Transactions |
| 814_08, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Request | ERCOT initiated | ERCOT | CR TDSP | N/A | AFTER the 20 Business Day expiration OR the effectuating date of the switch/move-in – TDSP has NOT sent the 814_04 | Switch 15.1.1.4, Response from TDSP to Registration Notification Request Move-In 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) Customer Objection 15.1.1.4, Response from TDSP to Registration Notification Request |
| 814_09, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Response | | CR | ERCOT | One Retail Business Day | 814_08 received by CR on Monday @ 1500 = Day 0 814_09 sent to ERCOT by Tuesday @ 1700 = Day 1 | Switch 15.1.1.4, Response from TDSP to Registration Notification Request Move-In 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) Move-Out 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP |

| Transaction | Business Process | From | To | Timing/ Business Rules | Example | Protocol Reference Section |
|--|------------------|-------|-------|---------------------------|---|---|
| 814_09, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Response | | TDSP | ERCOT | One Retail Business Day | 814_08 received by TDSP on Monday @ 1500 = Day 0 814_09 sent to ERCOT by Tuesday @ 1700 = Day 1 | Switch 15.1.1.4, Response from TDSP to Registration Notification Request Move-In 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) Move-Out 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP |
| 814_09, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Response | | ERCOT | CR | Two Retail Business Hours | 814_09 received by ERCOT on Monday @ 1500 = Hour 0 814_09 sent to CR by Monday @ 1700 = Hour 2 | 15.1.8, Cancellation of Registration Transactions |
| 814_10, Drop to Affiliate REP (AREP) Request (No longer used) | | N/A | N/A | N/A | | 15.1.2, Response from ERCOT to Drop to Affiliate Retail Electric Provider Request |
| 814_11, Drop Response | ERCOT reject | ERCOT | CR | One Retail Business Day | 814_10 received by ERCOT on Monday @ 1500 = Day 0 814_11 reject sent to CR by Tuesday @ 1700 = Day 1 | 15.1.2, Response from ERCOT to Drop to Affiliate Retail Electric Provider Request |
| 814_11, Drop Response | Mass Transition | ERCOT | CR | One Retail Business Day | 814_04 received by ERCOT on Monday @ 1500 = Day 0 814_11 sent to CR by Tuesday @ 1700 = Day 1 | 15.1.3, Mass Transition |
| 814_12, Date Change Request | CR initiated | CR | ERCOT | N/A | | 15.1.7, Move-In or Move-Out Date Change |
| 814_12, Date Change Request | CR initiated | ERCOT | TDSP | Two Retail Business Hours | 814_12 received by ERCOT on Monday @ 1500 = Hour 0 814_12 sent to TDSP by Monday @ 1700 = Hour 2 | 15.1.7, Move-In or Move-Out Date Change |
| 814_13, Date Change Response | | CR | ERCOT | One Retail Business Day | 814_12 received by CR on Monday @ 1500 = Day 0 814_13 sent to ERCOT by Tuesday @ 1700 = Day 1 | 15.1.7, Move-In or Move-Out Date Change |
| 814_13, Date Change Response | | TDSP | ERCOT | Two Retail Business Days | 814_12 received by TDSP on Monday @ 1500 = Day 0 814_13 sent to ERCOT by Wednesday @ 1700 = Day 2 | 15.1.7, Move-In or Move-Out Date Change |
| 814_13, Date Change Response | | ERCOT | CR | Two Retail Business Hours | 814_12 received by ERCOT on Monday @ 1500 = Hour 0 814_13 sent to CR by Monday @ 1700 = Hour 2 | 15.1.7, Move-In or Move-Out Date Change |

| Transaction | Business Process | From | To | Timing/ Business Rules | Example | Protocol Reference Section |
|---|------------------|-------|-------|---------------------------|---|--|
| 814_14, Drop Enrollment Request | Mass Transition | ERCOT | CR | One Retail Business Day | 814_04 received from TDSP on Monday @ 1500 = Day 0 814_14 sent to POLR by Tuesday @ 1700 = Day 1 | 15.1.3, Mass Transition |
| 814_15, Drop Enrollment Response | | CR | ERCOT | N/A | | 15.1.3, Mass Transition |
| 814_16, Move-In Request | Priority move-in | CR | ERCOT | N/A | | 15.1.4.1, Move-In Request to Begin Electric Service |
| 814_16, Move-In Request | Standard move-in | CR | ERCOT | N/A | | 15.1.4.1, Move-In Request to Begin Electric Service |
| 814_17, Move-In Reject Response | Priority move-in | ERCOT | CR | One Retail Business Hour | EXCEPTION: Move-in that is invalid because of "Invalid ESI ID" requires 48 hours for ERCOT to reject. | 15.1.4.2, Response to Invalid Move-In Request |
| 814_17, Move-In Reject Response | Standard move-in | ERCOT | CR | Two Retail Business Hours | EXCEPTION: Move-in that is invalid because of "Invalid ESI ID" requires 48 hours for ERCOT to reject. | 15.1.4.2, Response to Invalid Move-In Request |
| 814_18, Establish/Delete CSA CR Request | | CR | ERCOT | N/A | | 15.1.9.1, Request to Initiate CSA |
| 814_18, Establish/Delete CSA CR Request | | ERCOT | CR | One Retail Business Day | 814_18 received by ERCOT on Monday @ 1500 = Day 0 814_18 sent to CR by Tuesday @ 1700 = Day 1 | 15.1.9.1, Request to Initiate CSA |
| 814_18, Establish/Delete CSA CR Request (MOU/EC) | | ERCOT | TDSP | One Retail Business Day | 814_18 received by ERCOT on Monday @ 1500 = Day 0 814_18 sent to CR by Tuesday @ 1700 = Day 1 | 15.1.10.1, Request to Initiate CSA |
| 814_19, Establish/Delete CSA (Continuous Service Agreement) CR Response | | ERCOT | CR | One Retail Business Day | 814_18 received by ERCOT on Monday @ 1500 = Day 0 814_19 sent to CR by Tuesday @ 1700 = Day 1 | 15.1.9.1, Request to Initiate CSA |
| 814_19, Establish/Delete CSA (Continuous Service Agreement) CR Response | | CR | ERCOT | One Retail Business Day | 814_18 received by CR on Monday @ 1500 = Day 0 814_19 sent to ERCOT by Tuesday @ 1700 = Day 1 | 15.1.9.1, Request to Initiate CSA |
| 814_20, Create/Maintain/Retire ESI ID Request | | TDSP | ERCOT | N/A | | Create 15.4.1.4, New ESI ID Creation Maintain/Retire 15.4.1.5, ESI ID Maintenance |

| Transaction | Business Process | From | To | Timing/ Business Rules | Example | Protocol Reference Section |
|--|--------------------|--------|--------|---|---|--|
| 814_20, Create/Maintain/Retire ESI ID Request | Maintain | ERCOT | CR | Four Retail Business Hours | 814_20 received by ERCOT on Monday @ 0800 = Hour 0 814_20 sent to CR by Monday @ 1200 = Hour 4 | 15.4.1.5, ESI ID Maintenance |
| 814_21, Create/Maintain/Retire ESI ID Response | Maintain or retire | ERCOT | TDSP | Four Retail Business Hours | 814_20 received by ERCOT on Monday @ 0800 = Hour 0 814_20 sent to TDSP by Monday @ 1200 = Hour 4 | 15.4.1.5, ESI ID Maintenance |
| 814_21, Create/Maintain/Retire ESI ID Response | Create | ERCOT | TDSP | One Retail Business Hour | 814_20 received by ERCOT on Monday @ 1500 = Hour 0 814_21 sent to TDSP by Monday @ 1600 = Hour 1 | Create 15.4.1.4, New ESI ID Creation Maintain/Retire 15.4.1.5, ESI ID Maintenance |
| 814_21, Create/Maintain/Retire ESI ID Response | | CR | ERCOT | One Retail Business Day | 814_20 received by CR on Monday @ 1500 = Day 0 814_21 sent to ERCOT by Tuesday @ 1700 = Day 1 | 15.4.1.5, ESI ID Maintenance |
| 814_22, Continuous Service Agreement (CSA) CR Move-In Request | | ERCOT | CSA CR | Two Retail Business Days PRIOR to effectuating date | EXAMPLE 1: Move-out effectuating date is Wednesday, 6/10. 814_22 sent by 0800 on Monday, 6/8. EXAMPLE 2: Move-out effectuating date is Monday, 7/10. 814_22 sent by 0800 on Thursday 7/5 (NOTE: Exclude Saturday & Sunday) | 15.1.9.3, Notice to CSA Competitive Retailer of Enrollment Due to a Move-Out |
| 814_23, CSA (Continuous Service Agreement) CR Move-In Response | | CSA CR | ERCOT | One Retail Business Day | 814_22 received by CSA CR on Monday @ 1500 = Day 0 814_23 sent to ERCOT by Tuesday @ 1700 = Day 1 | 15.1.9.3, Notice to CSA Competitive Retailer of Enrollment Due to a Move-Out |
| 814_24, Move-Out Request | | CR | ERCOT | N/A | | 15.1.5.1, Request to Terminate Service |
| 814_24, Move-Out Request | | ERCOT | TDSP | Two Retail Business Hours | 814_24 received by ERCOT on Monday @ 1500 = Hour 0 814_24 sent to TDSP by Monday @ 1700 = Hour 2 | 15.1.5.3, Notification to TDSP of Move-Out |
| 814_25, Move-Out Response | ERCOT reject | ERCOT | CR | Two Retail Business Hours | 814_24 processed by ERCOT on Monday @ 1500 = Hour 0 814_25 reject sent to CR by Monday @ 1700 = Hour 2 (EXCEPTION: “De-Energized ESI ID” requires 48 hours for ERCOT to reject.) | 15.1.5.2, Response to Invalid Move-Out Request |
| 814_25, Move-Out Response | | TDSP | ERCOT | Two Retail Business Days | 814_24 received by TDSP on Monday @ 1500 = Day 0 814_25 sent to ERCOT by Wednesday @ 1700 = Day 2 | 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP |

| Transaction | Business Process | From | To | Timing/ Business Rules | Example | Protocol Reference Section |
|---|------------------|-------|-------|---------------------------|--|---|
| 814_25, Move-Out Response | | ERCOT | CR | Two Retail Business Hours | 814_25 received by ERCOT on Monday @ 1500 = Hour 0 814_25 sent to CR by Monday @ 1700 = Hour 2 | 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP |
| 814_26, Ad-hoc Historical Usage Request | | CR | ERCOT | N/A | | 15.1.1.2.2, Ad Hoc Requests for Historical Usage |
| 814_26, Ad-hoc Historical Usage Request | | ERCOT | TDSP | One Retail Business Day | 814_26 received by ERCOT on Monday @ 1500 = Day 0 814_26 sent to TDSP by Tuesday @ 1700 = Day 1 | 15.1.1.2.2, Ad Hoc Requests for Historical Usage |
| 814_27, Ad-hoc Historical Usage Response | | TDSP | ERCOT | Two Retail Business Days | 814_26 received by TDSP on Monday @ 1500 = Day 0 814_27 sent to ERCOT by Wednesday @ 1700 = Day 2 | 15.1.1.2.2, Ad Hoc Requests for Historical Usage |
| 814_27, Ad-hoc Historical Usage Response | | ERCOT | CR | One Retail Business Day | 814_27 received by ERCOT on Monday @ 1500 = Day 0 814_27 sent to CR by Tuesday @ 1700 = Day 1 | 15.1.1.2.2, Ad Hoc Requests for Historical Usage |
| 814_28, Completed Unexecutable or Permit Required | Unexecutable | TDSP | ERCOT | N/A | | <u>Move-In</u> 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) <u>Move-Out</u> 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP <u>Completed Unexecutable</u> 15.1.4.6.1, Completed Unexecutable |
| 814_28, Completed Unexecutable or Permit Required | Unexecutable | ERCOT | CR | Two Retail Business Hours | 814_28 received by ERCOT on Monday @ 1500 = Hour 0 814_28 sent to CR by Monday @ 1700 = Hour 2 | <u>Move-In</u> 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) <u>Move-Out</u> 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP |
| 814_28, Completed Unexecutable or Permit Required | Permit | TDSP | ERCOT | Two Retail Business Days | 814_03 received by TDSP on Monday @ 1500 = Day 0 814_28 sent to ERCOT by Wednesday @ 1700 = Day 2 | 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) |
| 814_28, Completed Unexecutable or Permit Required | Permit | ERCOT | CR | Two Retail Business Hours | 814_28 received by ERCOT on Monday @ 1500 = Hour 0 814_28 sent to CR by Monday @ 1700 = Hour 2 | 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) |

| Transaction | Business Process | From | To | Timing/ Business Rules | Example | Protocol Reference Section |
|---|------------------|-------|-------|--|---|--|
| 814_29, Response to Completed Unexecutable or Permit Required | | CR | ERCOT | One Retail Business Day | 814_28 received by CR on Monday @ 1500 = Day 0 814_29 sent to ERCOT by Tuesday @ 1700 = Day 1 | 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) |
| 814_29, Response to Completed Unexecutable or Permit Required | | ERCOT | TDSP | Two Retail Business Hours | 814_29 received by ERCOT on Monday @ 1500 = Hour 0 814_29 sent to TDSP by Monday @ 1700 = Hour 2 | 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) |
| 867_02, Historical Usage | | TDSP | ERCOT | Two Retail Business Days | 814_03 received by TDSP on Monday @ 1500 = Day 0 867_02 sent to ERCOT by Wednesday @ 1700 = Day 2 | Switch 15.1.1.2.1, Provision of Historical Usage with a Switch Request Ad Hoc 15.1.1.2.2, Ad Hoc Requests for Historical Usage Move-In 15.1.4.1, Move-In Request to Begin Electric Service |
| 867_02, Historical Usage | | ERCOT | CR | Four Retail Business Hours | 867_02 received by ERCOT on Monday @ 0800 = Hour 0 867_02 sent to CR by Monday @ 1200 = Hour 4 | Switch 15.1.1.2.1, Provision of Historical Usage with a Switch Request Ad Hoc 15.1.1.2.2, Ad Hoc Requests for Historical Usage Move-In 15.1.4.1, Move-In Request to Begin Electric Service |
| 867_03, Monthly Usage | Final | TDSP | ERCOT | Within three Retail Business Days of the effectuating meter read | | 15.1.1.7, Completion of Switch Request and Effective Switch Date |
| 867_03, Monthly Usage | Final – switch | ERCOT | CR | 12 Hours | 867_03F received by ERCOT on Monday @ 1800 = Hour 0 867_03F sent to CR by Tuesday @ 0600 = Hour 12 | 15.1.1.7, Completion of Switch Request and Effective Switch Date |
| 867_03, Monthly Usage | Final – move-out | ERCOT | CR | Four Retail Business Hours | 867_03 received by ERCOT on Monday @ 0800 = Hour 0 867_03 sent to CR by Monday @ 1200 = Hour 4 | 15.1.5.6, Completion of Move-Out Request and Effective Move-Out Date |

| Transaction | Business Process | From | To | Timing/ Business Rules | Example | Protocol Reference Section |
|---|------------------|-------|-------|--|---|--|
| 867_03, Monthly Usage | Monthly | TDSP | ERCOT | No later than three Retail Business Days after the scheduled meter read cycle or scheduled meter cycle by day of the month for a point of delivery | | 15.3, Monthly Meter Reads |
| 867_03, Monthly Usage | Monthly | ERCOT | CR | One Retail Business Day | 867_03 received by ERCOT on Monday @ 1500 = Day 0 867_03 sent to CR by Tuesday @ 1700 = Day 1 | 15.3, Monthly Meter Reads |
| 867_04, Initial Meter Read Notification | | TDSP | ERCOT | Within three Retail Business Days of the effectuating meter read | | 15.1.1.7, Completion of Switch Request and Effective Switch Date |
| 867_04, Initial Meter Read Notification | Switch | ERCOT | CR | 12 Hours | 867_04 received by ERCOT on Monday @ 1800 = Hour 0 867_04 sent to CR by Tuesday @ 0600 = Hour 12 | 15.1.1.7, Completion of Switch Request and Effective Switch Date |
| 867_04, Initial Meter Read Notification | Move-in | ERCOT | CR | Four Retail Business Hours | 867_04 received by ERCOT on Monday @ 0800 = Hour 0 867_04 sent to CR by Monday @ 1200 = Hour 4 | 15.1.4.7.1. Standard Move-In Requests |
| 867_04, Initial Meter Read Notification | Move-out CSA | ERCOT | CR | Four Retail Business Hours | 867_04 received by ERCOT on Monday @ 0800 = Hour 0 867_04 sent to CR by Monday @ 1200 = Hour 4 | 15.1.5.6, Completion of Move-Out Request and Effective Move-Out Date |

[RMGRR079: Replace Appendix D upon system implementation:]

Appendix D

Transaction Timing Matrix

| Transaction | Business Process | From | To | Timing/ Business Rules | Example | Protocol Reference Section |
|------------------------------------|------------------|-------|-------|---------------------------|--|--|
| 814_01, Enrollment Request | | CR | ERCOT | N/A | | 15.1.1, Submission of a Switch Request |
| 814_02, Enrollment Reject Response | | ERCOT | CR | One Retail Business Day | 814_01 received by ERCOT on Monday @ 1500 = Day 0 814_02 sent to CR by Tuesday @ 1700 = Day 1 | 15.1.1.8, Rejection of Switch Request |

| | | | | | | |
|--|----------------------|-------|-------|---------------------------------|---|--|
| 814_03, Switch/Move-In CR Notification Request | Switch | ERCOT | TDSP | One Retail Business Day | 814_01 received by ERCOT on Monday @ 1500 = Day 0 814_03 sent to TDSP by Tuesday @ 1700 = Day 1 | 15.1.1.3, Switch Registration Notification Request to TDSP |
| 814_03, Switch/Move-In CR Notification Request | Move-out CSA | ERCOT | TDSP | Two Retail Business Hours | 814_24 processed by ERCOT on Monday @ 1500 = Hour 0 814_03 sent to TDSP by Monday @ 1700 = Hour 2 | 15.1.5.3, Notification to TDSP of Move-Out |
| 814_03, Switch/Move-In CR Notification Request | Priority move- in | ERCOT | TDSP | One Retail Business Hour | Priority 814_16 processed by ERCOT on Monday @ 1500 = Hour 0 814_03 sent to TDSP by Monday @ 1600 = Hour 1 (EXCEPTION: “Invalid ESI ID” requires 48 hours for ERCOT to reject.) | 15.1.4.3, Notification to TDSP of Move-In |
| 814_03, Switch/Move-In CR Notification Request | Standard move-in | ERCOT | TDSP | Two Retail Business Hours | Standard 814_16 processed by ERCOT on Monday @ 1500 = Hour 0 814_03 sent to TDSP by Monday @ 1700 = Hour 2 (EXCEPTION: “Invalid ESI ID” requires 48 hours for ERCOT to reject.) | 15.1.4.3, Notification to TDSP of Move-In |
| 814_04, Switch/Move-In CR Notification Response | | TDSP | ERCOT | Two Retail Business Days | 814_03 received by TDSP on Monday @ 1500 = Day 0 814_04 sent to ERCOT by Wednesday @ 1700 = Day 2 | Move-In 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) Move-Out CSA 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP Switch 15.1.1.4, Response from TDSP to Registration Notification Request Mass Transition 15.1.3, Mass Transition |
| 814_05, Switch/Move-In Response | Priority move- in | ERCOT | CR | One Retail Business Hour | 814_04 received by ERCOT on Monday @ 1500 = Hour 0 814_05 sent to CR by Monday @ 1600 = Hour 1 | 15.1.4.5, Response to Valid Move-In Request |
| 814_05, Switch/Move-In Response | Standard move-in | ERCOT | CR | Two Retail Business Hours | 814_04 received by ERCOT on Monday @ 1400 = Hour 0 814_05 sent to CR by Monday @ 1600 = Hour 2 | 15.1.4.5, Response to Valid Move-In Request |
| 814_05, Switch/Move-In Response | Switch | ERCOT | CR | One Retail Business Day | 814_04 received by ERCOT on Monday @ 1500 = Day 0 814_05 sent to CR by Tuesday @ 1700 = Day 1 | 15.1.1.5, Response to Valid Switch Request |

| | | | | | | |
|---|--------------|-------|-------|---|---|--|
| 814_06, Drop Due to Switch/Move-In Request | Move-in | ERCOT | CR | Two 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) | 15.1.4.6, Notification to Current CR |
| 814_06, Drop Due to Switch/Move-In Request | Switch | ERCOT | CR | Two Retail Business Days PRIOR to effectuating date | <u>EXAMPLE 1</u> : Switch effectuating date is Friday, 8/10. 814_06 sent by 0800 on Wednesday, 8/8. <u>EXAMPLE 2</u> : Switch effectuating date is Tuesday, 9/9. 814_06 sent by 0800 on Friday, 9/3 (NOTE: Exclude Saturday & Sunday) | 15.1.1.6, Notification to Current CR of Drop Due to Switch (with date) |
| 814_07, Drop Due to Switch/Move-In Response | Switch | CR | ERCOT | Two Retail Business Days | 814_06 received by CR on Monday @ 1500 = Day 0 814_07 sent to ERCOT by Wednesday @ 1700 = Day 2 | 15.1.1.6, Notification to Current CR of Drop Due to Switch (with date) |
| 814_07, Drop Due to Switch/Move-In Response | Move-in | CR | ERCOT | One Retail Business Day | 814_06 received by CR on Monday @ 1500 = Day 0 814_07 sent to ERCOT by Tuesday @ 1700 = Day 1 | 15.1.4.6, Notification to Current CR |
| 814_08, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Request | CR initiated | CR | ERCOT | N/A | CR must send the Cancel BEFORE : Two Retail Business Days prior to the effectuating switch date. Two Retail Business Days prior to the effectuating move-in date. Two Retail Business Days prior to the effectuating move-out date. | 15.1.8, Cancellation of Registration Transactions |
| 814_08, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Request | CR initiated | ERCOT | TDSP | Two Retail Business Hours | 814_08 received by ERCOT on Monday @ 1500 = Hour 0 814_08 sent to TDSP by Monday @ 1700 = Hour 2 | 15.1.8, Cancellation of Registration Transactions |

| | | | | | | |
|--|-----------------|-------|---------|---------------------------|--|---|
| 814_08, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Request | ERCOT initiated | ERCOT | CR TDSP | N/A | AFTER the 20 Business Day expiration OR the effectuating date of the switch/move-in – TDSP has NOT sent the 814_04 | <p>Switch 15.1.1.4, Response from TDSP to Registration Notification Request</p> <p>Move-In 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In)</p> <p>Customer Objection 15.1.1.4, Response from TDSP to Registration Notification Request</p> |
| 814_09, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Response | | CR | ERCOT | One Retail Business Day | 814_08 received by CR on Monday @ 1500 = Day 0 814_09 sent to ERCOT by Tuesday @ 1700 = Day 1 | <p>Switch 15.1.1.4, Response from TDSP to Registration Notification Request</p> <p>Move-In 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In)</p> <p>Move-Out 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP</p> |
| 814_09, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Response | | TDSP | ERCOT | One Retail Business Day | 814_08 received by TDSP on Monday @ 1500 = Day 0 814_09 sent to ERCOT by Tuesday @ 1700 = Day 1 | <p>Switch 15.1.1.4, Response from TDSP to Registration Notification Request</p> <p>Move-In 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In)</p> <p>Move-Out 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP</p> |
| 814_09, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Response | | ERCOT | CR | Two Retail Business Hours | 814_09 received by ERCOT on Monday @ 1500 = Hour 0 814_09 sent to CR by Monday @ 1700 = Hour 2 | 15.1.8, Cancellation of Registration Transactions |
| 814_10, Drop to Affiliate REP (AREP) Request (No longer used) | | N/A | N/A | N/A | | 15.1.2, Response from ERCOT to Drop to Affiliate Retail Electric Provider Request |

| | | | | | | |
|---|------------------|-------|-------|---------------------------|---|---|
| 814_11, Drop Response | ERCOT reject | ERCOT | CR | One Retail Business Day | 814_10 received by ERCOT on Monday @ 1500 = Day 0 814_11 reject sent to CR by Tuesday @ 1700 = Day 1 | 15.1.2, Response from ERCOT to Drop to Affiliate Retail Electric Provider Request |
| 814_11, Drop Response | Mass Transition | ERCOT | CR | One Retail Business Day | 814_04 received by ERCOT on Monday @ 1500 = Day 0 814_11 sent to CR by Tuesday @ 1700 = Day 1 | 15.1.3, Mass Transition |
| 814_12, Date Change Request | CR initiated | CR | ERCOT | N/A | | 15.1.7, Move-In or Move-Out Date Change |
| 814_12, Date Change Request | CR initiated | ERCOT | TDSP | Two Retail Business Hours | 814_12 received by ERCOT on Monday @ 1500 = Hour 0 814_12 sent to TDSP by Monday @ 1700 = Hour 2 | 15.1.7, Move-In or Move-Out Date Change |
| 814_13, Date Change Response | | CR | ERCOT | One Retail Business Day | 814_12 received by CR on Monday @ 1500 = Day 0 814_13 sent to ERCOT by Tuesday @ 1700 = Day 1 | 15.1.7, Move-In or Move-Out Date Change |
| 814_13, Date Change Response | | TDSP | ERCOT | Two Retail Business Days | 814_12 received by TDSP on Monday @ 1500 = Day 0 814_13 sent to ERCOT by Wednesday @ 1700 = Day 2 | 15.1.7, Move-In or Move-Out Date Change |
| 814_13, Date Change Response | | ERCOT | CR | Two Retail Business Hours | 814_12 received by ERCOT on Monday @ 1500 = Hour 0 814_13 sent to CR by Monday @ 1700 = Hour 2 | 15.1.7, Move-In or Move-Out Date Change |
| 814_14, Drop Enrollment Request | Mass Transition | ERCOT | CR | One Retail Business Day | 814_04 received from TDSP on Monday @ 1500= Day 0 814_14 sent to POLR by Tuesday @ 1700 = Day 1 | 15.1.3, Mass Transition |
| 814_15, Drop Enrollment Response | | CR | ERCOT | N/A | | 15.1.3, Mass Transition |
| 814_16, Move-In Request | Priority move-in | CR | ERCOT | N/A | | 15.1.4.1, Move-In Request to Begin Electric Service |
| 814_16, Move-In Request | Standard move-in | CR | ERCOT | N/A | | 15.1.4.1, Move-In Request to Begin Electric Service |
| 814_17, Move-In Reject Response | Priority move-in | ERCOT | CR | One Retail Business Hour | EXCEPTION: Move-in that is invalid because of "Invalid ESI ID" requires 48 hours for ERCOT to reject. | 15.1.4.2, Response to Invalid Move-In Request |
| 814_17, Move-In Reject Response | Standard move-in | ERCOT | CR | Two Retail Business Hours | EXCEPTION: Move-in that is invalid because of "Invalid ESI ID" requires 48 hours for ERCOT to reject. | 15.1.4.2, Response to Invalid Move-In Request |
| 814_18, Establish/Delete CSA CR Request | | CR | ERCOT | N/A | | 15.1.9.1, Request to Initiate CSA |
| 814_18, Establish/Delete CSA CR Request | | ERCOT | CR | One Retail Business Day | 814_18 received by ERCOT on Monday @ 1500 = Day 0 814_18 sent to CR by Tuesday @ 1700 = Day 1 | 15.1.9.1, Request to Initiate CSA |

| | | | | | | |
|--|-----------------------|-------|-----------|---|---|--|
| 814_18, Establish/Delete CSA CR Request (MOU/EC) | | ERCOT | TDSP | One Retail Business Day | 814_18 received by ERCOT on Monday @ 1500 = Day 0 814_18 sent to CR by Tuesday @ 1700 = Day 1 | 15.1.10.1, Request to Initiate CSA |
| 814_19, Establish/Delete CSA (Continuous Service Agreement) CR Response | | ERCOT | CR | One Retail Business Day | 814_18 received by ERCOT on Monday @ 1500 = Day 0 814_19 sent to CR by Tuesday @ 1700 = Day 1 | 15.1.9.1, Request to Initiate CSA |
| 814_19, Establish/Delete CSA (Continuous Service Agreement) CR Response | | CR | ERCOT | One Retail Business Day | 814_18 received by CR on Monday @ 1500 = Day 0 814_19 sent to ERCOT by Tuesday @ 1700 = Day 1 | 15.1.9.1, Request to Initiate CSA |
| 814_20, Create/Maintain/ Retire ESI ID Request | | TDSP | ERCOT | N/A | | Create 15.4.1.4, New ESI ID Creation Maintain/Retire 15.4.1.5, ESI ID Maintenance |
| 814_20, Create/Maintain/ Retire ESI ID Request | Maintain | ERCOT | CR | Four Retail Business Hours | 814_20 received by ERCOT on Monday @ 0800 = Hour 0 814_20 sent to CR by Monday @ 1200 = Hour 4 | 15.4.1.5, ESI ID Maintenance |
| 814_21, Create/Maintain/ Retire ESI ID Response | Maintain or retire | ERCOT | TDSP | Four Retail Business Hours | 814_20 received by ERCOT on Monday @ 0800 = Hour 0 814_20 sent to TDSP by Monday @ 1200 = Hour 4 | 15.4.1.5, ESI ID Maintenance |
| 814_21, Create/Maintain/ Retire ESI ID Response | Create | ERCOT | TDSP | One Retail Business Hour | 814_20 received by ERCOT on Monday @ 1500 = Hour 0 814_21 sent to TDSP by Monday @ 1600 = Hour 1 | Create 15.4.1.4, New ESI ID Creation Maintain/Retire 15.4.1.5, ESI ID Maintenance |
| 814_21, Create/Maintain/ Retire ESI ID Response | | CR | ERCOT | One Retail Business Day | 814_20 received by CR on Monday @ 1500 = Day 0 814_21 sent to ERCOT by Tuesday @ 1700 = Day 1 | 15.4.1.5, ESI ID Maintenance |
| 814_22, Continuous Service Agreement (CSA) CR Move- In Request | | ERCOT | CSA CR | Two Retail Business Days PRIOR to effectuating date | EXAMPLE 1: Move-out effectuating date is Wednesday, 6/10. 814_22 sent by 0800 on Monday, 6/8. EXAMPLE 2: Move-out effectuating date is Monday, 7/10. 814_22 sent by 0800 on Thursday 7/5 (NOTE: Exclude Saturday & Sunday) | 15.1.9.3, Notice to CSA Competitive Retailer of Enrollment Due to a Move-Out |

| | | | | | | |
|--|--------------|--------|-------|---------------------------|---|---|
| 814_23, CSA (Continuous Service Agreement) CR Move-In Response | | CSA CR | ERCOT | One Retail Business Day | 814_22 received by CSA CR on Monday @ 1500 = Day 0 814_23 sent to ERCOT by Tuesday @ 1700 = Day 1 | 15.1.9.3, Notice to CSA Competitive Retailer of Enrollment Due to a Move-Out |
| 814_24, Move-Out Request | | CR | ERCOT | N/A | | 15.1.5.1, Request to Terminate Service |
| 814_24, Move-Out Request | | ERCOT | TDSP | Two Retail Business Hours | 814_24 received by ERCOT on Monday @ 1500 = Hour 0 814_24 sent to TDSP by Monday @ 1700 = Hour 2 | 15.1.5.3, Notification to TDSP of Move-Out |
| 814_25, Move-Out Response | ERCOT reject | ERCOT | CR | Two Retail Business Hours | 814_24 processed by ERCOT on Monday @ 1500 = Hour 0 814_25 reject sent to CR by Monday @ 1700 = Hour 2 (EXCEPTION: “De-Energized ESI ID” requires 48 hours for ERCOT to reject.) | 15.1.5.2, Response to Invalid Move-Out Request |
| 814_25, Move-Out Response | | TDSP | ERCOT | Two Retail Business Days | 814_24 received by TDSP on Monday @ 1500 = Day 0 814_25 sent to ERCOT by Wednesday @ 1700 = Day 2 | 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP |
| 814_25, Move-Out Response | | ERCOT | CR | Two Retail Business Hours | 814_25 received by ERCOT on Monday @ 1500 = Hour 0 814_25 sent to CR by Monday @ 1700 = Hour 2 | 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP |
| 814_26, Ad-hoc Historical Usage Request | | CR | ERCOT | N/A | | 15.1.1.2.2, Ad Hoc Requests for Historical Usage |
| 814_26, Ad-hoc Historical Usage Request | | ERCOT | TDSP | One Retail Business Day | 814_26 received by ERCOT on Monday @ 1500 = Day 0 814_26 sent to TDSP by Tuesday @ 1700 = Day 1 | 15.1.1.2.2, Ad Hoc Requests for Historical Usage |
| 814_27, Ad-hoc Historical Usage Response | | TDSP | ERCOT | Two Retail Business Days | 814_26 received by TDSP on Monday @ 1500 = Day 0 814_27 sent to ERCOT by Wednesday @ 1700 = Day 2 | 15.1.1.2.2, Ad Hoc Requests for Historical Usage |
| 814_27, Ad-hoc Historical Usage Response | | ERCOT | CR | One Retail Business Day | 814_27 received by ERCOT on Monday @ 1500 = Day 0 814_27 sent to CR by Tuesday @ 1700 = Day 1 | 15.1.1.2.2, Ad Hoc Requests for Historical Usage |

| | | | | | | |
|---|--------------|-------|-------|---------------------------|--|---|
| 814_28, Completed Unexecutable or Permit Required | Unexecutable | TDSP | ERCOT | N/A | | <p><u>Move-In</u> 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In)</p> <p><u>Move-Out</u> 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP</p> <p><u>Completed Unexecutable</u> 15.1.4.6.1, Completed Unexecutable</p> |
| 814_28, Completed Unexecutable or Permit Required | Unexecutable | ERCOT | CR | Two Retail Business Hours | 814_28 received by ERCOT on Monday @ 1500 = Hour 0 814_28 sent to CR by Monday @ 1700 = Hour 2 | <p><u>Move-In</u> 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In)</p> <p><u>Move-Out</u> 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP</p> |
| 814_28, Completed Unexecutable or Permit Required | Permit | TDSP | ERCOT | Two Retail Business Days | 814_03 received by TDSP on Monday @ 1500 = Day 0 814_28 sent to ERCOT by Wednesday @ 1700 = Day 2 | 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) |
| 814_28, Completed Unexecutable or Permit Required | Permit | ERCOT | CR | Two Retail Business Hours | 814_28 received by ERCOT on Monday @ 1500 = Hour 0 814_28 sent to CR by Monday @ 1700 = Hour 2 | 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) |
| 814_29, Response to Completed Unexecutable or Permit Required | | CR | ERCOT | One Retail Business Day | 814_28 received by CR on Monday @ 1500 = Day 0 814_29 sent to ERCOT by Tuesday @ 1700 = Day 1 | 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) |
| 814_29, Response to Completed Unexecutable or Permit Required | | ERCOT | TDSP | Two Retail Business Hours | 814_29 received by ERCOT on Monday @ 1500 = Hour 0 814_29 sent to TDSP by Monday @ 1700 = Hour 2 | 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In) |

| | | | | | | |
|-----------------------------|----------------------|-------|-------|--|---|--|
| 867_02, Historical Usage | | TDSP | ERCOT | Two Retail Business Days | 814_03 received by TDSP on Monday @ 1500 = Day 0 867_02 sent to ERCOT by Wednesday @ 1700 = Day 2 | Switch 15.1.1.2.1, Provision of Historical Usage with a Switch Request Ad Hoc 15.1.1.2.2, Ad Hoc Requests for Historical Usage Move-In 15.1.4.1, Move-In Request to Begin Electric Service |
| 867_02, Historical Usage | | ERCOT | CR | Four Retail Business Hours | 867_02 received by ERCOT on Monday @ 0800 = Hour 0 867_02 sent to CR by Monday @ 1200 = Hour 4 | Switch 15.1.1.2.1, Provision of Historical Usage with a Switch Request Ad Hoc 15.1.1.2.2, Ad Hoc Requests for Historical Usage Move-In 15.1.4.1, Move-In Request to Begin Electric Service |
| 867_03, Monthly Usage | Final | TDSP | ERCOT | Within three Retail Business Days of the effectuating meter read | | 15.1.1.7, Completion of Switch Request and Effective Switch Date |
| 867_03, Monthly Usage | Final – switch | ERCOT | CR | 12 Hours | 867_03F received by ERCOT on Monday @ 1800 = Hour 0 867_03F sent to CR by Tuesday @ 0600 = Hour 12 | 15.1.1.7, Completion of Switch Request and Effective Switch Date |
| 867_03, Monthly Usage | Final – move- out | ERCOT | CR | Four Retail Business Hours | 867_03 received by ERCOT on Monday @ 0800 = Hour 0 867_03 sent to CR by Monday @ 1200 = Hour 4 | 15.1.5.6, Completion of Move-Out Request and Effective Move-Out Date |
| 867_03, Monthly Usage | Monthly | TDSP | ERCOT | No later than three Retail Business Days after the scheduled meter read cycle or scheduled meter cycle by day of the month for a point of delivery | | 15.3, Monthly Meter Reads |

| | | | | | | |
|---|--------------|-------|-------|--|---|--|
| 867_03, Monthly Usage | Monthly | ERCOT | CR | One Retail Business Day | 867_03 received by ERCOT on Monday @ 1500 = Day 0 867_03 sent to CR by Tuesday @ 1700 = Day 1 | 15.3, Monthly Meter Reads |
| 867_04, Initial Meter Read Notification | | TDSP | ERCOT | Within three Retail Business Days of the effectuating meter read | | 15.1.1.7, Completion of Switch Request and Effective Switch Date |
| 867_04, Initial Meter Read Notification | Switch | ERCOT | CR | 12 Hours | 867_04 received by ERCOT on Monday @ 1800 = Hour 0 867_04 sent to CR by Tuesday @ 0600 = Hour 12 | 15.1.1.7, Completion of Switch Request and Effective Switch Date |
| 867_04, Initial Meter Read Notification | Move-in | ERCOT | CR | Four Retail Business Hours | 867_04 received by ERCOT on Monday @ 0800 = Hour 0 867_04 sent to CR by Monday @ 1200 = Hour 4 | 15.1.4.7.1. Standard Move-In Requests |
| 867_04, Initial Meter Read Notification | Move-out CSA | ERCOT | CR | Four Retail Business Hours | 867_04 received by ERCOT on Monday @ 0800 = Hour 0 867_04 sent to CR by Monday @ 1200 = Hour 4 | 15.1.5.6, Completion of Move-Out Request and Effective Move-Out Date |

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 Texas 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 cancellation or rejection transaction | Reject upon verification not to exceed 5 Retail 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 | Reject upon verification not to exceed 5 Retail Business Days |

| Reject Code | Description | Reject Timing |
|-------------|---|--|
| | 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 | |
| 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 inactive, or is otherwise invalid. For use by Market Participants operating in MOU/EC territory only. | Reject upon verification not to exceed 5 Retail Business Days |
| 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 |

| Reject Code | Description | Reject Timing |
|--------------------|---|--|
| | | |
| 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) | |
|------------------------|----------------------|--------|----------------|--------------|---------------------------|-----------------|--------------------|-------------------|---------------------|------------|--------------|--------------------------|------------------------|----------------------|-----------------|-----------------------|----------|---------------------------------------|--|
| | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
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| | | | | | | | | | | | | | | | | | | | |
| | 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:

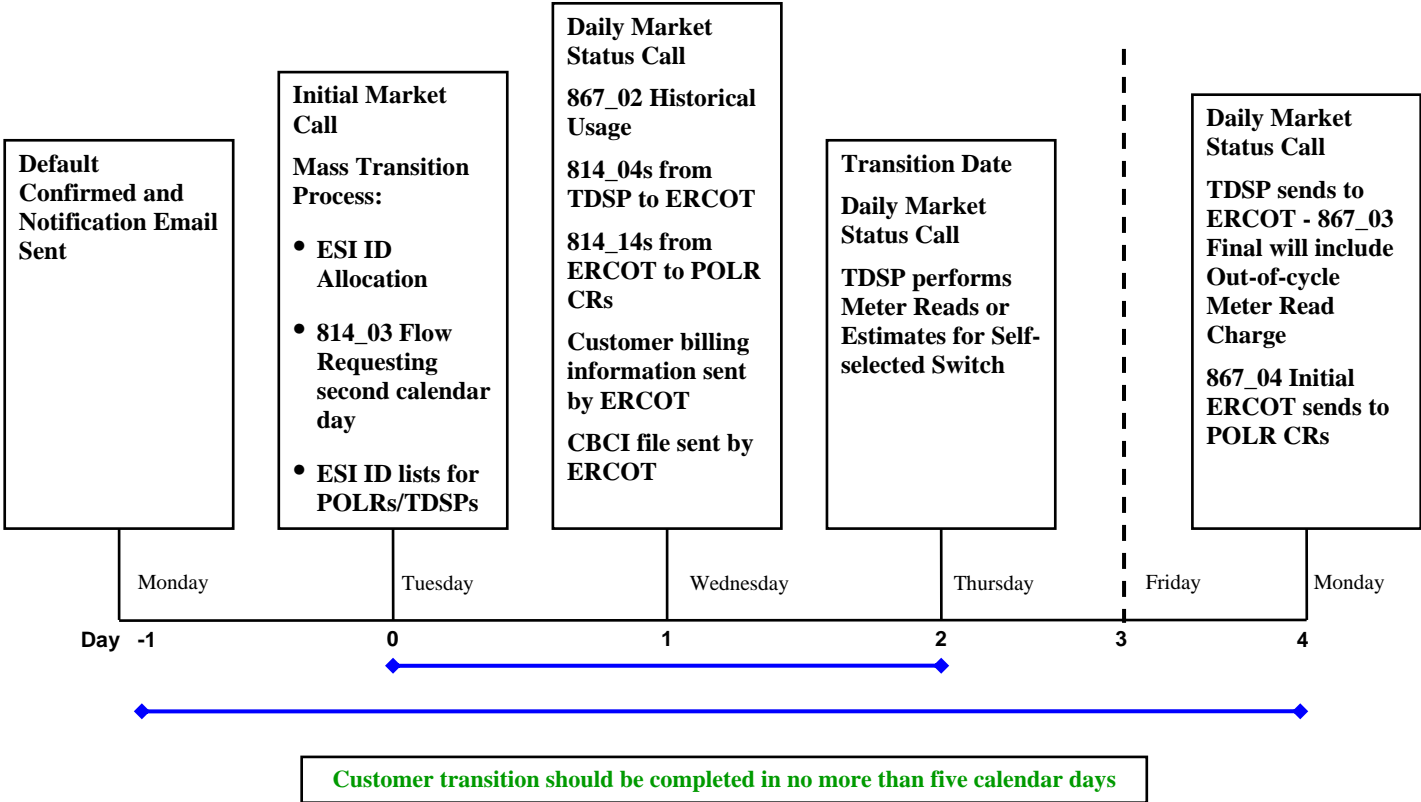
Market Participant:

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

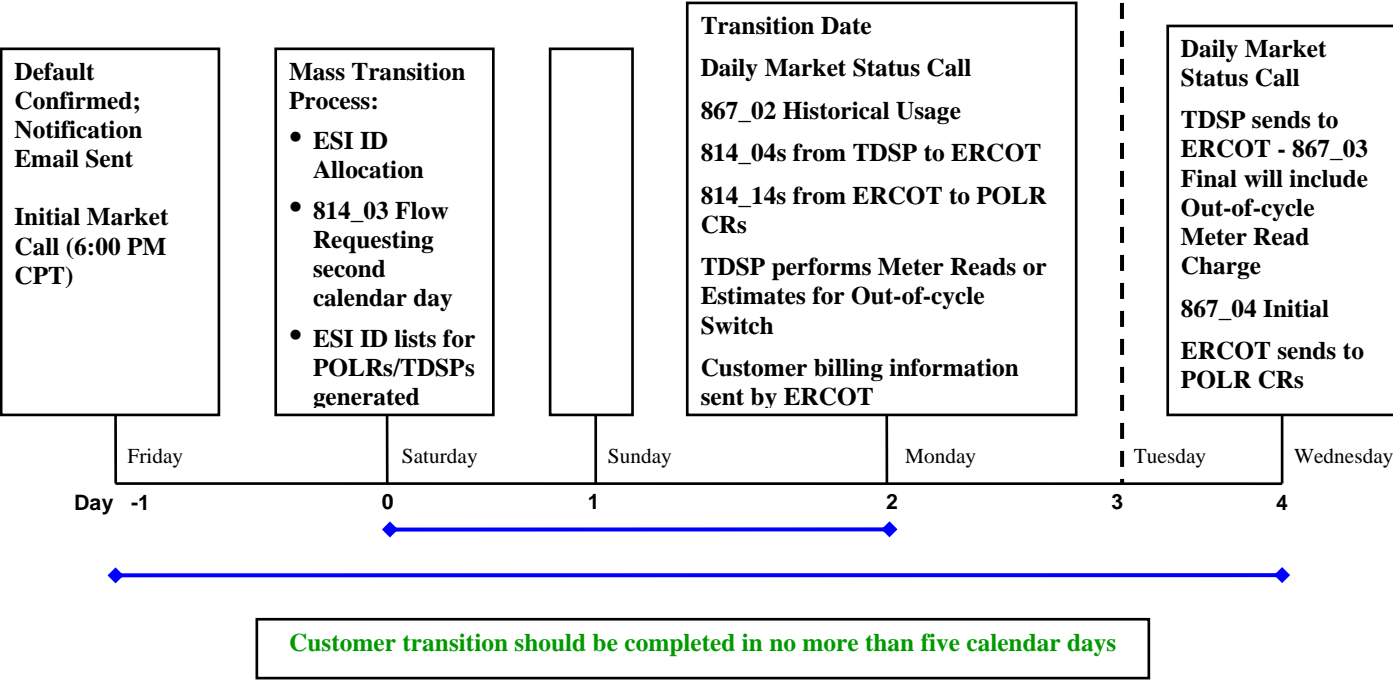
Appendix F2

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 Competitive Retailers (CRs) and Transmission and/or Distribution Service Providers (TDSPs) containing the information below for each Electric Service Identifier (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 Losing the ESI ID. |
| POLR CR DUNS | DUNS Number of the Provider of Last Resort (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 (SDP). |
| 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, Switch CR Notification Request or the POLR should submit an 814_16, Move-In Request. |
| Requested Date of Cancelled 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 Retail Electric Provider (VREP) or Large Service Provider (LSP) Designation | Designates whether the POLR is being assigned the ESI ID as a VREP or LSP. |

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 Competitive Retailer (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 Transmission and/or Distribution Service Providers (TDSPs) upon a Mass Transition event.

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

All information must be sent in a pipe delimited Comma Separated Values (CSV) file format via North American Energy Standards Board (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 | Texas 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 |

| Data Element | Texas SET Mandatory / Optional | Comments | Format |
|----------------|--------------------------------|--|-------------------|
| CR DUNS Number | Mandatory | Retail Electric Provider (REP) of Record (ROR) 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 | Texas 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 | ROR 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 (SDP). | 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) |

| Data Element | Texas SET Mandatory / Optional | Comments | Format |
|----------------------------------|--------------------------------|---|--------------------|
| 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) |
| Email Address | Optional | Needed for ERCOT to contact Customers. | VarChar (80) |

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 | Texas 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 | ROR DUNS Number. This is the DUNS Number for the CR receiving this response report information based on the original file submission. If this is not your CR DUNS Number, end processing. | Numeric (9 or 13) |

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) |
| ESI ID Number | Mandatory | The basic identifier assigned to each SDP. | Alpha numeric (36) |
| 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 | Texas SET Mandatory / Optional | Comments | Format |
|--------------|--------------------------------|-------------------|-------------------|
| Record Type | Mandatory | Record Tag “ER2.” | Alpha numeric (3) |

| Data Element | Texas SET Mandatory / Optional | Comments | Format |
|------------------------|--------------------------------|---|--------------------|
| Record Number | Mandatory | The unique sequential record number starting with "1." | Numeric (8) |
| ESI ID Number | Mandatory | The basic identifier assigned to each SDP. | Alpha numeric (36) |
| 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|01234567890ABCDEFGHIJKLM|DET|123|Billing State|Invalid Value

ER2|2|01234567890ABCEDFGHIJLKMN|DET|789|Company Name|Missing Value

ER1|3|1234567890ABCDEFGHIJKLLM01|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 | Texas 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 | ROR 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. Also represents the validated data sent by ERCOT to the Gaining CR upon a Mass Transition event.

| Data Element | Texas 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 | ROR 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 SDP. | 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) |

| Data Element | Texas SET Mandatory / Optional | Comments | Format |
|----------------------------------|--------------------------------------|---|--------------------|
| 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) |
| Email Address | Optional | Needed for ERCOT to contact Customers. | VarChar (80) |

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 | Texas 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 | Texas 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 | ROR DUNS Number. | Numeric (9 or 13) |
| ESI ID Number | Mandatory | The basic identifier assigned to each SDP. | 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 | Texas 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. | Numeric (8) |

| Data Element | Texas SET Mandatory / Optional | Comments | Format |
|--------------|--------------------------------|---|--------|
| | | Conditional upon the use of NDT records. Use Zero if no records sent. | |

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 | Texas 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 | Texas 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 | ROR 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 SDP. | 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) |

| Data Element | Texas SET Mandatory / Optional | Comments | Format |
|--------------------------------|--------------------------------|---|--------------------|
| 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 | Texas 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 | Texas 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 | ROR DUNS Number. | Numeric (9 or 13) |

| Data Element | Texas SET Mandatory / Optional | Comments | Format |
|-----------------|--------------------------------|--|--------------------|
| ESI ID Number | Mandatory | The basic identifier assigned to each SDP. | 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 | Texas 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|||

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

[RMGRR075: Insert Appendix F7 upon system implementation:]

Appendix F7

File Layout for ERCOT Specified File Format

(Same file layout used for TDSP's File Transfer Protocol (FTP) site)

Note: The correct number of commas must be included even if optional elements are not provided.

| Element | Description | Mandatory / Optional | Valid Values | Comment | Format |
|----------------|---------------------|----------------------|--------------|---|-------------------------------|
| Header Row One | | | | | |
| 1 | Sort code | Mandatory | 00000001 | Must be 00000001 | Numeric (8) |
| 2 | ESI ID | Mandatory | | | Alphanumeric (64) |
| 3 | Channel | Mandatory | 1 4 | Indicates type of data contained in the detailed rows. 1 = generation 4 = load | Numeric (1) |
| 4 | Start Time | Mandatory | | | YYYYMMDDHHMMSS (24-hour) (14) |
| 5 | Stop Time | Mandatory | | | YYYYMMDDHHMMSS (24-hour) (14) |
| 6 | DST Participation | Mandatory | Y | Y = DST Participant Data must be DST adjusted and must be in local prevailing time | Alphanumeric (1) |
| 7 | Invalid Record Flag | Mandatory | N | N indicates that the data is VEE and does not need to be pre-validated. | Alphanumeric (1) |

Note: The correct number of commas must be included even if optional elements are not provided.

| Element | Description | Mandatory / Optional | Valid Values | Comment | Format |
|----------------|-------------|----------------------|--------------|------------------|-------------|
| Header Row Two | | | | | |
| 1 | Sort code | Mandatory | 00000002 | Must be 00000002 | Numeric (8) |

| | | | | | |
|----|--|-------------|-------------------|---|--|
| 2 | Meter Start Reading | Optional | | Meter Start Reading Not used by ERCOT Default = 0 | Non-negative numeric Max = 9999999999999999.9999 00:00:00 |
| 3 | Meter Stop Reading – Register Read for the day | Optional | | Meter Stop Reading Not used by ERCOT Default = 0 | Non-negative numeric Max = 9999999999999999.9999 23:59:59 |
| 4 | Meter Multiplier | Conditional | | Must be included if meter start and meter stop is included. Not used by ERCOT Default = 0 | Non-negative numeric Max = 9999999999999999.9999 |
| 5 | Empty value | Mandatory | No value provided | Must be Null. See example. | The correct number of commas must be included. |
| 6 | Pulse multiplier | Optional | | Not used by ERCOT Default = 0 | Non-negative numeric Max = 9999999999999999.9999 |
| 7 | Empty value | Mandatory | No value provided | Must be Null. See example. | The correct number of commas must be included. |
| 8 | Seconds Per Interval | Mandatory | 900 | 900 = 15 minute intervals | Numeric (3) |
| 9 | Lodestar Unit of Measure | Mandatory | 01 | 01 = kWh | Numeric (2) |
| 10 | Basic Unit Code | Optional | | Not used by ERCOT Default = 1 | Positive numeric. Max 9999. |
| 11 | Time Zones West of GMT | Optional | | Not used by ERCOT Default = -1 | Numeric. Min = -1 Max = 47 |
| 12 | Population | Optional | | Not used by ERCOT Default = 0.0 | Positive numeric. Max = 9999999999999999.9999 |
| 13 | Weight | Optional | | Not used by ERCOT Default = 0.0 | Max = 9999999999999999.9999 |
| 14 | Time Zone Standard Name | Mandatory | CST | Not used by ERCOT | Alphanumeric (3) |

| Element | Description | Mandatory / Optional | Valid Values | Comment | Format |
|-------------------|-------------------|----------------------|-------------------------------|---|--------------------------------|
| Header Row Three | | | | | |
| 1 | Sort code | Mandatory | 00000003 | Must be 00000003 | Numeric (8) |
| 2 | Descriptor | Mandatory | | Unique tran id | Alphanumeric (80) |
| Header Row Four | | | | | |
| 1 | Sort code | Mandatory | 00000004 | Must be 00000004 | Numeric (8) |
| 2 | Timestamp | Mandatory | | Timestamp of read. This value will determine which read will 'win' for a day if there are multiple reads. | YYYYMMDDHHMMSS |
| 3 | Origin | Mandatory | M | M=Metered | Alphanumeric (1) |
| Header Row Thirty | | | | | |
| 1 | Sort code | Mandatory | 00000030 | Must be 00000030 | Numeric (8) |
| 2 | Name Value Pairs | Mandatory | ATTRIBUTE_VALUE_PAIRS | Must be ATTRIBUTE_VALUE_PAIRS | Alphanumeric (21) |
| 3 | MRE DUNS Number | Mandatory | MRE=<required MRE DUNS> | Insert MRE DUNS Number | MRE= + Numeric (9 or 13) |
| 4 | TDSP DUNS Number | Mandatory | Sender=<required Sender DUNS> | Insert Sender DUNS Number | Sender= + Numeric (9 or 13) |
| 5 | ERCOT DUNS Number | Mandatory | Receiver=183529049 | Must contain ERCOT's DUNS Number. | Receiver= + Numeric (9) |

| | | | | | |
|---|----------------|---|------------------------|---|-----------------------------|
| 6 | CR DUNS Number | Attribute is Mandatory Value is optional | REP=<optional CR DUNS> | Insert CR DUNS Number The attribute (REP=) is required. The value (the CR DUNS Number) is optional. Not Used by ERCOT | REP= + Numeric (9 or 13) |
|---|----------------|---|------------------------|---|-----------------------------|

Note: The correct number of commas must be included even if optional elements are not provided.

| Element | Description | Mandatory / Optional | Valid Values | Comment | Format |
|-----------------|----------------------|----------------------|----------------------------|---|--|
| Detailed Record | | | | | |
| 1 | Sort code | Mandatory | 10000000 through 10000024 | Each row must contain four 15 minute interval sets. For a 92 interval day, the data records will go through row 22 (10000022). For a 96 interval day the data records will go through row 23 (10000023). For a 100 interval day will go through row 24 (10000024). | Numeric (8) |
| 2 | Interval value | Mandatory | | | Numeric Maximum of 3 significant digits to the right of the decimal. Must be a positive value. |
| 3 | Lodestar Status Code | Mandatory | A = actual E = estimate | Indicates whether the interval is an actual or estimate. | Alphanumeric (1) |
| 4 | Empty value | Mandatory | No value provided | Must be Null. See example. | The correct number of commas must be included. |

Appendix G
Intentionally Left Blank

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 | | | | | | | |
| 17 | | 17 | | | | | | | |
| 18 | | 18 | | | | | | | |
| 19 | | 19 | | | | | | | |
| 20 | | 20 | | | | | | | |
| 21 | | 21 | | | | | | | |
| 22 | | 22 | | | | | | | |
| 23 | | 23 | | | | | | | |
| 24 | | 24 | | | | | | | |
| 25 | | 25 | | | | | | | |
| 26 | | 26 | | | | | | | |
| 27 | | 27 | | | | | | | |
| 28 | | 28 | | | | | | | |
| 29 | | 29 | | | | | | | |
| 30 | | 30 | | | | | | | |

| | | | | | | | | | |
|----|--|----|--|--|--|--|--|--|--|
| 31 | | 31 | | | | | | | |
| 32 | | 32 | | | | | | | |
| 33 | | 33 | | | | | | | |
| 34 | | 34 | | | | | | | |
| 35 | | 35 | | | | | | | |
| 36 | | 36 | | | | | | | |
| 37 | | 37 | | | | | | | |
| 38 | | 38 | | | | | | | |
| 39 | | 39 | | | | | | | |
| 40 | | 40 | | | | | | | |
| 41 | | 41 | | | | | | | |
| 42 | | 42 | | | | | | | |
| 43 | | 43 | | | | | | | |
| 44 | | 44 | | | | | | | |
| 45 | | 45 | | | | | | | |
| 46 | | 46 | | | | | | | |
| 47 | | 47 | | | | | | | |
| 48 | | 48 | | | | | | | |
| 49 | | 49 | | | | | | | |
| 50 | | 50 | | | | | | | |

Appendix H2

IDR Installation Request Form

| IDR Installation Request Form | | | |
|---|--|------------------|-------------------|
| CR Name and CR DUNs: | | <i>Color Key</i> | 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: | | | |

| 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 | | | | | | | | | | |
| 2 | | | | | | | | | | |
| 3 | | | | | | | | | | |
| 4 | | | | | | | | | | |
| 5 | | | | | | | | | | |
| 6 | | | | | | | | | | |
| 7 | | | | | | | | | | |
| 8 | | | | | | | | | | |
| 9 | | | | | | | | | | |
| 10 | | | | | | | | | | |
| 11 | | | | | | | | | | |
| 12 | | | | | | | | | | |
| 13 | | | | | | | | | | |
| 14 | | | | | | | | | | |
| 15 | | | | | | | | | | |
| 16 | | | | | | | | | | |
| 17 | | | | | | | | | | |
| 18 | | | | | | | | | | |
| 19 | | | | | | | | | | |
| 20 | | | | | | | | | | |
| 21 | | | | | | | | | | |
| 22 | | | | | | | | | | |
| 23 | | | | | | | | | | |
| 24 | | | | | | | | | | |
| 25 | | | | | | | | | | |
| 26 | | | | | | | | | | |
| 27 | | | | | | | | | | |
| 28 | | | | | | | | | | |
| 29 | | | | | | | | | | |

| 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) |
| 30 | | | | | | | | | | |
| 31 | | | | | | | | | | |
| 32 | | | | | | | | | | |
| 33 | | | | | | | | | | |
| 34 | | | | | | | | | | |
| 35 | | | | | | | | | | |
| 36 | | | | | | | | | | |
| 37 | | | | | | | | | | |
| 38 | | | | | | | | | | |
| 39 | | | | | | | | | | |
| 40 | | | | | | | | | | |
| 41 | | | | | | | | | | |
| 42 | | | | | | | | | | |
| 43 | | | | | | | | | | |
| 44 | | | | | | | | | | |
| 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.