

# **ERCOT Retail Market Guide**

**April 1, 2011**

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ERCOT Retail Market Guide  
Section 1: Purpose

**July 1, 2010**

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1 Purpose..... 1-1

## **1 PURPOSE**

The Retail Market Guide (RMG) supplements the ERCOT Protocols. The RMG provides more detail and establishes additional requirements for those organizations and Entities operating in the Texas retail market. Entities are obligated to comply with the RMG. In the event of a conflict between the RMG and the ERCOT Protocols or Public Utility Commission of Texas (PUCT) Substantive Rules, the ERCOT Protocols and PUCT Substantive Rules take precedence over the RMG.

**ERCOT Retail Market Guide**  
**Section 2: Definitions and Acronyms**

**November 1, 2010**

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## 2 DEFINITIONS AND ACRONYMS

### 2.1 DEFINITIONS

Relevant terms and definitions used in the Retail Market Guide can be found in Protocol Section 2, Definitions and Acronyms, and in Chapter 25, Substantive Rules Applicable to Electric Service Providers, of the Public Utility Commission of Texas (PUCT) Substantive Rules. This Section 2.1 contains terms not defined in either the Protocols or PUCT Substantive Rules.

#### LINKS TO DEFINITIONS:

[A](#), [B](#), [C](#), [D](#), [E](#), [F](#), [G](#), [H](#), [I](#), [J](#), [K](#), [L](#), [M](#), [N](#), [O](#), [P](#), [Q](#), [R](#), [S](#), [T](#), [U](#), [V](#), [W](#), [X](#), [Y](#), [Z](#);

[List of Acronyms](#)

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## A

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### Complete

Action code on the 650\_02, Order Complete, Complete Unexecutable, Reject Response, or Notification of Permit Required, indicating that either the disconnect or reconnect request has been successfully completed in the field by the Field Service Representative (FSR).

### Complete Unexecutable

Action code on the 650\_02, Service Order Complete, Complete Unexecutable, Reject Response, or Notification of Permit Required, indicating that the FSR was unable to successfully complete the either the disconnect or reconnect request 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 for disconnect requests in the 650\_02 transaction when the TDSP has received a reconnect request prior to completing the disconnect request.

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### **Decision**

Parameters associated with a Mass Transition event that dictate the parties involved and the Target Effective Date of the Mass Transition. Decision parameters include designation of the Losing Competitive Retailer (CR), the Gaining CR, the preliminary list of transitioning Electric Service Identifiers (ESI IDs) and the Target Effective Date of the Mass Transition.

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### **Effective Date**

The date on which the Mass Transition of ESI IDs from the Losing CR to the Gaining CR is to take place. This is the date on which the meter read is taken and is used in Mass Transition transactions.

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### **Field Operational Day**

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

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### **Gaining Competitive Retailer**

CR identified in the initiating Decision who is to become the Retail Electric Provider (REP) of record as of the Effective Date for a transitioned ESI ID following the Mass Transition.

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### **Launch**

Initial step in the Mass Transition process whereby parties are informed that a Mass Transition event is underway and overall management of the Mass Transition event 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**

CR identified in the initiating Decision who is to be removed as the REP of record upon the processing of a Mass Transition transaction.

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**New Competitive Retailer**

CR who is neither the Losing CR nor the Gaining CR and who is involved in a transaction associated with a transitioned ESI ID during or following a Mass Transition.

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**Off-Cycle**

An activity performed not in association with the normally scheduled cycle for meter reads.

**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 and move-outs). Overflow service requests will be scheduled for the next available Field Operational Day until the order is successfully completed or Completed Unexecutable.

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**Pending**

The status of any order that is received prior to the requested completion date for Disconnect for Non-Pay (DNP) or Reconnect for Non-Pay (RNP) requests.

**Pending Transaction**

Any transaction associated with a transitioned ESI ID that is in-flight (not completed) when the Mass Transition event occurs.

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**R**

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## S

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### **Target Effective Date**

Effective Date for the Mass Transition of ESI IDs identified in the Mass Transition Decision. This date may be modified by agreement among Market Participants based on the volume of transitioning ESI IDs and the TDSP's capacity to read meters and process transactions involving manual intervention.

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**2.2 ACRONYMS**

<b>AEP</b>	American Electric Power
<b>CNP</b>	CenterPoint Energy
<b>DEV</b>	Data Extract Variance
<b>DNP</b>	Disconnect for Non-Pay
<b>FSR</b>	Field Service Representative
<b>LSP</b>	Large Service Provider
<b>NEC</b>	Nueces Electric Cooperative
<b>RNP</b>	Reconnect for Non-Pay
<b>SMRD</b>	Scheduled Meter Read Date
<b>SULP</b>	Sharyland Utilities, L.P.
<b>TNMP</b>	Texas New Mexico Power
<b>VREP</b>	Volunteer Retail Electric Provider

ERCOT Retail Market Guide  
Section 3: Retail Market Guide Revision Process

**December 1, 2010**

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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 this RMG, is called a Retail Market Guide Revision Request (RMGRR). Except as specifically provided in other sections of the RMG, this Section 3, Retail Market Guide Revision Process, shall be followed for all RMGRRs. ERCOT Members, Market Participants, Public Utility Commission of Texas (PUCT) Staff, Texas Regional Entity (TRE) Staff, ERCOT, and any other Entities are required to utilize the process described herein prior to requesting, through the PUCT or other Governmental Authority, that ERCOT make a change to the RMG, except for good cause shown to the PUCT or other Governmental Authority.
- (2) The “next regularly scheduled meeting” of the Retail Market Subcommittee (RMS), the Technical Advisory Committee (TAC) or the ERCOT Board shall mean the next regularly scheduled meeting for which required Notice can be timely given regarding the item(s) to be addressed, as specified in the appropriate ERCOT Board or committee procedures.
- (3) 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 a Nodal Protocol Revision Request (NPRR) if such a change is necessary to accommodate a proposed RMGRR prior to proceeding with that RMGRR.
- (4) Throughout the RMG, references are made to the ERCOT Protocols. ERCOT Protocols supersede the RMG and any RMGRRs must be compliant with the ERCOT Protocols. The ERCOT Protocols are subject to the revision process outlined in Protocol Section 21, Process for Nodal Protocol Revision.
- (5) 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 Changes” and shall consist of non-substantive corrections, such as typos (excluding grammatical changes), internal references (including table of contents), improper use of acronyms, and references to ERCOT Protocols, PUCT Substantive Rules, the Public Utility Regulatory Act (PURA), North American Electric Reliability Corporation (NERC) regulations, Federal Energy Regulatory Commission (FERC) rules, etc.
  - (b) ERCOT shall post such Administrative RMGRRs on the ERCOT website and distribute the RMGRR to the RMS at least ten Business Days before implementation. If no Entity submits comments to the Administrative RMGRR in accordance with paragraph (1) of Section 3.3.3, Retail Market Subcommittee

Review and Action, ERCOT shall implement it according to paragraph (4) of Section 3.6, Retail Market Guide Revision Implementation. If any ERCOT Member, Market Participant, PUCT Staff, TRE Staff or ERCOT submits comments to the Administrative RMGRR, then it shall be processed in accordance with the RMGRR process outlined in this Section 3.

### **3.2 Submission of a Retail Market Guide Revision Request**

The following Entities may submit a Retail Market Guide Revision Request (RMGRR):

- (a) Any Market Participant;
- (b) Any ERCOT Member;
- (c) Public Utility Commission of Texas (PUCT) Staff;
- (d) Texas Regional Entity (TRE) Staff;
- (e) ERCOT; and
- (f) Any other Entity that meets the following qualifications:
  - (i) Resides (or represents residents) in Texas or operates in the Texas electricity market; and
  - (ii) Demonstrates that Entity (or those it represents) is affected by the Customer Registration or Renewable Energy Credit (REC) Trading Program sections of the ERCOT Protocols.

### **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 ERCOT website. ERCOT shall provide an electronic return receipt response to the submitter upon receipt of the RMGRR.
- (2) The RMGRR shall include the following information:
  - (a) Description of requested revision and reason for suggested change;
  - (b) 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;

- (c) Impact Analysis (applicable only for an RMGRR submitted by ERCOT);
  - (d) List of affected Retail Market Guide (RMG) sections and subsections;
  - (e) General administrative information (organization, contact name, etc.); and
  - (f) 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 RMGRR, a submitter must submit a completed version of the RMGRR.
- (4) If a submitted RMGRR is complete or once an RMGRR is completed, ERCOT shall post the RMGRR on the ERCOT website and distribute to the Retail Market Subcommittee (RMS) within three Business Days.

### **3.3.2 *Withdrawal of a Retail Market Guide Revision Request***

- (1) A submitter may withdraw or request to withdraw an RMGRR by submitting a completed Request for Withdrawal form provided on the ERCOT website. ERCOT shall post the submitter's Request for Withdrawal on the ERCOT website within three Business Days of submittal.
- (2) The submitter of an RMGRR may withdraw the RMGRR at any time before RMS recommends approval of the RMGRR. If the RMS has recommended approval of the RMGRR, the Request for Withdrawal must be approved by the RMS if the RMGRR has not yet been recommended for approval by RMS.
- (3) If the RMS has recommended approval of the RMGRR, the Request for Withdrawal must be approved by the Technical Advisory Committee (TAC) if the RMGRR has not yet been approved or recommended for approval by TAC.
- (4) If TAC has recommended approval of an RMGRR that requires an ERCOT project for implementation, the Request for Withdrawal must be approved by the ERCOT Board if the RMGRR has not yet been approved by the ERCOT Board.
- (5) Once an RMGRR that requires an ERCOT project for implementation is approved by the ERCOT Board or an RMGRR that does not require an ERCOT project for implementation is approved by TAC, such RMGRR cannot be withdrawn.

### **3.3.3 *Retail Market Subcommittee Vote***

- (1) Any ERCOT Member, Market Participant, Public Utility Commission of Texas (PUCT) Staff, Texas Regional Entity (TRE) Staff or ERCOT may comment on the RMGRR.



- (2) To receive consideration, comments must be delivered electronically to ERCOT in the designated format provided on the ERCOT website within 21 days from the posting date of the RMGRR. Comments submitted after 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 ERCOT website regardless of date of submission shall be posted on the ERCOT website and distributed electronically to the RMS within three Business Days of submittal.
- (3) RMS shall consider 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 considered at the next subsequent 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 or another TAC subcommittee 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, defer, or refer the RMGRR. If a motion to recommend approval of an RMGRR fails via e-mail vote according to the Technical Advisory Committee Procedures, the RMGRR shall be deemed rejected by the RMS unless at the next regularly scheduled RMS meeting or in a subsequent e-mail vote prior to such meeting, RMS votes to recommend approval of, defer, 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 on the RMGRR, ERCOT shall issue an RMS Report reflecting the RMS action and post it on the ERCOT website. The RMS Report shall contain the following items:
  - (a) Identification of submitter of the RMGRR;
  - (b) Modified RMG language recommended by the RMS, if applicable;
  - (c) Identification of authorship of comments, if applicable;
  - (d) Proposed effective date of the RMGRR;
  - (e) Recommended priority and rank for any RMGRR requiring an ERCOT project for implementation; and

- (f) RMS action.

### **3.3.4 *Comments to the Retail Market Subcommittee Report***

- (1) Any ERCOT Member, Market Participant, PUCT Staff, TRE Staff or ERCOT may comment on the RMS Report. Within three Business Days of receipt of comments related to the RMS Report, ERCOT shall post such comments to the ERCOT website. Comments submitted in accordance with the instructions on the ERCOT website, regardless of date of submission, shall be posted on the ERCOT website within three Business Days of submittal.
- (2) The comments on the RMS Report will be considered at the next regularly scheduled RMS meeting where the RMGRR is being considered.

### **3.3.5 *Retail Market Guide Revision Request Impact Analysis***

- (1) ERCOT shall submit to RMS an initial Impact Analysis based on the original language in the RMGRR with any ERCOT-sponsored RMGRR. The initial Impact Analysis will provide RMS with guidance as to what ERCOT computer systems, operations, or business functions could be affected by the RMGRR as submitted.
- (2) If RMS recommends approval of an RMGRR, ERCOT shall prepare an Impact Analysis based on the proposed language in the RMS Report. If ERCOT has already prepared an Impact Analysis, ERCOT shall update the existing Impact Analysis, if necessary, to accommodate the language recommended for approval in the RMS Report.
- (3) The Impact Analysis shall assess the impact of the proposed RMGRR on ERCOT computer systems, operations, or business functions and shall contain the following information:
  - (a) An estimate of any cost and budgetary impacts to ERCOT for both implementation and ongoing operations;
  - (b) The estimated amount of time required to implement the RMGRR;
  - (c) The identification of alternatives to the RMGRR that may result in more efficient implementation; and
  - (d) The identification of any manual workarounds that may be used as an interim solution and estimated costs of the workaround.
- (4) Unless a longer review period is warranted due to the complexity of the proposed RMS Report, ERCOT shall issue an Impact Analysis for an RMGRR for which RMS has recommended approval of prior to the next regularly scheduled RMS meeting. ERCOT shall post the results of the completed Impact Analysis on the ERCOT website. If a longer review period is required by ERCOT to complete an Impact Analysis, ERCOT

shall submit comments with a schedule for completion of the Impact Analysis to the RMS.

### **3.3.6 *Retail Market Subcommittee Review of Impact Analysis***

- (1) 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 Report after considering the information included in the Impact Analysis or additional comments received on the RMS Report.
- (2) After consideration of the Impact Analysis and the RMS Report, ERCOT shall issue a revised RMS Report and post it on the ERCOT website within three Business Days of the RMS consideration of the Impact Analysis and the RMS Report. If RMS revises the proposed RMGRR, ERCOT shall update the Impact Analysis, if necessary, and issue the updated Impact Analysis to TAC. If a longer review period is required for ERCOT to update the Impact Analysis, ERCOT shall submit comments with a schedule for completion of the Impact Analysis to TAC.
- (3) If the RMGRR requires an ERCOT project for implementation, at the same meeting, RMS shall assign a recommended priority and rank for the associated project.

### **3.3.7 *Retail Market Guide Revision Request and Impact Analysis for Point-to-Point Transactions or Processes between Competitive Retailers and Transmission and/or Distribution Service Providers***

- (1) 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 and/or 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.
- (2) 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. If RMS recommends approval of the RMGRR, ERCOT shall prepare an Impact Analysis, based on the proposed language in the RMS 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, ERCOT shall update the existing Impact Analysis, if necessary, to accommodate the language recommended for approval in the RMS Report.

### 3.3.8 *Protocol Revision Subcommittee Review of Project Prioritization*

At the next regularly scheduled Protocol Revision Subcommittee (PRS) meeting after RMS recommends approval of an RMGRR that requires an ERCOT project for implementation, the PRS shall assign a recommended priority and rank for the associated project.

### 3.3.9 *Technical Advisory Committee Vote*

- (1) Upon issuance of an RMS Report and Impact Analysis to TAC, TAC shall review the RMS Report and the Impact Analysis at the following month's regularly scheduled meeting. For Urgent RMGRRs, TAC shall review the RMS Report and Impact Analysis at the next regularly scheduled meeting unless a special meeting is required due to the urgency of the RMGRR.
- (2) The quorum and voting requirements for TAC action are set forth in the Technical Advisory Committee Procedures. In considering action on an RMS Report, the TAC shall:
  - (a) Approve the RMGRR as recommended in the RMS Report or as modified by TAC, if the RMGRR does not require an ERCOT project for implementation;
  - (b) Recommend approval of the RMGRR as recommended in the RMS Report or as modified by TAC, if the RMGRR requires an ERCOT project for implementation;
  - (c) Reject the RMGRR;
  - (d) Defer decision on the RMGRR;
  - (e) Remand the RMGRR to RMS with instructions; or
  - (f) Refer the RMGRR to another TAC subcommittee or a TAC working group or task force with instructions.
- (3) If a motion is made to approve or recommend approval of an RMGRR and that motion fails, the RMGRR shall be deemed rejected by TAC unless at the same meeting the TAC later votes to approve, recommend approval of, defer, remand, or refer the RMGRR. If a motion to approve or recommend approval of an RMGRR fails via e-mail vote according to the Technical Advisory Committee Procedures, the RMGRR shall be deemed rejected by TAC unless at the next regularly scheduled TAC meeting or in a subsequent e-mail vote prior to such meeting, TAC votes to approve, recommend approval of, defer, remand, or refer the RMGRR. The rejected RMGRR shall be subject to appeal pursuant to Section 3.4, Appeal of Action.
- (4) If the RMGRR is approved or recommended for approval 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) Within three Business Days after TAC takes action on an RMGRR, ERCOT shall issue a TAC Report reflecting the TAC action and post it on the ERCOT website. The TAC 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, if applicable;
  - (d) Proposed effective date of the RMGRR;
  - (e) Priority and rank for any RMGRR requiring an ERCOT project for implementation;
  - (f) RMS action; and
  - (g) TAC action.
- (6) The TAC chair 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 an ERCOT project for implementation and make recommendations to the ERCOT Board. If TAC recommends approval of an RMGRR that requires an ERCOT project that can be funded in the current ERCOT budget cycle based upon its priority and ranking, ERCOT shall forward the TAC Report to the ERCOT Board for consideration pursuant to Section 3.3.10, ERCOT Board Vote.
- (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 Report and post the report on the ERCOT website within three Business Days of the TAC recommendation concerning the RMGRR. ERCOT shall assign the RMGRR recommended for approval 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 Report would be provided at the next ERCOT Board meeting following such budget approval for the ERCOT Board's consideration under Section 3.3.10.
- (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 otherwise set forth in Section 3.4.

**3.3.10 ERCOT Board Vote**

- (1) For any RMGRR requiring an ERCOT project for implementation, upon issuance of a TAC Report and Impact Analysis to the ERCOT Board, the ERCOT Board shall review the TAC Report and the Impact Analysis at the following month's regularly scheduled meeting. For Urgent RMGRRs, the ERCOT Board shall review the TAC Report and Impact Analysis at the next regularly scheduled meeting, unless a special meeting is required due to the urgency of the RMGRR.
- (2) The quorum and voting requirements for ERCOT Board action are set forth in the ERCOT Bylaws. In considering action on a TAC Report, the ERCOT Board shall:
  - (a) Approve the RMGRR as recommended in the TAC Report or as modified by the ERCOT Board;
  - (b) Reject the RMGRR;
  - (c) Defer decision on the RMGRR; or
  - (d) Remand the RMGRR to TAC with instructions.
- (3) If a motion is made to approve an RMGRR 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, defer, or remand the RMGRR. The rejected RMGRR shall be subject to appeal pursuant to Section 3.4, Appeal of Action.
- (4) If the RMGRR is approved by the ERCOT Board, as recommended by TAC or as modified by the ERCOT Board, the ERCOT Board shall review and approve or modify the proposed effective date.
- (5) Within three Business Days after the ERCOT Board takes action on an RMGRR, ERCOT shall issue a Board Report reflecting the ERCOT Board action and post it on the ERCOT website.

**3.4 Appeal of Action**

- (1) Any ERCOT Member, Market Participant, Public Utility Commission of Texas (PUCT) Staff, Texas Regional Entity (TRE) Staff or ERCOT may appeal a Retail Market Subcommittee (RMS) action to reject, defer, or refer a Retail Market Guide Revision Request (RMGRR) directly to the Technical Advisory Committee (TAC). Such appeal to the TAC must be submitted electronically to ERCOT by completing the designated form provided on the ERCOT website within ten Business Days after the date of the relevant RMS appealable event. ERCOT shall reject appeals made after that time. ERCOT shall post appeals on the ERCOT website within three Business Days of receiving the appeal. If the appeal is submitted to ERCOT at least 11 days before the next regularly scheduled TAC meeting, ERCOT shall place the appeal on the agenda of the next regularly scheduled TAC meeting. If the appeal is submitted to ERCOT less than 11 days before

the next regularly scheduled TAC meeting, TAC will hear the appeal at the next subsequent 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 ERCOT Member, Market Participant, PUCT Staff, TRE Staff or ERCOT may appeal a TAC action to approve, reject, defer, remand, or refer an RMGRR directly to the ERCOT Board. Appeals to the ERCOT Board shall be processed in accordance with the ERCOT Board Policies and Procedures. 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 ERCOT Member, Market Participant, PUCT Staff or TRE Staff may appeal any decision of the ERCOT Board regarding an RMGRR to the PUCT or other Governmental Authority. Such appeal to the PUCT or other Governmental Authority must be made within any deadline prescribed by the PUCT or other Governmental Authority, but in any event no later than 35 days of the date of the relevant ERCOT Board appealable event. Notice of any appeal to the PUCT or other Governmental Authority must be provided, at the time of the appeal, to ERCOT's General Counsel. If the PUCT or other Governmental Authority rules on the RMGRR, ERCOT shall post the ruling on the ERCOT website.

### **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 timeline ("Urgent") 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) The Retail Market Subcommittee (RMS) may designate the RMGRR for Urgent consideration if a submitter requests Urgent status or upon a valid motion in a regularly scheduled meeting of the RMS. Criteria for designating an RMGRR as Urgent are that the RMGRR:
  - (a) Requires immediate attention due to:
    - (i) Serious concerns about ERCOT System reliability or market operations under the unmodified language; or
    - (ii) The crucial nature of Settlement activity conducted pursuant to any Settlement formula; and
  - (b) 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) ERCOT shall prepare an Impact Analysis for Urgent RMGRRs as soon as practicable.

- (4) RMS shall consider the Urgent RMGRR and Impact Analysis, if available, at the next regularly scheduled RMS meeting, or at a special meeting called by the RMS chair to consider the Urgent RMGRR.
- (5) If the submitter desires to further expedite the processing of the RMGRR, a request for voting via e-mail may be submitted to the RMS chair. The RMS chair may grant the request for voting via e-mail. Such voting will be conducted pursuant to the Technical Advisory Committee Procedures. If RMS recommends approval of an Urgent RMGRR, ERCOT shall issue an RMS Report reflecting the RMS action and post it on the ERCOT website 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) Any revisions to this RMG that take effect pursuant to an Urgent request shall be subject to an Impact Analysis pursuant to Section 3.3.6, Retail Market Subcommittee Review of Impact Analysis, and TAC consideration pursuant to Section 3.3.9, Technical Advisory Committee Vote.

### **3.6 Retail Market Guide Revision Implementation**

- (1) For Retail Market Guide Revision Requests (RMGRRs) that do not require an ERCOT project for implementation, upon Technical Advisory Committee (TAC) approval, ERCOT shall implement RMGRRs on the first day of the month following TAC approval, unless otherwise provided in the TAC Report for the approved RMGRR.
- (2) For RMGRRs that require an ERCOT project for implementation, upon ERCOT Board approval, ERCOT shall implement RMGRRs on the first day of the month following ERCOT Board approval, unless otherwise provided in the Board Report for the approved RMGRR.
- (3) For RMGRRs for which an effective date other than the first day of the month following TAC or ERCOT Board approval, as applicable, is provided, the ERCOT Impact Analysis shall provide an estimated implementation date and ERCOT shall provide Notice as soon as practicable, but no later than ten days prior to the actual implementation, unless a different Notice period is required in the TAC or Board Report, as applicable, for the approved RMGRR.
- (4) 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.



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ERCOT Retail Market Guide  
Section 4: Public Utility Commission of Texas Requirements

**July 1, 2010**

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4 Public Utility Commission of Texas ..... 4-1

#### **4 PUBLIC UTILITY COMMISSION OF TEXAS**

- (1) The Public Utility Commission of Texas (PUCT) Substantive Rules establish the rights and responsibilities of the electric utilities, including Transmission and/or Distribution Service Providers (TDSPs), non-utility wholesale and retail Market Participants and electric Customers. The PUCT has also approved tariffs for competitive retail access in Municipally Owned Utility (MOU) and Electric Cooperative (EC) service areas. The complete text of the PUCT Substantive Rules is located on the PUCT website.
  
- (2) 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.

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

**December 1, 2010**

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## **5 ELECTRIC RELIABILITY COUNCIL OF TEXAS**

The functions of ERCOT are outlined in Protocol Section 1.2, Functions of ERCOT. In addition, Customer registration information can be found in Protocol Section 15, Customer Registration. As part of the certification process, Competitive Retailers (CRs) and Transmission and/or Distribution Service Providers (TDSPs) must complete ERCOT registration requirements as described in Protocol Section 16, Registration and Qualification of Market Participants.

### **5.1 ERCOT Retail Client Services**

- (1) ERCOT's Retail Client Services department is available to assist with Market Participant questions and to provide education as needed on retail issues. Retail Account Managers act as the liaison between ERCOT and Market Participants and are the primary contact for all retail market operation questions and issues. ERCOT Retail Account Managers fulfill this role by performing the following functions:
  - (a) Maintaining business relationships with all Market Participants to facilitate or assist with issue resolution;
  - (b) Analyzing issues as they arise to provide support to Market Participants in their business functions with ERCOT and also between other Market Participants;
  - (c) Advocating Market Participant issues within ERCOT and providing communication back to the Market Participant;
  - (d) Addressing the needs of Market Participants during the certification process;
  - (e) Participating in the stakeholder process to communicate and resolve issues; and
  - (f) Monitoring the rules of the market to assist Market Participants with any questions/issues they may have.
- (2) In addition, the Retail Client Services department also provides Market Participants assistance with the following:
  - (a) ERCOT Protocols;
  - (b) Market Participant registration information;
  - (c) ERCOT tools such as the ERCOT website, Texas Market Link (TML), MarkeTrak, and the Retail Testing website;
  - (d) Reports and extracts; and
  - (e) Training needs.
- (3) Existing Market Participants should contact their assigned Retail Account Manager. Potential Market Participants may call the general ERCOT Client Services phone number

at (512) 248-3900 or contact ERCOT Client Services via e-mail at ClientServices@ercot.com.

## **5.2 ERCOT Help Desk**

For technical questions about automated communications, connectivity issues such as North American Energy Standards Board (NAESB) or Texas Market Link (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.

## **5.3 Ad Hoc Retail Market Conference Calls**

Market Participants 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. Market Participants interested in receiving ad hoc retail market conference call announcements should subscribe to the RMC distribution list located on the ERCOT website. Topics of discussion for the ad hoc call may include but are not limited to:

- (a) Transaction and system processing updates (i.e., processing statistics; slow, late or large volumes);
- (b) Outage Notifications (i.e., planned/unplanned system Outages or maintenance updates); and
- (c) Any issues affecting more than one Competitive Retailer (CR) or the entire market (i.e., re-bill efforts, synchronization).

## **5.4 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 on the ERCOT website. 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 the Public Utility Commission of Texas (PUCT) Substantive Rules, the ERCOT Protocols and PUCT Substantive Rules take precedence over the service availability document.

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ERCOT Retail Market Guide  
Section 6: Retail Market Subcommittee Working Groups

**July 1, 2010**

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6 Retail Market Subcommittee Working Groups..... 6-1

## **6 RETAIL MARKET SUBCOMMITTEE WORKING GROUPS**

- (1) The Retail Market Subcommittee (RMS) has several working groups that are in place to assist RMS with discharging its responsibilities as set forth in the Retail Market Subcommittee Procedures. The working groups are comprised of Market Participants and provide Market Participants with the opportunity to participate in developing business rules and processes that govern the Texas retail electric market.
- (2) The RMS may also form ad hoc working groups and direct these working groups and make assignments as necessary.
- (3) Additional information about the working groups is available on the ERCOT website and in the Retail Market Subcommittee Procedures.

ERCOT Retail Market Guide  
Section 7: Market Processes

**April 1, 2011**

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## 7 MARKET PROCESSES

### 7.1 Overview and Assumptions

- (1) Market Processes provides the processes and guidelines for Market Participants operating in the Texas retail market to resolve issues allowing the market to function in a timely and efficient manner.
- (2) In the ERCOT Region, there are Transmission and/or Distribution Service Providers (TDSPs) which are categorized as Municipally Owned Utilities (MOUs) and/or Electric Cooperatives. General information for the TDSPs can be found in Table 1, TDSP General Information.
- (3) Differences between the MOU and/or EC TDSP market and the Investor Owned Utility (IOU) TDSP market are identified in their respective tariffs.
- (4) For current tariff information, refer to P.U.C. SUBST. R. 25, Appendix V, Tariff for Competitive Retailer Access, and subsection (d)(1), Figure: 16 of P.U.C. SUBST. R. 25.214, Terms and Conditions of Retail Delivery Service Provided by Investor Owned Transmission and Distribution Utilities, on the Public Utility Commission of Texas (PUCT) website or the TDSP website.
- (5) For an overview on the use of the Texas Standard Electronic Transactions (TX SETs), refer to Protocol Section 19, Texas Standard Electronic Transaction.
- (6) The Texas Standard Electronic Transaction Implementation Guides located on the ERCOT website provide implementation guidelines for the transactions used in the Texas retail market as well as specific details contained within the transactions.

**Table 1. TDSP General Information**

<b>TDSP</b>	<b>General Call Center</b>	<b>Website</b>
<b>AEP</b>	877-373-4858	<a href="http://www.aeptexas.com">http://www.aeptexas.com</a>
<b>CNP</b>	713-207-2222 (local – Houston) 800-332-7143 (toll free)	<a href="http://www.centerpointenergy.com/home">http://www.centerpointenergy.com/home</a>
<b>Oncor</b>	888-313-6934 (CRs only, not for end-use Customer)	<a href="http://www.Oncor.com">www.Oncor.com</a>
<b>SULP</b>	956-687-5600 After-hours: 956-668-9551	<a href="http://www.sharylandutilities.com/">http://www.sharylandutilities.com/</a>
<b>TNMP</b>	888-866-7456	<a href="http://www.tnmp.com">www.tnmp.com</a>

## 7.2 Market Synchronization

- (1) Market synchronization issues may arise as Market Participants submit and process transactions. ERCOT has developed MarkeTrak, an issue management tool, 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 with a digital certificate. MarkeTrak is the primary tool used by Competitive Retailers (CRs), Transmission and/or Distribution Service Providers (TDSPs) and ERCOT to resolve retail market transaction issues, request manual service order cancellations, request ERCOT assistance with inadvertent Electric Service Identifier (ESI ID) transfers, and file Data Extract Variance (DEV) issues.
- (2) All retail market transaction issues and DEV issues must be logged in the MarkeTrak system before they can be worked by ERCOT.
- (3) Market Participants should refer to the MarkeTrak Users Guide located on the ERCOT website for guidelines on issue submission, timing, and issue resolution.

### 7.2.1 *Transmission and/or Distribution Service Provider 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.

### 7.2.2 *MarkeTrak Day-to-Day*

- (1) Market Participants use the MarkeTrak Day-to-Day workflow to report an issue to ERCOT and/or the TDSP. By selecting the *Day-to-Day* MarkeTrak issue 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 such as a point-to-point transaction between a Market Participant and the TDSP.
- (2) Some examples of issues that should be filed to ERCOT through MarkeTrak are Service Order Request cancellations, Retail Electric Provider (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.

### 7.2.3 *MarkeTrak Data Extract Variance Processes*

- (1) In order to ensure that ERCOT systems and Market Participant systems are synchronized, 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 DEV process will assist in the expedited resolution of ESI ID level data variances between ERCOT and Market Participant systems. Load Serving Entities (LSEs), Meter Reading Entities (MREs), and TDSPs will receive these incremental changes from ERCOT on a daily basis. See the MarkeTrak Users Guide for business rules concerning filing DEV issues in MarkeTrak.

- (2) If a DEV issue, submitted according to the 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.

### **7.3 Inadvertent Gain Process**

This Section provides guidelines for ensuring that inadvertently gained Electric Service Identifiers (ESI IDs) are returned to the losing 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, Unauthorized Change of Retail Electric Provider.

#### **7.3.1 Escalation Process**

Each Market Participant is responsible for compliance with the Public Utility Commission of Texas (PUCT) rules and the procedures and timelines in this Section 7.3, Inadvertent Gain Process. Each Market Participant shall provide escalation contacts consistent with the process outlined in the MarkeTrak User Guide, Section 1.7.1, Rolodex, to assist in resolution of delays and disputes regarding the procedures. MarkeTrak will send escalation e-mails to the escalation contact(s) whenever an issue has remained untouched for seven days.

#### **7.3.2 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).

##### **7.3.2.1 Buyer's Remorse**

###### **7.3.2.1.1 Rescission Period**

- (1) 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 services provided until they switch to another CR. The right of rescission is not applicable to a Customer requesting a move-in.

- (2) CRs that receive a notice of rescission in a timely manner shall first attempt to cancel the order in question by submitting the appropriate Texas Standard Electronic Transaction (TX SET). 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 follow the process outlined in the MarkeTrak Users Guide.

#### **7.3.2.1.2 Breach of Contract**

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

#### **7.3.2.2 Prevention of Inadvertent Gains**

- (1) 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 Retail Business Days prior to a move-in or a switch), the gaining CR shall file a *Cancel with Approval* MarkeTrak issue in order to prevent the need for an *Inadvertent Gain* 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.
- (2) 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 and/or Distribution Service Providers (TDSPs) shall attempt to cancel the pending transaction even if the transaction currently falls within the evaluation period.
- (3) Cancellation of a pending switch/move-in that will cause an inadvertent gain shall be addressed as follows:
  - (a) Before the evaluation period of a transaction, if the 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.
  - (b) 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.

### 7.3.2.3 Resolution of Inadvertent Gains

- (1) If the CR determines that the gain was unauthorized or in error, the CR shall promptly submit an Inadvertent Gain issue in MarkeTrak. (See Section 7.2, Market Synchronization, for more information about MarkeTrak).
- (2) The gaining CR shall not submit a Move-Out Request or a Disconnect for Non-Pay (DNP) on an ESI ID that was gained in error.

#### 7.3.2.3.1 Reinstatement Date

- (1) The losing CR and the gaining CR may work together to negotiate a reinstatement date for the losing CR to take the ESI ID back and note that date in the MarkeTrak issue. However, the losing CR shall ultimately determine the reinstatement date and note that date in the MarkeTrak issue.
- (2) The reinstatement date shall be one 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 losing CR for which the losing CR had authorization to serve the Customer but no greater than 15 days past the date the MarkeTrak issue was logged.
- (3) The losing CR shall submit an 814\_16, Move-In Request, that is backdated by at least one Business Day. The losing CR shall submit a move-in no later than 17 days after the MarkeTrak issue was logged, utilizing the reported reinstatement date.
- (4) If the reinstatement process is delayed, the reinstatement date shall not be extended beyond 15 days from the date the MarkeTrak issue was logged.
- (5) 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 Users Guide.
- (6) MarkeTrak issues where all parties have agreed and the MarkeTrak issue remains untouched for 20 days from the date the TDSP selects *Ready to Receive* will be auto closed in the system.

### 7.3.2.4 Valid Reject Reasons

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

- (a) The losing CR has already regained the ESI ID or a third CR has completed a transaction since the inadvertent gain period.
- (b) Upon investigation of the inadvertent gain issue, the gaining CR determines that they possess an authorized enrollment.

- (c) The Customer has entered into multiple, valid contracts regarding the same ESI ID(s).

### **7.3.2.5 Invalid Reject Reasons**

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

- (a) Inability to contact the Customer;
- (b) Past due balances or credit history;
- (c) Customer having moved out from the Premise in question;
- (d) Contract expiration or termination;
- (e) Pending TX SETs where notification has not been sent; or
- (f) Losing CR serving the Premise under a Continuous Service Agreement (CSA).

### **7.3.2.6 Out-of-Sync Condition**

If the losing CR does not have a record of ever serving the ESI ID involved in the inadvertent gain MarkeTrak issue, the losing CR shall update the MarkeTrak issue with this information. ERCOT and the losing CR will work together to resolve the out-of-sync issue. TDSP corrections necessary to reestablish the ESI ID with the losing CR may result in a TDSP invoice for a minimum of a one 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 ERCOT website.

### **7.3.2.7 No Losing Competitive Retailer of Record**

If it is determined that the losing CR is no longer active in the market, then it is recommended that the gaining CR make 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.

### **7.3.3 Charges Associated with Returning the Customer**

- (1) The affected CRs and 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 the losing 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 the CR bills the Customer.

- (2) If the gaining CR sends a move-out (in violation of Section 7.3.2.3, Resolution of Inadvertent Gains), and in order for the TDSP to reverse fees associated with the inadvertent gain, the losing CR should file an *Inadvertent Gain* MarkeTrak issue prior to submitting a priority move-in. Within the comments field of the MarkeTrak issue, the losing 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 the losing CR.
- (3) The losing CR shall not submit a priority 814\_16, Move-In Request, if the Customer currently has power.

### **7.3.4 Transmission and/or Distribution Service Provider Inadvertent Gain Process**

As soon as a TDSP is assigned the *Inadvertent Gain* issue, the TDSP shall acknowledge receipt of the issue by placing comments in the MarkeTrak issue.

#### **7.3.4.1 Inadvertent Dates Greater than 150 Days**

If the inadvertent gain occurred more than 150 days in the past, the TDSP shall not issue billing corrections more than 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 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 the move-in with a new date.

#### **7.3.4.2 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 1400 (at least two Retail Business Days in advance for switches and move-ins) prior to the date the inadvertent transaction is scheduled to complete and advise of MarkeTrak number. Requests received after this time period will be attempted but will not be guaranteed. Otherwise, the inadvertent gain will follow the standard inadvertent process.*

#### **7.3.4.3 Third Party has Gained Electric Service Identifier (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 Retail Business Days prior to the scheduled switch, move-in, move-out or Mass Transition drop), the TDSPs shall respond with the following statement:

*Gaining CR is no longer the 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.*

#### **7.3.4.4 Transmission and/or Distribution Service Provider Billing**

- (1) 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 the losing 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-bypassable TDSP charges to the CRs in accordance with the periods that they each served the Customer.
- (2) Any disputes regarding TDSP charges shall be filed in accordance with Section 7.8, Formal Invoice Dispute Process for Competitive Retailers and Transmission and/or Distribution Service Providers.

#### **7.3.5 Customer Rescission after Completion of a Switch Transaction**

- (1) 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 7.3.2.2, 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.
- (2) 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 Users Guide, including specific pre-determined comments stating “Customer rescission-please process this issue per P.U.C. SUBST. R. 25.474(n).”
- (3) The losing CR shall reinstate the Customer for one day beyond the original date of loss. The option to reinstate the Customer for any date beyond that as outlined in Section 7.3.2.3.1, Reinstatement Date, is not applicable for rescissions received within the timelines specified in this scenario.

- (4) 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.
- (5) 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 losing 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 losing CR for the same transaction, the gaining CR shall mark the *Inadvertent Losing* issue unexecutable and proceed with submission of the *Inadvertent Gaining* issue.

### 7.3.5.1 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 requesting, and the TDSP completing, a move-out transaction for the inadvertently gained ESI ID.

## 7.4 Safety-Nets

### 7.4.1 Purpose of Safety-Net Move-In

- (1) Section 7.4, Safety Nets, explains the steps that Market Participants 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.
- (2) The safety-net process is a manual work-around process used by Market Participants in the Texas retail market when market transactions are delayed, not functional, or for priority orders that require immediate notification to the Transmission and/or Distribution Service Provider (TDSP) to ensure that a Customer receives electric service in a timely manner.
- (3) 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.

### 7.4.1.1 Appropriate Use of the Safety-Net Process

- (1) 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, 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, Market Participants 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.

- (2) The REP may submit a safety-net spreadsheet for:
- (a) Standard move-ins: Move-ins submitted at least two Business Days prior to the requested date, if the 814\_05, 814\_17, or 814\_28 transaction has not been received by the day prior to the requested date; or
  - (b) Priority move-ins: The Customer has requested same or next day service and is willing to pay applicable fees.

#### 7.4.1.2 Standard Move-In Safety-Net Spreadsheet Format and Timing

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 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 email using the "Subject Line" included in Table 2, Required Subject Lines for Standard Safety-Net Move-In E-mails.

**Table 2. 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

#### 7.4.1.3 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 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 email using the “Subject Line” included in Table 3, 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 814\_16 transaction submitted by the Competitive Retailer (CR).

**Table 3. 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

#### 7.4.1.4 Standard and Priority Safety Net Procedures

- (1) To initiate a safety-net move-in, the REP attaches to the email the Microsoft Excel® spreadsheet in the market-approved spreadsheet format. See Table 4, Safety-Net Spreadsheet Format or Section 9, Appendices, Appendix A1, Competitive Retailer Safety Net Request.

**Table 4. 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.

Column	Field Name	Note	Data Attributes	
			Type	Length (Min. / 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 by attaching to the email the Microsoft Excel© spreadsheet in the market-approved spreadsheet format, (see Table 5, TDSP Move-In Safety Net Response Format, or Section 9, Appendices, Appendix A2, Transmission and/or Distribution Service Provider Move-in Safety Net Response) of all safety-net Move-In Requests that could not be completed as noted in Table 6, TDSP Return Codes. The TDSP shall respond within one Business Day of receipt of the request. For completed unexecutable only, the TDSP shall respond within two Business Days of receipt of the request.

**Table 5. TDSP Move-In Safety Net Response Format**

Column	Field Name
(1)	ESI ID
(2)	MVI Street Address
(3)	MVI Apartment Number
(4)	MVI ZIP
(5)	MVI City
(6)	CR Name (D/B/A preferred)
(7)	MVI Request Date
(8)	BGN02 (optional)
(9)	TDU Return Code
(10)	Completed Unexecutable Description (optional)

**Table 6. 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 the following sections:
    - (i) Paragraph (1) of Section 7.4.1.2, Standard Move-In Safety-Net Spreadsheet Format and Timing; or
    - (ii) Paragraph (1) of Section 7.4.1.3, Priority Move-In Safety-Net Spreadsheet Format and Timing; and
    - (iii) Paragraph (1) of Section 7.4.1.4, 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, Move-In Request, to ERCOT and note the BGN02 on the safety-net spreadsheet that is sent to the TDSP.
- (a) If the 814\_16 transaction 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 shall submit a MarkeTrak issue after not receiving a response from ERCOT on the 814\_16 transaction within 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 email must be in the format outlined in Sections 7.4.1.2 and 7.4.1.3.

## 7.5 Standard Historical Usage Request

With the Customer's authorization, Competitive Retailers (CRs) may request the Customer's historical data when they are not the Retail Electric Provider (REP) of record. This data includes the most recent 12 months of usage and is provided by the Transmission and/or 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 the TDSP to provide the proprietary information. The TDSP will provide the requested data electronically in an Microsoft Excel© format within three Business Days of receipt of a valid Letter of Authorization for the Request of Historical Usage Information.

### 7.5.1 Overview of the Letter of Authorization for Historical Usage

- (1) To obtain historical usage for an Electric Service Identifier (ESI ID), the requestor must submit the Letter of Authorization for the Request of Historical Usage Information Form to the appropriate TDSP (see Section 9, Appendices, Appendix B1, Standard Letter of Authorization for the Request of Historical Usage Information Form (English), and Appendix B2, Formulario Carta De Autorización Para Solicitar Información De Consumo Histórico (Letter of Authorization for the Request of Historical Usage Information Form – Spanish)). The Customer may allow the use of the same Letter of Authorization for the Request of Historical Usage Information Form by designating a specific expiration date on the form or designating the form as unlimited. The Customer must provide an expiration date or designate the form as unlimited.
- (2) In lieu of the Customer completing and signing the Letter of Authorization for the Request of Historical Usage Information Form, the requestor may complete the Letter of Authorization for the Request of Historical Usage Information Form 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. The requestor must check the box under the "Authorization" section of the Letter of Authorization for the Request of Historical Usage Information Form, complete the Customer identification information, and send the completed form to the TDSP.
- (3) 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 Section 9, Appendices, Appendix B4, Transmission and/or Distribution Service Provider Response to Request for Historical Usage.
- (4) When requesting historical usage from multiple TDSPs on the same Letter of Authorization for the Request of Historical Usage Information Form, the requestor must complete Section 9, Appendices, Appendix B3, Requesting Historical Usage from Multiple Transmission and/or Distribution Service Providers, and attach it to the Letter of Authorization for the Request of Historical Usage Information Form when requesting

historical usage from multiple TDSPs on the same LOA. If forms are submitted via e-mail, the requestor shall place the Customer's name first when naming attachments, e.g., CustomerABC.xls, CustomerABC.pdf, CustomerABC-AEP.xls. The TDSP will reject submitted ESI IDs that are not located within the TDSP's territory.

## **7.6 Disconnect and Reconnect for Non-Payment Process**

- (1) The Disconnect for Non-Pay (DNP) and Reconnect for Non-Pay (RNP) process provides Market Participants 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.
- (2) The purpose of the DNP and RNP process is to provide Market Participants with a document that defines market processing for DNP and RNP requests and for managing emergency and contingency procedures in support of DNP and RNP activities.
- (3) Prior to issuing the 650\_01, Service Order Request, for DNP or RNP, certified Competitive Retailers (CRs) shall have successfully completed market certification testing and have received disconnection authority from the Public Utility Commission of Texas (PUCT).
- (4) Transactions will be completed according to the Texas Standard Electronic Transaction (TX SET) guidelines.

### **7.6.1 Assumptions and Market Processes**

#### **7.6.1.1 Disconnect for Non-Payment Forecasts**

On a weekly basis, CRs shall provide the Transmission and/or Distribution Service Providers (TDSPs) an estimate of the number of DNP requests that will be issued the next week. CRs shall complete Section 9, Appendices, Appendix C1, Weekly Retail Electric Provider Disconnect for Non-Payment Forecast Report, reporting the total number of DNPs expected for the next week with the report showing the range of DNPs for each day of that week. The Weekly Retail Electric Provider Disconnect for Non-Payment Forecast Report is e-mailed to the designated TDSP contact listed in Table 7, TDSP Contact for Disconnect Forecast, on the Tuesday of the week before that week's activity would begin. The data submitted by CRs in the Weekly Retail Electric Provider Disconnect for Non-Payment Forecast Report is confidential and intended to be used as an estimate only that will allow TDSPs to plan and allocate resources in order to complete the DNP requests and subsequent RNP requests.

**Table 7. TDSP Contact for Disconnect Forecast**

<b>TDSP</b>	<b>Disconnect Forecast</b>
<b>AEP</b>	crrtx@aep.com

<b>TDSP</b>	<b>Disconnect Forecast</b>
<b>CNP</b>	hou-cso.operations@centerpointenergy.com
<b>Oncor</b>	utiltxn@Oncor.com
<b>SULP</b>	egarcia@sharylandutilities.com
<b>TNMP</b>	dnprelations@tnmp.com

### **7.6.1.2 Safety Nets**

- (1) DNP request 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 DNP or Move-Out Request issued from the previous CR will be rejected upon receipt as not CR of Record by Oncor.
- (2) 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 DNP or Move-Out Requests received by the TDSP will be completed.
- (3) Upon notification from the CR of an inadvertent DNP 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.
- (4) 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 RNP as a result of an inadvertent DNP or move-out will be billed to the CR of Record. The CR of Record may use the dispute process to remedy resulting billing issues.

## **7.6.2 Process Overview**

### **7.6.2.1 Disconnect for Non-Payment Process Overview**

- (1) The CR credit cycle reveals the Electric Service Identifier (ESI ID) population subject to DNP.
- (2) The CR performs internal validations prior to issuing DNP request.
- (3) The CR submits the 650\_01, Service Order Request, for DNP. For Premises without remote disconnect/reconnect capability, DNP requests must be received no later than two Retail Business Days prior to the requested completion date. Orders not received with at

least two Retail Business Days advance notice will be scheduled for two Retail Business Days from date of receipt.

- (4) In the event that the TDSP does not complete the DNP service request within three Retail Business Days of the original requested date (and was provided two 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.
  - (a) 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.
- (5) For Premises with remote disconnect/reconnect capability, DNP requests shall be completed within two hours of receipt of the request on the requested date provided that the TDSP receives the request no later than 1400 on the requested date and provided that the requested date is a Retail Business Day.
- (6) The TDSP receives the 650\_01 transaction and performs validations.
  - (a) For orders that do not pass validations, a 650\_02, Service Order Complete, Complete Unexecutable, Reject Response, or Notification of Permit Required, reject response with the appropriate code and reason is sent to the CR.
  - (b) If the transaction does not pass American National Standards Institute (ANSI) validation, the 997, Functional Acknowledgement, reject is sent.
- (7) Upon successfully validating the 650\_01 transaction, the TDSP creates an internal service order which is then routed and scheduled geographically to the appropriate Field Service Representative (FSR).
  - (a) For orders that cannot be completed, the 650\_02 transaction is Completed Unexecutable, with the appropriate code and reason sent to the CR.
  - (b) For orders that cannot be completed on the requested date due to time constraints in the field, the TDSP will pend the order and schedule on the next available Field Operational Day.
- (8) TDSP completes the order and responds to CR with a 650\_02 transaction within one Retail Business Day of completion.

#### **7.6.2.2 Reconnect for Non-Payment Process Overview**

- (1) The CR confirms Customer's satisfactory correction of reasons for DNP.
- (2) The CR performs internal validations prior to issuing RNP request.

- (3) The CR submits the 650\_01, Service Order Request, for RNP according to timelines outlined in subsection (m)(1) through (7) of P.U.C. SUBST. R. 25.483, Disconnection of Service.
- (4) For Premises without remote disconnect/reconnect capability, standard RNP requests received by the TDSP by 1400 on a Retail Business Day shall be reconnected that day.
- (5) For Premises with remote disconnect/reconnect capability, standard RNP requests received by the TDSP from 0800 to 1900 shall be reconnected within two hours of receipt of the RNP request.
- (6) The TDSP receives the 650\_01 transaction and performs validations.
  - (a) For orders that do not pass validations, the 650\_02, Service Order Complete, Complete Unexecutable, Reject Response, or Notification of Permit Required, reject response with the appropriate code and reason sent to the CR.
  - (b) If the transaction does not pass ANSI validation, the 997, Functional Acknowledgement, reject is sent.
- (7) Upon successfully validating the 650\_01 transaction, the TDSP creates an internal service order which is then geographically routed and scheduled to the appropriate FSR, if applicable, to be completed according within the timelines outlined in P.U.C. SUBST. R. 25.483(m)(1) through (7) and within the requirements defined by the TDSP tariff.
  - (a) For orders that cannot be completed, the 650\_02 transaction, Completed Unexecutable with the appropriate code and reason sent to the CR.
- (8) The TDSP completes the order and responds to the CR with a 650\_02 transaction within one 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 650\_01, Service Order Request:

- (a) For Premises without remote disconnect/reconnect capability, for DNP requests to be scheduled, transactions must be received by all TDSPs by 1700 two Retail Business Days prior to requested work date. DNP requests received after 1700 or on a day that is not a Retail Business Day, shall be considered received on the next Retail Business Day. For DNP requests received less than two Retail Business Days prior to the requested date, the DNP will be scheduled for the Retail Business Day that is two Retail Business Days after the DNP request is received. Backdated orders will be rejected. For Premises with remote disconnect/reconnect capability, for DNP requests to be scheduled, transactions



must be received by all TDSPs by 1400 on the requested completion date, provided that the requested date is a Retail Business Day. Requests received after 1400 on the requested date, or on a day that is not a Retail Business Day, shall be completed no later than 0800 on the next Retail Business Day.

- (b) For Premises without remote disconnect/reconnect capability, 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 subsection (m)(1) through (7) of P.U.C. SUBST. R. 25.483, Disconnection of Service.
  - (i) Per TDSP tariff - standard RNP requests received by TDSP no later than 1400 on a Retail Business Day shall be completed that day. Standard RNP requests received by TDSP prior to 1700 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 RNP requests received after 1700 or on a day that is not a Retail Business Day shall be considered received on the next Retail Business Day.
  - (ii) Same day RNP requests received by TDSP prior to 1700 on a Retail Business Day shall be reconnected no later than the close of TDSP Field Operational Day.
  - (iii) For Premises with remote disconnect/reconnect capability, standard RNP requests received by the TDSP from 0800 to 1900 on a Retail Business Day shall be reconnected within two hours of receipt of the request.

### 7.6.3.2 Transaction Validations

- (1) CRs shall perform the following validations prior to initiating the 650\_01, Service Order Request, for DNP:
  - (a) Verify that they are still the CR of Record.
  - (b) Verify that a Pending DNP request or Move-Out Request does not exist to prevent the 650\_01 transaction from being rejected.
  - (c) Verify the critical care status of residential Customers prior to issuing the initial DNP request.
- (2) TDSPs may perform the following validations upon receipt of the 650\_01 transaction for a DNP or RNP request:
  - (a) Verify that the CR is certified for DNP transaction processing;
  - (b) Verify that the CR submitting the DNP request is the CR of Record;
  - (c) Perform ANSI validations on the 650\_01 transaction;

- (d) Perform TX SET validations on 650\_01 transaction;
- (e) Review meter indicators for ESI ID for critical Load, critical care, and master metered Premise;
- (f) Verify if a DNP request is a duplicate;
- (g) Verify if a RNP request is a duplicate;
- (h) Verify if a move-in or switch has been scheduled on the requested date;
- (i) Verify if a move-out has been received from the requesting CR;
- (j) Determine if the requesting CR has indicated that DNPs not completed within three 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.
- (k) Identify if RNP request is a same day reconnect.
- (l) Verify if a RNP request has been previously received for DNP request within the past 24 hours for CNP and within the past one hour for Oncor.
- (m) Upon receipt of a RNP request, verify that the original DNP request was not rejected (CNP and Oncor only).
- (n) Verify if a weather moratorium is in effect.

### 7.6.3.3 Competing Orders

All TDSP's will Complete Unexecutable a DNP request when the requested date is greater than or equal to the scheduled date of a Pending switch or move-in. When a DNP request is received with a requested date that is prior to the scheduled date of a switch or move-in, the DNP requests will be scheduled. DNP requests carried over to the next Retail Business Day may not be worked due to competing orders and will be Completed Unexecutable. See Table 3, Competing Orders – Move-In, below.

- (a) 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.
  - (i) A move-in submitted on a Premise that has been de-energized for non-payment may still require a permit for completion in certain TDSP's service territories.

- (ii) 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.
- (b) 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. See Table 8, Competing Orders – Self-selected Switch, below.

**Table 8. Competing Orders - Self-selected Switch**

<b>TDSP</b>	<b>TDSP Action</b>	<b>TDSP Fee</b>
<b>AEP</b>	Re-energize Premise	Reconnect charge
<b>CNP</b>	Re-energize Premise	Reconnect charge
<b>NEC</b>	Re-energize Premise	Reconnect charge
<b>Oncor</b>	Re-energize Premise	Reconnect charge
<b>SULP</b>	Re-energize Premise	Reconnect charge
<b>TNMP</b>	Re-energize Premise	Out-of-cycle meter reading charge

- (c) 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 actions identified in Table 9, Competing Orders – Standard Switch, below.
- (i) In order to re-energize the Premise, TNMP and CNP 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 and CNP would expect the CR to follow the emergency procedures outlined in Section 7.6.5.1, Emergency Reconnects.

**Table 9. Competing Orders - Standard Switch**

<b>TDSP</b>	<b>TDSP Action</b>	<b>Energize</b>	<b>TDSP Fee</b>
<b>AEP</b>	Perform meter read	Yes	Reconnect fee
<b>CNP</b>	Perform meter read	No	None
<b>NEC</b>	Perform meter read	Yes	Reconnect fee

<b>Oncor</b>	Perform meter read	Yes	Reconnect fee
<b>SULP</b>	Perform meter read	Yes	Reconnect fee
<b>TNMP</b>	Perform meter read	No	None

#### 7.6.3.4 Reconnect for Non-Pay and Disconnect for Non-Pay Processing Order

- (1) If an RNP request is received before a DNP request, AEP and TNMP will reject the RNP request immediately using TX SET code “RWD”. Any DNP requests received after an associated RNP request has been rejected will be worked by the TDSP. If an inadvertent DNP occurs, then emergency RNP provisions will be followed.
- (2) If an RNP is received without a corresponding DNP request, the RNP request is currently held for 24 hours at CNP and one hour for Oncor, to wait for the corresponding 650\_01, Service Order Request for DNP. If no corresponding 650\_01 transaction is received within the timeframes described above, the RNP request will be rejected using the TX SET reject code of “RWD.”
  - (a) If the corresponding DNP request arrives during that period, the transactions/requests cancel each other out and produce a 650\_02, Service Order Complete, Complete Unexecutable response with TX SET code “V005” reason codes and “RC Received Before DNP Worked” reason description.
  - (b) If an inadvertent DNP occurs, then emergency RNP provisions will be followed.

#### 7.6.3.5 Disconnection at Premium Disconnect Location

- (1) When necessary, service orders without a premium disconnect location indicator (i.e. pole, substation) that cannot be completed by the FSR at the meter may be referred within one 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, Service Order Request, with the code “ROL – Roll to Other Location.”
- (2) Orders that are re-routed for disconnect at premium disconnect location will be completed within three 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.
- (3) 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 the 650\_01 transaction with the code “MTR – Meter Disconnect Only.”

- (4) When service is disconnected at a premium disconnect location, the TDSP will notify the CR on the 650\_02 transaction, with a code of “O” for “Disconnected Other than at Meter.” For any DNP request performed, the appropriate TDSP tariff charges will be applied. When service cannot be disconnected at a premium disconnect location, the TDSP will respond with a 650\_02 transaction Complete Unexecutable and the CR will need to contact the TDSP for special consideration.

#### 7.6.3.6 Completed Unexecutable and Rejected Orders

- (1) The TDSP will issue the 650\_02, Service Order Complete, within one Retail Business Day for the rejected 650\_01, Service Order Request, or service orders that cannot be completed in the field.
- (2) No charges will be applied to service orders that are rejected.
- (3) Service requests that are dispatched and then Complete Unexecutable will be subject to charges as indicated in Table 10, Application of TDSP Dispatch Fees.

**Table 10. Application of TDSP Dispatch Fees**

<b>TDSP</b>	<b>Application of Disconnect or Reconnect Fees</b>
<b>AEP</b>	Dispatched order fee.
<b>CNP</b>	Apply fee based on initiating service order.
<b>Oncor</b>	Apply fee based on initiating service order
<b>SULP</b>	Apply fee based on initiating service order
<b>TNMP</b>	Apply fee based on initiating service order

#### 7.6.3.7 Same Day/Priority or Weekend Non Holiday Reconnect or Disconnect for Non-Payment

- (1) When issuing a 650\_01, Service Order Request, for RNP or DNP requests, CRs may request priority service where available. The TX SET codes indicated in Table 11, TDSP Priority Codes, should be used to indicate priority status on RNP and DNP requests.
- (2) Any service order received by a TDSP with a priority code other than those listed below in Table 11 will be processed as a standard service order, except Oncor who will reject the standard RNP request if the priority code is anything other than 01.
- (3) If a CR issues a same day RNP request after issuing a standard RNP request and the standard RNP request has not been completed, the same day request may be rejected as a duplicate request by the TDSP.

- (4) The prepay priority code, listed in Table 11 shall only be used by the REP of record for ESI IDs identified by the TDSP as having a 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.
- (5) The prepay priority code shall not be used by the REP of record 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 territory. All reconnects after DNP service orders with prepay priority shall be worked within one hour of the reconnect service order being received by the TDSP from the REP of record. TDSPs will make reasonable efforts to perform manual processing of the prepay reconnects when necessary to overcome communication interference to the Advanced Meter. Applicable TDSP discretionary service charges may apply for service orders completed manually.
- (6) 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\_filedate.txt." The txt file list should have two fields of information per row: REP DUNS and ESI ID.

**Table 11. TDSP Priority Codes**

<b>TDSP</b>	<b>Same Day Reconnect</b>	<b>Weekend Non Holiday Reconnect</b>	<b>Holiday Reconnect</b>	<b>Prepay for ESI IDs With Provisioned AMS Meters</b>  <b>Note: Used for Both RNPs and DNPs</b>
<b>AEP</b>	99		99	05
<b>CNP</b>	02		02	05
<b>Oncor</b>	02	03	04	05
<b>SULP</b>	TBD		TBD	05
<b>TNMP</b>	02		02	05

### 7.6.3.8 Service Order Cancellations

- (1) In order to cancel a DNP request that has not been completed, a CR must send a 650\_01, Service Order Request, RNP request referencing the BGN02 of the DNP request to the TDSP.
- (2) With the exception of AEP and TNMP, no charges will apply if the reconnect is received prior to completing the disconnect request.
- (3) For orders that are already in a scheduled status after 0800 on the date of request the charges indicated in Table 12, Service Order Cancellation for DNP, below will apply.

**Table 12. Service Order Cancellations for DNP**

<b>TDSP</b>	<b>TDSP Fee to Cancel DNP Request</b>	<b>TDSP Fee to Cancel DNP Request in Scheduled Status After 0800 on Date of Request</b>
<b>AEP</b>	Charges apply.	Dispatched order fee
<b>CNP</b>	No charges applied for reconnect request received prior to completing DNP.	No charges
<b>Oncor</b>	No charges applied for reconnect request received prior to completing DNP.	No charges
<b>SULP</b>	No charges applied for reconnect request received prior to completing DNP.	No charges
<b>TNMP</b>	Charges apply.	No charges

- (2) 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 transaction “C” Cancel, referencing the BGN02 of the initiating 650\_01 transaction requesting reconnection. For orders that are already in a scheduled status after 0800 on the date of request, the charges indicated in Table 13, Service Order Cancellation for RNP, below will apply.

**Table 13. Service Order Cancellation for RNP**

<b>TDSP</b>	<b>TDSP Fee to Cancel RNP Request in Scheduled Status After 0800 on Date of Request</b>
<b>AEP</b>	Dispatched order fee.

<b>TDSP</b>	<b>TDSP Fee to Cancel RNP Request in Scheduled Status After 0800 on Date of Request</b>
<b>CNP</b>	No charges.
<b>Oncor</b>	No charges.
<b>SULP</b>	No charges.
<b>TNMP</b>	No charges.

### 7.6.3.9 Response Transactions

- (1) The 650\_02, Service Order Complete, transaction will be issued by TDSPs for every 650\_01, Service Order Request, within one Retail Business Day upon the following:
  - (a) Rejection of service order after performing initial transaction validations;
  - (b) Completion of the requested field service activity;
  - (c) Determination by FSR of unexecutable status; and
  - (d) Cancellations of a requested RNP request.
- (2) Due to the exceptional conditions outlined in Sections 7.6.5, Exceptions, and 7.6.2.1, Disconnect for Non-Payment Process Overview, CRs will need to follow up with the TDSP if the 650\_02 transaction for a DNP request is not received within five Retail Business Days following the requested disconnect date. Inquiries should be submitted via e-mail as indicated in Table 14, TDSP Contact for 650\_02s not Received, below:

**Table 14. TDSP Contact for 650\_02s not Received**

<b>TDSP</b>	<b>E-mail Address</b>
<b>AEP</b>	crrtx@aep.com
<b>CNP</b>	EMO-ServiceOrders@centerpointenergy.com
<b>Oncor</b>	utiltxn@Oncor.com
<b>SULP</b>	egarcia@sharylandutilities.com
<b>TNMP</b>	MPRelations@tnmp.com



## 7.6.4 *Field Service Activities*

### 7.6.4.1 **Disconnection Service Orders**

- (1) This Section outlines the availability of FSRs for performing DNP requests. DNP orders requesting dates beyond the next Field Operational Day will be scheduled and performed by TDSP according to availability of FSRs on the requested date. Field activities for DNP request begin at 0800 for all TDSPs.
- (2) Per Customer Protection rule, subsection (f) of P.U.C. SUBST. R. 25.483, Disconnection of Service, only CRs that have payment centers open and personnel available to submit RNP requests on Saturdays or holidays can request DNP of a Customer's electric service the day before a weekend. DNP request the day prior to a holiday is prohibited by subsection (e) of P.U.C. SUBST. R. 25.29, Disconnection of Service.
- (3) A DNP request shall be completed within three Retail Business Days of the requested date provided that the TDSP has received the 650\_01, Service Order Request, at least two 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.
- (4) In the event that the TDSP does not complete the DNP request in three 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.
  - (a) The TDSP will appropriately schedule Friday overdue DNPs (TDSP received DNP request with two Retail Business Days notice but DNP has not been completed in three Retail Business Days) based upon the YES or NO authorization in the transaction.
  - (b) 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.
  - (c) 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**

Table 15, CR Timelines for Submitting RNP Requests, below outlines the availability of FSR for performing RNP requests that require field service personnel:

- (a) Standard RNP requests:

- (i) Per P.U.C. SUBST. R. 25.483, Disconnection of Service, 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) through (7), must be completed by the TDSP no later than the next Field Operational Day.
- (ii) Per the TDSP Tariff:
  - (A) Standard reconnect requests received by TDSP no later than 1400 on a Retail Business Day shall be completed that day.
  - (B) Standard reconnect requests received by TDSP prior to 1700 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.
  - (C) Standard reconnection requests received after 1700 or on a day that is not a Retail Business Day shall be considered received on the next Retail Business Day.
- (iii) All reconnect requests will be completed no later than 48 hours from the time the order is received.

**Table 15. CR Timelines for Submitting RNP Requests**

<b>Payments Made on a Retail Business Day:</b>	<b>RNP Request Must be Sent by:</b>
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.
<b>Payments made on a weekend day or holiday</b>	1400 the first Retail Business Day after the payment is made.

- (b) After-hours Reconnects:
  - (i) Standard reconnection requests received after 1700 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.
  - (ii) Oncor will accept after hour priority reconnect request via the spreadsheet in Section 9, Appendices, Appendix C2, Emergency Reconnect Request Data Requirements.

### 7.6.4.3 Requirements for Reconnecting Service

- (1) Safe access to the meter or premium disconnect location is required to restore service. Evidence of tampering or damage to the meter equipment may result in delayed or Completed Unexecutable order when reconnecting service.
- (2) TDSPs will not require inside or outside breakers to be off when performing a RNP 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.

### 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 DNP request may be executed by the FSR. Under this circumstance, the FSR may inform the Customer that they need to contact their REP to arrange for reconnection of their service.

### 7.6.4.5 Premise Access Issues

- (1) 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 DNP request at a premium disconnect 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 DNP or RNP, 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.
- (2) If access is denied, no additional denials of access fees are applied to a DNP or RNP request. These types of orders will be Completed Unexecutable with applicable TDSP tariff charges. See Table 16, TDSP Fee for Access Denied, below.

**Table 16. TDSP Fee for Access Denied**

TDSP	TDSP Fee
<b>AEP</b>	Dispatched order fee.
<b>CNP</b>	Disconnect or reconnect charge based on initiating service order request with the exception of cancels prior to field completion.
<b>Oncor</b>	Disconnect or reconnect charge based on initiating service order request with the exception of cancels prior to field completion.

<b>TDSP</b>	<b>TDSP Fee</b>
<b>SULP</b>	Disconnect or reconnect charge based on initiating service order request with the exception of cancels prior to field completion.
<b>TNMP</b>	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

- (1) 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 DNPs, both residential and commercial.
- (2) 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.
- (3) TDSPs will offer door hangers as indicated in Table 17, Door Hanger Use by TDSP, below for Premises without remote disconnect/reconnect capability.

**Table 17. Door Hanger Use by TDSP**

<b>TDSP</b>	<b>Disconnect</b>	<b>Reconnect</b>
<b>AEP</b>	No	Yes, when unable to access meter.
<b>CNP</b>	Yes, for completed service order.	Yes, when unable to access meter.
<b>Oncor</b>	No	Yes, when unable to access meter.
<b>SULP</b>	Yes	Yes
<b>TNMP</b>	No	No

#### 7.6.4.7 Meter Seal Policies for Disconnection at Premises Without Remote Disconnect/Reconnect Capability

Table 18, Meter Seal Use by TDSP, below identifies the distinguishing characteristics used by TDSPs at a Customer Premise meter to indicate the service is off for non-pay (e.g. meter seal, sticker, etc.).

**Table 18. Meter Seal Use by TDSP**

<b>TDSP</b>	<b>Indicator for No Service Due to a DNP</b>
<b>AEP</b>	The meter seal is red and is the same seal used for completed Move-Out Request. In addition, a tan colored attachment to meter seal advises Customer to contact CR to have service restored.
<b>CNP</b>	The meter seal is red, and this is also the same seal used for completed Move-Out request.
<b>Oncor</b>	The meter seal is orange.
<b>SULP</b>	The meter seal is red.
<b>TNMP</b>	The meter seal is gold.

#### 7.6.5 Exceptions

##### 7.6.5.1 Emergency Reconnects

- (1) There may be times when a Customer has been disconnected for non-payment in error. For completed DNP request 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 RNP and identify the reason for the emergency Service Request. Life threatening situations should be immediately reported to the TDSP 24 hours per day, seven days per week contacts in order to expedite the reconnection request. See Table 19, Contact Information for Emergency RNP Requests, below.
- (2) After initiating an emergency RNP request with the TDSP's 24 hours per day, seven days per week support center, CRs shall submit a follow up e-mail, attaching the completed Section 9, Appendices, Appendix C2, Emergency Reconnect Request Data Requirements, spreadsheet to the e-mail address indicated in Table 19 below.

**Table 19. Contact Information for Emergency RNP Requests**

<b>TDSP</b>	<b>Contact Information for Emergency RNP Requests</b>	<b>TDSP E-mail for Appendix C2, Emergency Reconnect Request Data Requirements, Spreadsheet</b>	<b>Require 650_01, Service Order Request, to Reconnect</b>
<b>AEP</b>	Contact CR Relations team for process.	crctx@aep.com	No
<b>CNP</b>	Contact 24 hours per day seven days per week support center (713) 207-2222 or (800) 332-7143	0800 to 1700 Monday – Friday - CustomerCare-CR@CenterPointEnergy.com After 1700 until 1900 Monday - Friday also on Saturday 0800 to 1600, e-mail to CNP.Priority@CenterPointEnergy.com	Yes, 650_01 RC001 or RC003 (If the CR cannot issue RC003 reconnects and is not the CR initiating the original DNP request, the 650_01 transaction will not be required.)
<b>Oncor</b>	Contact 24 hours per day seven days per week support center (888) 313-6934	0800 to 1700 Retail Business Day utiltxn@Oncor.com For days and times other than stated above: contactcenter@Oncor.com	No
<b>SULP</b>	Contact 24 hours per day seven days per week support center (956) 668-9551	egarcia@su-power.com	No
<b>TNMP</b>	Contact 24 hours per day seven days per week support center (888) 866-7456	SafetyNet@tnmp.com	No

### 7.6.5.2 Critical Load/Critical Care

- (1) 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 TX SET reason code.
- (2) CRs requesting DNP 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. To complete DNP requests for critical care Premises, CRs will need to coordinate with their REP relations managers at each TDSP, with the exception of Oncor. For Oncor, CRs should contact Business Support at (888) 313-6934, or contactcenter@Oncor.com.

### 7.6.5.3 Field Service Exceptions

- (1) 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 DNP request will be Completed Unexecutable with the appropriate TX SET reason code.
- (2) 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.*

- (3) Per subsection (g)(3) of P.U.C. SUBST. R. 25.483, Disconnection of Service:

*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.*

- (4) CRs requesting DNP for these previously unexecuted DNP requests must 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. To complete subsequent DNP requests, REPs will coordinate with their REP relations managers at each TDSP, with the exception of Oncor. For Oncor, CRs should contact Business Support at (888) 313-6934, or contactcenter@Oncor.com.

### 7.6.5.4 Weather Moratoriums

- (1) All Market Participants should monitor [www.nws.noaa.gov](http://www.nws.noaa.gov) for the conditions in Table 20, Extreme Weather Emergency Due to Cold, and Table 21, Extreme Weather Emergency Due to Heat, that would establish a weather moratorium. A 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 P.U.C. SUBST. R. 25.483, Disconnection of Service:

#### Table 20. 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 21. Extreme Weather Emergency Due to Heat**

The National Weather Service issues a heat Advisory for that day or on any one of the preceding two 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

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



- (a) In the event that one of the above conditions exists in a TDSP's service territory, that TDSP shall notify the PUCT as described in P.U.C. SUBST. R. 25.483(i)(2) to [outage@puc.state.tx.us](mailto: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 indicated in Table 22, TDSP Disconnection Activity During Weather Moratorium.
- (b) CRs will need to provide their company contact to their REP relations manager at each TDSP in order to receive the weather moratorium notifications.
- (c) For the duration of the weather moratorium, CRs shall not issue DNP request for affected areas. New DNP requests issued for Premises in counties or service territories that are experiencing a weather moratorium will be processed as indicated in Table 22 below.
- (d) DNP requests that are Pending completion by the TDSP at the time a weather moratorium is established will be Completed Unexecutable.
- (e) DNP requests that are Completed Unexecutable by a TDSP during a weather moratorium and still qualify for DNP should be resubmitted by the CR at the time the weather moratorium is lifted.
- (3) Reconnection Activity During Extreme Weather
- (a) All types of RNP request will be processed by all TDSPs during a weather moratorium.
- (b) RNP requests received for Pending DNP requests will be processed in order to cancel the DNP request. RNP requests received for DNP completed prior to an extreme weather event are processed and dispatched according to applicable timeframes during a weather moratorium.

**Table 22. TDSP Disconnection Activity During Weather Moratorium**

<b>TDSP</b>	<b>TDSP E-Mail Notification - Disconnection Activity Suspended Due to Weather Moratorium</b>	<b>TDSP Processing of New DNP Requests Issued During Weather Moratorium</b>
<b>AEP</b>	By county.	Completed Unexecutable
<b>CNP</b>	By service territory.	Will either be rejected or Completed Unexecutable
<b>Oncor</b>	By county.	Completed Unexecutable
<b>SULP</b>	By service territory.	Completed Unexecutable
<b>TNMP</b>	By service territory.	Completed Unexecutable

### 7.6.5.5 Force Majeure Event

- (1) During both weather moratoriums and Force Majeure Events, DNP request that are Pending/scheduled to be worked during the event are Completed Unexecutable throughout the term of the event. During a Force Majeure Event, RNP request will remain Pending until management has acknowledged and communicated to the market that routine operations have been re-established.
- (2) 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 resubmit DNP requests for ESI IDs that still qualify for disconnection.

### 7.6.5.6 Master Metered Premises

- (1) Prior to issuing a DNP request for a master metered Premise, a CR must fulfill the tenant notification requirements outlined in subsection (j) of P.U.C. SUBST. R. 25.483, Disconnection of Service. If applicable, a CR may request that a TDSP's FSR post the required notices at a master metered property for a designated fee listed in Table 23, DNP Request for Mastered Metered Premises and Unmetered Services below.
- (2) DNP requests received for a master metered Premise will be Completed Unexecutable by the TDSP. The requesting CR will need to contact the TDSP to coordinate the DNP request of the master metered Premise as indicated in Table 23, DNP/RNP Request for Mastered Metered Premises and Unmetered Services, below.

**Table 23. DNP/RNP Request for Mastered Metered Premises and Unmetered Services**

<b>TDSP</b>	<b>Notice Posting Availability for Master Metered Premises</b>	<b>Fee (if applicable)</b>	<b>TDSP Contact to Coordinate DNP Request</b>
<b>AEP</b>	Available	\$42	CR Relations
<b>CNP</b>	Unavailable		hou-cso.operations@centerpointenergy.com
<b>Oncor</b>	Unavailable		Business Support at (888) 313-6934 or contactcenter@Oncor.com
<b>SULP</b>	Not applicable (no mastered meter Premises)		
<b>TNMP</b>	Available	\$35	REP Relations manager

### 7.6.5.7 Unmetered Service

- (1) 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 DNP and RNP requests.
- (2) For all other unmetered services, DNP requests will be Completed Unexecutable upon receipt or following field investigation. The requesting CR will need to contact the TDSP to coordinate the DNP request as indicated in Table 23, DNP/RNP Request for Mastered Metered Premises and Unmetered Services, above.

### 7.6.5.8 Multiple Metered Service (not Master Metered)

- (1) For TDSPs that have multiple meters associated with an ESI ID, any 650\_01 Service Order Request, whether for DNP or RNP, will be executed for all meters associated with that Premise. CRs will need to submit the 650\_01 transactions for multiple meters as indicated in Table 24, Multiple Metered Service, below.
- (2) If the DNP or RNP request cannot be completed for any meter associated with the ESI ID, the TDSP will notify the CR via the 650\_02, Service Order Complete.
- (3) Discretionary charges for DNP or RNP requests are billed by the TDSP as follows:

**Table 24. Multiple Metered Service**

<b>TDSP</b>	<b>650_01 Submittal by CR for Multiple Meters</b>	<b>TDSP Discretionary Charges Billed</b>
<b>AEP</b>	One service charge per ESI ID	One service charge per ESI ID
<b>CNP</b>	One service charge per ESI ID	One service charge per ESI ID
<b>Oncor</b>	One service charge per ESI ID	One service charge per ESI ID
<b>SULP</b>	Not applicable	Not applicable
<b>TNMP</b>	Not applicable	Not applicable

### 7.6.5.9 Customer Threatens Transmission and/or Distribution Service Provider Field Service Representative

If threatened by the Customer, the FSR will not disconnect service. However, the FSR may refer the DNP request to another group specialized in disconnecting service at the pole, transformer (overhead and pad mount), 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 DNP request and may request that meter enclosure be relocated to an 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 DNP or RNP service as outlined below:

**Table 25. SAC04 Codes-Discretionary Charges**

Charge Description	AEP	CNP	Oncor	SULP	TNMP
<b>Disconnection</b>					
Standard Disconnect at Meter	SER024	SER024	SER024	SER024	SER024
Standard Disconnect at Pole	SER026	SER024	SER026	SER024	SER026
<b>Reconnection</b>					
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	SER032
Same Day Reconnect at Pole	SER029	SER035	SER035	SER029	SER035
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	SER033
Weekend Reconnect at Pole	SER035	SER035	SER035	N/A	SER036
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	N/A

<b>Charge Description</b>	<b>AEP</b>	<b>CNP</b>	<b>Oncor</b>	<b>SULP</b>	<b>TNMP</b>
After-hours Reconnect at Pole	N/A	N/A	SER035	N/A	N/A
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
<b>Denial of Access to Meter</b>					
For Disconnection Orders	SER133	SER026	SER026	SER133	SER133
For Reconnections Orders	SER133	SER026	SER035	SER133	SER133
<b>Order Cancellation Fees</b>					
Disconnect Administration Fee	N/A	N/A	N/A	N/A	N/A
Dispatched Order Fee	SER132	N/A	N/A	SER070	N/A
<b>Tampering Charges</b>					
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
<b>Connection Fees</b>					
Connect Fee/Connection Charge at Meter/Account Activation Fee	SER019	SER019	SER030	SER019	SER014

### 7.6.6.2 Other Charges

- (1) 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:
  - (a) Customer Charge: All TDSPs use BAS001
  - (b) Customer Metering Charge: All TDSPs use BAS003
- (2) In order to avoid ongoing liability, a CR must submit a Move-Out Request to terminate service no earlier than five days after receipt of a 650\_02, Service Order Complete, indicating successful completion of the DNP request. CRs receiving reliable information indicating a Premise is vacant may submit move-out earlier. Upon completion of the move-out order, the TDSP will discontinue billing the CR for non-usage based charges as outlined above. 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 the DNP request 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 *Emergency System Outage*

In the event of a system outage during Business Hours and a CR cannot submit EDI transactions, CRs should contact their REP relations manager at the TDSP(s) to arrange for a workaround in order to submit RNP requests. For system outages that occur outside Business Hours, CRs should contact the TDSPs as indicated in Table 26, Emergency System Outage After-hours Contact, below.

**Table 26. Emergency System Outage After-hours Contact**

<b>TDSP</b>	<b>Emergency System Outage After-hours Contact</b>
<b>AEP</b>	crrtx@aep.com
<b>CNP</b>	800-332-7143
<b>Oncor</b>	888-313-6934 or contactcenter@Oncor.com
<b>SULP</b>	956-668-9551
<b>TNMP</b>	888-866-7456

### 7.7 **Transaction Timing Matrix**

- (1) Section 9, Appendices, Appendix D1, Transaction Timing Matrix, is an abbreviated version of Protocol Section 15, Customer Registration, used to assist Market Participants in identifying the flow and timing of transactions between Market Participants and ERCOT.
- (2) Appendix D1, Transaction Timing Matrix, is based on the following assumptions:
  - (a) Business Hours are from 0800 – 1700, Monday through 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; 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); and
- (e) Protocol sections referenced in Appendix D1, Transaction Timing Matrix, may not be the only Protocol sections relevant to the transactions.

### **7.7.1 824, Application Advices, Reject Transaction Timing**

824, Application Advices, used to reject the 867\_03, Monthly Usage, 810\_02, TDSP to CR Invoice, and 810\_03, CR to MOU/EC TDSP Invoice, contain codes that establish the timeframe for when the 824 transaction to reject can be sent by the Competitive Retailer (CR). A CR has up to five Retail Business Days from the receipt of the meter usage and invoice to send an 824 transaction to reject. Specific timings based on the 824 transaction reject codes used are provided in Section 9, Appendices, Appendix D2, 824 Application Advices, Reject Transaction Timing.

## **7.8 Formal Invoice Dispute Process for Competitive Retailers and Transmission and/or Distribution Service Providers**

### **7.8.1 Overview of Formal Invoice Dispute Process**

Transmission and/or Distribution Service Providers (TDSPs) and Competitive Retailers (CRs) shall use good-faith and commercially reasonable efforts to informally resolve invoice disputes. All disputes shall be conducted pursuant to the procedures outlined in the TDSP tariffs, unless otherwise provided for in the TDSP tariff. For current tariff information, refer to P.U.C. SUBST. R. 25, Appendix V, Tariff for Competitive Retailer Access, and subsection (d)(1), Figure: 16 of P.U.C. SUBST. R. 25.214, Terms and Conditions of Retail Delivery Service Provided by Investor Owned Transmission and Distribution Utilities.

### **7.8.2 Guidelines for Notification of Invoice Dispute**

- (1) To initiate the formal dispute process for a TDSP invoice, the CR must provide written notification to the TDSP by sending an e-mail to the designated e-mail address provided by the TDSP, with "Invoice Dispute" in the subject line. The CR shall complete the CR required fields in Section 9, Appendices, Appendix E, Formal Transmission and/or Distribution Service Provider Invoice Dispute Process Communication, and attach the spreadsheet to the e-mail.
- (2) Upon receipt of the e-mail notification of the disputed invoice, the TDSP will investigate and respond to the CR in writing within ten Business Days of transmittal of the notice. TDSP responses shall include a proposed resolution. If after the ten Business Days no

results have been reported, CRs may choose to escalate the dispute. Within 20 Business Days of the response, either party may initiate the dispute resolution procedures set forth in the TDSP tariffs.

- (3) Disputes received after 1700 by the TDSP will be deemed as received by the TDSP on the following Business Day.
- (4) Following the TDSP investigation and response to the CR dispute, the CR will have five Business Days to respond with an Accept or Deny on the spreadsheet. If the CR receives the TDSP's completed spreadsheet for its response after 1700, the five Business Day clock will begin the following Business Day. If after five Business Days the CR fails to respond with an Accept or Deny on the spreadsheet, the response will be deemed as an Accept.
- (5) Dispute Parameters:
  - (a) Amounts disputed following the stated due date of a valid invoice will have late payment charges applied.
  - (b) Reference the TDSP tariff for information regarding delinquent payments.
  - (c) A rejected invoice does not constitute a disputed invoice. CRs shall validate or reject the appropriate Texas Standard Electronic Transaction (TX SET) within five Business Days of receipt.
  - (d) 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:
    - (i) Outdoor Light Disputes;
    - (ii) Fee Disputes;
    - (iii) Tariff Review Disputes;
    - (iv) Usage Disputes; and
    - (v) Retail Electric Provider (REP) of Record Disputes.

## **7.9 No Retail Electric Provider of Record or Left in Hot**

- (1) Due to problems with delays in the processing and transmitting of move-in transactions quickly enough to prevent service interruptions of a Premise, the Public Utility Commission of Texas (PUCT) mandated that Transmission and/or Distribution Service Providers (TDSPs) provide continuous service to Electric Service Identifiers (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 Retail Electric Provider (REP) of record or no REP of record ESI IDs.

- (2) No REP of record refers to a Premise that is receiving electricity equal to or greater than 150 kWh in a single meter reading cycle, but for which no REP is designated as serving the Premise in the TDSP's system.
- (3) See P.U.C. SUBST. R. 25.489, Treatment of Premises with No Retail Electric Provider of Record.

## **7.10 Business Processes and Communications Related to Critical Care Customers**

This Section provides Market Participants with market approved guidelines for an interim solution to support provision of secondary contact information as allowed or prescribed in P.U.C. SUBST. R. 25.497, Critical Care Customers.

### ***7.10.1 Transmission and/or Distribution Service Provider Interim Solution for Communication of Critical Care Status and Secondary Contact Information***

- (1) The Transmission and/or Distribution Service Provider (TDSP) shall create and maintain a secure list, by Retail Electric Provider (REP) DUNS Number, of all residential Electric Service Identifiers (ESI IDs) designated as critical care or chronic condition. REPs shall access their lists via the TDSP's File Transfer Protocol (FTP) site or a secure web portal.
  - (a) The lists shall follow the naming convention listed below and use the template defined in Section 9, Appendices, Appendix K, Transmission and/or Distribution Service Provider Daily Critical Care and Secondary Contact List. Naming convention shall be:
 

*TDSPDUNS\_CRITICALCARE\_REPDUNS\_MMDDYYYY.txt*
  - (b) The list shall be updated and posted each Business Day no later than 0900.
  - (c) The list will be provided as a comma separated text file. TDSPs must ensure that no commas are present within each field to allow proper processing of the files.
- (2) Secondary contact information may not be available for ESI IDs with critical care designations with an effective date prior to January 1, 2011, as secondary contact information will be gathered upon renewal of the critical care designation as indicated by P.U.C. SUBST. R. 25.497, Critical Care Customers. As an interim solution, secondary contact information is considered an optional field.
  - (a) If the secondary contact fields are blank or have "NA," REPs should assume that the critical care designation has not yet been renewed for that ESI ID and therefore the information is not available.

***[RMGRR092: Replace Section 7.10, Business Processes and Communications Related to Critical Care Customers, above, with the following, and delete Section 7.10.1, Transmission and/or Distribution Service Provider Interim Solution for Communication of Critical Care Status and Secondary Contact Information, above, upon implementation of Texas Standard Electronic Transaction (TX SET) version 4.0.]***

## **7.10 Reserved**

## **7.11 Mass Transition**

- (1) 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 P.U.C. 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 Data Universal Numbering System Number (DUNS #) shall be transitioned to a POLR and/or designated CR. All Market Participants and ERCOT will work to honor the Customer's choice to switch to its chosen CR. ERCOT will be responsible for administering and managing Mass Transition events. Market Participants who wish to transfer Customers for reasons other than P.U.C. SUBST. R. 25.43 should contact ERCOT Client Relations and the Public Utility Commission of Texas (PUCT) Staff.
- (2) Per Protocol Section 16.1.1, Re-Registration as a Market Participant, any Market Participant that has had its Customers dropped via the Mass Transition process must provide to ERCOT a new DUNS # to re-register as a Market Participant with ERCOT.
- (3) For the purpose of a Mass Transition and the associated timeline, the following definitions shall apply:
  - (a) Notification Day - Market Mass Transition Notification by ERCOT (e-mail of conference call), also known as the pre-Launch stage in this process;
  - (b) Calendar Day 0 - Date that ERCOT sends 814\_03, Switch/Move-In CR Notification Request; and
  - (c) Mass Transition Date - Scheduled Meter Read Date (SMRD) will be equal to the current date plus two 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 Retailer's Electric Service Identifiers to Provider of Last Resort or Designated Competitive Retailer***

- (1) The processes described in this Section 7.11, Mass Transition, 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 Market Participants involved in the transition.
- (2) The parameters for the Mass Transition process will include:
  - (a) Identification of the Losing CR;
  - (b) Designation of the gaining POLR or designated CR(s);
  - (c) A list of the affected ESI IDs; and
  - (d) The date ERCOT provides in the 814\_03 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***

- (1) Upon confirmation that a Mass Transition event will occur, ERCOT shall notify the Market Participants who have responsibilities in completing the Mass Transition via e-mail by close of that Business Day (see Section 9, Appendices, Appendix F2, Timeline for Initiation of a Mass Transition on a Business Day not Prior to a Weekend or ERCOT Holiday). Notification shall include:
  - (a) Confirmation of a Mass Transition event;
  - (b) Market Participants (by DUNS #) who have responsibilities in completing the Mass Transition by processing Texas Standard Electronic Transaction (TX SET) transactions; and
  - (c) Logistical details for a Mass Transition project coordination meeting scheduled for the same or the next Business Day. If the e-mail notification is sent before 1500, the coordination meeting will be scheduled for the same Business Day for no later than 1800, accelerating the Mass Transition. There will be a minimum of two hours notice between the time ERCOT sends the e-mail and the meeting start time.

- (2) ERCOT will provide a market Notification to all affected Market Participants 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 Market Participant as designated on the Market Participant's ERCOT registration form, in addition to the Retail Market Subcommittee (RMS) e-mail ListServ Notification.
- (3) 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**

- (1) 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 Market Participants who may have responsibilities in completing the Mass Transition via e-mail by 1500 on that Business Day (see Section 9, Appendices, Appendix F3, Timeline for Initiation of a Mass Transition on a Day Before a Weekend or an ERCOT Holiday). Notification shall include:
  - (a) Notification that there is potential for a Mass Transition event;
  - (b) Market Participants (by DUNS #) who may have responsibilities in completing the Mass Transition by processing TX SET transactions; and
  - (c) Logistical details for a Mass Transition project coordination meeting scheduled for 1800 that same Business Day.
- (2) ERCOT will provide a market Notification to all affected Market Participants 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 Market Participant as designated on the Market Participant's ERCOT registration form.

#### **7.11.3 Handling Pending Texas Standard Electronic Transactions During a Mass Transition**

- (1) The following processes shall be utilized for handling Pending TX SET transactions as identified by ERCOT:
  - (a) Pending - A status other than "Complete" or "Cancelled." May also be referred to as "Open";
  - (b) 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;

- (c) 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;
  - (d) 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 transaction, Completed Unexecutable; and
  - (e) Cancel Pending - A status as ERCOT indicating ERCOT has sent a response driven cancel to the TDSP and has not received a response.
- (2) 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 the 814\_03, Switch/Move-In CR Notification Request, with the Mass Transition, indicator;
    - (ii) Move-in: Allowed to complete and ERCOT sends the 814\_03 transaction; or
    - (iii) Move-out to Continuous Service Agreement (CSA): Allowed to complete and ERCOT sends the 814\_03 transaction.
  - (b) Pending Transaction has a scheduled 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 transaction with the Mass Transition indicator 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; or
    - (iii) Move-out to CSA: Cancelled and ERCOT will not send an 814\_03 transaction. Submitting CR must resubmit move-out once ERCOT deletes CSA relationship with Losing CR. If the submitting CR is both the Losing CR and the CSA CR, ERCOT will delete the CSA relationship and cancel the move-out prior to sending the 814\_03 transaction with the Mass

Transition indicator to the POLR or designated CR. The POLR or designated CR will submit an 814\_24, Move-Out Request, based on an indicator in the 814\_14, Drop Enrollment Request.

- (3) For Pending Transactions that will result in an ESI ID being moved away from the Losing CR:
- (a) The 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 the 814\_03 transaction with the Mass Transition indicator;
    - (ii) Move-in: Allowed to complete and ERCOT will not send the 814\_03 transaction with the Mass Transition indicator; or
    - (iii) Move-out: Allowed to complete and ERCOT will not send the 814\_03 transaction with the Mass Transition indicator.
  - (b) The Pending Transaction has a scheduled 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 the 814\_03 transaction with the Mass Transition indicator;
    - (ii) Move in: Allowed to complete and ERCOT will send the 814\_03 transaction with the Mass Transition indicator; or
    - (iii) Move out: ERCOT will cancel the move-out and ERCOT will send the 814\_03 transaction with the Mass Transition indicator to the POLR or designated CR. ERCOT will send the POLR or designated CR 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 cannot 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 F5, ERCOT Template – Electric Service Identifiers for New Competitive Retailer 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

PUCT 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 TX SET transaction.

#### **7.11.5 Mass Transition Roles/Responsibilities**

##### **7.11.5.1 Mass Transition Roles/Responsibilities (Pre-Launch)**

This Section 7.11.5.1 outlines the various roles and responsibilities of parties involved in a Mass Transition event pre-Launch.

##### **7.11.5.1.1 Public Utility Commission of Texas**

- (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 days after ERCOT generates and the TDSP receives the 814\_03, Switch/Move-In CR Notification Request, with the Mass Transition indicator, for all affected ESI IDs;
- (6) Designate the ERCOT Mass Transition project lead;

- (7) Schedule and conduct initial and ongoing 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) on an ongoing basis after the Mass Transition has begun;
- (10) Identify Pending TX SET transactions associated with those affected ESI IDs;
- (11) Send a list of ESI IDs targeted to the POLRs or designated CRs where they are expected to become REP of record and to the affected TDSP(s) (see Section 9, Appendices, Appendix F4, ERCOT Template - Electric Service Identifiers for Gaining Competitive Retailer/Transmission and/or Distribution Service Provider Use);
- (12) Assign ESI IDs to the POLR(s) as directed by ALA and the POLR rule;
- (13) 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 Business Days after the Mass Transition Date (including in-review and scheduled). See Section 9, Appendices, Appendix F5, ERCOT Template – Electric Service Identifiers for New Competitive Retailer with Pending Transactions; and
- (14) Manage the POLR DUNS # list according to the registration by the POLR Entities.

#### **7.11.5.1.3      *Transmission and/or Distribution Service Provider***

- (1) Review and identify any exceptions from the list of ESI IDs provided by ERCOT;
- (2) Confirm accuracy of the current list of technical, business and regulatory contacts for Mass Transition event purposes. Contact information should be updated by completing Section 9, Appendices, Appendix F1, Retail Customer Transition Contact List, and providing the form to ERCOT;
- (3) Participate in initial and on-going Mass Transition project coordination meetings through completion of the transition event;
- (4) Remove switch hold on any ESI IDs that are part of the Mass Transition event; and
- (5) Provide CRs (both POLR and non-POLR) a list of ESI IDs that previously had a switch hold due to tampering in which the switch hold was removed as a result of the Mass Transition event.



#### **7.11.5.1.4      *Provider of Last Resort or Designated Competitive Retailer***

- (1) Confirm accuracy of the current list of technical, business and regulatory contacts for Mass Transition event purposes. Contact information should be updated by completing Section 9, Appendices, Appendix F1, Retail Customer Transition Contact List, and providing the form to ERCOT;
- (2) Participate in initial and on-going Mass Transition project coordination meetings through completion of the transition event; and
- (3) Confirm accuracy of DUNS # 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***

This Section 7.11.5.2 outlines the various roles and responsibilities of parties involved during a transition event.

##### **7.11.5.2.1      *Public Utility Commission of Texas***

- (1) Monitor the progress of involved parties in completing the Mass Transition in accordance with project completion schedules; and
- (2) Provide the list of ESI IDs served by the Losing CR 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, Switch/Move-In CR Notification Request, with the Mass Transition indicator for the affected ESI IDs;
- (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 transaction with the Mass Transition indicator) is forwarded to the TDSP with a requested effective date equal to the First Available Switch Date (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;
- (3) 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;
- (4) 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;

- (5) Work with Market Participants to resolve exceptions in the list of affected ESI IDs;
- (6) Maintain the official list of affected ESI IDs;
- (7) Work with involved parties to determine specific transactions and processes to be used to resolve exceptions with Pending Transactions;
- (8) Monitor the progress of the Mass Transition project and recommend conclusion of project based on successful completion of transition activities; and
- (9) Process final and initial meter reads from the TDSP and forward to the appropriate CR.

#### **7.11.5.2.3      *Transmission and/or Distribution Service Provider***

- (1) Participate in initial and periodic Mass Transition project coordination meetings through completion of the transition event;
- (2) Provide the SMRDs using the 814\_04, Switch/Move-In CR Notification Response, to ERCOT for each affected ESI ID;
- (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 transaction with the Mass Transition indicator. 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;
- (4) Provide final and initial meter reads to ERCOT using the appropriate TX SET transaction; and
- (5) Work with involved parties to determine the process to be used for exception ESI IDs.

#### **7.11.5.2.4      *Provider of Last Resort or Designated Competitive Retailer***

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

#### **7.11.5.2.5      *Competitive Retailers other than the Provider of Last Resort or Designated Competitive Retailer***

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 paragraph (2) of Section 7.11.5.2.1, Public Utility Commission of Texas.

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

This Section 7.11.5.3 outlines the various roles and responsibilities of parties involved in a Mass Transition event.

##### **7.11.5.3.1      *Public Utility Commission of Texas***

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      *Transmission and/or Distribution Service Provider***

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      *Provider of Last Resort and/or Designated Competitive Retailer***

- (1) Work with ERCOT to ensure all affected ESI IDs have been transitioned according to the official list of affected ESI IDs; and
- (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 Standard Electronic 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 Market Participants 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 Section 9, Appendices, Appendix F6, 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

- (1) 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:

<b>DUNS #</b>	CR DUNS #	Numeric (9 or 13)
<b>Reportname</b>	‘MTCRCustomerInformation’	Alphanumeric (23)
<b>datetime</b>	File transmission date/time stamp	Datetime format = ccyymmddhhmmss
<b>counter</b>	Counter with no specified value	Numeric (3)
<b>.csv</b>	Value of .csv mandatory in file name	

- (2) 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.
- (3) CRs will not split their Customer billing contact information for a single DUNS # into multiple files. An additional file for the same DUNS # will overwrite the previously sent file, resulting in only partial information being saved. For any DUNS #s that do not have active ESI IDs, the CR will not be required to submit a file for Customer billing contact information.
- (4) 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 Section 9,

Appendices, Appendix F6, 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***

- (1) 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.
- (2) 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 Section 9, Appendices, Appendix F6, Customer Billing Contact Information, for information on the formats for transmittal of 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 Competitive Retailer***

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 Transmission and/or Distribution Service Providers***

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 Section 9, Appendices, Appendix F6, Customer Billing Contact Information.

**7.11.6.3.2      *Sending Monthly Customer Billing Contact Information to Gaining Competitive Retailers and Transmission and/or Distribution Service Providers When No File is Received from the Exiting Competitive Retailer***

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 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 Public Utility Commission of Texas***

ERCOT will provide a confidential report to the PUCT by the first of each month; the following information will be included in the report:

- (a) Name and DUNS # of CRs who submitted monthly Customer billing contact information files:
  - (i) Date of file submission;
  - (ii) Number of rows provided by CR;
  - (iii) Count of ESI IDs ERCOT has as the active REP of record with CR;
  - (iv) Total number of mandatory fields expected from CR;
  - (v) Number of mandatory fields provided by CR;
  - (vi) Number of mandatory fields not provided by CR; and
- (b) Name and DUNS # 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 Electric Service Identifier***

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 Electric Service Identifier Transition Roles and Responsibilities***

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

- (a) PUCT
  - (i) 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);
  - (ii) Authorize ERCOT to initiate transition process in the market;
  - (iii) Designate lead individual from PUCT Staff to work with ERCOT project lead and Market Participant team for project coordination purposes;
  - (iv) Review and approve, as needed, market communications with Customers associated with transition of ESI IDs;
  - (v) Approve as necessary, exceptions to the application of the recommended market process for completing the transition; and
  - (vi) Monitor progress of involved parties in completing the transition in accordance with targeted schedules.
- (b) ERCOT
  - (i) Upon PUCT approval, initiate TDSP to TDSP ESI ID transition process;
  - (ii) Identify parties involved in the transition event, including losing TDSP, gaining TDSP, and all affected CRs, including CSA CRs and CRs with Pending Transactions;
  - (iii) Designate ERCOT transition project lead;
  - (iv) Schedule and facilitate initial and ongoing transition coordination meetings and conference calls through completion of the transition event;
  - (v) Coordinate market Notification of transition event to parties not involved in the transition;
  - (vi) Review initial list of transitioning ESI IDs for synchronization issues and work with Market Participants to resolve discrepancies and distribute to Market Participants;
  - (vii) Maintain and distribute the official list of transitioning ESI IDs;

- (viii) Work with the TDSPs and CRs to determine the specific transactions and processes to be used to resolve issues surrounding Pending Transactions; and
  - (ix) Continually monitor the progress of the transition project and recommend conclusion of project based upon successful completion of all transition activities.
- (c) TDSPs
- (i) Confirm accuracy of the current list of technical, business and regulatory contacts for transition event purposes. Contact information should be updated by completing Section 9, Appendices, Appendix F1, Retail Customer Transition Contact List, and providing the form to ERCOT;
  - (ii) Work with ERCOT and CRs to resolve all discrepancies of transitioning ESI IDs;
  - (iii) Provide SMRDs for transitioning of ESI IDs;
  - (iv) Work with involved parties to determine the specific transactions and process to be used to complete the transition plan;
  - (v) Provide Market Participants with a tentative schedule and ongoing progress reports throughout transition for completion of transition; and
  - (vi) Participate in initial and ongoing transition project coordination meetings and/or conference calls through completion of the transition event.
- (d) Designated CR, includes CSA CR
- (i) Confirm accuracy of the current list of technical, business and regulatory contacts for transition event purposes. Contact information should be updated by completing Section 9, Appendix F1;
  - (ii) Review initial list of transition ESI IDs for accuracy and work with TDSP and ERCOT to resolve discrepancies;
  - (iii) Notify Customers involved of transition;
  - (iv) Work with involved parties to resolve issues with Pending Transactions;
  - (v) Submit transactions associated with transitioning ESI IDs in accordance with ERCOT directives, Protocols, and PUCT regulatory requirements;
  - (vi) Participate in initial and ongoing transition project coordination meetings and/or conference calls through completion of the transition event; and



- (vii) If the gaining TDSP is a Municipally Owned Utility (MOU)/Electric Cooperative (EC) TDSP, designated CR must supply Customer billing information to the MOU/EC TDSP.
- (e) New CR
  - (i) Submit transactions associated with transitioning ESI IDs in accordance with ERCOT directives, Protocols, and PUCT regulatory requirements; and
  - (ii) 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. 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 Staff, ERCOT and Market Participants involved in the transition;
  - (b) The parameters for the Mass Transition process will include:
    - (i) Identification of the losing TDSP;
    - (ii) Designation of the gaining TDSP;
    - (iii) A list of the affected ESI IDs;
    - (iv) Identification of all of the affected CRs (Current, CSA, and pending New CR);
    - (v) Assessment of wholesale market impacts; and
    - (vi) Effective Date(s) of the transition.
  - (c) 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 SMRD.
- (2) Launch
  - (a) After the PUCT has approved the transition of ESI IDs, ERCOT will issue periodic Notifications to the affected CRs:
    - (i) Indicating that they are affected by an approved TDSP territory transition;

- (ii) Stating that they are certified according to ERCOT processes to serve in the gaining TDSP territory;
  - (iii) Indicating that the gaining TDSP may have additional requirements before the CR can continue to serve the Load in the gaining TDSP's certified territory;
  - (iv) Describing what transactions are required; and
  - (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 Transactions; and
  - (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. The subsequent dates will be a part of the PUCT final approval;
  - (d) When applicable, the 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; and
    - (ii) The 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 it 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 it 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; and
- (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 Electric Service Identifier Transition Detailed Process Steps***

Any partial or full TDSP transition of ESI IDs that occurs shall follow current processing at ERCOT.

- (a) PUCT notification and notice of intent to CRs;
- (b) ERCOT receives updated CR listing from losing TDSP;
- (c) ERCOT forwards list of ESI IDs to gaining TDSP and all applicable CRs;
- (d) The losing TDSP will complete all Pending orders that are effective before the Effective Date of the transition with an 867\_03, Monthly Usage, final or 867\_04, Initial Meter Read Notification, also including 650\_01, Service Order Requests, if applicable;

- (e) The gaining TDSP or MOU/EC receives historical data from losing TDSP for profile validation. The gaining TDSP must successfully complete the Load Profile Type validation process with ERCOT no later than 90 days prior to the actual transfer of the ESI IDs. The losing TDSP shall provide historical usage information to the gaining TDSP in a manner that helps to expedite this process;
- (f) 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 its 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, Create/Maintain/Retire ESI ID Request. 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;
- (g) ERCOT notifies REP of record of certification status in the gaining TDSP's territory;
- (h) The gaining TDSP (if previously a MOU/EC) will provide information to the Steady State Working Group (SSWG) 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;
- (i) The gaining TDSP sends transition plan to losing TDSP and ERCOT. This transition plan will include:
  - (i) Losing TDSP's ESI IDs;
  - (ii) Gaining TDSPs new ESI IDs;
  - (iii) Eligibility date;
  - (iv) REP of record;
  - (v) Service Address;
  - (vi) Membership number (if available); and
  - (vii) Transition date for each ESI ID affected;

- (j) ERCOT validates for REP of record and forwards transition plan to current REP of record and CSA CR;
- (k) 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;
- (l) ERCOT uses transition plan for subsequent and final REP of record validation;
- (m) Current CR, New CR, or CSA CR will communicate to their retail Customers the TDSP's' transition as outlined by P.U.C. SUBST. R. 25.74, Report on Change in Control, Sale of Property, Purchase of Stock, or Loan;
- (n) Gaining TDSP sends an 814\_20 transaction with the create ESI ID request, with an eligibility date that is at least ten Business Days prior to the transition date and receives a response;
- (o) ERCOT receives the 814\_20 transaction with the create ESI ID request, validates and sends the accept or reject in the 814\_21, Create/Maintain/Retire ESI ID Response. If the 814\_20 transaction is rejected by ERCOT, then the TDSP will make the necessary corrections and resend the 814\_20 transaction to ERCOT;
- (p) CRs can send the 814\_16, Move-In Request, to ERCOT as of the eligibility date on the 814\_20 transaction; however, the effective date of the move-in must be equal to or greater than the eligibility date. The current REP of record will initiate the 814\_16 transaction of the gaining TDSP's ESI ID with the transition date as the move-in effective date;
- (q) When the gaining TDSP is a MOU/EC, the REP of record will send Customer billing address information updates via the 814\_PC, Maintain Customer Information Request, on any ESI ID where the Customer billing information has changed prior to the transition date;
- (r) Current CSA CR must establish CSAs on new ESI IDs and dissolve CSA relationships on losing TDSP ESI IDs through appropriate market transactions;
- (s) Current REP of record initiates the 814\_24, Move-Out Request, process on old ESI IDs with the 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; and
- (t) Following the transition date:
  - (i) Losing TDSP will send an 867\_03 transaction, final, upon completion of the move-out; and

- (ii) Gaining TDSP will send an 867\_04 transaction upon completion of the move-in. The effective date of the move-out for the losing TDSP and the effective date of the move-in for the gaining TDSP will be the same.

## 7.12 Estimated Meter Readings

### 7.12.1 Texas Standard Electronic Transaction 867\_03, Monthly Usage

Meter read 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

- (1) In the event the Transmission and/or 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 reads after the meter has been removed.
- (2) A TDSP will send the 650\_04, Suspension of Delivery Service Notification or Cancellation, with the 'R8' reason code to communicate permanent meter removal to the Competitive Retailer (CR). Upon receipt of the TDSP notification, the CR should send an 814\_24, Move-Out Request, to the TDSP within ten Business Days. If the TDSP sends a service suspension date in the 650\_04 transaction, the CR has the option to use this date in the CR's 814\_24 transaction; otherwise the CR will use a future date in the CR's 814\_24 transaction.
- (3) 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 e-mail addresses indicated in Table 27, TDSP REP Relations E-mail Addresses, below.

**Table 27. TDSP REP Relations E-mail Addresses**

<b>TDSP</b>	<b>Contact Information for Emergency Reconnect</b>
<b>AEP</b>	crrtx@aep.com
<b>CNP</b>	CR.Support@CenterPointEnergy.com
<b>NEC</b>	cduncan@nueceselectric.org
<b>Oncor</b>	REPrelations@Oncor.com

TDSP	Contact Information for Emergency Reconnect
SULP	egarcia@sharylandutilites.com
TNMP	mprelations@tnmp.com

### 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 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 Section 9, Appendices, Appendix I, Door Hanger – Sample of Transmission and/or Distribution Service Provider’s Minimum Standard Language for Notification of Denial of Access). 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 read 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 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 (4) above, within ten Retail Business Days following the three 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 Request, 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 non-critical Load for an additional 60 days from the three consecutive estimates in order to implement one of the options identified in paragraph (4) above.

#### **7.12.4 *Disconnection and Reconnection for Denial of Access***

- (1) A request for disconnection by the CR, regardless of the service order option chosen, will use the appropriate code for denial of access on the 650\_01, Service Order Request. CRs 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, with the appropriate code, to the CR when the TDSP has disconnected service. The TDSP will reconnect at the Customer's request or by request of 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 transaction to the CR to communicate reconnection of service.

#### **7.12.5 *Estimation for Denial of Access by Non-residential Critical Load Customers***

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 provision that after five 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 read for more than three consecutive months where denial of access is not the issue.
- (2) TDSPs may estimate a meter read 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 read 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 Meter Removal and Installation Process**

### 7.13.1 *Interval Data Recorder Meter Optional Removal Process*

Pursuant to Protocol Section 18.6.6, Interval Data Recorder Meter Optional Removal, a Competitive Retailer (CR) upon a Customer's request, may request removal of an Interval Data Recorder (IDR) at a Premise. This Section 7.13.1 details the steps that Market Participants shall follow when processing such IDR Meter optional removal requests.

#### 7.13.1.1 **Customer Request for Removal of Interval Data Recorder Meter**

- (1) A CR, upon a Customer's request or with a Customer's authorization, may request removal of an IDR Meter. The CR shall validate that the request meets the requirements described in Protocol Section 18.6.6, Interval Data Recorder Meter Optional Removal.
  - (a) If the request for removal meets the Protocol requirements, the CR shall complete Section 9, Appendices, Appendix H1, Interval Data Recorder (IDR) Meter Optional Removal Request Form, and submit it by e-mail to the appropriate Transmission and/or Distribution Service Provider (TDSP) for processing at the TDSP's e-mail address listed in Table 28, TDSP E-mail Addresses for the IDR Optional Removal Request Form, below. For existing Customers, the request form shall be submitted to the TDSP within ten Retail Business Days of the Customer's request to their CR. For new Customers, the request shall be submitted to the TDSP within ten Retail Business Days of the request to their CR, provided that at least 45 consecutive days of usage has been covered by meter reads and the Customer has communicated the request to the CR no more than 120 consecutive days since the Customer's move-in date.

**Table 28. TDSP E-mail Addresses for the IDR Optional Removal Request Form**

TDSP	Contact Information for Emergency Reconnect
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<b>TDSP</b>	<b>Contact Information for Emergency Reconnect</b>
<b>AEP</b>	crctx@aep.com
<b>CNP</b>	CR.Support@CenterPointEnergy.com
<b>NEC</b>	eflores@nueceselectric.org
<b>Oncor</b>	meteringservices@Oncor.com
<b>SULP</b>	egarcia@sharylandutilities.com
<b>TNMP</b>	MV90operator@tnmp.com

- (b) If the request does not meet the Protocol requirements, the CR shall inform the Customer that the request cannot be honored, per paragraph (3) of Section 7.13.1.3, Transmission and/or Distribution Service Provider Processing.
- (2) If a Customer contacts the TDSP directly to request removal of an IDR Meter, 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 Interval Data Recorder Optional Removal Request Form**

- (1) The CR must complete all relevant sections of Section 9, Appendices, Appendix H1, Interval Data Recorder (IDR) Meter Optional Removal Request Form, including:
- (a) CR Name, CR Contact Name, Telephone Number, CR Contact E-mail Address, Date Request sent from CR to TDSP, and the TDSP Name.
  - (b) In addition, for each applicable Electric Service Identifier (ESI ID), the form must include the following:
    - (i) Service Address;
    - (ii) Indicator identifying each as an existing Customer or a new Customer and the move-in date;
    - (iii) Twelve month actual peak Demand for an existing Customer or the actual peak Demand since the move-in date for a new Customer; and
    - (iv) The date the Customer notified the CR requesting IDR Meter removal.

- (2) 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 Transmission and/or Distribution Service Provider Processing**

- (1) Within ten Retail Business Days of receipt of the Section 9, Appendices, Appendix H1, Interval Data Recorder (IDR) Meter Optional Removal Request Form, the TDSP shall verify usage and Customer history for the requested ESI ID(s) and determine if the request meets the requirements of Protocol Section 18.6.6, Interval Data Recorder Meter Optional Removal.
  - (a) If the request meets 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 Meter 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 meet 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 Meter 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 met, the TDSP shall proceed with scheduling the removal of the IDR Meter.
  - (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 Standard Electronic Transaction (TX SET) transaction to change the Load 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 Meter, however, the virtual removal must comply with the provisions of paragraphs (2)(a) and (2)(b) above.
  - (d) IDR Meter 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 met and the CR concurs, the CR will provide the Customer with sufficient

evidence as to why the request for IDR Meter 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 Meter removal request will be handled in accordance with P.U.C. 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 met 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 Meter optional removal process. If a MarkeTrak resolution is not possible for a dispute, the CR may request Alternative Dispute Resolution (ADR) in accordance with Protocol Section 20, Alternative Dispute Resolution Procedure.
- (5) For all IDR Meter removals that have occurred and subsequently are determined to have been removed erroneously, an IDR Meter 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 Meter re-installation date.

### **7.13.2 Interval Data Recorder Meter Installation Process**

Pursuant to Protocol Section 18.6.1, Interval Data Recorder Meter Mandatory Installation Requirements, this Section 7.13.2 details the steps that Market Participants shall follow when processing mandatory or optional IDR Meter installations.

#### **7.13.2.1 Interval Data Recorder Meter Requirement Report**

- (1) The IDR Meter Requirement Report consists of the following criteria:
  - (a) Report Generation - The IDR Meter Requirement Report is generated on the second day of each month. In addition to the ESI IDs that are already on the IDR Meter Requirement Report, the ERCOT System identifies active and de-energized ESI IDs that meet the IDR Meter Mandatory Installation Requirements as defined in Protocol Section 18.6.1, Interval Data Recorder Meter Mandatory Installation Requirements, and are not assigned an IDR Meter type.
  - (b) Posting of the Report - ESI IDs that meet the above criteria are placed on the IDR Meter Requirement Report, which is available on ERCOT's Market Information System (MIS) to the respective CRs (Retail Electric Provider (REP) of record), TDSPs, and the Public Utility Commission of Texas (PUCT). Should an ESI ID listed on the report switch to a different CR, the 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 Meter Requirement Reports are normally posted on the second day of each month.
  - (c) Resolution - ESI IDs listed on the IDR Meter Requirement Report ordinarily remain on the report until an IDR Meter is installed and the Load Profile Type has

been changed to reflect the Load Profile Type of “BUSIDRRQ” and a Meter Data Type of “IDR.” The month and year of the IDR Meter installation will be shown in the “Month Resolved” column for the next three monthly reports, after which time the ESI ID will be dropped from the report. The “Month Resolved” column for each ESI ID will:

- (i) Be blank if 120 days have not yet passed since the ESI ID first appeared on the report;
  - (ii) Show the month and year that the IDR Meter was installed and the Load Profile Type was changed (via TX SET transaction) to BUSIDRRQ; or
  - (iii) Show “Overdue” if 120 days have passed since the ESI ID first appeared on the report and the Load Profile Type has not been changed to BUSIDRRQ as a result of the required IDR Meter being installed.
- (2) If an ESI ID was placed on the IDR Meter Requirement Report because of one 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 Meter Requirement Report. ERCOT shall take action to correct subsequent IDR Meter Requirement Reports following such notification.

#### **7.13.2.2 Mandatory Interval Data Recorder Installation Process**

- (1) Each month following ERCOT’s publishing of the IDR Requirement Report, the CR has 30 days to verify that each ESI ID meets the requirements of Protocol Section 18.6.1, Interval Data Recorder Meter Mandatory Installation Requirements, and if so, initiate the appropriate request to the TDSP or notify the TDSP of any discrepancies for investigation.
- (a) If the IDR Meter installation request meets the Protocol requirements, the CR shall initiate a request to the TDSP for an IDR Meter to be installed using one of the following options:
- (i) Send the appropriate 650\_01, Service Order Request, requesting an exchange of the current meter to an IDR Meter installation, also included in the TX SET transaction the CR will provide in the comments/text field the reason for the exchange request (example, ESI ID met mandatory install requirements) along with all CR and Customer contact information in order that the TDSP can appropriately coordinate and schedule the request with the CR and/or Customer.
  - (ii) Complete Section 9, Appendices, Appendix H2, Interval Data Recorder (IDR) Meter Installation Request Form, and submit it by e-mail to the appropriate TDSP for processing at the TDSP’s e-mail address listed in

Table 29, TDSP E-mail Addresses for the IDR Installation Request Form, below.

**Table 29. TDSP E-mail Addresses for the IDR Installation Request Form**

<b>TDSP</b>	<b>Contact Information for Emergency Reconnect</b>
<b>AEP</b>	crrtx@aep.com
<b>CNP</b>	CR.Support@CenterPointEnergy.com
<b>NEC</b>	eflores@nueceselectric.org or cduncan@nueceselectric.org
<b>Oncor</b>	meteringservices@Oncor.com
<b>SULP</b>	egarcia@sharylandutilities.com
<b>TNMP</b>	MV90operator@tnmp.com

- (iii) Submit the request via TDSP's website where available. Currently, Oncor is the only TDSP with this option.
- (b) If an ESI ID appears on the report, but the CR determines that a Customer does not want to have an IDR Meter installed and meets the criteria specified in Protocol Section 18.6.6, Interval Data Recorder Meter Optional Removal, which would allow an IDR Meter to be removed, the CR shall contact the appropriate ERCOT Retail Account Manager and explain the reason why the CR will not be requesting an IDR Meter installation for the ESI ID. The CR shall also notify the TDSP of reason(s) that an IDR Meter installation will not be requested. Upon receipt of such notification the TDSP shall determine whether the reason(s) meet the requirements of Protocol Section 18.6.6. If the reason(s) do not meet the Protocol requirements, the TDSP shall notify the CR of its findings along with all supporting evidence. If the reason(s) do meet the Protocol requirements, the TDSP shall not install the IDR Meter.
- (c) If after 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 Meter requirement or an ESI ID qualifying for optional removal as identified in the preceding paragraph, the TDSP shall proceed with the IDR Meter 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.
- (d) In agreement with the CR, and in collaboration with the Customer, the TDSP may install an IDR Meter for an ESI ID prior to expiration of the 120 days.

- (e) Costs associated with mandatory installation of IDR Meters by TDSPs shall be the responsibility of the TDSP.
- (2) If a CR determines that an ESI ID appears on the IDR Meter Requirement Report in error, the CR shall notify the TDSP for that ESI ID. If the TDSP agrees with the CR's determination, the TDSP shall submit the appropriate TX SET transaction(s) to correct the error(s) as specified in Section 7.13.2.1, Interval Data Recorder Meter Requirement Report. If the CR and TDSP cannot come to an agreement concerning the IDR Meter 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 an ADR in accordance with Protocol Section 20, Alternative Dispute Resolution Procedure.
- (3) TDSP processing of mandatory IDR Meter installations is as follows:
  - (a) Within ten Retail Business Days of receipt of the Section 9, Appendices, Appendix H2, the TDSP shall:
    - (i) Complete the appropriate sections of the request form indicating TDSP Contact Name and Phone Number, Contact E-mail Address, along with estimated date of IDR Meter installation; and
    - (ii) Return the completed request form by e-mail to the originating CR.
      - (A) The IDR Meter 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.
      - (B) The TDSP shall send the appropriate TX SET transaction to change the Load Profile Type code and the Meter Data Type code of the Load Profile Type as directed by the Load Profiling Guide along with all applicable meter data.

### **7.13.2.3 Optional Interval Data Recorder Installation Request Process**

- (1) Upon a retail Customer's request to a CR for installation of an IDR Meter at a Premise, the CR shall verify that the IDR Meter installation would be consistent with Protocol Section 18.6.1, Interval Data Recorder Meter Mandatory Installation Requirements. If so, the CR shall then request the TDSP to initiate the installation, per paragraph (a) of Section 7.13.2.2, Mandatory Interval Data Recorder Installation Process.
- (2) Once the TDSP receives the optional IDR Meter installation request from the CR, the TDSP shall verify that the request satisfies the requirements of Protocol Section 18.6.1. If the request does not meet the Protocol requirements, the TDSP shall notify the CR of its findings along with all supporting evidence. If the request meets the Protocol requirements, the TDSP shall install the IDR Meter no later than the Customer's second billing cycle following receipt of a valid request.

- (3) The TDSP shall then submit the appropriate TX SET transaction to change the Load Profile Type code and the Meter Data Type code of the Load Profile Type as directed by the Load Profiling Guide, along with all applicable meter data.
  - (a) If a Customer contacts the TDSP directly to make an optional request for the installation of an IDR Meter, the TDSP shall refer the Customer to its CR to initiate the request, regardless of the option a CR has chosen for service order request.
  - (b) IDR Meter optional installations are subject to applicable TDSP tariff charges. Consult each TDSP's tariff for complete details.

#### **7.13.2.4 Interval Data Recorder Installation Request Form**

- (1) If a CR chooses to make its request to the TDSP by sending Section 9, Appendices, Appendix H2, Interval Data Recorder (IDR) Meter Installation Request Form, the CR must complete all relevant sections of the request form including:
  - (a) CR Name and CR DUNS, CR Contact Name & Telephone Number, CR Contact E-mail Address, Date Request sent from CR to TDSP, and TDSP Name.
  - (b) In addition, for each applicable ESI ID, the form must include:
    - (i) Customer Name, Customer Primary and Alternate Area Code and Telephone number(s), Special Instructions or Arrangements Required by Customer to assist TDSP with coordinating and scheduling installation;
    - (ii) The associated Service Address; and
    - (iii) The actual peak Demand for the most recent 12 months.
- (2) 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 Energy from Distributed Generation Facilities**

Retail Electric Providers (REPs), via their Qualified Scheduling Entities (QSEs), can receive a wholesale Settlement adjustment for out-flow energy, according to the process and requirements outlined below.

#### **7.14.1 Primary Requirements for Receiving a Settlement Adjustment for Out-flow Energy**

- (1) In order for ERCOT to provide the wholesale Settlement adjustment for out-flow energy, the following requirements must be met:



- (a) 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.
  - (b) Customer requested metering that measures and reports separately, consumption from the distribution network and out-flow energy from the Customer's side of the meter to the distribution network must be installed.
  - (c) For non-Interval Data Recorder (IDR) metering, both the Load and out-flow energy 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).
  - (d) For IDR Meters, both the Load and out-flow energy 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 energy associated with the RID will be settled to the QSE associated with the RID.
  - (e) For Advanced Meters, both the Load and out-flow energy measured at the point of common coupling must be settled with IDR data.
- (2) For more detailed information about the resource registration process, Market Participants should contact their designated ERCOT account representative.

**7.14.2 *Transmission and/or Distribution Service Provider Communication to ERCOT and the Retail Electric Provider of Record of Technical Information from Distributed Generation Interconnection Agreements***

This Section applies to non-IDR metering and Advanced Meters. In order to assign a DG 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 DG owner, the TDSP shall provide information from the Interconnection Agreement, specified in Load Profiling Guide, Appendix D, Profile Decision Tree, to ERCOT within ten Retail Business Days of the effective date of the Interconnection Agreement.

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

In order for out-flow energy to be measured, the Premise must have metering that measures in-flow and out-flow energy of electricity separately at the point of common coupling. Customers choosing to have their out-flow energy 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 Energy Data**

- (1) For non-IDR metering and Advanced Meters, the out-flow energy value (kWh) will be transmitted on the 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 energy values only. For instances where there has been no out-flow energy, the segment should either be omitted or included and populated with zero. In the absence of a meter that measures out-flow energy, the REF~JH~I shall not be included on the 867\_02 or 867\_03 transactions.
- (2) For IDR Meters, interval out-flow energy values will be transmitted on the 867\_03 transaction using the RID to identify the point of generation, as described in the Texas Standard Electronic Transaction Implementation Guides.
- (3) For Advanced Meters, interval out-flow energy values will also be provided in the ERCOT specified file format.

#### **7.14.5 ERCOT Processing of Meter Data for Out-flow Energy**

- (1) For non-IDR metering, ERCOT will process out-flow energy values for Settlement received for any ESI ID, provided that the ESI ID is also assigned to a DG Load Profile. Any 867\_03, Monthly Usage, received by ERCOT that contains a value for out-flow energy in the REF~JH~I segment for an ESI ID that is not assigned to a DG Load Profile will be processed but the out-flow energy value will be rejected by ERCOT.
- (2) For a detailed description of the wholesale Settlement impact of out-flow energy values, see Protocol Sections 11.4.4.2, Load Reduction for Excess PhotoVoltaic Distributed Renewable Generation, and 11.4.4.3, Load Reduction for Excess Non-PhotoVoltaic Distributed Generation.
- (3) For IDR Meters, ERCOT will process out-flow energy 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.
- (4) For Advanced Meters, ERCOT will process out-flow energy values for Settlement received for any ESI ID, provided that the ESI ID is also assigned a DG Load Profile. Any out-flow energy received by ERCOT via the ERCOT specified file format for any ESI ID that is not assigned a DG Load Profile will be rejected by ERCOT.

## 7.15 Advanced Meter Interval Data File Format and Submission

### 7.15.1 Ad Hoc Connectivity Test of Advanced Metering System 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 in Section 9, Appendices, Appendix G, ERCOT Specified File Format for Submission of Interval Data for Advanced Metering Systems. ERCOT will send a response to the submitting TDSP via North American Energy Standards Board (NAESB).

### 7.15.2 Submission of Interval Data on Electric Service Identifier(s) with Advanced Metering Systems

- (1) All TDSPs shall submit 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 G, ERCOT Specified File Format for Submission of Interval Data for Advanced Metering Systems.
- (2) 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 = ccyyymmddhhmmss
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

- (3) 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.
- (4) 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 its 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 Transmission and/or Distribution Service Provider File Transfer Protocol Site**

- (1) TDSPs will provide on their FTP site, 15 minute Settlement Quality Meter Data no later than 2300 of the next day using the ERCOT specified file format in Section 9, Appendices, Appendix G, ERCOT Specified File Format for Submission of Interval Data for Advanced Metering Systems, for each Electric Service Identifier (ESI ID) with a provisioned AMS meter. The TDSPs will attempt to provide the data earlier than 2300 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 15 minute interval data associated with a provisioned AMS meter for the CRs’ ESI IDs.
- (2) 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 Advanced Metering Systems**

- (1) 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.
- (2) TDSPs will retain the daily interval data on their FTP site for ESI ID(s) with a provisioned AMS meter for ten days from the date that the file was initially posted to the FTP site.

## 7.16 Business Processes and Communications Related to Meter Tampering

This Section provides Market Participants with market approved guidelines to support the business processes as allowed or prescribed in P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been Introduced.

### 7.16.1 *Transmission and/or Distribution Service Provider Discovery of Meter Tampering During Field Service Activities*

- (1) A Field Service Representative (FSR) may discover tampering at the meter while performing field service activities.
  - (a) A move-in order may be completed unexecutable utilizing reason code “T019” in the 814\_28, Completed Unexecutable or Permit Required, if tampering is discovered by an FSR while attempting to complete a move-in.
  - (b) A move-out order without a reason code of “2MR” shall be completed unexecutable utilizing reason code “T019” in the 814\_28 transaction if tampering is discovered by an FSR while attempting to complete a move-out.  
  
An 814\_24, Move-Out Request, with a reason code of “2MR” shall have the move-out completed as requested.
  - (c) If the meter tampering has created a hazardous condition, the Transmission and/or Distribution Service Provider (TDSP) may disconnect service and will notify the Retail Electric Provider (REP) of record by sending the 650\_04, Suspension of Delivery Service Notification or Cancellation, to the REP of record utilizing the “TM001” reason code.
- (2) Once tampering has been determined to have occurred, a switch hold will be placed on the Electric Service Identifier (ESI ID) in accordance with P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been Introduced. If a move-in or move-out is already scheduled in the TDSP’s system prior to a switch hold being placed on the ESI ID, the move-in or move-out may be completed unexecutable due to tampering utilizing reason code “T019” in the 814\_28 transaction provided by the TDSP.
- (3) Charges may be assessed by the TDSP and billed to the REP of record as appropriate under P.U.C. SUBST. R. 25.126. Refer to the TDSP tariffs for specific charges.

#### 7.16.1.1 **Disconnection and Reconnection for Non-Payment Field Service Activities**

- (1) An FSR may discover tampering at the meter while performing Disconnect for Non-Pay (DNP) and Reconnect for Non-Pay (RNP) field service activities.

- (a) If the FSR discovers meter tampering while performing a DNP request and the FSR determines that the degree of tampering does not present a hazardous condition, the DNP request will be completed.
  - (i) If the meter tampering has created an unsafe condition, the DNP request may be referred to specialized field personnel to attempt to complete the DNP request at an alternate location as outlined in Section 7.6.3.5, Disconnection at Premium Disconnect Location.
  - (ii) If the DNP request cannot be completed as a result of the tampering incident, the DNP request will be Completed Unexecutable by the TDSP utilizing “T019” reason code in the 650\_02, Service Order Complete, Complete Unexecutable, Reject Response, or Notification of Permit Required, response transaction.
  - (iii) The TDSP may notify the Competitive Retailer (CR) of the hazardous conditions and, if applicable, suspension of service and meter removal by sending the 650\_04, Suspension of Delivery Service Notification or Cancellation, utilizing the “TM001” reason code.
- (b) If the FSR discovers meter tampering while performing an RNP request and can safely restore normal meter registration, the RNP will be completed.
  - (i) If the meter tampering has created an unsafe condition, the 650\_01, Service Order Request, will be Completed Unexecutable by the TDSP utilizing the “T019” reason code in the 650\_02 response transaction.
  - (ii) The TDSP may notify the CR of the hazardous conditions and, if applicable, suspension of service and meter removal by sending the 650\_04 transaction utilizing the “TM001” reason code.
- (2) Once tampering has been determined to have occurred, a switch hold will be placed on the ESI ID in accordance with P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been Introduced.
- (3) All existing DNP and RNP rules and processes remain in effect. Receipt of a DNP or RNP request by the TDSP for an ESI ID in which a switch hold has been placed will not remove the switch hold.

#### **7.16.2 Notification to Transmission and/or Distribution Service Provider of Potential Meter Tampering**

- (1) The CR may notify the TDSP of potential meter tampering at a Premise by sending the 650\_01, Service Order Request, with the “MM006” reason code for tampering if the CR is currently the REP of record and is an Option 1 REP. Any CR may report suspected

tampering at any time by contacting the TDSP at its designated tampering telephone number, website or e-mail address.

- (2) Suspected tampering activity reports should be communicated as follows:

	<b>Website or E-mail</b>	<b>Telephone</b>
<b>AEP</b>	www.ReportPowerTheft.com	1-877-373-4858
<b>CNP</b>	www.centerpointenergy.com/services/electricity/residential/metertheft	713-207-7225 or toll free 877-570-5770
<b>Oncor</b>	www.oncor.com	888-313-6862
<b>SULP</b>		956-687-5600
<b>TNMP</b>	MPRelations@tnmp.com	800-738-5579

### **7.16.3 Transmission and/or Distribution Service Provider Switch Hold Notification for Meter Tampering**

- (1) The TDSP shall create and maintain a secure list of all ESI IDs with switch holds that REPs may access on the TDSP's File Transfer Protocol (FTP) site or a secure web portal.
- (a) The lists shall follow the naming convention listed in Section 9, Appendices, Appendix J1, Transmission and/or Distribution Service Provider Daily Switch Hold List.
- (b) The list shall be updated and posted each Retail Business Day no later than 0900.
- (2) The TDSP shall create and maintain a secure list, by REP DUNS Number, of all ESI IDs with switch holds. REPs may access their lists via the TDSP's FTP site or a secure web portal.
- (a) The lists shall follow the naming convention listed in Section 9, Appendix J1.
- (b) The list shall be updated and posted each Retail Business Day no later than 0900.

### **7.16.4 Switch Hold Process for Meter Tampering**

Market Participants shall use good-faith and commercially reasonable efforts to informally resolve all disputes arising out of the processes described in this Section 7.16.4. If needed, ERCOT Client Services is available to help facilitate or assist with issue resolution as described in Section 5.1, ERCOT Retail Client Services.

#### **7.16.4.1 Switch Rejected Due to a Switch Hold for Meter Tampering**

- (1) Upon receipt of an 814\_03, Switch/Move-In CR Notification Request, for an ESI ID that is under a switch hold, the TDSP shall reject the request by sending the 814\_04, Switch/Move-In CR Notification Response, with the reason code “A13” and “SWITCH HOLD” in the text description field.
- (2) The requesting REP will receive notification of the reject in the 814\_05, Switch/Move-In Response, with the reason code “A13” and “SWITCH HOLD” in the text description field.

#### **7.16.4.2 Move-in Rejected Due to a Switch-Hold for Meter Tampering**

- (1) Upon receipt of an 814\_03, Switch/Move-In CR Notification Request, for a move-in for an ESI ID that is under a switch hold, the TDSP shall reject the request by sending the 814\_04, Switch/Move-In CR Notification Response, with the reason code “A13” and “SWITCH HOLD” in the text description field.
- (2) The requesting REP will receive notification of the reject in the 814\_05, Switch/Move-In Response, with the reason code “A13” and “SWITCH HOLD” in the text description field.

#### **7.16.4.3 Removal of a Switch Hold for Meter Tampering for Purposes of a Move-in**

##### ***7.16.4.3.1 Timelines Associated with Removal of a Switch Hold for Meter Tampering for Purposes of a Move-in***

P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been Introduced, mandates that within four Business Hours of the request to remove the switch hold, the TDSP determines whether or not the switch hold should be removed and this determination is accomplished by utilizing MarkeTrak. During processing of the MarkeTrak issue, the issue will be assigned and reassigned to all parties at specific points within the workflow. Each Market Participant involved, gaining CR (requesting CR), losing CR (REP of record) and TDSP is responsible for monitoring the MarkeTrak issue throughout the process, removal of the switch hold if applicable, and completing the steps within the timelines described in Section 7.16.4.3.2, Steps for Removal of a Switch Hold for Meter Tampering for Purposes of a Move-in.

##### ***7.16.4.3.2 Steps for Removal of a Switch Hold for Meter Tampering for Purposes of a Move-in***

- (1) Switch Hold Removal Step 1 – Gaining CR



- 
- (a) Once the gaining CR determines that the Customer requesting the move-in is neither the Customer nor associated with the Customer subject to the switch hold, the gaining CR shall obtain the documentation listed in items (i) and (ii) below from the Customer to remove the switch hold.
    - (i) One of the following:
      - (A) Copy of signed lease;
      - (B) Affidavit of landlord;
      - (C) Closing documents;
      - (D) Certificate of occupancy;
      - (E) Utility bill, in the Customer's name, dated within the last two months from a different Premise address; or
      - (F) Other comparable documentation in the name of the retail applicant for electric service; and
    - (ii) A signed statement as set forth in Section 9, Appendices, Appendix J2, New Occupant Statement, from the applicant stating that the applicant is a new occupant of the Premises and is not associated with the preceding occupant.
  - (b) Gaining CR shall create a MarkeTrak issue using the subtype of *Other* and follow the process described below to request the removal of the switch hold.
    - (i) Include the number "7164" in the ISA Number field of every MarkeTrak issue submitted to remove a tampering switch hold;
    - (ii) Populate the ESI ID field;
    - (iii) Attach the relevant documents from items (1)(a)(i) and (1)(a)(ii) above to the MarkeTrak issue prior to submission; and
    - (iv) Assign the issue to the TDSP with a request to:
      - (A) Review documentation;
      - (B) Identify the existing REP of record; and
      - (C) Remove the existing switch hold.
- (2) Switch Hold Removal Step 2 – TDSP
- (a) The TDSP shall reply within one Business Hour of becoming the responsible Market Participant of the MarkeTrak issue with one of the responses below:

- (i) Rejected the issue due to the following:
    - (A) Inadequate documentation upon submission of the MarkeTrak issue;
    - (B) Reasonable determination that the gaining CR's Customer is associated with the Customer who resided at the location when meter tampering occurred, including the reason for this determination and all relevant internal documentation;
    - (C) Incorrect ISA Number or ISA Number field is not populated;
    - (D) Incorrect ESI ID or ESI ID field is not populated; or
    - (E) Switch hold has already been removed due to request from current REP of record.
  - (ii) Accepted the issue and shall:
    - (A) Provide the company name and DUNS Number of the losing CR (if applicable); or
    - (B) Proceed to Switch Hold Removal Step 6 in paragraph (6) below if there is no REP of record; and
    - (C) Assign the issue back to the gaining CR.
- (3) Switch Hold Removal Step 3 – Gaining CR
- The gaining CR shall take the following action within 30 minutes of having been assigned the issue by the TDSP:
- (a) If the issue was accepted by the TDSP, assign the issue to the losing CR identified by the TDSP; or
  - (b) If the issue was rejected by the TDSP, close the issue. Any further request to have the switch hold removed must be submitted in the form of a new MarkeTrak issue. All timelines will be reset upon submittal of a new MarkeTrak issue as outlined starting with Switch Hold Removal Step 1 in paragraph (1) above.
- (4) Switch Hold Removal Step 4 – Losing CR
- (a) The losing CR shall take the following action within one Business Hour of having been assigned the issue by the gaining CR:
    - (i) Review all documentation provided by the gaining CR; and
    - (ii) Assign the issue back to the gaining CR with comments as indicated below:

- (A) If the losing CR agrees that gaining CR's Customer is not associated with the losing CR's Customer, comments must state agreement to remove switch hold; or
    - (B) If the losing CR has information that indicates that the gaining CR's Customer and the losing CR's Customer are associated, comments must state reasons for disagreement and attach documents that support the losing CR's position.
  - (b) If the issue is not assigned to the gaining CR, with comments, within one Business Hour of receipt by the losing CR, the losing CR is considered to agree with the gaining CR's removal of the switch hold request.
- (5) Switch Hold Removal Step 5 – Gaining CR
- (a) The gaining CR shall take the following action within 30 minutes of receipt of the issue from the losing CR:
    - (i) Close the issue indicating agreement, through comments, if the losing CR disputes the switch hold removal and the gaining CR agrees with the losing CR's conclusions;
    - (ii) Assign the issue to the TDSP and request a decision, through comments, if the losing CR disputes the switch hold removal and the gaining CR does not agree with the losing CR's conclusions; or
    - (iii) Assign the issue to the TDSP and request, through comments, the removal of the switch-hold if the losing CR agrees with the switch-hold removal.
  - (b) The gaining CR may notify the TDSP via the e-mail function within MarkeTrak and request a final decision if there was no response from the losing CR by the end of their allotted time as indicated in Switch Hold Removal Step 4 in paragraph (4) above.
- (6) Switch Hold Removal Step 6 – TDSP
- (a) The TDSP shall have the remaining time between the assignment of the issue from the gaining CR and the end of the four Business Hours timeframe to respond with a decision, but no less than one Business Hour.
  - (b) The TDSP shall review all comments and documentation received, but retains the discretion to determine the final status of the switch hold. Upon completion of the review, the TDSP shall take the following action:
    - (i) Disapprove the removal of the switch hold during the final review period if the TDSP has internal information that indicates the requesting CR's Customer is associated with the losing CR's Customer regardless of documentation provided. TDSP shall place comments in the issue

notifying parties of the reason for disapproval and attach all relevant internal documentation;

- (ii) Approve the removal of the switch hold upon verification that the losing CR failed to respond within one Business Hour of receipt using the “State Change History” as the sole indicator if the TDSP receives notification from the gaining CR via the e-mail function within MarkeTrak requesting a final decision due to the losing CR’s failure to respond to the issue within the allotted timeframe. The TDSP shall remove the switch hold to allow completion of a move-in request and place comments in the issue notifying parties of the decision to remove the switch hold;
- (iii) Review the MarkeTrak issue received with comments from both CRs and if it is determined that the TDSP has no internal information that indicates the gaining CR’s Customer is associated with the losing CR’s Customer, the TDSP shall:
  - (A) If there is agreement among both CRs that the switch hold should be removed, the TDSP will remove the switch hold and assign the issue back to the gaining CR, notifying parties of the removal of the switch hold, through comments; or
  - (B) If there is disagreement, the TDSP will evaluate all information provided by both CRs and assign the issue back to the gaining CR with the final decision to approve or deny the request to remove the switch hold, through comments. If the decision is to approve the request to remove the switch hold, the TDSP shall remove the switch hold prior to assigning the issue back to the gaining CR.
- (iv) Disapprove the removal of the switch hold and notify parties, through comments, of the reason for disapproval if the TDSP receives the MarkeTrak issue from the gaining CR for a final decision and the “State Change History” indicates that the losing CR was never assigned the issue or was not provided the full Business Hour allocated under Switch Hold Removal Step 4 in paragraph (4) above; or
- (v) Disapprove the removal of the switch hold and notify parties, through comments, of the reason for disapproval if the TDSP does not receive the full Business Hour for review and the allotted time was inadequate for a final decision to be made.

(7) Switch Hold Removal Step 7 – All Market Participants Involved

- (a) If at any time, the TDSP becomes aware that the MarkeTrak issue was not resolved within the four Business Hour timeframe, the TDSP shall make a decision on whether or not to remove the switch hold based upon the existing activity within the MarkeTrak issue. The TDSP shall place comments in the

MarkeTrak issue containing the final decision and assign the issue back to the gaining CR.

- (b) If at any time, the gaining CR becomes aware that the MarkeTrak issue was not resolved within the four Business Hour timeframe, the gaining CR shall notify the TDSP, via the MarkeTrak e-mail function and request a final decision.
- (c) If at any time, the losing CR becomes aware that the MarkeTrak issue was not resolved within the four Business Hour timeframe, the losing CR shall notify the TDSP, via the MarkeTrak e-mail function and request a final decision.

#### **7.16.4.3.3 Release of Switch Hold for Meter Tampering Due to Exceeding Specified Timelines**

- (1) In accordance with P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been Introduced, the TDSP must make a determination on the request to remove the switch hold within four Business Hours of submission of the MarkeTrak issue, regardless of the progression of the MarkeTrak issue.
- (2) In the event that the switch hold is released and a Move-In Request is submitted by the gaining CR, the losing CR may file a MarkeTrak issue to have the ESI ID returned if the loss was due to the expiration of the four Business Hour timeframe in which the losing CR and TDSP were not each allotted their full Business Hour to review the information due to the gaining CR's failure to transition the MarkeTrak issue within its specified timeframe. The losing CR has until the end of the following Retail Business Day after the gaining CR's submission of a Move-In Request to file an issue seeking reinstatement or retention of the ESI ID due to a prematurely removed switch hold. If an *Inadvertent Losing* MarkeTrak issue is not filed within this timeframe, the losing CR is considered to have forfeited any claim to the ESI ID, and/or switch hold. The process to have the ESI ID reinstated or retained is as follows:
  - (a) The losing CR creates a MarkeTrak issue using the *Inadvertent Losing* subtype.
    - (i) Create a link in the current issue to the original MarkeTrak issue by using "Item Link"; and
    - (ii) Populate the issue with the following comment, verbatim: "TDSP return ESI ID per RMG Section 7.16.4.3.3 and restore switch hold upon reinstatement."
  - (b) The gaining CR shall make all attempts to cancel the pending move-in if it has not yet effectuated, or if unable to cancel, shall agree to the return of the ESI ID if it has effectuated.
  - (c) The TDSP shall restore the switch hold on the ESI ID upon successful reinstatement or retention of the ESI ID by the losing CR.

- (3) The losing CR shall not use the switch hold removal process to regain an ESI ID in which the losing CR either failed to transition the original MarkeTrak issue within the one Business Hour allotted or used an incorrect transition to reassign the issue to the gaining CR.
- (4) If during the period in which the switch hold was removed, a third CR, not involved in the original MarkeTrak issue, submits an 814\_01, Enrollment Request, or 814\_16, Move-In Request, for the ESI ID, the third CR is permitted to keep the ESI ID and the MarkeTrak issue shall be closed by the submitter of the “Inadvertent Losing” MarkeTrak issue.

#### **7.16.4.4 Removal of Switch Hold for Meter Tampering by Retail Electric Provider of Record Request**

- (1) By 1500 each Retail Business Day, the REP of record may submit a MarkeTrak issue to the TDSP to remove the switch hold and to remove the ESI ID from the next Retail Business Day’s switch hold list provided by the TDSP per Section 7.16.3, Transmission and/or Distribution Service Provider Switch Hold Notification for Meter Tampering, using the following process:
  - (a) Create an individual MarkeTrak issue for each ESI ID to be removed from the switch hold list using the “Other” subtype;
  - (b) Include the number “71644” in the ISA Number field of the MarkeTrak issue;
  - (c) Populate the ESI ID field; and
  - (d) Assign the issue to the TDSP.
- (2) The TDSP, upon receipt of MarkeTrak issue, will perform one of the following:
  - (a) Remove the switch hold; or
  - (b) Reject the issue due to the following:
    - (i) Incorrect MarkeTrak issue subtype;
    - (ii) Incorrect ISA Number or ISA Number field is not populated; or
    - (iii) Incorrect ESI ID or ESI ID field is not populated.

#### **7.16.4.5 Removal of a Switch Hold for Meter Tampering Due to a Move-out**

The TDSP will remove a switch hold from an ESI ID upon completion of a Move-Out Request.

#### **7.16.4.6 Removal of Switch Hold for Meter Tampering for a Continuous Service**

## Agreement

Upon receipt of a move-out to Continuous Service Agreement (CSA) for an ESI ID under a switch hold, the TDSP shall remove the switch hold upon completion of the move-out and then complete the CSA move-in.

### 7.16.4.7 Electronic Availability of Transmission and/or Distribution Service Provider Meter Tampering Investigation Information

TDSPs shall make all required investigation information per P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been Introduced, available to the REP of record via the TDSP's secure web portal.

### 7.16.5 *Transmission and/or Distribution Service Provider Application of Charges Related to Meter Tampering*

#### 7.16.5.1 Meter Tampering Cancel Rebill No Change in Consumption

If tampering related discretionary charges apply with no consumption impact, the TDSP generates cancel/rebill transactions that have a zero usage impact but add the tampering related discretionary charges to the prior billing period immediately preceding the tampering determination.

#### 7.16.5.2 Meter Tampering Cancel/Rebill Consumption Changes

If tampering related discretionary charges apply and a rebill is required due to a change in consumption as a result of tampering, a consumption cancel/rebill will be invoiced concurrently with the tampering related discretionary charges. Discretionary charges will be applied to a prior billing period.

Example: Tampering identified by TDSP and placed on switch hold in April. TDSP investigation determined that the tampering affected consumption in the January, February and March timeframe. In this example, January would be considered the oldest month and March would be considered the most recent month. TDSPs will apply discretionary charges with the appropriate Texas Standard Electronic Transaction (TX SET) charge code consistent with the timing in the table below.

	Discretionary Tampering Charges Will Appear on the Most Recent Cancel/Rebill Invoice:	Discretionary Tampering Charges Will Appear on the Oldest Cancel/Rebill Invoice:
<b>AEP</b>	March	
<b>CNP</b>		January

<b>Oncor</b>	March	
<b>SULP</b>	March	
<b>TNMP</b>	March	

**[RMGRR096: Insert Section 7.17, Business Processes and Communications for Switch Holds Related to Deferred Payment Plans, through Section 7.17.3.5, Removal of Switch Hold for Deferred Payment Plans for a Continuous Service Agreement, on June 1, 2011:]**

## **7.17 Business Processes and Communications for Switch Holds Related to Deferred Payment Plans**

This Section provides Market Participants with market approved guidelines to support the business processes as allowed or prescribed in P.U.C. SUBST. R. 25.480, Bill Payment and Adjustments.

### **7.17.1 Addition and Removal of Switch Hold by Retail Electric Provider of Record Request for Deferred Payment Plans**

#### **7.17.1.1 Addition of Switch Hold by Retail Electric Provider of Record for Deferred Payment Plans**

- (1) Competitive Retailers (CRs) may request placement of an Electric Service Identifier (ESI ID) on switch hold as specified within P.U.C. SUBST. R. 25.480, Bill Payment and Adjustments, using the following process:
  - (a) Create an individual MarkeTrak issue for each ESI ID to be added to the switch hold list using the *Other* subtype;
  - (b) Include the number 71711 in the ISA Number field of the MarkeTrak issue;
  - (c) Populate the ESI ID field; and
  - (d) Assign the issue to the Transmission and/or Distribution Service Provider (TDSP).
- (2) The TDSP, upon receipt of MarkeTrak issue, will perform one of the following:
  - (a) Place the ESI ID on switch hold:
 

If a move-in or switch is already scheduled in the TDSP's system prior to a switch hold being placed on the ESI ID, the move-in or switch may be completed unexecutable utilizing reason code "T018" in the 814\_28, Completed Unexecutable or Permit Required, with "SWITCH HOLD" in the text description



field; or

- (b) Reject the issue due to the following:
  - (i) Incorrect MarkeTrak issue subtype;
  - (ii) Incorrect ISA Number or ISA Number field is not populated;
  - (iii) Incorrect ESI ID or ESI ID field is not populated; or
  - (iv) Submitting CR is not Retail Electric Provider (REP) of record.

#### **7.17.1.2 Removal of Competitive Retailer Initiated Switch Hold for Deferred Payment Plans**

- (1) By 1200 each Retail Business Day, the REP of record may submit a MarkeTrak issue to the TDSP to remove a CR-initiated switch hold using the following process:
  - (a) Create an individual MarkeTrak issue for each ESI ID to be removed from the switch hold list using the *Other* subtype;
  - (b) Include the number 71712 in the ISA Number field of the MarkeTrak issue;
  - (c) Populate the ESI ID field; and
  - (d) Assign the issue to the TDSP.
- (2) The TDSP, upon receipt of MarkeTrak issue, will perform one of the following:
  - (a) Accept the issue and remove the switch hold by 2000 the same Retail Business Day if received by 1300, or by 2000 the next Retail Business Day if received after 1300. Comments shall be placed in the issue notifying REP of record of the removal of the switch hold; or
  - (b) Reject the issue due to the following:
    - (i) Incorrect MarkeTrak issue subtype;
    - (ii) Incorrect ISA Number or ISA Number field is not populated;
    - (iii) Incorrect ESI ID or ESI ID field is not populated; or
    - (iv) Submitting CR is not REP of record.

#### **7.17.2 Transmission and/or Distribution Service Provider Switch Hold Notification for Deferred Payment Plans**

- (1) The TDSP shall create and maintain a secure list of all ESI IDs with switch holds due to deferred payment plans that REPs may access on the TDSP's File Transfer Protocol (FTP) site or a secure web portal.
  - (a) The lists shall follow the naming convention listed in Section 9, Appendices, Appendix J1, Transmission and/or Distribution Service Provider Daily Switch Hold List.
  - (b) The list shall be updated and posted each Retail Business Day no later than 0900.
- (2) The TDSP shall create and maintain a secure list, by REP DUNS Number, of all ESI IDs with switch holds. REPs may access their lists via the TDSP's FTP site or a secure web portal.
  - (a) The lists shall follow the naming convention listed in Section 9, Appendix J1.
  - (b) The list shall be updated and posted each Retail Business Day no later than 0900.

### **7.17.3 Switch Hold Process for Deferred Payment Plans**

Market Participants shall use good-faith and commercially reasonable efforts to informally resolve all disputes arising out of the processes described in this Section 7.17.3. If needed, ERCOT Client Services is available to help facilitate or assist with issue resolution as described in Section 5.1, ERCOT Retail Client Services.

#### **7.17.3.1 Switch Rejected Due to a Switch Hold for Deferred Payment Plans**

- (1) Upon receipt of an 814\_03, Switch/Move-In CR Notification Request, for a switch for an ESI ID that is under a switch hold, the TDSP shall reject the request by sending the 814\_04, Switch/Move-In CR Notification Response, with the reason code "A13" and "SWITCH HOLD" in the text description field.
- (2) The requesting REP will receive notification of the reject in the 814\_05, Switch/Move-In Response, with the reason code "A13" and "SWITCH HOLD" in the text description field.

#### **7.17.3.2 Move-in Rejected Due to a Switch-Hold for Deferred Payment Plans**

- (1) Upon receipt of an 814\_03, Switch/Move-In CR Notification Request, for a move-in for an ESI ID that is under a switch hold, the TDSP shall reject the request by sending the 814\_04, Switch/Move-In CR Notification Response, with the reason code "A13" and "SWITCH HOLD" in the text description field.
- (2) The requesting REP will receive notification of the reject in the 814\_05, Switch/Move-In Response, with the reason code "A13" and "SWITCH HOLD" in the text description field.

field.

### **7.17.3.3 Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move-in**

#### **7.17.3.3.1 *Timelines Associated with Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move-in***

P.U.C. SUBST. R. 25.480, Bill Payment and Adjustments, mandates that within four Business Hours of the request to remove the switch hold, the TDSP determines whether or not the switch hold should be removed and this determination is accomplished by utilizing MarkeTrak. During processing of the MarkeTrak issue, the issue will be assigned and reassigned to all parties at specific points within the workflow. Each Market Participant involved, gaining CR (requesting CR), losing CR (REP of record) and TDSP is responsible for monitoring the MarkeTrak issue throughout the process, removal of the switch hold if applicable, and completing the steps within the timelines described in Section 7.17.3.3.2, Steps for Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move-in.

#### **7.17.3.3.2 *Steps for Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move-in***

- (1) Switch Hold Removal Step 1 – Gaining CR
  - (a) Once the gaining CR determines that the Customer requesting the move-in is neither the Customer nor associated with the Customer subject to the switch hold, the gaining CR shall obtain the documentation listed in items (i) and (ii) below from the Customer to remove the switch hold.
    - (i) One of the following:
      - (A) Copy of signed lease;
      - (B) Affidavit of landlord;
      - (C) Closing documents;
      - (D) Certificate of occupancy;
      - (E) Utility bill, in the Customer’s name, dated within the last two months from a different Premise address; or
      - (F) Other comparable documentation in the name of the retail applicant for electric service; and
    - (ii) A signed statement as set forth in Section 9, Appendices, Appendix J2, New Occupant Statement, from the applicant stating that the applicant is a

new occupant of the Premises and is not associated with the preceding occupant.

- (b) Gaining CR shall create a MarkeTrak issue using the subtype of *Other* and follow the process described below to request the removal of the switch hold.
    - (i) Include the number “7164” in the ISA Number field of every MarkeTrak issue submitted to remove a deferred payment plan switch hold;
    - (ii) Populate the ESI ID field;
    - (iii) Attach the relevant documents from items (1)(a)(i) and (1)(a)(ii) above to the MarkeTrak issue prior to submission; and
    - (iv) Assign the issue to the TDSP with a request to:
      - (A) Review documentation;
      - (B) Identify the existing REP of record; and
      - (C) Remove the existing switch hold.
- (2) Switch Hold Removal Step 2 – TDSP
- (a) The TDSP shall reply within one Business Hour of becoming the responsible Market Participant of the MarkeTrak issue with one of the responses below:
    - (i) Rejected the issue due to the following:
      - (A) Inadequate documentation upon submission of the MarkeTrak issue;
      - (B) Reasonable determination that the gaining CR’s Customer is associated with the Customer who resided at the location when placement of the switch hold occurred, including the reason for this determination and all relevant internal documentation;
      - (C) Incorrect ISA Number or ISA Number field is not populated;
      - (D) Incorrect ESI ID or ESI ID field is not populated; or
      - (E) Switch hold has already been removed due to request from current REP of record.
    - (ii) Accepted the issue and shall:
      - (A) Provide the company name and DUNS Number of the losing CR (if applicable); or

(B) Proceed to Switch Hold Removal Step 6 in paragraph (6) below if there is no REP of record; and

(C) Assign the issue back to the gaining CR.

(3) Switch Hold Removal Step 3 – Gaining CR

The gaining CR shall take the following action within 30 minutes of having been assigned the issue by the TDSP:

- (a) If the issue was accepted by the TDSP, assign the issue to the losing CR identified by the TDSP; or
- (b) If the issue was rejected by the TDSP, close the issue. Any further request to have the switch hold removed must be submitted in the form of a new MarkeTrak issue. All timelines will be reset upon submittal of a new MarkeTrak issue as outlined starting with Switch Hold Removal Step 1 in paragraph (1) above.

(4) Switch Hold Removal Step 4 – Losing CR

(a) The losing CR shall take the following action within one Business Hour of having been assigned the issue by the gaining CR:

- (i) Review all documentation provided by the gaining CR; and
- (ii) Assign the issue back to the gaining CR with comments as indicated below:
  - (A) If the losing CR agrees that gaining CR's Customer is not associated with the losing CR's Customer, comments must state agreement to remove switch hold; or
  - (B) If the losing CR has information that indicates that the gaining CR's Customer and the losing CR's Customer are associated, comments must state reasons for disagreement and attach documents that support the losing CR's position.

(b) If the issue is not assigned to the gaining CR, with comments, within one Business Hour of receipt by the losing CR, the losing CR is considered to agree with the gaining CR's removal of the switch hold request.

(5) Switch Hold Removal Step 5 – Gaining CR

(a) The gaining CR shall take the following action within 30 minutes of receipt of the issue from the losing CR:

- (i) Close the issue indicating agreement, through comments, if the losing CR disputes the switch hold removal and the gaining CR agrees with the

- losing CR's conclusions;
- (ii) Assign the issue to the TDSP and request a decision, through comments, if the losing CR disputes the switch hold removal and the gaining CR does not agree with the losing CR's conclusions; or
  - (iii) Assign the issue to the TDSP and request, through comments, the removal of the switch-hold if the losing CR agrees with the switch-hold removal.
- (b) The gaining CR may notify the TDSP via the e-mail function within MarkeTrak and request a final decision if there was no response from the losing CR by the end of their allotted time as indicated in Switch Hold Removal Step 4 in paragraph (4) above.
- (6) Switch Hold Removal Step 6 – TDSP
- (a) The TDSP shall have the remaining time between the assignment of the issue from the gaining CR and the end of the four Business Hours timeframe to respond with a decision, but no less than one Business Hour.
  - (b) The TDSP shall review all comments and documentation received, but retains the discretion to determine the final status of the switch hold. Upon completion of the review, the TDSP shall take the following action:
    - (i) Disapprove the removal of the switch hold during the final review period if the TDSP has internal information that indicates the requesting CR's Customer is associated with the losing CR's Customer regardless of documentation provided. TDSP shall place comments in the issue notifying parties of the reason for disapproval and attach all relevant internal documentation;
    - (ii) Approve the removal of the switch hold upon verification that the losing CR failed to respond within one Business Hour of receipt using the "State Change History" as the sole indicator if the TDSP receives notification from the gaining CR via the e-mail function within MarkeTrak requesting a final decision due to the losing CR's failure to respond to the issue within the allotted timeframe. The TDSP shall remove the switch hold to allow completion of a move-in request and place comments in the issue notifying parties of the decision to remove the switch hold;
    - (iii) Review the MarkeTrak issue received with comments from both CRs and if it is determined that the TDSP has no internal information that indicates the gaining CR's Customer is associated with the losing CR's Customer, the TDSP shall:
      - (A) If there is agreement among both CRs that the switch hold should be removed, the TDSP will remove the switch hold and assign the issue back to the gaining CR, notifying parties of the removal of

the switch hold, through comments; or

(B) If there is disagreement, the TDSP will evaluate all information provided by both CRs and assign the issue back to the gaining CR with the final decision to approve or deny the request to remove the switch hold through comments. If the decision is to approve the request to remove the switch hold, the TDSP shall remove the switch hold prior to assigning the issue back to the gaining CR.

(iv) Disapprove the removal of the switch hold and notify parties, through comments, of the reason for disapproval if the TDSP receives the MarkeTrak issue from the gaining CR for a final decision and the “State Change History” indicates that the losing CR was never assigned the issue or was not provided the full Business Hour allocated under Switch Hold Removal Step 4 in paragraph (4) above; or

(v) Disapprove the removal of the switch hold and notify parties, through comments, of the reason for disapproval if the TDSP does not receive the full Business Hour for review and the allotted time was inadequate for a final decision to be made.

(7) Switch Hold Removal Step 7 – All Market Participants Involved

(a) If at any time, the TDSP becomes aware that the MarkeTrak issue was not resolved within the four Business Hour timeframe, the TDSP shall make a decision on whether or not to remove the switch hold based upon the existing activity within the MarkeTrak issue. The TDSP shall place comments in the MarkeTrak issue containing the final decision and assign the issue back to the gaining CR.

(b) If at any time, the gaining CR becomes aware that the MarkeTrak issue was not resolved within the four Business Hour timeframe, the gaining CR shall notify the TDSP, via the MarkeTrak e-mail function and request a final decision.

(c) If at any time, the losing CR becomes aware that the MarkeTrak issue was not resolved within the four Business Hour timeframe, the losing CR shall notify the TDSP, via the MarkeTrak e-mail function and request a final decision.

**7.17.3.3.3 Release of Switch Hold for Deferred Payment Plans Due to Exceeding Specified Timelines**

(1) In accordance with P.U.C. SUBST. R. 25.480, Bill Payment and Adjustments, the TDSP must make a determination on the request to remove the switch hold within four Business Hours of submission of the MarkeTrak issue, regardless of the progression of the MarkeTrak issue.

(2) In the event that the switch hold is released and a Move-In Request is submitted by the

gaining CR, the losing CR may file a MarkeTrak issue to have the ESI ID returned if the loss was due to the expiration of the four Business Hour timeframe in which the losing CR and TDSP were not each allotted their full Business Hour to review the information due to the gaining CR's failure to transition the MarkeTrak issue within its specified timeframe. The losing CR has until the end of the following Retail Business Day after the gaining CR's submission of a Move-In Request to file an issue seeking reinstatement or retention of the ESI ID due to a prematurely removed switch hold. If an *Inadvertent Losing* MarkeTrak issue is not filed within this timeframe, the losing CR is considered to have forfeited any claim to the ESI ID, and/or switch hold. The process to have the ESI ID reinstated or retained is as follows:

- (a) The losing CR creates a MarkeTrak issue using the *Inadvertent Losing* subtype.
  - (i) Create a link in the current issue to the original MarkeTrak issue by using "Item Link"; and
  - (ii) Populate the issue with the following comment, verbatim: "TDSP return ESI ID per RMG Section 7.17.3.3.3 and restore switch hold upon reinstatement."
- (b) The gaining CR shall make all attempts to cancel the pending move-in if it has not yet effectuated, or if unable to cancel, shall agree to the return of the ESI ID if it has effectuated.
- (c) The TDSP shall restore the switch hold on the ESI ID upon successful reinstatement or retention of the ESI ID by the losing CR.
- (3) The losing CR shall not use the switch hold removal process to regain an ESI ID in which the losing CR either failed to transition the original MarkeTrak issue within the one Business Hour allotted or used an incorrect transition to reassign the issue to the gaining CR.
- (4) If during the period in which the switch hold was removed, a third CR, not involved in the original MarkeTrak issue, submits an 814\_01, Enrollment Request, or 814\_16, Move-In Request, for the ESI ID, the third CR is permitted to keep the ESI ID and the MarkeTrak issue shall be closed by the submitter of the "Inadvertent Losing" MarkeTrak issue.

#### **7.17.3.4 Removal of a Switch Hold for Deferred Payment Plans Due to a Move-out**

The TDSP will remove a switch hold from an ESI ID upon completion of a Move-Out Request.

#### **7.17.3.5 Removal of Switch Hold for Deferred Payment Plans for a Continuous Service Agreement**

Upon receipt of a move-out to Continuous Service Agreement (CSA) for an ESI ID under a switch hold, the TDSP shall remove the switch hold upon completion of the move-out and then



complete the CSA move-in.

**ERCOT Retail Market Guide**  
**Section 8: Municipally Owned Utilities and Electric  
Cooperatives**

**April 1, 2011**

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## 8 MUNICIPALLY OWNED UTILITIES AND ELECTRIC COOPERATIVES

### 8.1 Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market

- (1) In the ERCOT Region, there are Transmission and/or Distribution Service Providers (TDSPs) which are categorized as Municipally Owned Utilities (MOUs) and/or Electric Cooperatives (ECs). General information for the MOU/ECs can be found in Table 1, MOU/EC General Information.
- (2) Differences between the MOU/EC TDSP market and the Investor Owned Utility (IOU) TDSP market are identified in their respective tariffs.
- (3) For current tariff information, refer to P.U.C. SUBST. R. 25, Appendix V, Tariff for Competitive Retailer Access of a Municipally Owned Utility or Electric Cooperative, and subsection (d)(1), Figure: 16 of P.U.C. SUBST. R. 25.214, Terms and Conditions of Retail Delivery Service Provided by Investor Owned Transmission and Distribution Utilities, on the Public Utility Commission of Texas (PUCT) website or the TDSP.
- (4) Notable differences between the IOU TDSP market and the MOU/EC TDSP market include, but are not limited to the following:
  - (a) Billing - Billing may be consolidated billing or separate billing (based on Customer Choice) in a MOU/EC TDSP territory versus consolidated billing only by the Competitive Retailer (CR) in an IOU TDSP territory. The MOU/EC TDSP could choose to delegate the consolidated billing to the CR or contract with a third party.
  - (b) Outage Reporting - Differences in who the Customer calls to report an outage or make a service request; and
  - (c) Customer Protection - In an IOU TDSP territory, the PUCT Customer protection rules apply. However, in a MOU/EC territory, the specific MOU/EC utility service rules apply, which in many cases are different from the PUCT Customer protection rules such as the due date of the bill.

**Table 1. MOU/EC General Information**

MOU/EC	General Call Center	Website
NEC	361-387-2581	<a href="http://www.nueceselectric.org">www.nueceselectric.org</a>

### 8.2 Municipally Owned Utilities and Electric Cooperatives Tariff Requirements

- (1) P.U.C. SUBST. R. 25, Appendix V, Tariff for Competitive Retailer Access of a Municipally Owned Utility or Electric Cooperative, governs the terms and conditions of the Access Tariff of a Municipally Owned Utility (MOU) or Electric Cooperative (EC).

- (2) An MOU and EC are 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-In Entity (NOIE) or a Retail Electric Provider (REP). MOUs and ECs in the ERCOT Region, must notify ERCOT six months prior to opting into retail competition, and register with ERCOT as a REP.

### **8.3 Municipally Owned Utilities and Electric Cooperatives Disconnect and Reconnect for Non-Payment Process**

- (1) The Disconnect for Non-Pay (DNP) and Reconnect for Non-Pay (RNP) process for Municipally Owned Utilities (MOUs) and Electric Cooperatives (ECs) provides Market Participants with market approved guidelines to support disconnect and reconnect transactions and business processes as allowed or prescribed by the MOU/EC Customer protection rules.
- (2) The purpose of the DNP and RNP process is to provide Market Participants with a document that defines market processing for DNP and RNP requests and for managing emergency and contingency procedures in support of DNP and RNP activities.
- (3) Prior to issuing the 650\_01, Service Order Request, for DNP or RNP, certified Competitive Retailers (CRs) shall have successfully completed market certification testing and have received disconnection authority from the Public Utility Commission of Texas (PUCT).
- (4) Transactions will be completed according to the Texas Standard Electronic Transaction (TX SET) guidelines.

#### **8.3.1 Assumptions and Market Processes**

##### **8.3.1.1 Disconnect for Non-Payment Forecasts**

On a weekly basis, CRs shall provide to the MOU/EC an estimate of the number of DNP requests that will be issued the next week. CRs shall complete Section 9, Appendices, Attachment C1, Weekly Retail Electric Provider Disconnect for Non-Payment Forecast Report, reporting the total number of DNPs expected for the next week with the report showing the range of DNPs for each day of that week. The Weekly Retail Electric Provider Disconnect for Non-Payment Forecast Report is e-mailed to the designated MOU/EC contact listed in Table 2, MOU/EC Contact for Disconnect Forecast, on the Tuesday of the week before that week's activity would begin. The data submitted by CRs in the Weekly Retail Electric Provider Disconnect for Non-Payment Forecast Report is confidential and intended to be used as an estimate only that will allow the MOU/EC to plan and allocate resources in order to complete DNP request and subsequent RNP requests.

#### **Table 2. MOU/EC Contact for Disconnect Forecast**

MOU/EC	Disconnect Forecast
NEC	dnp@nueceselectric.org

### 8.3.1.2 Service Order Dispatching

- (1) In order to efficiently manage all types of service requests, field service orders are dispatched in accordance to their respective priority by geographic area.
- (2) Below are the field execution priorities associated with MOUs or ECs:
  - (a) Priority One:
    - (i) Priority and routine move-ins;
    - (ii) Priority and routine reconnects;
    - (iii) Out-of-cycle reads for switches; and
    - (iv) Move-outs.
  - (b) Priority Two:
    - (i) Move-outs;
    - (ii) DNPs;
    - (iii) Investigation orders;
    - (iv) Re-reads; and
    - (v) Maintenance requests.

### 8.3.1.3 Safety Nets

- (1) DNP requests received prior to safety nets will be completed as will the subsequent safety net requests.
- (2) 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 DNP or Move-Out Requests received by the MOU/EC will be completed.
- (3) Upon notification from the CR of an inadvertent DNP or move-out that has been completed by the MOU/EC, the MOU/EC will restore service following the procedures outlined in Section 8.3.5.1, Emergency Reconnects.
- (4) Any MOU/EC 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 RNP as a result of an inadvertent DNP or move-out will be billed to CR of Record. The CR of Record may use the dispute process to remedy resulting billing issues.

### 8.3.2 *Process Overview*

#### 8.3.2.1 **Disconnect for Non-Payment Process Overview**

- (1) The CR credit cycle reveals the Electric Service Identifier (ESI ID) population subject to DNP.
- (2) The CR performs internal validations prior to issuing DNP requests.
- (3) The CR submits the 650\_01, Service Order Request, for DNP no later than one day prior to the requested completion date.
- (4) MOU/EC receives the 650\_01 transaction and performs validations.
  - (a) For orders that do not pass validations, a 650\_02, Service Order Complete, Complete Unexecutable, Reject Response, or Notification of Permit Required, reject response with the appropriate code and reason sent to the CR.
  - (b) If the transaction does not pass American National Standards Institute (ANSI) validation, the 997, Functional Acknowledgement, reject is sent.
- (5) Upon successfully validating the 650\_01 transaction, the MOU/EC creates an internal service order which is then routed and scheduled geographically to the appropriate Field Service Representative (FSR).
  - (a) For orders that cannot be completed, the 650\_02 transaction, Completed Unexecutable, with the appropriate code and reason sent to the CR.
  - (b) For orders that cannot be completed on the requested date due to time constraints in the field, the MOU/EC will pend the order and schedule on the next available Field Operational Day.
- (6) MOU/EC completes the order and responds to CR with a 650\_02 transaction within one Retail Business Day of completion.

#### 8.3.2.2 **Disconnect for Non-Payment Process Overview When Municipally Owned Utility or Electric Cooperative Initiates**

- (1) The MOU/EC credit cycle reveals ESI ID population subject to DNP.
- (2) The MOU/EC submits the 650\_04, Suspension of Delivery Service Notification or Cancellation, for DNP within one Retail Business Day of completion in the field.

**8.3.2.3 Reconnect for Non-Payment Process Overview**

- (1) The CR confirms Customer's satisfactory correction of reasons for DNP.
- (2) The CR performs internal validations prior to issuing RNP request.
- (3) The CR submits the 650\_01, Service Order Request, for RNP according to timelines outlined in the MOU/EC Customer protection rules.
- (4) The MOU/EC receives the 650\_01 transaction and performs validations.
  - (a) For orders that do not pass validations, the 650\_02, Service Order Complete, Complete Unexecutable, Reject Response, or Notification of Permit Required, reject response with the appropriate code and reason sent to the CR.
  - (b) If the transaction does not pass ANSI validation, the 997, Functional Acknowledgement, reject is sent.
- (5) Upon successfully validating the 650\_01 transaction, the MOU or 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 the MOU/EC Customer protection rules.
  - (a) For orders that cannot be completed, the 650\_02 transaction, Completed Unexecutable with the appropriate code and reason sent to the CR.
- (6) The MOU/EC completes the order and responds to the CR with a 650\_02 transaction within one Retail Business Day of completion.

**8.3.2.4 Reconnect for Non-Payment Process Overview When Disconnect for Non-Payment was Initiated by Municipally Owned Utility or Electric Cooperative**

- (1) The MOU/EC confirms Customer's satisfactory correction of reasons for DNP.
- (2) The MOU/EC releases RNP request to FSR to be completed according to the timelines outlined in the MOU/EC Customer protection rules.
- (3) The MOU/EC submits the 650\_04, Suspension of Delivery Service Notification or Cancellation, for RNP within one Retail Business Day of completion in the field.

**8.3.3 *Transaction Processing*****8.3.3.1 Timelines for Transaction Delivery**

Timelines for receipt of DNP and RNP 650\_01, Service Order Requests:



- (1) For DNP requests to be scheduled on the next Field Operational Day, transactions must be received by the MOU/EC by 1700. DNP requests received prior to 1700 with a requested date that equals the date submitted will be scheduled for next available Field Operational Day. Any valid TX SET approved EDI 650\_01 transaction DNP requests received prior to the next Field Operational Day will be accepted and scheduled for the requested date.
- (2) For RNP requests to be scheduled no later than the next Field Operational Day, transactions must be sent to MOU/EC according to the timeframes outlined in the MOU/EC Customer protection rules. For priority RNP requests to be scheduled on the same Field Operational Day transactions must be received by the MOU/EC by 1400 of the requested date for reconnect.

### 8.3.3.2 Transaction Validations

- (1) CRs shall perform the following validations prior to initiating the 650\_01, Service Order Request, for DNP:
  - (a) Verify that they are still the CR of Record;
  - (b) Verify that a Pending DNP request or Move-Out Request does not exist to prevent the 650\_01 transaction from being rejected; and
  - (c) Verify the critical care status of residential Customers prior to issuing initial DNP request.
- (2) The MOU/EC may perform the following validations upon receipt of 650\_01 transaction for a DNP or RNP request:
  - (a) Verify that the CR is certified for DNP transaction processing;
  - (b) Verify that the CR submitting the DNP request is the CR of Record;
  - (c) Perform ANSI validations on the 650\_01 transaction;
  - (d) Perform TX SET validations on the 650\_01 transaction;
  - (e) Review meter indicators for ESI ID for critical Load, critical care, and master metered Premise;
  - (f) Verify if a DNP request is a duplicate;
  - (g) Verify if a RNP request is a duplicate;
  - (h) Verify if a move-in or switch has been scheduled on the requested date;
  - (i) Verify if a move-out has been received from the requesting CR;

- (j) Verify if the requesting CR is available for RNP the following day if requested date for DNP is Friday;
  - (k) Identify if RNP request is a same day reconnect; and
  - (l) Verify if a weather moratorium is in effect.
- (3) The MOU/ECs shall perform the validations listed below prior to issuing a service order to the FSR for a DNP request. The 650\_04, Suspension of Delivery Service Notification or Cancellation, will be forwarded to the CR after the completion of the DNP request.
- (a) Verify that a move-in for a new Customer does not exist; and
  - (b) Verify that a critical care status does not exist.

### 8.3.3.3 Competing Orders

The MOU/EC will Complete Unexecutable a DNP request when the requested date is greater than or equal to the scheduled date of a Pending switch or move-in. When a DNP request is received with a requested date that is prior to the scheduled date of a switch or move-in, the DNP requests will be scheduled. DNP requests carried over to the next Retail Business Day may not be worked due to competing order and will be Complete Unexecutable. See Table 3, Competing Orders – Move-In, below.

- (a) 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 MOU/EC 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 MOU's/EC's service territories.

**Table 3. Competing Orders - Move-In**

MOU/EC	650_01 DNP Requested Date One Day Prior to Move-in or Switch	650_01 DNP Requested Date Greater Than or Equal to Move-in or Switch	Fee
NEC	Will work 650_01	Reject 650_01	Reconnect fee

- (b) Self-selected switch - If the new CR of Record has submitted a self-selected switch, the MOU/EC will re-energize the Premise and bill applicable charges to the new CR of Record. See Table 4, Competing Orders – Self-selected Switch, below.
  - (i) If a MOU/EC initiated the 650\_04, Suspension of Delivery Service Notification or Cancellation, the Premise will not be reconnected until the

MOU/EC confirms Customer's satisfactory correction of reasons for DNP request. Self-selected switch requests for a Premise that has been disconnected for non-payment by the MOU/EC will be rejected to the CR with an 814\_04, Switch/Move-In CR Notification Request, with the A13 reject code and a reason description of "Disconnected for Non-Pay."

**Table 4. Competing Orders - Self-selected Switch**

MOU/EC	MOU/EC Action	MOU/EC Fee
NEC	Re-energize Premise	Reconnect charge

- (c) Standard switch - If the new CR of Record has submitted a standard switch at a Premise that has been previously de-energized, the MOU/EC will perform the actions identified in Table 5, Competing Orders – Standard Switch, below.
- (i) If a MOU/EC initiated the 650\_04 transaction, the Premise will not be reconnected until the MOU/EC confirms Customer's satisfactory correction of reasons for DNP request. Standard switch requests for a Premise that has been disconnected for non-payment by the MOU/EC will be rejected to the CR with an 814\_04 transaction, with the A13 reject code and a reason description of "Disconnected for Non-Pay."

**Table 5. Competing Orders - Standard Switch**

MOU/EC	MOU/EC Action	Energize	Fee
NEC	Perform meter read	Yes	Reconnect fee

### 8.3.3.4 Reconnect for Non-Pay and Disconnect for Non-Pay Processing Order

If an RNP request is received before a DNP request, the MOU/EC will reject the RNP request immediately using reason code "RWD." See Table 6, Transaction Processing Order, below. Any DNP requests received after an associated RNP request has been rejected will be worked by the MOU/EC. If an inadvertent DNP occurs, then emergency RNP provisions will be followed.

**Table 6. Transaction Processing Order**

MOU/EC	MOU/EC Action	Code
NEC	Reject 650_01, Service Order Request, reconnect	RWD

### 8.3.3.5 Disconnection at Premium Disconnect Location

- (1) When necessary, service orders without a premium disconnect location indicator (i.e. pole, substation) that cannot be completed by the FSR at the meter may be referred within one Retail 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.

- (2) When service is disconnected at premium disconnect location, the MOU/EC will notify the CR on the 650\_02, Service Order Complete, with a code of “O” for “Disconnected Other than at Meter.” For any DNP request performed, the appropriate MOU/EC tariff charges will be applied. When service cannot be disconnected at a premium disconnect location, the MOU/EC will respond with a 650\_02 transaction Complete Unexecutable and the CR will need to contact the MOU/EC for special consideration.

#### **8.3.3.6 Completed Unexecutable and Rejected Orders**

- (1) The MOU/EC will issue the 650\_02, Service Order Complete, within one Retail Business Day for the rejected 650\_01, Service Order Request, or service orders that cannot be completed in the field.
- (2) No charges will be applied to service orders that are rejected.
- (3) No charges will be applied to service orders that are Completed Unexecutable prior to dispatch.

#### **8.3.3.7 Same Day/Priority or Weekend Non Holiday Reconnect or Disconnect for Non-Payment**

- (1) When issuing a 650\_01, Service Order Request, for RNP requests, CRs may request priority service where available. The TX SET codes indicated in Table 7, MOU/EC Priority Codes, should be used to indicate priority status on RNP requests.
- (2) Any service order received by a MOU/EC with a priority code other than those listed below in Table 7 will be processed as a standard service order.
- (3) If a CR issues a same day RNP requests after issuing a standard RNP request and the standard RNP request has not been completed, the same day request will trump the routine RNP request provided that a follow up call is placed to the MOU/EC dispatch.

**Table 7. MOU/EC Priority Codes**

<b>MOU/EC</b>	<b>Outside Normal Business Hours</b>	<b>Holiday</b>
NEC	02	02

#### **8.3.3.8 Service Order cancellations**

- (1) In order to cancel a DNP request that has not been completed, a CR must send a 650\_01, Service Order Request, RNP request referencing the BGN02 of the DNP request to the

MOU/EC. No charges will apply if the RNP request is received prior to dispatching the DNP request.

- (2) In order to cancel a RNP request because the CR may have sent the RNP request in error or for the wrong ESI ID, a CR must send a 650\_01 transaction “C” Cancel, referencing the BGN02 of the initiating 650\_01 transaction requesting reconnection.
- (3) 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 MOU/EC. Refer to the MOU/EC tariff for applicable charges.

### 8.3.3.9 Response Transactions

- (1) The 650\_02, Service Order Complete, will be issued by NEC for every 650\_01, Service Order Request, within one Retail Business Day upon the following:
  - (a) Rejection of service order after performing initial transaction validations;
  - (b) Completion of the requested field service activity;
  - (c) Determination by FSR of unexecutable status; and
  - (d) Cancellations of a requested RNP request.
- (2) The MOU/EC will populate the field completion date and time in the 650\_02 transaction for successfully completed service order requests.
- (3) Due to the exceptional conditions outlined in Section 8.3.5, Exceptions, CRs will need to follow up with the MOU/EC if the 650\_02 transaction for a DNP request is not received within three to five Retail Business Days following the requested disconnect date. Inquiries should be submitted via e-mail as indicated in Table 8, MOU/EC Contact for 650\_02s not Received.

**Table 8. MOU/EC Contact for 650\_02s not Received**

MOU/EC	E-mail Address
NEC	cduncan@nueceselectric.org

### 8.3.4 Field Service Activities

#### 8.3.4.1 Disconnection Service Orders

- (1) Table 9, Field Service Hours for DNP Requests, below outlines the availability of FSRs for performing DNP requests.

- (2) Disconnect orders requesting dates beyond the next Field Operational Day will be scheduled and performed by the MOU/EC according to availability of FSRs on the requested date. Field activities for disconnection service begin at 0800.
- (3) The MOU/EC will not disconnect a Customer's electric service for non-payment on a day preceding a weekend or holiday or after-hours.

**Table 9. Field Service Hours for DNP Requests**

MOU/EC	Standard	Priority	Weekend	Holiday
NEC	1600	Not available	Not available	Not available

**8.3.4.1.1 Disconnection Order Overflow**

If a DNP request cannot be completed on the requested day and the next available Field Operational Day immediately precedes a weekend or holiday, the MOU/EC will pend the order and reschedule the DNP request on the next available Field Operational Day.

**8.3.4.2 Reconnection Service Orders**

Table 10, CR Timelines for Submitting RNP Requests, and Table 11, Field Service Hours for RNP Requests, below, outline the availability of FSR for performing RNP requests:

- (a) Standard RNP request - per the MOU/EC Customer protection rules, any RNP request, including those for a premium disconnect location (i.e. pole, substation), issued by a CR must be completed by the MOU/EC no later than the next Field Operational Day.

**Table 10. CR Timelines for Submitting RNP Requests**

Payments Made on a Retail Business Day:	RNP 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.
<b>Payments made on a weekend day or holiday</b>	1400 the first Retail Business Day after the payment is made.

- (b) For emergency RNP requests, refer to Section 8.3.5.1, Emergency Reconnects, for the 24 hours per day, seven days per week emergency reconnection process and appropriate contacts.

- (c) The MOU/EC offers after-hours RNP for an additional charge. The RNP request should be used when submitting a RNP request to be worked outside normal Business Hours. For a CR to initiate an after-hours RNP request, a 650\_01, Service Order Request, should be sent, as well as calling the MOU/EC's 24 hours per day, seven days per week support center. See Section 8.3.5.1 for contact information.
- (d) Currently, the CR's phone call to the MOU/EC support center is the only trigger that will initiate the after-hours RNP request. The MOU/EC also requires any RNP request to be supported by a phone call as well on RNP requests submitted after 1400.

**Table 11. Field Service Hours for RNP Requests**

MOU/EC	Standard and Friday	Priority, Weekend, Holiday and After-Hours	Emergency
NEC	1630	24 hours per day, seven days per week Priority Code Required and a phone call with CR pass code	See Section 8.3.5.1. Priority Code Required

#### 8.3.4.3 Requirements for Reconnecting Service

- (1) Safe access to the meter or premium disconnect location is required to restore service. Evidence of tampering or damage to the meter equipment may result in delayed or Completed Unexecutable orders when reconnecting service.
- (2) The MOU/EC will require inside or outside breakers to be off when performing an RNP 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 MOU/EC's FSR will wait no more than 15 minutes for the Customer to call the CR and have the CR advise the MOU/EC's office if receipt is valid and to cancel the DNP request. Cancellation and trip fees will apply.

#### 8.3.4.5 Premise Access Issues

- (1) The MOU/EC 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 DNP at a premium disconnect location. Based upon determinations made in the field at the time the FSR is attempting to DNP or RNP, these measures are

applied by the MOU/EC 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.

- (2) If access is denied, no additional denial of access fees are applied to a DNP or RNP request. These types of orders will be Completed Unexecutable and the MOU/EC 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 the CR.

#### 8.3.4.6 Door Hanger Policies

MOU/ECs will offer door hangers as indicated in Table 12, Door Hanger Use by MOU/EC, below.

**Table 12. Door Hanger Use by MOU/EC**

MOU/EC	Door Hanger Use
NEC	Does not provide door hangers.

#### 8.3.4.7 Meter Seal Policies for Disconnection

MOU/ECs will tag meters as indicated in Table 13, Meter Seal Use by MOU/EC, below.

**Table 13. Meter Seal Use by MOU/EC**

MOU/EC	Meter Seal Use
NEC	No meter seal used. Meter will be removed if at all possible for all DNP requests.

### 8.3.5 *Exceptions*

#### 8.3.5.1 Emergency Reconnects

- (1) There may be times when a Customer has been disconnected for non-payment in error. For completed DNP request that result in a life threatening situation, PUCT request or are completed inadvertently, CRs will need to contact the MOU/EC to arrange for an emergency RNP and identify the reason for the emergency RNP request. Life threatening situations should be immediately reported to the MOU/EC 24 hours per day, seven days per week support center in order to expedite the RNP request.



- (2) After initiating an emergency RNP request with the MOU/EC's 24 hours per day, seven days per week support center, CRs should submit a follow up e-mail, attaching the completed Section 9, Appendices, Appendix C2, Emergency Reconnect Request Data Requirements, spreadsheet to the MOU/EC's e-mail address indicated in Table 14, Contact Information for Emergency RNP Requests, below.

**Table 14. Contact Information for Emergency RNP Requests**

MOU/EC	Contact Information for Emergency RNP Requests	E-mail Address	Require 650_01, Service Order Request, to Reconnect
NEC	361-387-2581 – 24 hours per day, seven days per week support center, CR pass code required.	dnp@nueceselectric.org	Yes, RC001

### 8.3.5.2 Critical Load/Critical Care

- (1) In the interest of public safety, DNP requests for non-residential Customers that have been identified by the MOU/EC as critical or critical Load will be either rejected with an A13 code with remarks that will reflect life support/critical care or Completed Unexecutable by the MOU/EC with the appropriate TX SET reason code.
- (2) 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 DNP request will be Completed Unexecutable with the appropriate TX SET reason code. There will be no charges billed to the CR for service orders Completed Unexecutable orders would be billed to the CR under this scenario.
- (3) Upon discovery of red lights or equipment associated with supporting air traffic control or other associated Federal Aviation Administration (FAA) activities, FSR will Complete Unexecutable the DNP request. In the MOU/EC territory, CRs requesting DNP for FAA related Premises must contact the MOU/EC to arrange for disconnection. To complete DNP request for critical care Premise, CRs will need to coordinate with their CR relations managers at the MOU/EC.
- (4) DNP requests received by the MOU/EC for residential Customers that the MOU/EC has identified as critical care will be Completed Unexecutable with the appropriate TX SET reason code.

### 8.3.5.3 Field Service Exceptions

- (1) 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 DNP request will be Completed Unexecutable with the appropriate TX SET reason code.

- (2) NEC will process these types of field exceptions as follows:
- (a) NEC shall not suspend or disconnect a 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. The Retail Customer is responsible for notifying its designated CR if DNP to its facility will result in such a condition.
  - (b) 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.*

**8.3.5.4 Weather Moratoriums**

- (1) All Market Participants should monitor [www.nws.noaa.gov](http://www.nws.noaa.gov) for the conditions in Table 15, Extreme Weather Emergency Due to Cold, and Table 16, Extreme Weather Emergency Due to Heat, below that would establish a weather moratorium. A 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 MOU/EC Customer protection rule.

**Table 15. 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
	28°F	28°F	32°F	34°F	34°F	32°F	32°F
<b>Example I</b>			No Disconnect	Disconnect	Disconnect	Disconnect	No Disconnect

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
	28°F	28°F	32°F	32°F	34°F	32°F	45°F
<b>Example II</b>			No Disconnect	No Disconnect	Disconnect	Disconnect	Disconnect
	28°F	28°F	32°F	30°F	34°F	32°F	25°F
<b>Example III</b>			No Disconnect	No Disconnect	Disconnect	Disconnect	No Disconnect

**Table 16. Extreme Weather Emergency Due to Heat**

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

## (2) Disconnection Activity During Extreme Weather

- (a) In the event that one of the above conditions exists in a MOU/EC's service territory, the PUCT and CRs will be notified via e-mail that a weather moratorium has been invoked and that DNP activity has been suspended as indicated in Table 17, MOU/EC Disconnection Activity During Weather Moratorium.

- (b) CRs will need to provide their company contact to their CR relations manager at each MOU/EC in order to receive the weather moratorium notifications.
- (c) For the duration of the weather moratorium, CRs shall not issue DNP request for affected areas. DNP requests issued for Premises in counties or service territories that are experiencing a weather moratorium will be processed as indicated in Table 16 below.
- (d) DNP requests that are Pending completion by the MOU/EC at the time a weather moratorium is established will be processed as indicated in Table 17 below.
- (e) DNP requests that are Completed Unexecutable by the MOU/EC during a weather moratorium should be resubmitted by the CR at the time the weather moratorium is lifted.
- (f) In the event of a PUCT mandated weather moratorium for an extended length of time, seven days or more, the CR will cancel all Pending DNP requests with the 650\_01, Service Order Request, reconnect requests until the PUCT has declared that the weather moratorium has been lifted. This would prevent any outstanding and/or Pending DNP requests from being completed after the weather moratorium is lifted where Customers may have made payments during that time period, also the MOU/EC would now be working with and scheduling more up to date DNP transactions.
- (3) Reconnection Activity During Extreme Weather
- (a) All types of RNP request will be processed by the MOU/EC during a weather moratorium.
- (b) RNP requests received for Pending DNP requests will be processed in order to cancel the DNP request. RNP requests received for DNP completed prior to an extreme weather event are processed and dispatched according to applicable timeframes during a weather moratorium.

**Table 17. MOU/EC Disconnection Activity During Weather Moratorium**

<b>NOU/EC</b>	<b>MOU/EC E-Mail Notification - Disconnection Activity Suspended Due to Weather Moratorium</b>	<b>MOU/EC Processing of New DNP Requests Issued During Weather Moratorium</b>	<b>MOU/EC Processing of Pending DNP Requests During Weather Moratorium</b>
<b>NEC</b>	By service territory.	Completed Unexecutable	Completed Unexecutable

**8.3.5.5 Force Majeure Event**

- (1) During a Force Majeure Event, the MOU/EC will process service requests as indicated in Table 18, MOU/EC Activity During Force Majeure Event.
- (2) Once a Force Majeure Event has concluded and the MOU/EC has re-established routine operations, CRs should submit any service requests for ESI IDs that still qualify for DNP or RNP.
- (3) The MOU/EC will notify the market of the establishment and conclusion of a Force Majeure Event via their CR relations or account management teams.

**Table 18. MOU/EC Activity During Force Majeure Event**

<b>MOU/EC</b>	<b>MOU/EC Processing of RNP Requests During Force Majeure Event</b>	<b>MOU/EC Processing of DNP Requests During Force Majeure Event</b>
<b>NEC</b>	Completed Unexecutable	Completed Unexecutable

**8.3.5.6 Master Metered Premises**

- (1) Prior to issuing a DNP request for a master metered Premise, the CR or the MOU/EC initiating the DNP request must fulfill the tenant notification requirements outlined in the MOU/EC Customer protection rule.
- (2) DNP requests received for a master metered Premise will be Completed Unexecutable by the MOU/EC. The requesting CR will need to contact the MOU/EC to coordinate the DNP request of the master metered Premise as indicated in Table 19, DNP/RNP Request for Mastered Metered Premises and Unmetered Services, below.

**Table 19. DNP/RNP Request for Mastered Metered Premises and Unmetered Services**

<b>MOU/EC</b>	<b>MOU/EC Contact to Coordinate DNP Request</b>
<b>NEC</b>	dnp@nueceselectric.org

**8.3.5.7 Unmetered Service**

- (1) 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 DNP and RNP requests.
- (2) For all other unmetered services, DNP requests will be Completed Unexecutable upon receipt or following field investigation. The requesting CR will need to contact the MOU/EC to coordinate the DNP request as indicated in Table 19, DNP/RNP Request for Mastered Metered Premises and Unmetered Services, above.

### 8.3.5.8 Multiple Metered Service (not Master Metered)

For MOU/ECs that have multiple meters associated with an ESI ID, any 650\_01, Service Order Request, whether for DNP or RNP, will be executed for all meters associated with that Premise. CRs will need to submit the 650\_01 transactions for multiple meters as indicated in Table 20, Multiple Metered Service, below.

**Table 20. Multiple Metered Service**

MOU/EC	650_01 Submittal by CR for Multiple Meters	MOU/EC Discretionary Charges Billed
NEC	N/A, no multiple metered Premises in service territory as of 2/23/2005.	N/A, no multiple metered Premises in service territory as of 2/23/2005.

### 8.3.5.9 Meter Tampering Issues

- (1) An FSR may discover tampering at the meter while performing a DNP requests. If the FSR determines that the degree of tampering does not present a hazardous condition, the DNP will be completed. If the meter tampering has created an unsafe condition, the DNP request may be referred to specialized field personnel to attempt to complete the DNP request at a premium disconnect location as described in Section 8.3.3.5, Disconnection at Premium Disconnect Location. If the DNP request cannot be completed as a result of the tampering incident, the DNP request will be Completed Unexecutable and the MOU/EC will notify the CR of the hazardous condition and, if applicable, meter removal by issuing a 650\_04, Suspension of Delivery Service Notification or Cancellation.
- (2) An FSR may discover tampering at the meter while performing an RNP request or when reenergizing a DNP Premise while performing a switch or move-in. The MOU/EC's FSR will contact the MOU/EC's offices and advise the supervisor of the detected tampering. At the discretion of the supervisor, the MOU/EC will not RNP service and will likely notify local law enforcement of the possible tampering. Only after all facts and any applicable monies owed by the Customer as a result of the tampering have been paid to the MOU/EC (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, Service Order Request, reconnect request will be Completed Unexecutable and the MOU/EC will notify the CR of the hazardous condition and, if applicable, meter removal by issuing either a 650\_02, Service Order Complete, Complete Unexecutable, Reject Response, or Notification of Permit Required, Completed Unexecutable or the 650\_04 transaction.
- (3) Refer to the MOU/EC tariffs for specific charges regarding meter tampering.
- (4) If the CR is notified of potential meter tampering at a Premise, the CR may notify the MOU/EC via a 650\_01 transaction utilizing the MM006 reason code 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 MOU/EC general call center phone number.

### 8.3.5.10 Customer Threatens Municipally Owned Utility or Electric Cooperative Field Service Representative

If threatened by the Customer, the FSR will not disconnect service. However, the FSR may refer the DNP 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 MOU/EC 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 DNP request. The CR will be charged a routine dispatch fee for every time the FSR attempts to complete the DNP request initiated by the CR.

### 8.3.6 *Municipally Owned Utility or Electric Cooperative Charges for Reconnect and Disconnect Services*

#### 8.3.6.1 Discretionary Charges

MOU/EC will use SAC04 codes for discretionary charges resulting for DNP or RNP requests as outlined in Table 21, SAC04 Codes-Discretionary Charges, below:

**Table 21. SAC04 Codes-Discretionary Charges**

Charge Description	NEC
<b>Disconnection</b>	
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
<b>Reconnection</b>	
Routine Reconnect at Meter	SER030
Routine Reconnect at Meter Special Route	SER031
Routine Reconnect at Pole	SER030
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

<b>Charge Description</b>	<b>NEC</b>
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
<b>Denial of Access to Meter</b>	
For Disconnection Orders	SER133
For Reconnections Orders	SER133
<b>Order Cancellation Fees</b>	
Disconnect Administration Fee	N/A
Dispatched Order Fee	N/A
Routine Dispatch	SER132
<b>Tampering Charges</b>	
Broken Meter Seal Fee	SER130
Meter Tampering Fee	SER072
<b>Connection Fees</b>	
Connect Fee/Connection Charge at Meter/Account Activation Fee	SER019

### 8.3.6.2 Other Charges

- (1) 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:
  - (a) Customer Charge: NEC: bills Customer directly for these charges
  - (b) Customer Metering Charge: NEC: not applicable
- (2) In order to avoid ongoing liability, a CR must submit a Move-Out Request to terminate service no earlier than five days after receipt of a 650\_04, Suspension of Delivery Service



Notification or Cancellation or 650\_02, Service Order Complete, indicating successful completion of the DNP request. CRs receiving reliable information indicating a Premise is vacant may submit move-out earlier. Upon completion of the move-out order the MOU/EC will discontinue billing the CR for non-usage based charges as outlined above. 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 DNP request 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 MOU/EC Customer protection rules.

### 8.3.7 *Emergency System Outage*

In the event of a system outage during Business Hours and a CR cannot submit EDI transactions, the CR should contact their CR relations manager at the MOU/EC to arrange for a workaround in order to submit RNP requests. For system outages that occur outside Business Hours, CRs should contact the MOU/EC as indicated in Table 22, Emergency System Outage After-hours Contact, below.

**Table 22. Emergency System Outage After-hours Contact**

MOU/EC	Emergency System Outage After-hours Contact
NEC	361-387-2581, CR relations manager

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix A1: Competitive Retailer Safety Net Request**

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# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix A2: Transmission and/or Distribution Service Provider Move-in Safety Net Response**

November 1, 2010

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# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix B1: Letter of Authorization for the Request of Historical Usage Information Form (English)**

November 1, 2010

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## Appendix B1

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

Reference: Section 7.5.1, Overview of the Letter of Authorization for Historical Usage

Date: \_\_\_\_\_ Expiration Date/Unlimited: \_\_\_\_\_

---

**Select Transmission and/or Distribution Service Provider (TDSP) (Required: Select the TDSP the request applies to.)**

- |                                |   |                                    |
|--------------------------------|---|------------------------------------|
| <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    |

---

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 Competitive Retailer (CR)/representative)>>. This information request shall be limited to no more than the most recent 12-month period of service. If the Electric Service Identifiers (ESI ID(s)) are metered using an Interval Data Recorder (IDR), 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 using Retail Market Guide Section 9, Appendices, Appendix A3, Transmission and/or Distribution Service Provider Response to Request for Historical Usage 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. The TDSP will reject submitted ESI IDs that are not located within the TDSP's territory.

Service Address

ESI ID Number (found on bill)

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#### 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)



# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix B2: Formulario Carta De Autorización Para Solicitar Información De Consumo Histórico (Letter of Authorization for the Request of Historical Usage Information Form – Spanish)**

November 1, 2010

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## Appendix B2

### Formulario Carta De Autorización Para Solicitar Información De Consumo Histórico (Letter of Authorization for the Request of Historical Usage Information Form – Spanish)

Reference: Section 7.5.1, Overview of the Letter of Authorization for Historical Usage

Fecha: \_\_\_\_\_ Fecha de vencimiento/Sin límite: \_\_\_\_\_

**Seleccione las empresas de transmisión y/o distribución (TDSP), (Requerido: Seleccione el TDSP a la que la petición se refiera)**

- |                                |   |                                    |
|--------------------------------|---|------------------------------------|
| <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 el TDSP mencionado 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 Competitive Retailer (CR)/representative)>>. La presente solicitud de información se limitará al último período de servicio de 12 meses. Si el/los Identificador(es) de Servicio Eléctrico (ESI ID (s)) son medidos usando un Registrador de Datos de Intervalo (IDR), por favor indican si los datos de intervalo y/o nivel sumarios son requeridos.

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Sólo Resumen de Factura | <input type="checkbox"/> Sólo información de intervalos | <input type="checkbox"/> Información resumida y de intervalos |
|--|---|---|

Por favor envíe la información de consumo y carga en formato electrónico (Microsoft Excel) usando la Guía de Mercado Minorista Sección 9, Apéndices, Apéndice B4, Transmisión y/o Distribución de Proveedor de Servicio Respuesta a la Petición de Uso Historial 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(s). El TDSP rechazará el/los ESI ID(s) sometidos que no esté(n) localizado(s) dentro del territorio del TDSP.

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

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### AUTORIZACIÓN

Afirmo 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 TDSP inocuo 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)

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix B3: Requesting Historical Usage from Multiple Transmission and/or Distribution Service Providers**

November 1, 2010

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## Appendix B3

### Requesting Historical Usage from Multiple Transmission and/or Distribution Service Providers

*Reference: Section 7.5.1, Overview of the Letter of Authorization for Historical Usage*

<b>Requestor Name:</b>			
<b>Transmission and/or Distribution Service Provider (TDSP):</b>			
<b>Customer Name:</b>			
<b>Electric Service Identifier (ESI ID)</b>		<b>Service Address (optional)</b>	
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	

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix B4: Transmission and/or Distribution Service Provider Response to Request for Historical Usage**

November 1, 2010

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## Appendix B4

## Transmission and/or Distribution Service Provider Response to Request for Historical Usage

Reference: Section 7.5.1, Overview of the Letter of Authorization for Historical Usage

ESI ID = Electric Service Identifier

TDSP = Transmission and/or Distribution Service Provider

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
10089010003333333333	*	111	77067	0	489	0	0	11/26/2002	12/26/2002	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
10089010003333333333	*	111	77067	0	538	0	0	12/24/2002	1/24/2003	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
10089010003333333333	*	111	77067	0	23	0	0	1/26/2003	2/26/2003	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
10089010003333333333	*	111	77067	0	0	0	0	2/6/2003	3/6/2003	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
10089010003333333333	JOE DOE	111	77067	0	499	0	0	4/27/2003	5/27/2003	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
10089010003333333333	JOE DOE	111	77067	0	510	0	0	5/25/2003	6/25/2003	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
10089010003333333333	JOE DOE	111	77067	0	444	0	0	6/24/2003	7/24/2003	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
10089010003333333333	JOE DOE	111	77067	0	616	0	0	7/25/2003	8/25/2003	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
10089010003333333333	JOE DOE	111	77067	0	494	0	0	8/24/2003	9/24/2003	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
10089010003333333333	JOE DOE	111	77067	0	267	0	0	9/23/2003	10/23/2003	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
10089010003333333333	JOE DOE	111	77067	0	354	0	0	10/20/2003	11/20/2003	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0
10089010003333333333	JOE DOE	111	77067	0	830	0	0	11/26/2003	12/26/2003	6	103 MAIN ST		HOUSTON, TX 77777		0	Y	0	0

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix C1: Weekly Retail Electric Provider Disconnect for Non-Payment Forecast Report**

November 1, 2010

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## Appendix C1

### Weekly Retail Electric Provider Disconnect for Non-Payment Forecast Report

*Reference: Sections 7.6.1.1, Disconnect for Non-Payment Forecasts, and 8.3.1.1, Disconnect for Non-Payment Forecasts*

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

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix C2: Emergency Reconnect Request Data Requirements**

November 1, 2010

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## Appendix C2

### Emergency Reconnect Request Data Requirements

Reference: Sections 7.6.5.1, Emergency Reconnects, and 8.3.5.1 Emergency Reconnects

	Electric Service Identifier (ESI ID)	Customer Contact Name	Customer Contact Phone	Street Address	Apartment Number	Zip	City	Competitive Retailer (CR) Data Universal Numbering System (DUNS)	CR Name	Request Date	Critical Care Flag	BGN02	Notes/ Directions	Retail Electric Provider (REP) Reason
<b>Requirements</b>	(required)	(required)	(required, if available)	(required)	(if applicable)	(required)	(required)	(required)	(prefer D/B/A to Corporate name)	(required)	(required)	(required)	optional	Optional - Free form
<b>Type</b>	AN	AN	AN	AN	AN	ID	AN	ID	AN	DT	AN	AN	AN	AN
<b>Length</b>	1 Min. / 80 Max.	1 Min. / 60 Max.	1 Min. / 80 Max.	1 Min. / 55 Max.	1 Min. / 55 Max.	3 Min. / 15 Max.	2 Min. / 30 Max.	2 Min. / 80 Max.	1 Min. / 60 Max.	8 Min. / 8 Max.	1 Min. / 30 Max.	1 Min. / 30 Max.	1 Min. / 80 Max.	1 Min. / 80 Max.

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix D1: Transaction Timing Matrix**

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# Appendix D1

## Transaction Timing Matrix

Reference: Section 7.7, Transaction Timing Matrix

CR = Competitive Retailer

CSA = Continuous Service Agreement

TDSP = Transmission and/or Distribution Service Provider

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 = <b>Day 0</b> 814_02 sent to CR by Tuesday @ 1700 = <b>Day 1</b>	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 = <b>Day 0</b> 814_03 sent to TDSP by Tuesday @ 1700 = <b>Day 1</b>	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 = <b>Hour 0</b> 814_03 sent to TDSP by Monday @ 1700 = <b>Hour 2</b>	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 = <b>Hour 0</b> 814_03 sent to TDSP by Monday @ 1600 = <b>Hour 1</b>  <b>(EXCEPTION: “Invalid ESI ID” requires 48 hours for ERCOT to reject.)</b>	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 = <b>Hour 0</b> 814_03 sent to TDSP by Monday @ 1700 = <b>Hour 2</b>  <b>(EXCEPTION: “Invalid ESI ID” requires 48 hours for ERCOT to reject.)</b>	15.1.4.3, Notification to TDSP of Move-In

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

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 = <b>Day 0</b> 814_04 sent to ERCOT by Wednesday @ 1700 = <b>Day 2</b>	<b><u>Move-In</u></b> 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In)  <b><u>Move-Out CSA</u></b> 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP  <b><u>Switch</u></b> 15.1.1.4, Response from TDSP to Registration Notification Request  <b><u>Mass Transition</u></b> 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 = <b>Hour 0</b> 814_05 sent to CR by Monday @ 1600 = <b>Hour 1</b>	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 = <b>Hour 0</b> 814_05 sent to CR by Monday @ 1600 = <b>Hour 2</b>	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 = <b>Day 0</b> 814_05 sent to CR by Tuesday @ 1700 = <b>Day 1</b>	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	<b><u>EXAMPLE 1:</u></b> Move-in effectuating date is Wednesday, 6/10. 814_06 sent by <b>0800 on Monday, 6/8.</b> <b><u>EXAMPLE 2:</u></b> Move-in effectuating date is Monday, 7/10. 814_06 sent by <b>0800 on Thursday 7/5</b> (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	<b><u>EXAMPLE 1:</u></b> Switch effectuating date is Friday, 8/10. 814_06 sent by <b>0800 on Wednesday, 8/8.</b> <b><u>EXAMPLE 2:</u></b> Switch effectuating date is Tuesday, 9/9. 814_06 sent by <b>0800 on Friday, 9/3</b> (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 = <b>Day 0</b> 814_07 sent to ERCOT by Wednesday @ 1700 = <b>Day 2</b>	15.1.1.6, Notification to Current CR of Drop Due to Switch (with date)

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

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 = <b>Day 0</b> 814_07 sent to ERCOT by Tuesday @ 1700 = <b>Day 1</b>	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 <b>BEFORE:</b> 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 = <b>Hour 0</b> 814_08 sent to TDSP by Monday @ 1700 = <b>Hour 2</b>	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	<b>AFTER</b> the 20 Business Day expiration <b>OR</b> the effectuating date of the switch/move-in – TDSP has NOT sent the 814_04	<b>Switch</b> 15.1.1.4, Response from TDSP to Registration Notification Request  <b>Move-In</b> 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In)  <b>Customer Objection</b> 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 = <b>Day 0</b> 814_09 sent to ERCOT by Tuesday @ 1700 = <b>Day 1</b>	<b>Switch</b> 15.1.1.4, Response from TDSP to Registration Notification Request  <b>Move-In</b> 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In)  <b>Move-Out</b> 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

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 = <b>Day 0</b> 814_09 sent to ERCOT by Tuesday @ 1700 = <b>Day 1</b>	<b>Switch</b> 15.1.1.4, Response from TDSP to Registration Notification Request  <b>Move-In</b> 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In)  <b>Move-Out</b> 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 = <b>Hour 0</b> 814_09 sent to CR by Monday @ 1700 = <b>Hour 2</b>	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 = <b>Day 0</b> 814_11 reject sent to CR by Tuesday @ 1700 = <b>Day 1</b>	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 = <b>Day 0</b> 814_11 sent to CR by Tuesday @ 1700 = <b>Day 1</b>	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 = <b>Hour 0</b> 814_12 sent to TDSP by Monday @ 1700 = <b>Hour 2</b>	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 = <b>Day 0</b> 814_13 sent to ERCOT by Tuesday @ 1700 = <b>Day 1</b>	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 = <b>Day 0</b> 814_13 sent to ERCOT by Wednesday @ 1700 = <b>Day 2</b>	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 = <b>Hour 0</b> 814_13 sent to CR by Monday @ 1700 = <b>Hour 2</b>	15.1.7, Move-In or Move-Out Date Change



## SECTION 9 (D1): TRANSACTION TIMING MATRIX

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= <b>Day 0</b> 814_14 sent to POLR by Tuesday @ 1700 = <b>Day 1</b>	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	<b>EXCEPTION: Move-in that is invalid because of “Invalid ESI ID” requires 48 hours for ERCOT to reject.</b>	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	<b>EXCEPTION: Move-in that is invalid because of “Invalid ESI ID” requires 48 hours for ERCOT to reject.</b>	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 = <b>Day 0</b> 814_18 sent to CR by Tuesday @ 1700 = <b>Day 1</b>	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 = <b>Day 0</b> 814_18 sent to CR by Tuesday @ 1700 = <b>Day 1</b>	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 = <b>Day 0</b> 814_19 sent to CR by Tuesday @ 1700 = <b>Day 1</b>	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 = <b>Day 0</b> 814_19 sent to ERCOT by Tuesday @ 1700 = <b>Day 1</b>	15.1.9.1, Request to Initiate CSA
814_20, Create/Maintain/Retire ESI ID Request		TDSP	ERCOT	N/A		<b>Create</b> 15.4.1.4, New ESI ID Creation  <b>Maintain/Retire</b> 15.4.1.5, ESI ID Maintenance

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

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 = <b>Hour 0</b> 814_20 sent to CR by Monday @ 1200 = <b>Hour 4</b>	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 = <b>Hour 0</b> 814_20 sent to TDSP by Monday @ 1200 = <b>Hour 4</b>	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 = <b>Hour 0</b> 814_21 sent to TDSP by Monday @ 1600 = <b>Hour 1</b>	<b>Create</b> 15.4.1.4, New ESI ID Creation  <b>Maintain/Retire</b> 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 = <b>Day 0</b> 814_21 sent to ERCOT by Tuesday @ 1700 = <b>Day 1</b>	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	<b>EXAMPLE 1:</b> Move-out effectuating date is Wednesday, 6/10. 814_22 sent by <b>0800 on Monday, 6/8.</b> <b>EXAMPLE 2:</b> Move-out effectuating date is Monday, 7/10. 814_22 sent by <b>0800 on Thursday 7/5</b> (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 = <b>Day 0</b> 814_23 sent to ERCOT by Tuesday @ 1700 = <b>Day 1</b>	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 = <b>Hour 0</b> 814_24 sent to TDSP by Monday @ 1700 = <b>Hour 2</b>	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 = <b>Hour 0</b> 814_25 reject sent to CR by Monday @ 1700 = <b>Hour 2</b> <b>(EXCEPTION: “De-Energized ESI ID” requires 48 hours for ERCOT to reject.)</b>	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 = <b>Day 0</b> 814_25 sent to ERCOT by Wednesday @ 1700 = <b>Day 2</b>	15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

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 = <b>Hour 0</b> 814_25 sent to CR by Monday @ 1700 = <b>Hour 2</b>	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 = <b>Day 0</b> 814_26 sent to TDSP by Tuesday @ 1700 = <b>Day 1</b>	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 = <b>Day 0</b> 814_27 sent to ERCOT by Wednesday @ 1700 = <b>Day 2</b>	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 = <b>Day 0</b> 814_27 sent to CR by Tuesday @ 1700 = <b>Day 1</b>	15.1.1.2.2, Ad Hoc Requests for Historical Usage
814_28, Completed Unexecutable or Permit Required	Unexecutable	TDSP	ERCOT	N/A		<b><u>Move-In</u></b> 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In)  <b><u>Move-Out</u></b> 15.1.5.4, Response to Registration Notification Request/Service Termination from TDSP  <b><u>Completed Unexecutable</u></b> 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 = <b>Hour 0</b> 814_28 sent to CR by Monday @ 1700 = <b>Hour 2</b>	<b><u>Move-In</u></b> 15.1.4.4, Response to Registration Notification Request from TDSP (Move-In)  <b><u>Move-Out</u></b> 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 = <b>Day 0</b> 814_28 sent to ERCOT by Wednesday @ 1700 = <b>Day 2</b>	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 = <b>Hour 0</b> 814_28 sent to CR by Monday @ 1700 = <b>Hour 2</b>	15.1.4.4, Response to Registration Notification Request from TDSP (Move-In)

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

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 = <b>Day 0</b> 814_29 sent to ERCOT by Tuesday @ 1700 = <b>Day 1</b>	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 = <b>Hour 0</b> 814_29 sent to TDSP by Monday @ 1700 = <b>Hour 2</b>	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 = <b>Day 0</b> 867_02 sent to ERCOT by Wednesday @ 1700 = <b>Day 2</b>	<b>Switch</b> 15.1.1.2.1, Provision of Historical Usage with a Switch Request  <b>Ad Hoc</b> 15.1.1.2.2, Ad Hoc Requests for Historical Usage  <b>Move-In</b> 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 = <b>Hour 0</b> 867_02 sent to CR by Monday @ 1200 = <b>Hour 4</b>	<b>Switch</b> 15.1.1.2.1, Provision of Historical Usage with a Switch Request  <b>Ad Hoc</b> 15.1.1.2.2, Ad Hoc Requests for Historical Usage  <b>Move-In</b> 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 = <b>Hour 0</b> 867_03F sent to CR by Tuesday @ 0600 = <b>Hour 12</b>	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 = <b>Hour 0</b> 867_03 sent to CR by Monday @ 1200 = <b>Hour 4</b>	15.1.5.6, Completion of Move-Out Request and Effective Move-Out Date

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

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 = <b>Day 0</b> 867_03 sent to CR by Tuesday @ 1700 = <b>Day 1</b>	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 = <b>Hour 0</b> 867_04 sent to CR by Tuesday @ 0600 = <b>Hour 12</b>	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 = <b>Hour 0</b> 867_04 sent to CR by Monday @ 1200 = <b>Hour 4</b>	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 = <b>Hour 0</b> 867_04 sent to CR by Monday @ 1200 = <b>Hour 4</b>	15.1.5.6, Completion of Move-Out Request and Effective Move-Out Date

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix D2: 824, Application Advices, Reject Transaction Timing**

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## Appendix D2

### 824, Application Advices, Reject Transaction Timing

*Reference: Section 7.7.1, 824, Application Advices, Reject Transaction Timing*

Reject Code	Description	Reject Timing
008	Electric Service Identifier (ESI ID) exists but is not active.	ERCOT only. Within one Retail Business Day.
A13	Other	Reject upon verification not to exceed five Retail Business Days.
A76	ESI ID is not found.	Reject upon receipt if the ESI ID is invalid.
A83	Information provided was not supported in the Texas Standard Electronic Transaction (TX SET) Standards. This reject code is only used when a transaction fails TX SET validation.	Reject upon verification not to exceed five 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 five Retail Business Days.
ABN	Duplicate request received.	Reject upon verification not to exceed five Retail Business Days.
ABO	Corrected transaction received prior to cancellation or rejection transaction.	Reject upon verification not to exceed five 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 five 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 five Retail Business Days.
CAO	810 transaction cancel total amount does not equal original 810 transaction total amount.	Upon validation of the values in the 810 not to exceed five Retail Business Days.
CRI	The cross reference number on the 810 transaction does not match the cross reference number on an open 867 transaction, or the cross reference number provided on the 810 or 867 transaction cancel does not match the cross reference number on an open 867 transaction.	Upon validation of the cross references numbers in the file not to exceed five Retail Business Days.
D76	DUNS Number invalid or not found.	Reject upon verification not to exceed five Retail Business Days.

## SECTION 9 (D2): 824, APPLICATION ADVICES, REJECT TRANSACTION TIMING

<b>Reject Code</b>	<b>Description</b>	<b>Reject Timing</b>
DDM	Valid for 810 and 867 transactions. 810 transaction: The service period begin and end dates do not match the same dates on an open 867 transaction. 867 transaction: The service period dates do not match. The service period end date from the previous period does not match with the beginning date of current service period. There is a gap in service periods. For example, last read was August 27, and the first read was August 30. Additional Example - an invoice is received for the billing period of 8/1/2004 to 9/1/2004, but the corresponding 867_03, Monthly Usage, consumption start and end dates are 6/1/2004 to 9/1/2004	Reject upon verification not to exceed five Retail Business Days.
DIV	Date invalid. Valid date format: YYYYMMDD	Upon validation of the date format of the transaction not to exceed five Retail Business Days.
DNM	Dates not matched.	Upon validation of the dates within the transaction not to exceed five Retail Business Days.
I76	Invoice number invalid or missing.	Reject upon verification not to exceed five Retail Business Days.
IMI	Membership ID or an account number used by the Municipally Owned Utility (MOU) or Electric Cooperative (EC) does not exist, is inactive, or is otherwise invalid. For use by Market Participants operating in the MOU or EC territory only.	Reject upon verification not to exceed five Retail Business Days.
IMN	Meter number on 867_03 transaction does not match transactions (814_05, Switch/Move-In Response, or 814_20, Create/Maintain/Retire ESI ID Request).	Reject upon verification not to exceed five Retail Business Days.
INT	Interval data invalid or not found. Valid for 867 transaction.	Reject upon verification not to exceed five Retail Business Days.
MBW	Missed bill window. Used by the MOU or EC for consolidated billing.	Reject upon verification not to exceed five Retail Business Days.
MQM	Meter quantity mismatch. Meter information, unmetered device, or unmetered device quantity does not match maintenance transaction. 814_20 transaction does not match 867_03 or 810 transaction.	Reject upon verification not to exceed five Retail Business Days.
MRI	Incorrect meter role for ID type.	Reject upon verification not to exceed five Retail Business Days.
NLP	No late payment original invoice. Late payment charge does not reference an original 810 transaction received.	Upon determination that the late payment invoice does not match an existing invoice not to exceed five Retail Business Days.
PCO	Previously cancelled original. Original transaction reference number on a cancel references a previously cancelled 810 or 867 transaction.	Reject upon verification not to exceed five Retail Business Days.
PMC	Prior monthly charge. Invoice contains monies that were accrued from previous billing periods.	Reject upon verification not to exceed five Retail Business Days.
RDF	Read dates in future. Read dates on 867 transaction are in the future.	Upon receipt of the 867 not to exceed five Retail Business Days.



<b>Reject Code</b>	<b>Description</b>	<b>Reject Timing</b>
SSS	Service, Promotion, Allowance, or Charge Information (SAC) does not balance. SAC08, Rate, multiplied by SAC10, Quantity, does not equal SAC05, Amount.	Reject upon verification not to exceed five Retail Business Days.
SUM	Sum of details does not equal total. Valid for both the 810 and 867 transactions.	five Retail Business Days.
TOU	Incorrect Time of Use (TOU) Period.	Reject upon verification not to exceed five Retail Business Days.
TRC	Tariff rate code mismatch. The SAC04, Agency Service, Promotion, Allowance, or Charge Code, does not correspond with the correct amount of the tariff that relates to that code. Used on an 810 transaction only.	Upon determination that the tariff dollar amount is incorrect not to exceed five Retail Business Days.

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix E: Formal Transmission and/or Distribution Service Provider Invoice Dispute Process Communication**

November 1, 2010

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## Appendix E

### Formal Transmission and/or Distribution Service Provider Invoice Dispute Process Communication

Reference: Section 7.8.2, Guidelines for Notification of Invoice Dispute

ESI ID = Electric Service Identifier

CR = Competitive Retailer

TDSP = Transmission and/or Distribution Service Provider

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)	
	<b>CR Required Elements</b>																		
	<b>TDSP Response Fields</b>																		

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix F1: Retail Customer Transition Contact List**

November 1, 2010

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# Appendix F1

## Retail Customer Transition Contact List

*Sections 7.11.5.1.3, Transmission and/or Distribution Service Provider, 7.11.5.1.4, Provider of Last Resort or Designated Competitive Retailer, and 7.11.8, Transmission and/or Distribution Service Provider Electric Service Identifier Transition Roles and Responsibilities*

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

**Data Universal Numbering System (DUNS) Number:** \_\_\_\_\_

**Market Participant:** \_\_\_\_\_

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

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix F2: Timeline for Initiation of a Mass Transition on a Business Day not Prior to a Weekend or ERCOT Holiday**

November 1, 2010

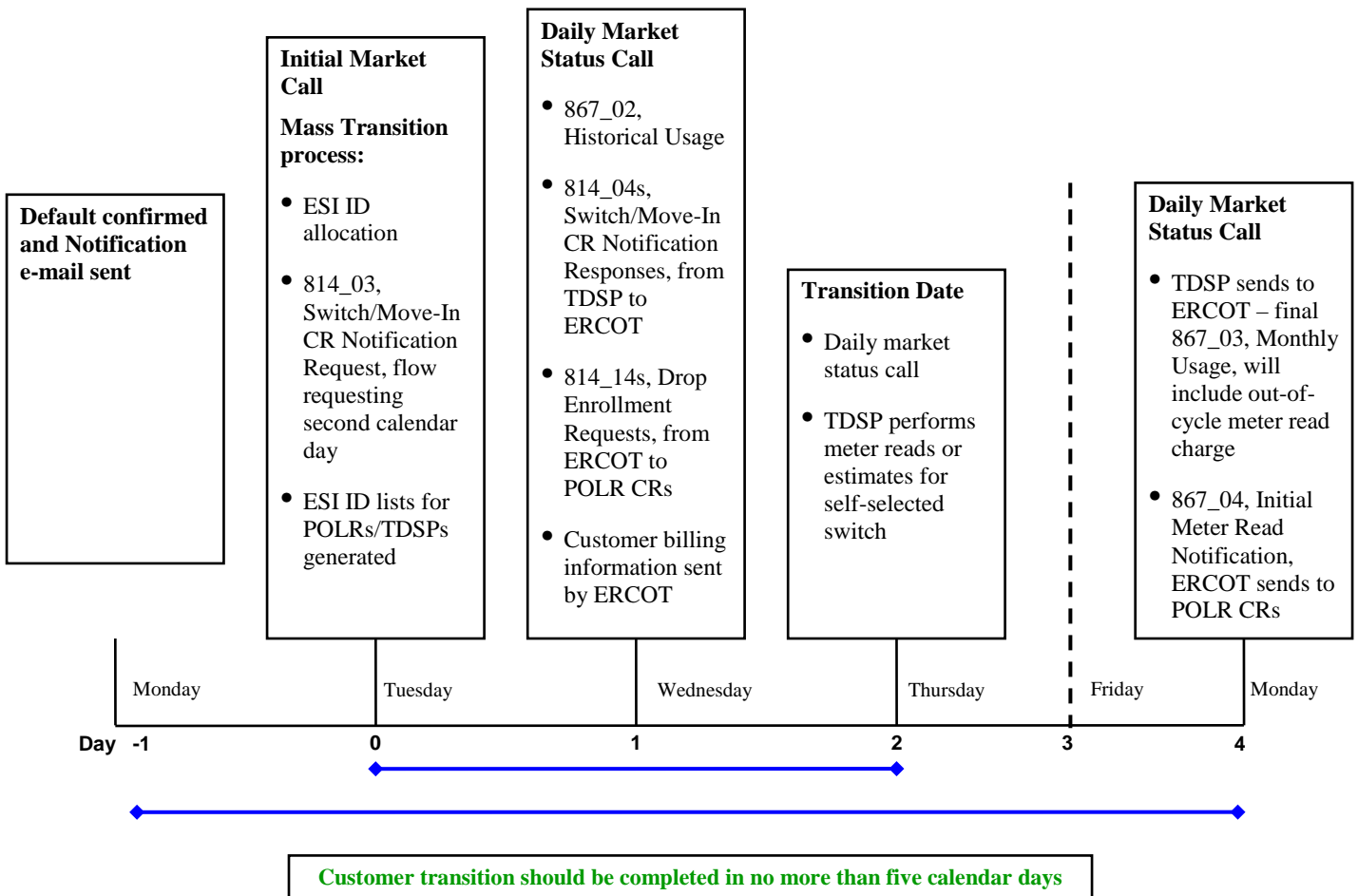
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## APPENDIX F2

### Mass Transition Timeline for Initiation of a Mass Transition on a Business Day not Prior to a Weekend or ERCOT Holiday

Reference: Section 7.11.2.1, Mass Transition Initiation on a Business Day not Prior to a Weekend or ERCOT Holiday

CR = Competitive Retailer  
 TDSP = Transmission and/or Distribution Service Provider  
 POLR = Provider of Last Resort  
 ESI ID = Electric Service Identifier



# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix F3: Timeline for Initiation of a Mass Transition on a Day Before a Weekend or an ERCOT Holiday**

November 1, 2010

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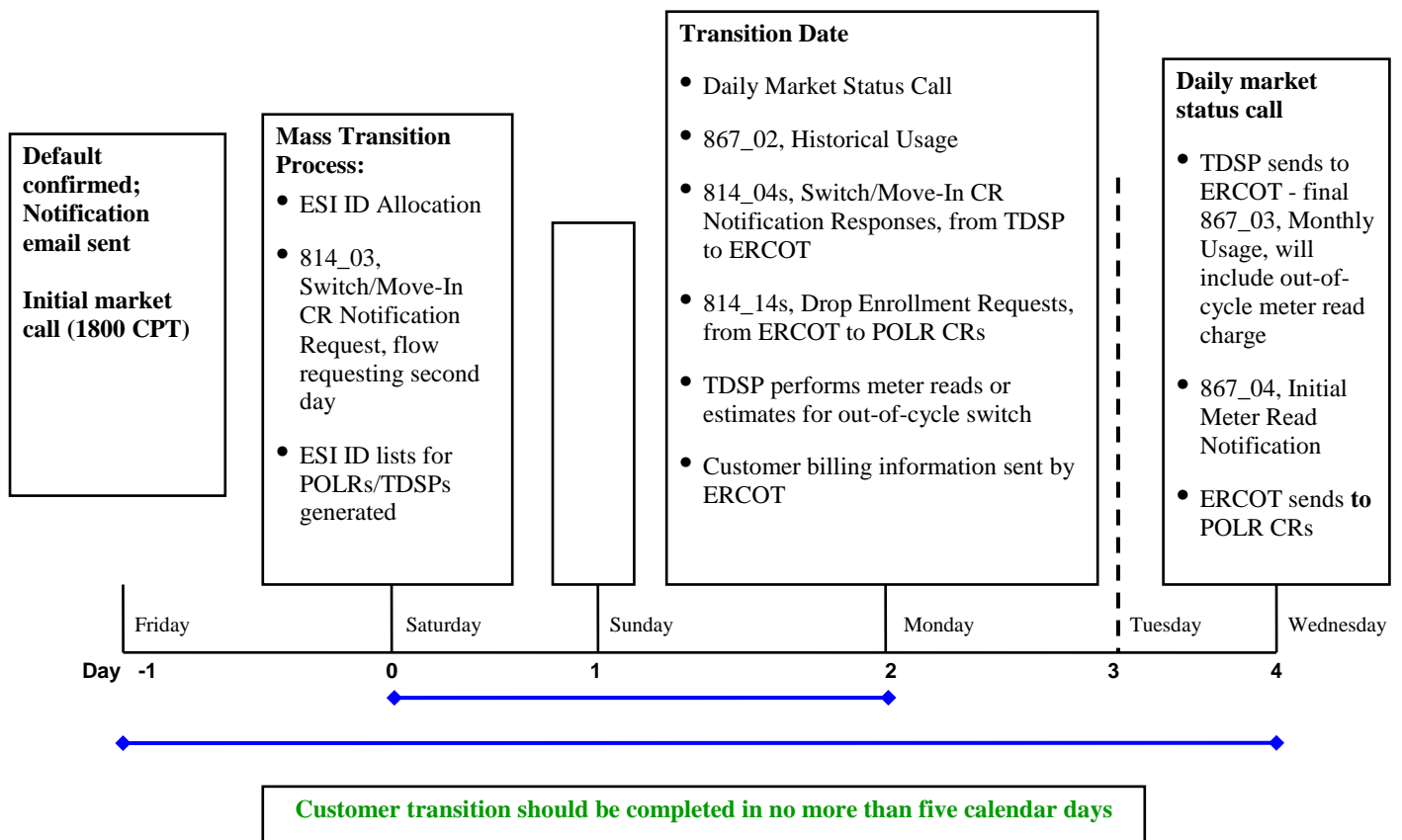


## Appendix F3

### Timeline for Initiation of a Mass Transition on a Day Before a Weekend or an ERCOT Holiday

Reference: Section 7.11.2.2, Mass Transition Initiation on a Business Day Prior to a Weekend or ERCOT Holiday

CR = Competitive Retailer  
 ESI ID = Electric Service Identifier  
 POLR = Provider of Last Resort  
 TDSP = Transmission and/or Distribution Service Provider



# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix F4: ERCOT Template – Electric Service Identifiers for Gaining Competitive Retailer/Transmission and/or Distribution Service Provider Use**

November 1, 2010

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## Appendix F4

### ERCOT Template – Electric Service Identifiers for Gaining Competitive Retailer/Transmission and/or Distribution Service Provider Use

*Reference: Section 7.11.5.1.2, ERCOT*

#### **Detailed Electric Service Identifier (ESI ID) List**

ERCOT e-mails this spreadsheet 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 e-mail will note the Losing CR Name and DUNS Number.

<b>Data Element</b>	<b>Definition</b>
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.

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix F5: ERCOT Template – Electric Service Identifiers for New Competitive Retailer with Pending Transactions**

November 1, 2010

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# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix F6: Customer Billing Contact Information**

November 1, 2010

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## Appendix F6

### Customer Billing Contact Information

*Reference: Sections 7.11.6.1, Flight Testing Submission of Customer Billing Contact Information, 7.11.6.2, Monthly Submission of Customer Billing Contact Information, 7.11.6.3, Submission of Customer Billing Contact Information During Mass Transition Event, and 7.11.6.3.1.2, Provision of Data to the Transmission and/or Distribution Service Providers*

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

## SECTION 9 (F6): CUSTOMER BILLING CONTACT INFORMATION

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
CR Data Universal Numbering System (DUNS) Number	Mandatory	Retail Electric Provider (REP) of record DUNS Number. This is the DUNS Number for the CR submitting Customer information file or used as the receiver when ERCOT is sending the Customer information during a Mass Transition event.	Numeric (9 or 13)

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

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
Record Type	Mandatory	Record Tag "DET."	Alpha numeric (3)
Record Number	Mandatory	The unique sequential record number starting with "1."	Numeric (8)
CR DUNS Number	Mandatory	REP of record DUNS Number. This is the DUNS Number for the CR submitting information during either file submission or the exiting CR in a Mass Transition event.	Numeric (9 or 13)
ESI ID Number	Mandatory	The basic identifier assigned to each Service Delivery Point (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)



<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
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)
E-mail 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.

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
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.

<b>Data Element</b>	<b>Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
Record Type	Mandatory	Record Tag “HDR.”	Alpha numeric (3)
Report Name	Mandatory	Mutually defined report definition. Hard Code “MTCRCustomerInformationERCOTResponse.”	Alpha numeric (80)
Original Report ID	Mandatory	Report ID as sent in the “MTCRCustomerInformation file.”	Alpha numeric (80)
CR DUNS Number	Mandatory	REP of record DUNS Number. This is the DUNS Number for the CR receiving this 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.

<b>Data Element</b>	<b>Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
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.

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
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.

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

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
Record Type	Mandatory	Record Tag “DET.”	Alpha numeric (3)
Record Number	Mandatory	The unique sequential record number starting with “1.”	Numeric (8)
CR DUNS Number	Mandatory	REP of record DUNS Number. This is the DUNS Number for the CR submitting information during either file submission or the exiting CR in a Mass Transition event.	Numeric (9 or 13)
ESI ID Number	Mandatory	The basic identifier assigned to each 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)

## SECTION 9 (F6): CUSTOMER BILLING CONTACT INFORMATION

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
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)
E-mail 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.

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
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.

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
Record Type	Mandatory	Record Tag "NDT."	Alpha numeric (3)
Record Number	Mandatory	The unique sequential record number starting with "1."	Numeric (8)
CR DUNS Number	Mandatory	REP of record DUNS Number.	Numeric (9 or 13)
ESI ID Number	Mandatory	The basic identifier assigned to each 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.

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
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)

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
		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.

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
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.

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
Record Type	Mandatory	Record Tag “DET.”	Alpha numeric (3)
Record Number	Mandatory	The unique sequential record number starting with “1.”	Numeric (8)
CR DUNS Number	Mandatory	REP of record DUNS Number. This is the DUNS Number for the exiting CR in a Mass Transition event.	Numeric (9 or 13)
ESI ID Number	Mandatory	The basic identifier assigned to each 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)

## SECTION 9 (F6): CUSTOMER BILLING CONTACT INFORMATION

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
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.

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
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.

<b>Data Element</b>	<b>Texas SET Mandatory / Optional</b>	<b>Comments</b>	<b>Format</b>
Record Type	Mandatory	Record Tag "NDT."	Alpha numeric (3)
Record Number	Mandatory	The unique sequential record number starting with "1."	Numeric (8)
CR DUNS Number	Mandatory	REP of record DUNS Number.	Numeric (9 or 13)



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||8883311111|||

NDT|1|123456789|1001001001005|No Information Provided

SUM|1|2|1

## (4) Output from ERCOT to TDSP

HDR|MTERCOT2TDSPCustomerInformation |200608300001|6666666666

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

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix G: ERCOT Specified File Format for Submission of Interval Data for Advanced Metering Systems**

November 1, 2010

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## Appendix G

### ERCOT Specified File Format for Submission of Interval Data for Advanced Metering Systems

*Reference: Sections 7.15.1, Ad Hoc Connectivity Test of Advanced Metering System Interval Data, 7.15.2, Submission of Interval Data on Electric Service Identifier(s) with Advanced Metering Systems, and 7.15.3, Posting Data to Transmission and/or Distribution Service Provider File Transfer Protocol Site*

(Same file layout used for Transmission and/or Distribution Service Providers (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.

SECTION 9 (G): ERCOT SPECIFIED FILE FORMAT FOR SUBMISSION OF INTERVAL DATA FOR ADVANCED METERING SYSTEMS

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 = 99999999999999.9999 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 = 99999999999999.9999 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 = 99999999999999.9999
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 = 99999999999999.9999
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 = 99999999999999.9999

SECTION 9 (G): ERCOT SPECIFIED FILE FORMAT FOR SUBMISSION OF INTERVAL DATA FOR ADVANCED METERING SYSTEMS

Element	Description	Mandatory / Optional	Valid Values	Comment	Format
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)

Element	Description	Mandatory / Optional	Valid Values	Comment	Format
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)

Element	Description	Mandatory / Optional	Valid Values	Comment	Format
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)

SECTION 9 (G): ERCOT SPECIFIED FILE FORMAT FOR SUBMISSION OF INTERVAL DATA FOR ADVANCED METERING SYSTEMS

Element	Description	Mandatory / Optional	Valid Values	Comment	Format
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.

SECTION 9 (G): ERCOT SPECIFIED FILE FORMAT FOR SUBMISSION OF INTERVAL DATA FOR ADVANCED METERING SYSTEMS

<b>Element</b>	<b>Description</b>	<b>Mandatory / Optional</b>	<b>Valid Values</b>	<b>Comment</b>	<b>Format</b>
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.



# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix H1: Interval Data Recorder (IDR) Meter Optional Removal Request Form**

November 1, 2010

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## Appendix H1

### Interval Data Recorder (IDR) Meter Optional Removal Request Form

*Reference: Sections 7.13.1.1, Customer Request for Removal of Interval Data Recorder Meter, and 7.13.1.2, Interval Data Recorder Optional Removal Request Form*

CR = Competitive Retailer

ESI ID = Electric Service Identifier

TDSP = Transmission and/or Distribution Service Provider

Interval Data Recorder (IDR) Meter Optional Removal Request Form									
	CR Name:						Color Key	Completed by CR	
	CR Contact Name & Phone Number:							Completed by TDSP	
	CR Contact E-mail Address								
	Date Request sent from CR to TDSP: MM/DD/YYYY								
	TDSP Name:								
	TDSP Contact Name & Phone Number:								
	TDSP Contact E-mail Address:								
A	Column B	C	Column D	Column E	Column F	Column G	Column H	Column I	Column J

SECTION 9 (H1): INTERVAL DATA RECORDER (IDR) OPTIONAL REMOVAL REQUEST FORM

##	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 H = Y (YES) provide Estimated Date of Meter Removal (acceptable format: MM/DD/YYYY)	*If Column H = 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							

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix H2: Interval Data Recorder (IDR) Meter Installation Request Form**

November 1, 2010

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## Appendix H2

### Interval Data Recorder (IDR) Meter Installation Request Form

*Reference: Section 7.13.2.2, Mandatory Interval Data Recorder Installation Process, and 7.13.2.4, Interval Data Recorder Installation Request Form*

CR = Competitive Retailer

ESI ID = Electric Service Identifier

TDSP = Transmission and/or Distribution Service Provider

Interval Data Recorder (IDR) Meter Installation Request Form										
CR Name and CR Data Universal Numbering System (DUNS):		<i>Color Key</i>					Completed by CR			
CR Contact Name & Telephone Number:							Completed by TDSP			
CR Contact E-mail Address										
Date Request sent from CR to TDSP: MM/DD/YYYY										
TDSP Name:										
TDSP Contact Name & Telephone Number:										
TDSP Contact E-mail Address:										
A	Column B	Column C	Column D	Column E	Column F	Column G	Column H	Column I	Column J	Column K

SECTION 9 (H2): INTERVAL DATA RECORDER (IDR) INSTALLATION REQUEST FORM

##	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 I = N (NO) All Supporting Evidence is Attached (Y/N)
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix I: Door Hanger - Sample of Transmission and/or Distribution Service Provider's Minimum Standard Language for Notification of Denial of Access**

November 1, 2010

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## Appendix I

### **Door Hanger - Sample of Transmission and/or Distribution Service Provider's Minimum Standard Language for Notification of Denial of Access**

*Reference: Section 7.12.3, Estimation Based on Denial of Access*

### **Transmission and/or Distribution Service Providers (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 (REP) 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 (“TDSP name”) >>
- (3) Relocate the meter base and service point at your expense (requires coordination with your electrician and << (“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 (PUCT) requires an actual meter reading for billing, and prohibits estimating a meter reading for more than three consecutive months.**



# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix J1: Transmission and/or Distribution Service Provider Daily Switch Hold List**

**April 1, 2011**

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## Appendix J 1

### Transmission and/or Distribution Service Provider Daily Switch Hold List

*Reference: Section 7.16.3, Transmission and/or Distribution Service Provider Switch Hold Notification for Meter Tampering*

#### File Content

The switch hold files shall include the required Electric Service Identifiers (ESI IDs) of any appropriate account currently on switch hold.

#### File Naming Conventions

List	Naming Convention (Example)
TDSP Switch Hold (All Inclusive)	<TDSPDUNS><“SWITCHHOLD”><MMDDYYYY>.txt 999999999SWITCHHOLD07022010.txt
TDSP Switch Hold (REP Specific)	<TDSPDUNS><“SWITCHHOLD”><REPDUNS><MMDDYYYY>.txt 999999999SWITCHHOLD11111111107022010.txt

#### File Format

**Note:** File format will be used for both the daily master list and the daily Retail Electric Provider (REP) specific list.

Element	Description	Mandatory / Optional	Valid Values	Comment	Format
Header Row One					
1	ESI ID	Mandatory			Alphanumeric (64)
2	Switch Hold Start Date	Mandatory			YYYYMMDD (8)

#### Examples:

11257785415097776,20100727

11257785423493599,20100701

11257785468711075,20100709

11257785476930287,20100727

11257785485934343,20100727

11257785492738952,20100728

11257785493185368,20100729

**[RMGRR096: Replace Appendix J1, Transmission and/or Distribution Service Provider Daily Switch Hold List, with the following on June 1, 2011:]**

## Appendix J 1

### Transmission and/or Distribution Service Provider Daily Switch Hold List

*Reference: Sections 7.16.3, Transmission and/or Distribution Service Provider Switch Hold Notification for Meter Tampering, and 7.17.2, Transmission and/or Distribution Service Provider Switch Hold Notification for Deferred Payment Plan*

#### File Content

The switch hold files shall include the required Electric Service Identifiers (ESI IDs) of any appropriate account currently on switch hold for either meter tampering or payment plan reason.

#### File Naming Conventions

List	Naming Convention (Example)
TDSP Switch Hold (All Inclusive)	<TDSPDUNS><“SWITCHHOLD”><MMDDYYYY>.txt 999999999SWITCHHOLD07022010.txt
TDSP Switch Hold (REP Specific)	<TDSPDUNS><“SWITCHHOLD”><REPDUNS><MMDDYYYY>.txt 999999999SWITCHHOLD11111111107022010.txt

#### File Format

**Note:** File format will be used for both the daily master list and the daily Retail Electric Provider (REP) specific list.

Element	Description	Mandatory / Optional	Valid Values	Comment	Format
Header Row One					
1	ESI ID	Mandatory			Alphanumeric (64)
2	Switch Hold Start Date	Mandatory			YYYYMMDD (8)

#### Examples:

11257785415097776,20100727

11257785423493599,20100701

11257785468711075,20100709

11257785476930287,20100727

11257785485934343,20100727

11257785492738952,20100728

11257785493185368,20100729

# ERCOT Retail Market Guide

## Section 9: Appendices

### **Appendix J2: New Occupant Statement**

November 1, 2010

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## Appendix J2

### New Occupant Statement

*Reference: Section 7.16.4.3.2, Steps for Removal of a Switch Hold for Purposes of a Move-in*

ESI ID = Electric Service Identifier

**Note:** New Occupant Statement must be accompanied by at least one of the following documents: (1) copy of signed lease; (2) affidavit of landlord; (3) closing documents; (4) certificate of occupancy; or (5) utility bill in Customer's name dated within last two months from a different Premise.

---

ESI ID Number \_\_\_\_\_

Service Address \_\_\_\_\_

City, State, Zip Code \_\_\_\_\_

Occupancy Date \_\_\_\_\_

Mailing Address \_\_\_\_\_

City, State, Zip Code \_\_\_\_\_

Telephone Number \_\_\_\_\_

---

#### AUTHORIZATION

I affirm that I am a new occupant to the above Service Address and I am not associated with the preceding occupant.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Name, printed)

# ERCOT Retail Market Guide

## Section 9: Appendices

### Appendix K: Transmission and/or Distribution Service Provider Daily Critical Care and Secondary Contact List

**January 1, 2011**

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## Appendix K

### **Transmission and/or Distribution Service Provider Daily Critical Care and Secondary Contact List**

*Reference: Section 7.10.1, Transmission and/or Distribution Service Provider Communication of Critical Care Status and Secondary Contact Information*

CCC = Critical Care Residential Customer

CCCT = Critical Care Residential Customer (Temporary)

CRC = Chronic Condition Residential Customer

CRCT = Chronic Condition Residential Customer (Temporary)

ESI ID = Electric Service Identifier

Element	Description	Mandatory / Optional	Valid Values	Format
1	ESI ID	Mandatory		Alphanumeric (64)
2	Special Needs Status	Mandatory	CCC, CRC, CCCT or CRCT	Alphanumeric (80)
3	Secondary Contact Name	Optional		Alphanumeric (80)
4	Secondary Contact Address	Optional		Alphanumeric (55)
5	Secondary Contact Address Overflow	Optional		Alphanumeric (55)
6	Secondary Contact City	Optional		Alphanumeric (30)
7	Secondary Contact State	Optional		ID 2
8	Secondary Contact Zip Code	Optional		ID 15
9	Secondary Contact Primary Phone	Optional		Alphanumeric (80)
10	Secondary Contact Other Phone	Optional		Alphanumeric (80)
11	Expiration Date	Optional		CCYYMMDD (8)

***[RMGRR092: Delete Appendix K, Transmission and/or Distribution Service Provider Daily Critical Care and Secondary Contact List, upon implementation of Texas Standard***



*Electronic Transaction (TX SET) version 4.0.]*

ERCOT Retail Market Guide  
Section 10: Competitive Metering

April 1, 2011

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## 10 COMPETITIVE METERING

### 10.1 Overview of Competitive Metering

- (1) This Section 10, Competitive Metering, defines the standards, specifications, procedures and practices for competitively owned meters.
- (2) This Section 10 provides details required to clarify the language in the ERCOT Protocols that affect competitive metering.

### 10.2 Roles and Responsibilities of Market Participants

The roles and responsibilities of Market Participants as they relate to competitive meter ownership are described in this Section.

#### 10.2.1 *Customer*

Customer roles and responsibilities include but are not limited to:

- (a) Choosing whether to own or authorize a third party (Customer's agent) to own a competitive meter for the Customer's Electric Service Identifier (ESI ID);
- (b) Entering into an Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the Transmission and/or Distribution Service Provider (TDSP) for a competitively owned meter or executing the Competitive Metering Letter of Agency with a third party to act on the Customer's behalf;
- (c) Initiating the process to have meters added to the Qualified Competitive Meter List posted on the ERCOT website;
- (d) Providing a meter to the TDSP that meets the desired functionality and is on the Qualified Competitive Meter List;
- (e) Submitting the Texas Meter Information (TMI) Form requesting meter information for the ESI ID that qualifies for competitive meter ownership;
- (f) Requesting installation and/or removal of a competitively owned meter; and
- (g) Charges for construction services that the Customer or Customer's agent requests in accordance with the TDSP approved tariffs.

#### 10.2.2 *Competitive Retailer Associated with an Electric Service Identifier*

Competitive Retailer (CR) roles and responsibilities include but are not limited to:

- (a) Initiating a meter test request to the TDSP on behalf of the Customer;

- (b) Charges for services provided in accordance with the TDSP approved tariffs; and
- (c) Upon agreement with the Customer or Customer's agent, requesting installation and/or removal of a competitively owned meter.

### **10.2.3 Competitive Meter Owner**

Competitive meter owner roles and responsibilities include but are not limited to:

- (a) Perform competitive meter ownership duties authorized by the Customer;
- (b) Provide meter owner information required by the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters; and
- (c) Sign the acknowledgement portion of the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.

### **10.2.4 Transmission and/or Distribution Service Provider**

TDSP roles and responsibilities include but are not limited to:

- (a) Providing metering services relating to installation and removal, maintenance, testing and calibration, data collection and data management as required for TDSP billing and Settlement, including the transfer of meter data to the Settlement agent;
- (b) Securing the data used for Settlement and TDSP billing and maintaining the meter programming password capable of altering such billing parameters;
- (c) Making recommendations for approval or removal of meters on the Qualified Competitive Meter List;
- (d) Completing the TDSP sections of the Texas Meter Information (TMI) and the Texas Meter Access (TMA) forms in response to inquiries;
- (e) Providing a competitive metering service credit to the CR of a Customer that selects a meter owner other than the TDSP per Public Utility Commission of Texas (PUCT) approved tariffs;
- (f) Safeguarding a competitively owned meter; and
- (g) Entering into an Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the Customer or Customer's agent for a competitively owned meter.

### **10.2.5** *Electric Reliability Council of Texas*

ERCOT roles and responsibilities include but are not limited to:

- (a) Processing the required forms;
- (b) Maintaining the Qualified Competitive Meter List posted on the ERCOT website; and
- (c) Maintaining the ERCOT Competitive Metering web page.

### **10.2.6** *Public Utility Commission of Texas*

PUCT roles and responsibilities include but are not limited to:

- (a) Providing general oversight of the competitive metering market; and
- (b) Ultimately handling dispute resolution for competitive metering.

## **10.3** **Competitively Owned Meter Installation Overview**

The following is a checklist for installation of a competitively owned meter:

- (a) Request meter information for an existing Electric Service Identifier (ESI ID) or new Premise (see Section 10.4, Meter Information Requests);
- (b) Select a meter (see Section 10.5, Meter Selection);
- (c) Execute the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the Transmission and/or Distribution Service Provider (TDSP) (see Section 10.7.3, Notification Requirements);
- (d) Provide the meter and programming specifications to the TDSP (see Section 10.6, Programming Specifications for Solid State Devices); and
- (e) TDSP installs competitively owned meter (see Section 10.7, Installation of a Competitively Owned Meter).

## **10.4** **Meter Information Requests**

The purpose of the meter information request is to provide the Customer or Customer's agent with the minimum requirements that competitively owned meter(s) must satisfy for each specific metering point at an existing Electric Service Identifier (ESI ID) or new Premise. This is a manual process using a market approved standardized form known as the Texas Meter Information (TMI) Form.

### **10.4.1 Initial Inquiry**

- (1) The Customer or Customer's agent completes the "Contact Information" section of the Texas Meter Information (TMI) Form and submits the form, via e-mail, to the Transmission and/or Distribution Service Provider (TDSP) contact. The Texas Meter Information (TMI) Form and a link to each TDSP's competitive metering contact are located on the ERCOT website.
- (2) A signed Competitive Metering Letter of Agency must accompany the e-mailed Texas Meter Information (TMI) Form, if the request is submitted by anyone other than the Customer.

### **10.4.2 Transmission and/or Distribution Service Provider Response**

Upon receipt of the Texas Meter Information (TMI) Form (and Competitive Metering Letter of Agency if applicable), the TDSP is responsible for the following:

- (a) Completing the "TDSP Information" and "Minimum Meter Replacement Requirements" sections of the form; and
- (b) Returning the form, via e-mail, to the Customer or Customer's agent within ten Business Days of the date/time stamp on the sender's e-mail.

## **10.5 Meter Selection**

- (1) The Customer or Customer's agent is responsible for selecting and purchasing a meter from the Qualified Competitive Meter List that meets the "Minimum Meter Replacement Requirements" section of the Texas Meter Information (TMI) Form as completed by the Transmission and/or Distribution Service Provider (TDSP). A meter must be on the Qualified Competitive Meter List to be installed as a competitively owned meter.
- (2) If a Customer would like to select a meter that is not on the current Qualified Competitive Meter List, see Section 10.13, Meter Approval Process.
- (3) The Qualified Competitive Meter List is available on the ERCOT website.

## **10.6 Programming Specifications for Solid State Devices**

### **10.6.1 Customer Programming Specifications**

- (1) The Customer or Customer's agent shall provide data requirements to the Transmission and/or Distribution Service Provider (TDSP) for programming a competitively owned meter. The Customer or Customer's agent has the responsibility to ensure that the meter functionality supports the requested data requirements.



- (2) The TDSP will program any competitively owned meter to obtain the appropriate TDSP billing and settlement determinants (TDSP standard program).
- (3) The TDSP will customize the meter program to support additional functions as requested by the Customer or Customer's agent. If the meter functionality does not allow these items to be programmed separately from TDSP billing determinants, the Customer or Customer's agent will specify the data and functionality requirements by providing one of the following to the TDSP:
  - (a) Check off sheet listing detailed information for functionality requested, including channel designation (manufacturer program printout); or
  - (b) Electronic file generated from the manufacturer's software.
- (4) The TDSP will proceed with the meter installation request unless the Customer or Customer's agent requests to verify the meter program prior to installation.
- (5) If the Customer or Customer's agent requests to verify the meter program, the request shall be submitted along with the data requirements to the TDSP. The TDSP will:
  - (a) Print out the meter program, if the manufacturer's software supports this functionality, and send the meter program to the Customer or Customer's agent; or
  - (b) Notify the Customer or Customer's agent, via e-mail, if the manufacturer's software does not support the functionality to print the meter program, as requested.
- (6) The TDSP will continue processing the meter installation request within seven Business Days unless notified by the Customer or Customer's agent, via e-mail, not to proceed with the meter installation request.

#### ***10.6.2 Number of Interval Data Recorder Channels to Program Into a Meter***

- (1) The maximum number of channels that can be programmed into the Interval Data Recorder (IDR) is 16, which includes TDSP billing and settlement channels.
- (2) The minimum number of channels required by the TDSP will be based on the TDSP billing and settlement determinants.
- (3) The remaining channels, up to the maximum allowable as specified in this Section 10, Competitive Metering, are available to the Customer.
- (4) The maximum allowable number of IDR channels for a meter may be limited by the requirement to maintain a data storage capacity of 45 days per channel.
- (5) The current TDSP billing intervals and Settlement Intervals are based on a 15 minute interval.

### **10.6.3 *Transmission and/or Distribution Service Provider Billing and Settlement Determinants***

- (1) TDSP billing and settlement determinants are determined by the applicable TDSP tariffs.
- (2) Only TDSP billing and Settlement data will be sent to ERCOT by the TDSP.

### **10.6.4 *Competitive Retailer Billing Requirements***

The Customer or Customer's agent must ensure that current Competitive Retailer (CR) billing requirements are maintained when requesting competitive meter ownership and supplying programming specifications to the TDSP.

### **10.6.5 *Other Programming Requirements***

- (1) TDSP additional requirements other than TDSP billing and settlement determinants for a specific meter will be communicated to the Customer or Customer's agent during the initial inquiry.
- (2) The Customer or Customer's agent shall, at a minimum, maintain the meter functionality presently installed and necessary to maintain meter reading requirements, safety and reliability of the TDSP's electrical system.

## **10.7 *Installation of a Competitively Owned Meter***

This Section covers the minimum required procedures that must be followed when installing a competitively owned meter, but is not intended to address all contingencies involved with this process.

### **10.7.1 *Existing Service with Meter Installed***

- (1) After receiving the completed Texas Meter Information (TMI) Form, via e-mail, from the Transmission and/or Distribution Service Provider (TDSP), the Customer or Customer's agent will have 60 days to execute a signed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the TDSP requesting meter ownership. If an Agreement for Meter Ownership and/or Access for Non-Company Owned Meters is not executed within 60 days, the Customer or Customer's agent will be required to restart the process by obtaining and submitting a new Texas Meter Information (TMI) Form.
- (2) The Agreement for Meter Ownership and/or Access for Non-Company Owned Meters is part of the TDSP tariffs and can be obtained from the ERCOT website.
- (3) The Customer or Customer's agent has the responsibility of shipping the following items together to the address specified in the executed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters:

- 
- (a) Meter(s) listed on the Qualified Competitive Meter List;
  - (b) Data requirements for TDSP programming of each meter; and
  - (c) Completed Texas Meter Information (TMI) Form for each Electric Service Identifier (ESI ID) where meter ownership is being requested. The Customer or Customer's agent shall specify which existing meter, by serial number, will be replaced by each competitively owned meter, by serial number.
- (4) The TDSP has the responsibility of performing acceptance testing for every meter received, unless the manufacturer's certified test results are provided and the TDSP accepts such manufacturer's certified test results.
- (a) If the meter test is acceptable (passed):
    - (i) The TDSP shall confirm, via e-mail, to the Customer or Customer's agent within five Business Days of test acceptance that the meter is ready for installation.
    - (ii) The Customer or Customer's agent will confirm site communication readiness with the TDSP via e-mail.
    - (iii) Once site readiness has been confirmed, the TDSP will replace the TDSP owned meter with the competitively owned meter.
    - (iv) If the Customer has executed the "Data Access" section of the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters, the TDSP will provide site specific information for the new meter via e-mail on the Texas Meter Access (TMA) Form, within ten Business Days after installation of the competitively owned meter.
  - (b) If the meter test is unacceptable (failed):
    - (i) The TDSP will e-mail a completed Meter Test Results/Removal (MTR) Form to the Customer or Customer's agent within five Business Days of the meter test.
    - (ii) The TDSP will return the meter to the meter owner in accordance with instructions provided in the executed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.
    - (iii) The Customer or Customer's agent will be responsible for providing a qualified replacement meter, with the appropriate documentation as described in paragraph (3) above, within 90 days of the TDSP returning the failed meter or any other agreed upon date between the TDSP and the Customer or Customer's agent.
    - (iv) If a qualified replacement meter has not been received by the TDSP within the 90 days, the Customer or Customer's agent shall reinitiate the process

as outlined in Section 10.3, Competitively Owned Meter Installation Overview.

### **10.7.2 New Service (Construction) with No Meter Installed**

The Customer or Customer's agent is responsible for coordinating the installation of a competitively owned meter with the Customer's request to energize service. If a competitively owned meter is not available to facilitate the Customer's request to energize the service the TDSP will install a TDSP owned meter.

- (a) After receiving the completed Texas Meter Information (TMI) Form via e-mail from the TDSP, the Customer or Customer's agent will have 60 days to execute a signed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the TDSP requesting meter ownership. If an Agreement for Meter Ownership and/or Access for Non-Company Owned Meters is not executed within 60 days, the Customer or Customer's agent will be required to restart the process by obtaining and submitting a new Texas Meter Information (TMI) Form.
- (b) The Agreement for Meter Ownership and/or Access for Non-Company Owned Meters is part of the TDSP tariffs and can be obtained from the ERCOT website.
- (c) The Customer or Customer's agent has the responsibility of shipping the following items together to the address specified in the executed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters:
  - (i) Meter(s) listed on the Qualified Competitive Meter List 45 days prior to the requested date for connection of electrical service to the ESI ID;
  - (ii) Data requirements for TDSP programming of each meter; and
  - (iii) Completed Texas Meter Information (TMI) Form for each ESI ID or Service Address where meter ownership is being requested. The Customer or Customer's agent shall specify the detailed physical location for each competitively owned meter by serial number.
- (d) The TDSP has the responsibility of performing acceptance testing for every meter received, unless the manufacturer's certified test results are provided and the TDSP accepts such manufacturer's certified test results.
  - (i) If the meter test is acceptable (passed):
    - (A) The TDSP shall confirm, via e-mail, to the Customer or Customer's agent within five Business Days of test acceptance that the meter is ready for installation.
    - (B) The Customer or Customer's agent will confirm site communication readiness with the TDSP, via e-mail.

- (C) The Customer or Customer's agent shall notify the TDSP, via e-mail, of the Customer's requested move-in date.
  - (D) The TDSP will make all reasonable efforts to schedule the competitively owned meter installation according to the date requested.
  - (E) If the Customer has executed the "Data Access" section of the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters, the TDSP will provide site specific information for the new meter, via e-mail, on the Texas Meter Access (TMA) Form, within ten Business Days after installation of the competitively owned meter.
- (ii) If the meter test is unacceptable (failed):
- (A) The TDSP will e-mail a completed Meter Test Results/Removal (MTR) Form to the Customer or Customer's agent within five Business Days of the meter test.
  - (B) The TDSP will return the meter to the meter owner in accordance with the instructions provided in the executed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.
  - (C) The Customer or Customer's agent will be responsible for providing a qualified replacement meter, with the appropriate documentation as described in paragraph (c) above, within 90 days of the TDSP returning the failed meter or a mutually agreed upon date between the TDSP and the Customer or Customer's agent.
  - (D) If a competitively owned meter is not available for the installation, the Customer may choose to cancel the request to energize service through the Customer's chosen Competitive Retailer (CR) (move-in request); otherwise the TDSP will install a TDSP owned meter to comply with the Move-In Request. If a TDSP owned meter is installed and the Customer still wants to have a competitively owned meter installed, follow the process beginning at paragraph (3) of Section 10.7.1, Existing Service with Meter Installed.

### **10.7.3 Notification Requirements**

The Notification requirements for a competitively owned meter installation are outlined below:

- (a) Texas Meter Information (TMI) Form
  - (i) The Texas Meter Information (TMI) Form is used to request site specific parameters and specifications for competitive meter ownership.

- (ii) The Customer or Customer's agent shall initiate the Texas Meter Information (TMI) Form. The Customer or Customer's agent is responsible for completing the "Contact Information" section of the Texas Meter Information (TMI) Form and sending the completed form to the TDSP via e-mail.
  - (iii) The TDSP shall return, via e-mail, the completed Texas Meter Information (TMI) Form to the initiating party within ten Business Days of the date/time stamp on the sender's e-mail.
- (b) Agreement for Meter Ownership and/or Access for Non-Company Owned Meters
- (i) The Agreement for Meter Ownership and/or Access for Non-Company Owned Meters is between the Customer and the TDSP. The Agreement for Meter Ownership and/or Access for Non-Company Owned Meters is initiated by the Customer or Customer's agent and mailed to the TDSP. Upon execution by the TDSP, the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters will be returned to the Customer or Customer's agent for their records.
  - (ii) The Customer, Customer's agent and meter owner, as applicable, and the TDSP will be responsible for completing the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters and providing the appropriate signatures where required.
- (c) Meter Test Results/Removal (MTR) Form
- (i) The Meter Test Results/Removal (MTR) Form is submitted, via e-mail, to the Customer or Customer's agent, in the event the initial meter test results are unacceptable (failed).
- (d) Texas Meter Access (TMA) Form
- (i) The Texas Meter Access (TMA) Form is used to allow the Customer or Customer's agent meter access following installation of a competitively owned meter. Release of this information requires completion of the "Data Access" section of the executed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters between the Customer or Customer's agent and the TDSP.
  - (ii) The Texas Meter Access (TMA) Form is completed by the TDSP and e-mailed to the Customer or Customer's agent, if applicable, within ten Business Days following the successful installation of a competitively owned meter. The Texas Meter Access (TMA) Form provides site-specific parameters, which may include read-only passwords and communication information.

- (e) The TDSP is responsible for submitting the appropriate Texas Standard Electronic Transaction (TX SET) to notify the market.

#### ***10.7.4 One Electric Service Identifier with Multiple Meters***

If a Customer's ESI ID involves the use of multiple meters and the Customer chooses to have one or more meters competitively owned at that ESI ID, then the number of meters that must be competitively owned and the associated meter credit for the ESI ID shall be based on the TDSP tariffs.

### **10.8 Meter Testing and Calibration**

#### ***10.8.1 Accuracy Limits***

At a minimum, meters shall comply with the test calibration limits set by the American National Standards Institute (ANSI). In addition, where a Transmission and/or Distribution Service Provider (TDSP) has established more stringent accuracy limits within its service territory, all meters shall comply with these accuracy limits. Whenever a meter is tested and found to be outside these TDSP accuracy limits, it shall be adjusted or replaced.

#### ***10.8.2 Test Schedules***

The test schedule for all types of in-service meters shall conform to the latest edition of ANSI Standard C12, Code for Electricity Metering. Within each TDSP service territory, meter test schedules have been established to ensure that all meters adhere to these standards. All competitively owned meters will adhere to the test schedule for in-service meters of the TDSP service territory where they are installed.

#### ***10.8.3 Meter Records***

##### **10.8.3.1 Meter Equipment Record**

Each TDSP shall keep a record of all competitively owned meters in its service territory, maintaining the Customer and meter owner's contact information.

##### **10.8.3.2 Records of Meter Tests**

Test records for a competitively owned meter shall be maintained by the TDSP according to Public Utility Commission of Texas (PUCT) Substantive Rules.

#### **10.8.4**     *Transmission and/or Distribution Service Provider Calibration*

- (1) If a competitively owned meter is found to be outside the TDSP's accuracy limits, the TDSP will attempt to calibrate the meter.
- (2) If the TDSP calibrates the meter, it shall be adjusted as closely as practicable to the condition of zero error.
- (3) If the TDSP is unable to calibrate the meter within accuracy limits, the TDSP will remove the meter, replace it with a properly functioning TDSP meter, and return the competitively owned meter as detailed in the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.

#### **10.8.5**     *Notification Requirements*

Upon request of a meter test for an in-service competitively owned meter, the TDSP will send the meter test results to the requestor and the Competitive Retailer (CR).

### **10.9**     **Removal of a Competitively Owned Meter**

#### **10.9.1**     *Removal Requests to the Transmission and/or Distribution Service Provider*

The Transmission and/or Distribution Service Provider (TDSP) will remove a competitively owned meter:

- (a) Upon request by the Customer or Customer's agent, via e-mail, for an energized service;
- (b) Upon request, via e-mail, by the meter owner for a de-energized service;
- (c) Upon request by a Competitive Retailer (CR) for the installation of an Interval Data Recorder (IDR) Meter to meet Protocol requirements;
  - (i) Such CR request shall include the Customer's intention to have a competitively owned meter or a TDSP owned meter installed.
  - (ii) If a competitively owned meter is to be installed, the Customer or Customer's agent shall submit a Texas Meter Information (TMI) Form to the TDSP within 15 days of the CR request and follow the process to have a competitively owned meter installed.
  - (iii) The TDSP shall install a TDSP owned meter if they have not received a competitively owned meter within 60 days of the CR's request; or



- (d) Upon TDSP Notification to the Customer that metering requirements have changed based on TDSP rate classifications and the current meter does not support the required functionality;
  - (i) The Customer shall inform the TDSP of the Customer's intention to have the current meter reprogrammed to support the required functionality, a new competitively owned meter installed or a TDSP owned meter installed.
  - (ii) If a competitively owned meter is to be installed, the Customer or Customer's agent shall submit a Texas Meter Information (TMI) Form to the TDSP within 15 days of the TDSP Notification and follow the process to have a competitively owned meter installed or supply information that the current meter will support the required changes.
  - (iii) The TDSP shall install a TDSP owned meter if they have not received a competitively owned meter or programming information for the existing meter within 60 days of the Notification to the Customer.

#### **10.9.2 Removal Prior to Energization**

The TDSP shall remove a competitively owned meter when it receives a request to energize a service unless the TDSP has executed an Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the new Customer or Customer's agent for that specific meter.

#### **10.9.3 Replacing Defective Equipment**

- (1) TDSP will remove any meter found to be unsafe, defective, or damaged.
- (2) The TDSP will remove any meter that fails to meet TDSP accuracy limits and the TDSP is unable to calibrate.
- (3) The TDSP shall install a replacement TDSP owned meter capable of providing the data necessary for TDSP billing and for Settlement.
- (4) The defective or damaged competitively owned meter will be returned to the meter owner, according to the terms stated in the signed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.

#### **10.9.4 Notification Requirements**

It is the responsibility of the TDSP to notify the Customer and meter owner of the reason for removal of a competitively owned meter.

- (a) The Meter Test Results/Removal (MTR) Form will be e-mailed to the Customer and meter owner providing meter removal information.
- (b) The TDSP is responsible for submitting the appropriate Texas Standard Electronic Transaction (TX SET) to notify the market.

#### **10.9.5 Customer Requests to Return to Transmission and/or Distribution Service Provider Owned Meter**

The Customer or Customer's agent may request to have a competitively owned meter removed and a TDSP owned meter installed.

#### **10.9.6 Safeguarding Meters**

- (1) Upon removal of a competitively owned meter, the TDSP shall take reasonable measures to safeguard the meter until the earlier of:
  - (a) The date the meter owner takes possession of the meter, or
  - (b) 60 days from the date of removal of the meter.
- (2) If the meter owner fails to take possession of the meter within 60 days or upon 30 days of the return of the meter that was shipped cash on delivery (COD), the TDSP is no longer responsible for safeguarding the meter and may dispose of it in any manner the TDSP deems appropriate.

#### **10.9.7 Returning Meters**

The TDSP will return the competitively owned meter according to the terms of the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.

### **10.10 Customer or Third Party Access to the Meter**

#### **10.10.1 Data Access**

The Customer or Customer's agent shall have the right to access meter data related to the Premise occupied by that Customer.

## **10.10.2 Passwords**

### **10.10.2.1 Programming Passwords for Transmission and/or Distribution Service Provider Billing and Settlement Determinants**

The Transmission and/or Distribution Service Provider (TDSP) has sole responsibility for maintaining the meter programming password that can be used to alter any TDSP billing and settlement determinants. No Entity other than the TDSP shall have the right, capability, or meter programming password to alter the data collected by the meter for the purpose of TDSP billing.

### **10.10.2.2 Programming Passwords for non-Transmission and/or Distribution Service Provider Billing and Settlement Determinants**

- (1) A Customer or Customer's agent owning a meter with security features that support multiple programming passwords is allowed access to programming passwords only if the Customer or Customer's agent does not allow alteration of TDSP billing and settlement determinants and/or data. Upon the execution of the "Access" section of the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the TDSP, the Customer or Customer's agent shall be provided the non-billing parameter password for access and programming of meter data.
- (2) If the existing meter at the Premise is programmed for Supervisory Control and Data Acquisition (SCADA) related non-billing determinants which are being used by the TDSP for the safety and reliability of the TDSP's transmission and/or distribution system, then the Customer or Customer's agent shall not be allowed programming access to those determinants.

### **10.10.2.3 Read-Only Passwords**

Upon execution of the "Access" section of the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the TDSP, the Customer or Customer's agent shall be provided read-only passwords for access to meter data.

### **10.10.3 Transmission and/or Distribution Service Provider Meter Reading Capability for Billing, Settlement and Reliability**

TDSP meter reading capabilities for billing, Settlement and reliability shall be as defined in the "Access to Non-Company Owned Meter by Company to Obtain Meter Data" section of the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.

**10.10.4 Physical Access**

- (1) The current Customer or the Customer's agent shall have the right to physical access to the meter to obtain meter data as long as the access is technically feasible and does not compromise the integrity of the metered data.
- (2) To facilitate safe physical access to the meter, the TDSP shall ensure that the requested physical connections to the meter are made available for external connections.
- (3) The TDSP shall terminate the physical connections to a point facilitating the Customer's physical interface.
- (4) The Customer or the Customer's agent shall be responsible for the installation and maintenance of all wiring and equipment on the Customer's side of the point of interconnection.
- (5) Meter connections through which meter information can be exchanged include but are not limited to the meter display, digital pulse outputs, serial port, optical port, modem, network interface, power-line carrier, wireless, or pager interface.

**10.11 Transmission and/or Distribution Service Provider billing and Credits per Transmission and/or Distribution Service Provider Approved Tariff****10.11.1 Transmission and/or Distribution Service Provider Approved Credits**

The Transmission and/or Distribution Service Provider (TDSP) is required to provide a competitive metering service credit to the Competitive Retailer (CR) for the Electric Service Identifier (ESI ID) with a competitively owned meter installed. Information concerning the meter ownership credit can be found in each TDSP's tariff.

**10.11.2 Transmission and/or Distribution Service Provider Approved Metering Service Credits and Tariffs**

The approved discretionary service charges and competitive metering service credit information for each TDSP can be found on the Public Utility Commission of Texas (PUCT) website under electric rates and tariffs.

**10.12 Technical Specifications for Competitively Owned Meters****10.12.1 Purpose**

The purpose of Section 10.12, Technical Specifications for Competitively Owned Meters, is to provide minimum acceptable requirements and guidelines for competitively owned meters

operating in areas where metering services are competitive. These specifications shall apply to the meter functionality requested for approval.

### **10.12.2 American National Standards Institute Standards**

- (1) All electromechanical meters shall comply with the latest revision of the following applicable standards: American National Standards Institute (ANSI) C12.1, Electric Meters Code for Electricity Metering, C12.4, Registers – Mechanical Demands, C12.5, Thermal Demand Meters, and C12.10, Physical Aspects of Watthour Meters – Safety Standard.
- (2) All solid-state meters shall comply with the latest revision of the following applicable standards: ANSI C12.1, C12.10 and C12.20, Electricity Meters 0.2 and 0.5 Accuracy Classes.
- (3) All meters approved prior to January 1, 2006 as to manufacturer's type are grandfathered from compliance with ANSI C12.18, Protocol Specification for ANSI Type 2 Optical Port, C12.19, Utility Industry End Device Data Tables, and C12.21, Protocol Specification for Telephone Modem Communication. In addition, a change in firmware does not require grandfathered meters to become compliant with these three standards. All meters, approved on or after January 1, 2006 shall comply with ANSI C12.18-2002, Protocol Specification for ANSI Type 2 Optical Port, C12.19-1997, Utility Industry End Device Data Tables, and C12.21-1999, Protocol Specification for Telephone Modem Communication, if applicable. ANSI C12.19 compliance includes accurate and complete documentation in Table 00. At a minimum, Table 00 shall include Table 23, 27, and 28 for all meters and Table 64 for Load Profile meters. The tables are defined as follows:
  - (a) Table 00 – General Configuration Table
  - (b) Table 23 – Current Register Data Table
  - (c) Table 27 – Present Register Selection Table
  - (d) Table 28 – Present Register Data Table
  - (e) Table 64 – Load Profile Data Set 1 Table

### **10.12.3 Transmission and/or Distribution Service Provider Billing Determinants**

The meter shall be capable of accurately measuring Transmission and/or Distribution Service Provider (TDSP) billing and Settlement determinants. For example, these determinants may include the following measurements: kW, kWh delivered and received, kVAr, kVArh delivered and received, power factor, Time of Use (TOU), and kVA–thermal (emulation arithmetic) as applicable. Meters may be approved based on manufacturer's stated functionality after all required testing and approval processes are complete.

**10.12.4 Transformer and Line Loss Compensation – Optional Functionality**

- (1) When transformer or line loss compensation is required, the meter shall perform this calculation in accordance with the latest revision of the “Handbook for Electricity Metering.” The meter shall be capable of accuracy testing both with and without loss compensation factors applied.
- (2) The meter shall be programmable to display and record compensated values such as kW, kWh, kVAr and kVArh.

**10.12.5 Display**

All meter displays shall meet the requirements of ANSI C12.10, Physical Aspects of Watthour Meters – Safety Standard. In addition, a solid state meter shall be capable of the following display functionality:

- (a) Annunciators for all displayable energy units by name and code;
- (b) Annunciators for all displayable non-energy units by code;
- (c) Programmable scroll rate for displayed quantities;
- (d) Disk emulator with load flow indication;
- (e) End of interval (EOI) indicator;
- (f) Mode indicator (normal, alternate and test);
- (g) A minimum of six digits, for energy units with a minimum resolution of 0.01; and
- (h) Active phase voltage indicators (applies to poly-phase meters only).

**10.12.6 Meter Diagnostics for Solid State Poly-phase Meters**

Meter shall have installation diagnostic tools capable of performing and reporting all system service tests, including but not limited to the following:

- (a) Per phase voltage;
- (b) Phase angle between voltage and current;
- (c) Per phase currents; and
- (d) Voltage phase angle for validation of service configuration.

### **10.12.7 Solid State Display Modes**

The following solid state display modes shall be selectable either by software or by an external switch.

#### **10.12.7.1 Normal Mode**

- (1) The normal mode shall be capable of scrolling through all quantities and displayable items.
- (2) The normal mode shall be the default mode unless switched to another mode via software or by external switch.

#### **10.12.7.2 Alternate Mode**

The alternate mode shall be capable of scrolling through all quantities and displayable items.

#### **10.12.7.3 Test Mode**

- (1) The meter shall have the capability of a test mode function that suspends normal metering operation during testing so that additional consumption and demand from tests are not added to the meter's normal mode display registers and the interval data.
- (2) Security shall be provided to prevent unauthorized access to the test mode.
- (3) Activation of the test mode shall cause all present critical TDSP billing data to be stored in non-volatile memory and restored at the time of exit from the test mode.
- (4) The meter shall be programmable to automatically exit the test mode and return to normal operation after one hour or less of operator inactivity.
- (5) The test mode shall have programmable displays.

### **10.12.8 Power-up Operation**

- (1) Upon power-up, the meter display shall operate in the normal mode and start to calculate consumption and demand quantities within ten seconds.
- (2) Meter shall be programmable to permit a delay in the measurement of demand after a power failure. The delay shall be programmable for a period of anywhere from 0 to 60 minutes.

### **10.12.9 Nameplate and Identifiers**

#### **10.12.9.1 Nameplate**

- (1) The meter shall be equipped with a nameplate as specified in the latest revision of ANSI C12.10, Physical Aspects of Watthour Meters – Safety Standard.
- (2) The label “competitive meter” shall be placed in the space provided for the “utility name.”

#### **10.12.9.2 Internal Identifier**

A solid state meter shall have the manufacturer’s serial number programmed internal to the meter.

### **10.12.10 Self-Test**

The meter shall be capable of performing a self-test to ensure that the meter is functioning properly and to verify data integrity. As a minimum, the self-test shall be performed at the following times:

- (a) After a power-up; and
- (b) Once per day.

### **10.12.11 Diagnostic Checks**

Upon failure of a diagnostic check, the meter shall store a status flag (indicator) that can be retrieved from the display or remotely, if applicable. As a minimum, the following diagnostic checks shall be performed during a self-test:

- (a) Check the backup battery usage or voltage;
- (b) Verify the program integrity; and
- (c) Verify the memory integrity.

### **10.12.12 Interval Data Recorder Pulse Overrun**

The meter shall be capable of detecting and flagging if the maximum pulses per interval for the Interval Data Recorder (IDR) have been exceeded for each interval.



### 10.12.13 Event Logging

- (1) When interrogated, meters shall be capable of flagging and reporting the following events:
  - (a) Hardware errors;
  - (b) Firmware errors;
  - (c) Random Access Memory (RAM) and Read Only Memory (ROM) errors;
  - (d) Pulse Overflow errors;
  - (e) Low battery condition;
  - (f) AC power up;
  - (g) AC power down;
  - (h) Configuration changed;
  - (i) Clock set/change;
  - (j) Test mode activation; and
  - (k) Inactive potential.
- (2) Definitions:
  - (a) **Hardware Errors:** Various hardware malfunctions (i.e. modem card/chip, measurement chip, Central Processing Unit (CPU), etc.), whether fatal or not.
  - (b) **Firmware Errors:** Firmware has a checksum error, watchdog time out error, or other problem with the firmware, whether fatal or not.
  - (c) **RAM and ROM Errors:** Bad spots in memory identified via checksum or other means.
  - (d) **Pulse Overflow Errors:** The maximum size value for the number of pulses per interval in load profile has been exceeded. This does not apply to meters that store/report data in engineering units.
  - (e) **Low Battery Condition:** Low battery has been sensed during initial power up, daily self checks, after power outages, or any other means to check for a low battery condition.
  - (f) **AC Power Up:** When the meter electronics are powered up either via auxiliary power or connected to system power.

- (g) **AC Power Down:** When the meter electronics loses power either by auxiliary power or connected to system power.
- (h) **Configuration Changed:** Meter has been reprogrammed, or any meter programming where a settlement metering parameter is changed.
- (i) **Clock Set/Change:** The meter real time clock has been set/changed by external sources.
- (j) **Test Mode Activation:** Meter going into and out of “test mode.”
- (k) **Inactive Potential:** System phase voltage has been lost on any phase.

#### ***10.12.14 Error Reset***

Fatal error or warning conditions shall only be reset upon an explicit command invoked via the meter programmer or upon some other explicit action.

#### ***10.12.15 Communication***

Communication requests from a single source or simultaneously from multiple sources shall not result in a meter malfunction, such as a measurement error, a meter lockup or loss of data.

##### **10.12.15.1 Local Communications Interface**

The meter shall be capable of communicating with a personal computer through a local port.

##### **10.12.15.2 Internal Modem**

- (1) Internal modems shall be capable of telephone communications at a minimum rate of 1,200 baud.
- (2) The modem shall include baud select, configurable answer time window and configurable answer ring counter.

#### ***10.12.16 Accuracy Standard***

##### **Full Load, Light Load, & Power Factor**

- (a) Poly-phase solid state meters shall fully comply with ANSI C12.20, Electricity Meters 0.2 and 0.5 Accuracy Classes, accuracy class 0.2. Form numbers not covered by this standard shall meet the accuracy requirements of ANSI C12.20, accuracy class 0.2.

- (b) Single-phase solid state meters shall fully comply with ANSI C12.20, accuracy class 0.5, at a minimum. Form numbers not covered by this standard shall meet the accuracy requirements of ANSI C12.20, accuracy class 0.5.
- (c) Upon receipt by the TDSP, the error for electromechanical meters shall be no greater than the following tolerances:
  - (i) Full Load: 0.4%;
  - (ii) Light Load: 0.5%;
  - (iii) Power Factor: 0.7%; or
  - (iv) Balance Test: 0.5%.

#### ***10.12.17 Interval Data Recorder Functionality***

Meters with an IDR shall have the following interval data recording functions:

- (a) Recording of interval data for a minimum of two channels;
- (b) Programmable intervals of five, 15, 30, and 60 minutes;
- (c) Storage of interval data for a minimum of 45 days per channel, 15 minute interval data, in addition to allowances for event recording (power outages, resets, time sets, etc.);
- (d) Capacity to count and store at least 4,000 counts for the programmed interval for meters that store pulse data;
- (e) “Wraparound” memory that stores new interval data by writing over the oldest interval data; and
- (f) Capability to continually record interval data while the meter is communicating via its communication ports.

#### ***10.12.18 Internal Clock***

- (1) The clock internal to the meter shall be accurate within two minutes per week (+/- 0.02%) when not synchronized to the line frequency and shall be re-settable through the communications interface utilizing the proper password security.
- (2) The meter shall be programmable to derive its time base from either the line frequency or the meter’s internal oscillator.
- (3) The meter shall be equipped with a software selectable Daylight Savings Time (DST) function.

**10.12.19 Outage Carryover**

- (1) The meter data and time keeping functions shall have a minimum carry over time of 24 months without external power.
- (2) The meter configuration parameters as well as measured quantities for settlement determinants, excluding IDR data, shall be stored in non-volatile memory.

**10.12.20 Meter Password**

The meter shall be programmable with a minimum of three unique levels of password protection. These levels are defined as follows:

- (a) A first level allowing read only access of the meter data (to prevent unauthorized tampering by use of the optical port or the modem);
- (b) A second level allowing read access with limited write access to meter functions (demand reset, time set, etc.); and
- (c) A third level allowing full programming access of all meter parameters.

**10.12.21 Reliability**

Programming (except re-initialization), time synchronization, and reading shall not result in a meter malfunction, such as a measurement error, a meter lockup or loss of data.

**10.12.22 Field Requirements****10.12.22.1 Field Testing**

The meter shall provide a method to perform field accuracy testing using either infrared, LED, KYZ, disk emulation, or other industry-accepted method(s).

**10.12.22.2 Field Load Checks**

The meter shall have the ability of displaying load rate, disk emulation or instantaneous values for measured quantities.

**10.12.23 Shop Requirements**

Meters shall be compatible with existing commercial test boards that are available without modification for accuracy testing, using infrared, KYZ, LED, disk emulation, or other industry accepted method(s).

### 10.13 Meter Approval Process

The following process shall be used for approving new meters to be added to the Qualified Competitive Meter List.

- (a) A new meter is requested for a specific Customer's location.
- (b) An application is filed by the Customer and/or the Customer's agent to [competitivemetering@ercot.com](mailto:competitivemetering@ercot.com) that shall include:
  - (i) An ERCOT Meter Approval Application Form;
  - (ii) Certification of compliance with applicable American National Standards Institute (ANSI) standards and Section 10.12, Technical Specifications for Competitively Owned Meters;
  - (iii) Meter manufacturer's ANSI Standards Test and meter test requirements data as described in Section 10.12;
  - (iv) A letter from the meter manufacturer indicating that the manufacturer will supply programming software and adequate training to the Transmission and/or Distribution Service Provider (TDSP) at no charge, within 30 days of receipt of the meter(s). Adequate training may be supported via on-site visit, telephone call, software/video recording, web-based or other agreed upon means between the manufacturer and each TDSP. Software provided will be capable of retrieving TDSP billing and settlement data directly from the meter in a recognized industry standard readable format in case of communication failure; and
  - (v) Detailed meter information document including settlement functionality.
- (c) ERCOT reviews the application for completeness, and to determine if information to demonstrate ANSI compliance has been submitted.
  - (i) If needed ERCOT requests more information.
  - (ii) After receipt of all information, ERCOT shall accept or reject the application within 30 days or notify the applicant of the status of the application.
  - (iii) If the application is accepted, ERCOT forwards the application along with notification that the manufacturer's test data is available to each TDSP.
  - (iv) If the application is rejected, ERCOT returns the application to the Customer and/or Customer's agent with specific reason(s) for the rejection.
- (d) Upon acceptance of the application, ERCOT posts notice on the ERCOT website that the meter is under review for approval.

- (e) TDSPs will review the manufacturer's test data and may test the meter using applicable standards and share data with other TDSPs and ERCOT.
  - (i) Each TDSP will decide if they require additional tests.
  - (ii) TDSPs may request a meter, software and training from the manufacturer.
  - (iii) Any TDSP choosing to test the meter must do so within 30 days or notify the applicant of the status of the additional tests.
  - (iv) Any TDSP choosing to test the meter shall send the meter test results, data and conclusions to other TDSPs and ERCOT.
  - (v) The TDSPs and ERCOT shall jointly review the test results.
  - (vi) If requested, ERCOT will make information available to other Market Participants, to the extent that the information owner does not mark such information as Protected Information.
- (f) ERCOT approves the application based on a positive recommendation by a minimum of 80% of the TDSPs; otherwise the application is rejected and ERCOT removes the notice that the meter is under review for approval from the ERCOT website.
  - (i) If the application is approved, the meter is added to the Qualified Competitive Meter List.
    - (A) ERCOT informs the applicant of the approval.
    - (B) ERCOT updates the Qualified Competitive Meter List.
    - (C) ERCOT posts the new list with the effective date.
  - (ii) If the application is rejected, ERCOT will provide documentation to the applicant of the specific reason(s) for rejection, based on identifiable deviation from the applicable Technical Specifications for Competitively Owned Meters in Section 10.12.
  - (iii) Any subsequent application for approval of a rejected meter must include the manufacturer's documented resolution of the reason for the previous rejection.

#### **10.14 Meter Firmware/Functionality Changes for an Approved Meter**

The following process shall be used for approving changes to meter firmware or functionality for meters currently on the Qualified Competitive Meter List:

- 
- (a) Meter manufacturer, Customer and/or the Customer's agent requests the addition of a firmware number and/or an upgrade in functionality for a meter that is currently in approved status on the Qualified Competitive Meter List and the meter programming software previously provided by the manufacturer is still applicable.
  - (b) Application may be filed by the meter manufacturer, Customer and/or the Customer's agent to [competitivemetering@ercot.com](mailto:competitivemetering@ercot.com) that shall include:
    - (i) An ERCOT Meter Firmware/Functionality Upgrade Approval Application Form;
    - (ii) A detailed listing of the changes made and/or the reason for the upgrade;
    - (iii) Certification of compliance with applicable American National Standards Institute (ANSI) standards and the Technical Specifications for Competitively Owned Meters detailed in Section 10.12, Technical Specifications for Competitively Owned Meters, if applicable; and
    - (iv) Meter Manufacturer's ANSI Standards Test and meter test requirements data for the Technical Specifications for Competitively Owned Meters in Section 10.12, if applicable.
  - (c) ERCOT reviews the application for completeness, and to determine if information to demonstrate ANSI compliance has been submitted, if applicable.
    - (i) If needed, ERCOT requests more information.
    - (ii) After receipt of all information, ERCOT shall accept or reject the application within 20 days or notify the applicant of the status of the application.
    - (iii) If the application is accepted, ERCOT forwards the application along with notification that the manufacturer's test data is available to each Transmission and/or Distribution Service Provider (TDSP).
    - (iv) If the application is rejected, ERCOT returns the application to the applicant with specific reason(s) for the rejection.
  - (d) Upon acceptance of the application, ERCOT posts notice on the ERCOT website that the meter firmware number and/or functionality upgrade is under review for approval.
  - (e) TDSPs will review the manufacturer's test data and may test the meter firmware/functionality using applicable standards and share the data with other TDSPs and ERCOT.
    - (i) Each TDSP will decide if they require additional tests.

- (ii) TDSPs may request a sample meter from the manufacturer for testing the firmware/functionality upgrade.
  - (iii) Any TDSP choosing to test the meter firmware/functionality must do so within 20 days or notify the applicant of the status of the additional tests.
  - (iv) Any TDSP choosing to test the meter firmware/functionality shall send the test results, data and conclusions to the other TDSPs and ERCOT.
  - (v) The TDSPs and ERCOT shall jointly review the test results.
  - (vi) If requested, ERCOT will make information available to other Market Participants, to the extent that the information owner does not mark such information as Protected Information.
- (f) ERCOT approves the application based on a positive recommendation by a minimum of 80% of the TDSPs; otherwise the application is rejected and ERCOT removes the notice that the meter firmware number and/or functionality upgrade is under review for approval from the ERCOT website.
- (i) If the application is approved, the new meter firmware number and/or functionality is added to Qualified Competitive Meter List.
    - (A) ERCOT informs the applicant of the approval.
    - (B) ERCOT updates the Qualified Competitive Meter List.
    - (C) ERCOT posts the new list with the effective date.
  - (ii) If the application is rejected, ERCOT will provide documentation to the applicant of the specific reason(s) for rejection, based on identifiable deviation from the applicable Technical Specifications for Competitively Owned Meters in Section 10.12.
  - (iii) Any subsequent application for approval of a rejected firmware/functionality upgrade must include the manufacturer's documented resolution of the reason for the previous rejection.

### 10.15 Meter Issue Resolution Process

The following process shall be used to resolve issues involving non-compliance with ERCOT approved competitive meter standards, for meters on the Qualified Competitive Meter List:

- (a) The Transmission and/or Distribution Service Provider (TDSP) notifies the manufacturer of product issue and requests a written response.
- (b) The TDSP shall notify ERCOT, via e-mail, utilizing the Meter Issue Resolution Form, and include the manufacturer's written response to the issue.



- (c) ERCOT reviews the issue.
  - (i) ERCOT verifies that the TDSP meter issue is supported based on the documentation received.
  - (ii) ERCOT may request clarification from the TDSP and/or the manufacturer.
- (d) ERCOT confirms that there is a non-compliant product issue and enters the information on the Meter Issue Resolution Form.
- (e) ERCOT sends a Notification, including the supporting documentation, to each TDSP, and to the meter manufacturer, if issue is confirmed.
- (f) In order to remain on the Qualified Competitive Meter List, the manufacturer must resolve the issue with the TDSPs and ERCOT.
- (g) TDSPs and ERCOT unanimously determine if new installations must be placed on hold due to safety and/or impacts on TDSP billing and settlement determinants.
  - (i) If a meter is placed on hold, ERCOT will update the status of the meter on the Qualified Competitive Meter List.
  - (ii) If the manufacturer requests more time to resolve the issue, the TDSPs and ERCOT set the timeline for the issue resolution.
  - (iii) The manufacturer provides the resolution to ERCOT who then forwards the documentation to all TDSPs.
  - (iv) TDSPs and ERCOT unanimously determine if the issue is resolved, and the hold is removed, if applicable.
- (h) If the issue is not resolved, ERCOT updates the Meter Issue Resolution Form based on a unanimous recommendation by the TDSPs.
  - (i) ERCOT receives the documentation from the TDSPs and attaches the manufacturer's response.
  - (ii) ERCOT posts notification on the ERCOT website that the approved meter functionality/restrictions/firmware will be changed or the meter will be removed from the Qualified Competitive Meter List.
- (i) TDSPs send Notification to the Customer or the Customer's agent that the meter will be removed from service.
- (j) ERCOT updates the Qualified Competitive Meter List including an effective date.

## 10.16 Meter Ownership Transfer

### 10.16.1 Introduction

If a meter ownership transfer occurs, the Customer or Customer's agent must execute an amendment to the existing Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the Transmission and/or Distribution Service Provider (TDSP). The amendment shall provide the new meter owner's information and acknowledgement.

### 10.16.2 Communication Process

- (1) The Customer is responsible for providing the required contact and meter return information for the new meter owner, along with the appropriate authorized signatures to the TDSP.
- (2) TDSP responsibilities include:
  - (a) Processing the amendment to the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters and returning the executed amendment to the Customer or Customer's agent within 15 Business Days;
  - (b) E-mailing confirmation to the previous and new meter owners within five Business Days of the ownership transfer completion, including the associated Electric Service Identifier(s) (ESI ID(s)); and
  - (c) Updating their internal records for ownership type and submitting the appropriate Texas Standard Electronic Transaction (TX SET), if applicable.

## 10.17 Metering Forms

### 10.17.1 Forms Posted on the ERCOT Website

The current version of the following forms should be downloaded from the ERCOT website before submitting per the instructions in this Section 10, Competitive Metering:

- (a) Texas Meter Information (TMI) Form;
- (b) Texas Meter Access (TMA) Form;
- (c) Meter Test Results/Meter Removal (MTR) Form;
- (d) Meter Approval Application Form;
- (e) Meter Firmware/Functionality Upgrade Approval Application Form;
- (f) Meter Issue Resolution Form;

- (g) Competitive Metering Letter of Agency; and
- (h) Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.

**10.17.2 Form Revision**

The Retail Market Subcommittee (RMS) is responsible for making revisions to existing forms or creating new forms to meet the requirements of competitive meter ownership.