MP 18- Subtype for issues related to customer rescission following the completion of an 814\_01 switch transaction

1. Description

* Background:
  + In Summer 2009, several changes were made to PUCT rule 25.474, including an expedited timeline for the processing of 814\_01 switch transactions
  + Despite the new switching timelines, the period for customer rescission of an order did not change, meaning the customer’s rescission period could actually overlap the completion of a switch
  + In such an instance, the rule allows the customer to return to its previous CR without incurring any charges normally associated with the inadvertent gain process
  + An interim solution was developed using the *Inadvertent Gaining* subtype
    - The issue must be submitted within 25 calendar days of the switch, or it is processed as an inadvertent gain with the Gaining CR incurring all charges
    - The Losing CR cannot refuse to regain the location, and must regain to date of loss
* Problems with Current Workflow
  + Issue relies on specific comments to differentiate issues from regular issues within the *Inadvertent Gaining* subtype
    - TDSPs may have trouble identifying issues, and all MPs may not be able to accurately report based on comments.
    - No built in validations to ensure correct regain date or that issue is being filed within the timeframe allowed by Market guidelines.
    - No validation to ensure the initiating transaction was an 814\_01.
* New Functionality
  + Validations to ensure the issue is being submitted within the RMG-specified timelines. Error message to display if issue not submitted within 25 days of Inadvertent Gain:
    - “This issue is unable to proceed because the effective date of the originating transaction at this premise was more than 25 calendar days in the past. Please enter a different ESIID or consult the Retail Market Guide to determine the proper course of action.”
  + Proposed (required) regain date automatically populated once ESIID has been validated
  + Validation that initiating transaction is an 814\_01, and the following error message to display which disallows further progress:
    - “This issue is unable to proceed because the tran type for this Global ID is not an 814\_01” Please enter a different ESIID/Original Tran ID or consult the Retail Market Guide to determine the proper course of action.”

* Assumption:
  + The IAG workflow will be used as the foundation for the new Customer Rescission workflow with modifications identified below.

1. New Fields:

* GUI:
  + Add to Submit Tree

New Subtype entitled ‘Customer Rescission’ under IAG section of D2D

* + New Field
    - Permitted Values & Definitions – date field
    - Default Value – Blank
    - Screen Location – Issue
    - Read Only (Y/N) – Y
    - Updateable – No
    - Automatically Populated – Yes. Value should be the date returned in the Gaining CR Start Date field plus one calendar day.
      * Auto populated with other required data if issue passes through IAG automation on New (ERCOT) transition.
      * Manually populated with other required data if issue does not automatically transition to New (Losing CR) through the automation.
      * Proprietary – No
      * Field Screen Title: Regain Date
      * Transitions Enabled:
        + New (ERCOT)
        + In Progress (ERCOT)
  + Remove Field from ‘In Progress (Losing CR Submit)’ state
    - Transaction Date

* + New Transitions
    - ‘Losing CR Re-Submit’
      * Available at ‘Unexecutable (PC)’ state
      * Auto transition at ‘Regaining Transaction Submitted (PC)’ state when issue does not auto close after 3/5 calendar or business days (TBD).
      * Comments required
        + Comment field auto populated with ‘Regaining Transaction has not completed at ERCOT. Please review and re-submit transaction.’
  + New Issue States
    - New (Losing CR Re-Submit)
      * Transitions available in this state:
        + Begin Working
        + Close
    - In Progress (Re-Submit Regaining)
      * Transitions available in this state:
        + Re-Submit Regaining BGN02
        + Unexecutable

Resulting state is ‘Complete’

* + - Regaining Transaction Re-Submitted (PC)
      * Transitions available in this state:
        + Complete
* Mass Update
  + “Begin Working”
  + “Ready to Receive”
  + “Send to TDSP”
* Bulk Insert
  + User should be able to submit ESIIDs through the Bulk feature. However, the user should not have the ability to bypass ESIID, 814\_01 and timeframe validations.
* API
  + Need further input
* Notifications
  + Notification sent to Losing CR when issue remains in ‘Regaining Transaction Submitted (PC)’ state for greater than 3-5 business/calendar days (TBD). Email text should say “MarkeTrak issue ####### has been transitioned back to <insert name/duns of Losing CR> due to pending status of regaining transaction. Please review and re-submit.”

1. Preconditions:

* MarkeTrak system is available and processing issues

1. Success Guarantee:

* Issue is successfully created and able to be transitioned to a resolution; or, ERCOT validations successfully identify ESIIDs which do not meet all requirements, and the user is not able to proceed unless a valid ESIID is entered

Workflow Scenarios

1. Main Success Scenario: Gaining CR submits issue, Losing CR agrees to regain, Losing CR submits BDMI, reinstates ESIID one day following DOL
2. Gaining CR selects “Customer Rescission” from Submit Tree
3. Gaining CR populates comments (optional), Original Tran ID, ESIID, and selects “OK”
4. ERCOT validates ESIID, submission timeframe and valid originating transaction.
5. Once validation is complete, MarkeTrak Issue is created and ERCOT updates the issue with the following information:
   1. Losing CR Name and Duns
   2. TDSP Name and Duns
   3. Gaining CR ROR = Y or N
   4. Gaining CR Start Date
   5. Regain Date – auto populated by ERCOT. Calculation is Gaining CR Start Date plus 1 calendar day.
6. MarkeTrak issue is assigned to the state of “New (Losing CR)” with the Losing CR as the Responsible Party
7. Losing CR user selects “Begin Working”
8. MarkeTrak issue is assigned to the state of “In Progress (Losing CR)” with the Losing CR as the Responsible Party
9. Losing CR selects “Send to TDSP”
10. Issue is in a state of “New (TDSP)” with TDSP as Responsible MP
11. TDSP selects “Begin Working”
12. Issue is in a state of “In Progress (TDSP)” with TDSP as Responsible MP
13. TDSP selects “Ready to Receive”
14. Issue is in a state of “New (Losing CR Submit)” with the Losing CR as Responsible MP.
15. Losing CR selects “Begin Working”
16. Issue is in a state of “In Progress (Submit Regaining)” with the Losing CR as Responsible MP
17. Losing CR selects “Provide Regaining BGN02”
18. Losing CR populates all required information
    1. Regaining Transaction Submit Date
    2. Regaining BGN 02
19. Issue is in a state of “Regaining Transaction Submitted (PC) with the Gaining (Submitting CR) as Responsible MP
20. Once the regaining transaction has been successfully sent to the Market by (Losing/Original CR), Siebel will automatically:

* Check Regaining Transaction Siebel Status every 30 minutes using the BGN 02 from the new initiating transaction
* Update the issue with the current Regaining Transaction Siebel Status

1. The issue will move to a state of “Complete” with the Submitting MP as the Responsible Party once the Regaining Transaction Siebel Status is Complete.
2. Extension Scenario: Gaining CR submits issue, Losing CR clicks Unexecutable, issue is closed.
3. Gaining CR selects “Customer Rescission” from Submit Tree
4. Gaining CR populates comments (optional), enters ESIID, Original Tran ID and selects “OK”
5. ERCOT validates ESIID, submission timeframe and valid originating transaction.
6. Once validation is complete, MarkeTrak issue is created and ERCOT updates the issue with the following information:
   1. Losing CR Name and Duns
   2. TDSP Name and Duns
   3. Gaining CR ROR = Y or N
   4. Gaining CR Start Date
   5. Regain Date – auto populated by ERCOT. Calculation is Gaining CR Start Date plus 1 calendar day.
7. MarkeTrak issue is assigned to the state of “New (Losing CR)” with the Losing CR as the Responsible Party
8. Losing CR user selects “Begin Working”
9. MarkeTrak issue is assigned to the state of “In Progress (Losing CR)” with the Losing CR as the Responsible Party
10. Losing CR selects “Unexecutable” and enters required comments
11. Issue is in a state of “Unexecutable (PC)” with Gaining CR as Responsible MP
12. Gaining CR clicks “Accept”, issue is closed.
13. Extension Scenario: Gaining CR submits issue, Losing CR clicks Unexecutable, Gaining CR returns issue to Losing CR, Losing CR agrees to regain
14. Gaining CR selects “Customer Rescission” from Submit Tree
15. Gaining CR populates comments (optional), enters ESIID, Original Tran ID and selects “OK”
16. ERCOT validates ESIID, submission timeframe and valid originating transaction.
17. Once validation is complete, MarkeTrak Issue is created and ERCOT updates the issue with the following information:
    1. Losing CR Name and Duns
    2. TDSP Name and Duns
    3. Gaining CR ROR = Y or N
    4. Gaining CR Start Date
    5. Regain Date – auto populated by ERCOT. Calculation is Gaining CR Start Date plus 1 calendar day.
18. MarkeTrak issue is assigned to the state of “New (Losing CR)” with the Losing CR as the Responsible Party
19. Losing CR user selects “Begin Working”
20. MarkeTrak issue is assigned to the state of “In Progress (Losing CR)” with the Losing CR as the Responsible Party
21. Losing CR selects “Unexecutable” and enters required comments (current IAG wf has dropdown options – need to remove?)
22. Issue is in a state of “Unexecutable (PC)” with Gaining CR as Responsible MP
23. Gaining CR selects “Return to Losing CR” and enters required comments.
24. Issue is in a state of “New (Losing CR)” with the Losing CR as Responsible MP.
25. Losing CR selects “Begin Working”
26. Issue is in a state of “In Progress (Losing CR)” with the Losing CR as Responsible MP
27. Losing CR selects “Send to TDSP”
28. Issue is in a state of “New (TDSP)” with TDSP as Responsible MP
29. TDSP selects “Begin Working”
30. Issue is in a state of “In Progress (TDSP)” with TDSP as Responsible MP
31. TDSP selects “Ready to Receive”
32. Issue is in a state of “New (Losing CR Submit)” with the Losing CR as Responsible MP.
33. Losing CR selects “Begin Working”
34. Issue is in a state of “In Progress (Submit Regaining)” with the Losing CR as Responsible MP
35. Losing CR selects “Provide Regaining BGN02”
36. Losing CR populates all required information
    * + 1. Regaining Transaction Submit Date
        2. Regaining BGN 02
37. Issue is in a state of “Regaining Transaction Submitted (PC) with the Gaining (Submitting CR) as Responsible MP
38. Once the regaining transaction has been successfully sent to the Market by (Losing/Original CR), Siebel will automatically:

* Check Regaining Transaction Siebel Status every 30 minutes using the BGN 02 from the new initiating transaction
* Update the issue with the current Regaining Transaction Siebel Status

1. The issue will move to a state of “Complete” with the Submitting MP as the Responsible Party once the Regaining Transaction Siebel Status is Complete.
2. Extension Scenario: Gaining CR attempts to submit issue, ERCOT performs validations, determines ESIID was not enrolled via 814\_01, displays error message, user cancels submission.
3. Gaining CR selects “Customer Rescission” from Submit Tree
4. Gaining CR populates comments (optional), enters ESIID, Original Tran ID, and selects “OK”
5. ERCOT validates ESIID, submission timeframe and valid originating transaction.; determines ESIID was not enrolled via 814\_01
6. Error message is displayed: “This issue is unable to proceed because the tran type for this Global ID is not an 814\_01” Please enter a different ESIID/Original Tran ID or consult the Retail Market Guide to determine the proper course of action.”
7. Gaining CR clicks “Cancel”
8. Gaining CR receives the following message: “The submit action was successfully cancelled.”

1. Extension Scenario: Gaining CR attempts to submit issue, ERCOT performs validations, determines ESIID was enrolled more than 25 calendar days in the past, error message is generated, issue cannot proceed.
2. Gaining CR selects “Customer Rescission” from Submit Tree
3. Gaining CR populates comments (optional), enters ESIID, Original Tran ID, and selects “OK”
4. ERCOT validates ESIID, submission timeframe and valid originating tran type; determines that effective date of 814\_01 transaction occurred more than 25 calendar days in the past
5. Gaining CR receives error message: “This issue is unable to proceed because the effective date of the originating transaction at this premise was more than 25 calendar days in the past. Please enter a different ESIID or consult the Retail Market Guide to determine the proper course of action.”
6. Gaining CR clicks “Cancel”
7. Gaining CR receives the following message: “The submit action was successfully cancelled.”
8. Extension Scenario: Gaining CR attempts to submit issue, ERCOT displays error message (in this example, 814\_01 error), Gaining CR enters new ESIID which passes validation, issue proceeds.
9. Gaining CR selects “Customer Rescission” from Submit Tree
10. Gaining CR populates comments (optional), enters ESIID, Original Tran ID, and selects “OK”
11. ERCOT validates ESIID, submission timeframe and originating tran type; determines ESIID was not enrolled via 814\_01
12. Error message is displayed: “This issue is unable to proceed because the current REP of Record did not enroll this premise via 814\_01. Please enter a different ESIID or consult the Retail Market Guide to determine the proper course of action.”
13. Gaining CR enters new ESIID/Original Tran ID and clicks “OK”
14. ERCOT validates submission timeframe and originating tran type.
15. Validation is successful and the issue is created and follows normal Customer Rescission workflow.
16. Extension Scenario: CR attempts to submit issue using invalid ESIID, receives error message, does not proceed.
17. CR selects “Customer Rescission” from Submit Tree
18. CR populates comments, enters ESIID and Original Tran ID, and selects “OK”
19. ERCOT validates ESIID, submission timeframe and originating tran type; determines ESIID is invalid
20. Error message is displayed: “ESIID \_\_\_\_\_\_\_\_\_\_\_ is not valid according to the ERCOT Registration System. ”
21. CR clicks “Cancel”
22. CR receives the following message: “The submit action was successfully cancelled.”
23. Main Success Scenario: Gaining CR submits issue, Losing CR agrees to regain, Issue remains in a state of “Regaining Transaction Submitted (PC)” for more than 3-5 business/calendar days (depending on version upgrade), an email notification is sent to the Losing CR, Losing CR submits BDMI, reinstates ESIID one day following DOL
24. Gaining CR selects “Customer Rescission” from Submit Tree
25. Gaining CR populates comments (optional), Original Tran ID, ESIID, and selects “OK”
26. ERCOT validates ESIID, submission timeframe and originating tran type.
27. Once validation is complete, MarkeTrak Issue is created and ERCOT updates the issue with the following information:
    1. Losing CR Name and Duns
    2. TDSP Name and Duns
    3. Gaining CR ROR = Y or N
    4. Gaining CR Start Date
    5. Regain Date – auto populated by ERCOT. Calculation is Gaining CR Start Date plus 1 calendar day.
28. MarkeTrak issue is assigned to the state of “New (Losing CR)” with the Losing CR as the Responsible Party
29. Losing CR user selects “Begin Working”
30. MarkeTrak issue is assigned to the state of “In Progress (Losing CR)” with the Losing CR as the Responsible Party
31. Losing CR selects “Send to TDSP”
32. Issue is in a state of “New (TDSP)” with TDSP as Responsible MP
33. TDSP selects “Begin Working”
34. Issue is in a state of “In Progress (TDSP)” with TDSP as Responsible MP
35. TDSP selects “Ready to Receive”
36. Issue is in a state of “New (Losing CR Submit)” with the Losing CR as Responsible MP.
37. Losing CR selects “Begin Working”
38. Issue is in a state of “In Progress (Submit Regaining)” with the Losing CR as Responsible MP
39. Losing CR selects “Provide Regaining BGN02”
40. Losing CR populates all required information
    1. Regaining Transaction Submit Date
    2. Regaining BGN 02
41. Issue is in a state of “Regaining Transaction Submitted (PC)” with the Gaining (Submitting CR) as Responsible MP
42. After 3-5 business/calendar days (depending on version upgrade) have passed, a notification is sent to the Losing CR and the Losing CR automatically becomes Responsible MP
43. Issue is in a state of “New (Losing CR Re-Submit)” with the Losing CR as Responsible MP.
44. Losing CR selects “Begin Working”
45. Issue is in a state of “In Progress (Re-Submit Regaining)” with the Losing CR as Responsible MP
46. Losing CR selects “Re-Submit Regaining BGN02”
47. Losing CR populates all required information
    1. Regaining Transaction Submit Date
    2. Regaining BGN 02
48. Issue is in a state of “Regaining Transaction Re-Submitted (PC)” with the Gaining (Submitting CR) as Responsible MP
49. Once the regaining transaction has been successfully sent to the Market by (Losing/Original CR), Siebel will automatically:

* Check Regaining Transaction Siebel Status every 30 minutes using the BGN 02 from the new initiating transaction
* Update the issue with the current Regaining Transaction Siebel Status

1. The issue will move to a state of “Complete” with the Submitting MP as the Responsible Party once the Regaining Transaction Siebel Status is Complete.
2. Extension Scenario: Gaining CR submits issue, Losing CR agrees to regain, Issue remains in a state of “Regaining Transaction Submitted (PC)” for more than 3-5 business/calendar days (depending on version upgrade), an email notification is sent to the Losing CR, Losing CR re-submits BDMI, issue remains in PC state for greater than 3-5 business/calendar days. Issue auto closes.
3. Gaining CR selects “Customer Rescission” from Submit Tree
4. Gaining CR populates comments (optional), BGN, ESIID, and selects “OK”
5. ERCOT validates ESIID, submission timeframe and originating tran type.
6. Once validation is complete, MarkeTrak Issue is created and ERCOT updates the issue with the following information:
   1. Losing CR Name and Duns
   2. TDSP Name and Duns
   3. Gaining CR ROR = Y or N
   4. Gaining CR Start Date
   5. Regain Date – auto populated by ERCOT. Calculation is Gaining CR Start Date plus 1 calendar day.
7. MarkeTrak issue is assigned to the state of “New (Losing CR)” with the Losing CR as the Responsible Party
8. Losing CR user selects “Begin Working”
9. MarkeTrak issue is assigned to the state of “In Progress (Losing CR)” with the Losing CR as the Responsible Party
10. Losing CR selects “Send to TDSP”
11. Issue is in a state of “New (TDSP)” with TDSP as Responsible MP
12. TDSP selects “Begin Working”
13. Issue is in a state of “In Progress (TDSP)” with TDSP as Responsible MP
14. TDSP selects “Ready to Receive”
15. Issue is in a state of “New (Losing CR Submit)” with the Losing CR as Responsible MP.
16. Losing CR selects “Begin Working”
17. Issue is in a state of “In Progress (Submit Regaining)” with the Losing CR as Responsible MP
18. Losing CR selects “Provide Regaining BGN02”
19. Losing CR populates all required information
    1. Regaining Transaction Submit Date
    2. Regaining BGN 02
20. Issue is in a state of “Regaining Transaction Submitted (PC)” with the Gaining (Submitting CR) as Responsible MP
21. After 3-5 business/calendar days (depending on version upgrade) have passed, a notification is sent to the Losing CR and the Losing CR automatically becomes Responsible MP
22. Issue is in a state of “New (Losing CR Re-Submit)” with the Losing CR as Responsible MP.
23. Losing CR selects “Begin Working”
24. Issue is in a state of “In Progress (Re-Submit Regaining)” with the Losing CR as Responsible MP
25. Losing CR selects “Re-Submit Regaining BGN02”
26. Losing CR populates all required information
    * 1. Regaining Transaction Submit Date
      2. Regaining BGN 02
27. Issue is in a state of “Regaining Transaction Re-Submitted (PC)” with the Gaining (Submitting CR) as Responsible MP
28. Once the regaining transaction has been successfully sent to the Market by (Losing/Original CR), Siebel will automatically:

* Check Regaining Transaction Siebel Status every 30 minutes using the BGN 02 from the new initiating transaction
* Update the issue with the current Regaining Transaction Siebel Status

1. Regaining Global ID is not reflected in ERCOT’s Siebel Registration System and the MarkeTrak issue remains in ‘Regaining Transaction Re-Submitted (PC)’ for greater than 3-5 business/calendar days. Issue does not automatically transition back to Losing CR. Issue auto closes after 10 calendar days.