Inadvertent Switch & Customer Rescission
Market Training
Antitrust Admonition

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

• Welcome to IAG Training
• Facilities / Restrooms
• Lunch / Refreshments
• Attendance sheet
• Audio
• Questions

Please silence smart phones & other electronics
Agenda

• Antitrust Admonition
• Welcome & Introductions
• Inadvertent Gain/Loss (IAG) Overview
  – Causes of IAS & Impacts to customer experience
• Customer Rescission Walkthrough
• IAS Resolution Process Walkthrough
• Best Practices/Quick Tip Scenarios
• Verification & Reconciliation Process
• ERCOT Live Demonstration
• Market Reporting & Closing
• Adjourn
Future Training Information

Retail Market Training Task Force
For information on future retail market training please subscribe to the following list_server:


Or visit ercot.com > about ERCOT > News and Publications > click on the ‘email list manager’ for a complete list of all notification groups

Current Training Topics:
- Retail Market 101
- MarkeTrak Subtypes On line Training
- Inadvertent Gain Classroom Training

Future Training Topics:
- Transaction Flows
Inadvertent Gain/Loss (IAG) Overview
What is an IAG?

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

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

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

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

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

How does an IAG occur?

An Inadvertent Gain or Loss can occur under various circumstances:

• Incorrect information provided by the Customer during enrollment – service address or ESI ID
• Incorrect information entered by the REP during enrollment
• Unauthorized enrollments – slamming
• Variety of different enrollment processes used by REPs
Who does an IAG impact?

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

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

• **Market**
  – Most used MT Subtype -represents over 40% of all MTs
  – One of the longest MT issues to resolve
  – Can create distrust and confusion in the Market

• **Cost**
  – Resource Commitments
  – Consumption Write-offs
  – IAG Fees from TDSPs
Questions
Customer Rescission Walkthrough
Right of Rescission

PUCT Subst. Rule 25.474(j) - Right of Rescission

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

In other words …

• Applicable to Switch requests only, not Move-Ins.

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

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

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

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

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

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

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

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

• Only the Gaining CR in a rescission scenario may utilize the rescission-based MarkeTrak process to initiate reinstatement of a customer to its original CR.

• In order for an issue to be submitted through this subtype, it must be submitted on or before the twenty-fifth (25th) calendar day following ERCOT’s established First Available Switch Date (FASD).

• If a Customer Rescission issue has not been submitted within the specified timeframe above, the two CRs should work to resolve the rescission issue through the Inadvertent Gaining subtype.
Completion Timeline for Customer Rescission

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

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

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

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

The following fields must be populated:

- ESI ID
- Original Tran ID
- Comments (Recommended)
Rescission Walkthrough - Validations

3. ERCOT validates ESI ID, submission timeframe and valid originating transaction.

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

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

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

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

8. Losing CR selects ‘Send to TDSP’.

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

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

10. TDSP selects ‘Begin Working’.

11. Issue is in a state of ‘In Progress (TDSP)’ with TDSP as Responsible MP.
12. TDSP selects ‘Ready to Receive’

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

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


15. Issue is in a state of ‘In Progress (Submit Regaining)’ with the Losing CR as Responsible MP.
16. Losing CR selects ‘Provide Regaining BGN02’.
Rescission Walkthrough – Losing CR

17. Losing CR populates all required information:
   • Regaining Transaction Submit Date
   • Regaining BGN 02
Rescission Walkthrough - Resolution

18. Issue is in a state of ‘Regaining Transaction Submitted (PC)’ with the Gaining (Submitting CR) as Responsible MP.

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

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

[Ends the 2 business day clock for the Losing CR]
Checkpoint Question #1

Who can submit a Rescission MarkeTrak?

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

a) True

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

a) True
b) False
Checkpoint Question #4

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

a) 10 days
b) 5 business days
c) 2 business days
d) 14 days
Inadvertent Gain (IAG) MarkeTrak Walkthrough
Inadvertent Gain

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

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

  ➢ If transaction Status is “In Review” or “Scheduled” with a ‘key date’ > 1 day and the Inadvertent CR is the submitting CR, then the CR will cancel their submitting transaction either by submitting an 814_08 EDI cancel transaction or by submitting a Cancel with Approval MarkeTrak issue.

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

- CR’s will work together in a manner outlined in Section 7.2 of the Retail Market Guide (RMG) to determine appropriate resolution.
  - CRs, both Losing and Gaining Reps, must investigate the matter and provide all necessary/relevant information – customer name, service address, meter number

- If resolution requires a backdated move-in (BDMVI), the regain date should be Date of Loss + 1 (DOL+1) or at the latest 10 days from the date the MarkeTrak was submitted to avoid creating transaction business process exceptions at ERCOT and the TDSP.
  - The Losing Rep shall submit the BDMVI 814_16 no later than 12 days after submittal of the MarkeTrak and shall be dated with the ‘proposed regain date’ as agreed in the MarkeTrak.
Inadvertent Gain

Submitting an Inadvertent Gain – CR Submits as the Gaining CR

1. From the Submit Tree, select IAG – Inadvertent Gaining
Inadvertent Gain

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

CRITICAL: The Comments field is technically optional; however, not providing the required information referenced in RMG Section 7.3.2(1) could result in a delay of issue resolution. Please include any additional information in this box.
   • Customer Name (Always)
   • Meter Number (If available)
   • Any other pertinent information that will help expedite resolution
3. Select OK to create the IAG – Inadvertent Gaining MarkeTrak Issue. The issue enters the state of New (ERCOT) and is visible only by the Submitting CR and ERCOT.

4. ERCOT will select Begin Working to provide the Gaining CR Start Date, if the Gaining CR is still the rep of record (Gaining CR ROR), assign CR2 (Gaining CR) and TDSP. ERCOT will then select “OK” to move the issue to CR2 (Gaining CR).

➤ The Submitting CR has the option to Withdraw the issue at this point
5. CR2 (Losing CR) will select Begin Working and Issue details and Investigate Market Conditions to determine the appropriate regain date.

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

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

7.3.2.4 Valid Reject/Unexecutable Reasons

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

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

   Use “3rd Party CR has regained/transaction completed”
7.3.2.4 Valid Reject/Unexecutable Reasons

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

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

*Use “Duplicate Issue”*

**NOTE:**

“Authorized Enrollment Confirmed” and “Other” should not be used.
Inadvertent Gain

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

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

6. The TDSP will select Begin Working, investigate the issue details, then select one of the following:

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

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

C. **Request Updated Proposed Regain Date** – The TDSP would select this transition if they do not agree with the proposed regain date that was provided. They would suggest a new date and send the issue back to CR1 (Losing/Original CR).
Inadvertent Gain

7. CR2 (Losing/Original CR) will select Begin Working then select Provide Regaining BGN 02. CR2 (Losing/Original CR) will provide the Regaining BGN02 and then select “OK”. When the regaining transactions process into ERCOT’s registration system, the Regaining Transaction Submit Date, Regaining BGN Requested Date and Regaining BGN Priority Code will be auto-populated on the MarkeTrak issue.

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

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

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

**Suggested Information includes:**

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

**Regain date should be:**

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

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

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

   b) Duplicate Inadvertent Gaining issue in MarkeTrak for the same Customer on the same ESI ID.
2. The Gaining CR may reject returning an inadvertently gained ESI ID to the Losing CR for one of the following reasons only:
   
a) A new transaction has completed in the market, including, but not limited to the following transactions:
   
i. The 814_16 transaction; or 
   
ii. The 814_01 transaction.
   
b) Duplicate Inadvertent Losing issue in MarkeTrak for the same Customer on the same ESI ID;

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

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

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

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

a) Inability to contact the Customer;
b) Past due balances or credit history;
c) Customer no longer occupies the Premise in question;
d) Contract expiration or termination;
e) Pending TX SETs; or
f) Losing CR serving the Premise under a Continuous Service Agreement (CSA).
Checkpoint Question #1

If a Losing CR receives an IAG MT and their customer does not occupy the premise, the Losing CR should Unexecute the IAG.

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

a) DOL + 1
b) Date of MT submittal + 10
c) Either
Checkpoint Question #3

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

a) 2 days of “ready to receive” status
b) Date of MT submittal + 10
c) 12 days of MT submittal
d) 21 days
Checkpoint Question #4

A customer enrolled for service at the wrong apartment number. Their REP of choice should issue a MVO on the incorrect address and issue a MVI on the correct address.

a) True
b) False
Questions
Common IAG Issues, Best Practices, & Quick Tips
MVO vs IAG

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

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

Best Practices:
Ask probing questions to ensure proper customer action is taken. (i.e. “Do you currently live here?”; “Was the original address given incorrect?”)
3rd Party Transactions

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

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

**Best Practices:**
Identify IAGs in progress for ESI IDs by:

- Identifying IAGs on daily basis utilizing ERCOT MarkeTrak reporting or notification
- Flagging within your own system the ESI IDs that have been IAG/IAL to ensure subsequent transactions are not submitted to the market until the IAG is completed.
- Timely resolution of IAG/IAL MarkeTraks
Non-timely resolution of IAG’s

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

**Solution:**
Market participants should update their “rolodex” with the appropriate escalation contacts.

**Best Practices:**
- Designate one of the escalation contacts as a departmental mailbox instead of an individual.
- Audit the Rolodex list on Quarterly basis.

---

**Expected level of performance:**
- After 3 calendar days if a MarkeTrak issue remains in “New Status” an automatic escalation email is generated.
- Initial Response – 10 calendar days
- Updating the issue thereafter – 7 calendar days.
- Per 7.3.2.3.1 “Reinstatement Date” - The Backdate MVI must be sent No later than 12 days after the submittal of the Inadvertent MarkeTrak.
No Current Occupant

Issue:
Losing REP responds to an IAG indicating “their customer no longer occupies the premise” and attempts to ‘unexecute’ the IAG MT issue.

Solution:
“Customer no longer occupies the Premise” is NOT a valid reason for unexecuting MT (RMG 7.3.2.5 Invalid Reject/Unexecutable Reasons)

Best Practice:
Losing REP must regain ESI ID and initiate a “current occupant” process

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

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

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

**Best Practice:**
When working IAL/IAG issues identify if your ESI ID currently has a Switch Hold active and remove as needed
Questions
Verification & Reconciliation Process
Verification & Reconciliation

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

In other words …

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

• Verify the current status of the account to determine if there are any transactions that may impact the resolution of the issue.

• Perform a reconciliation of the transactions sent to the Market to ensure that the transactions are being sent, received and processed successfully as agreed upon by all parties.

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

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

✔ Any Subsequent transactions in the Market?
  - Yes – STOP the transaction if possible by submitting an 814_08, Cancel Request (or “Cancel w/Approval” MarkeTrak).
  - No – Proceed to the next step

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

✔ Proposed Regain Date =< Gaining CR Start Date?
  (Proposed Regain Date: no greater than 10 days from MT submittal date)
  - Yes – Update “Proposed Regain Date”
  - No – Proceed by “Send to TDSP”
TDSP Verification & Reconciliation

When received by the TDSP, the issue goes through a verification process similar to the CR process. Once those preliminary checks are made, the TDSP will go on to perform the following steps:

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

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

☑ Ensure that the MarkeTrak issue is in a State of “New (Losing CR Submit)”

☑ Any Subsequent transactions in the Market?
  
  - Yes – Cancel W/Approval if possible
  - No – Proceed

☑ Send EDI for the Proposed Regain Date that the Original CR entered within the issue

☑ Verify the EDI was processed successfully by consulting the ERCOT Market Information System (MIS) as well as any internal systems used for verifying transactions.
Final CR Verification & Reconciliation

☑️ The backdated MVI can be verified as successful per the receipt of an 814_05 Accept

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

☑️ **DO NOT** click the “Send to TDSP” transition as this will prevent the issue from Auto-completion
Once an IAG situation has been discovered it is the responsibility of both the Gaining and Losing CR to verify if there are any new MVI/Switch or MVO transactions pending for the impacted ESI ID.

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

a) As soon as the TDSP updates the MarkeTrak giving the Losing CR the ok to send the BDMI
b) Whenever it becomes convenient to do so
c) 12 days of MT submittal as the RMG states
If either the Losing CR or the Gaining CR discovers they are unable to communicate with the other party to move the IAG regaining process forward, what resource is available to both CR’s to re-engage communication with the other CR?

a) Contacting ERCOT to intervene
b) Contacting the TDSP to intervene
c) Using the MarkeTrak Rolodex tool to identify escalation contacts within the non communicating CR’s organization
ERCOT Live Demo
IAG Reduction
Market Challenge
Market Challenge – Q2 2015

Goals

1. Collectively, by the end of 2015, reduce IAGs by at least 25% from today’s volume

2. Speed up the resolution cycle = minimize the customer impact as much as possible
Did we achieve our goal?

Overall % Reduction from 2015 to 2016 = 6.62%
Overall % Reduction from 2016 to 2017 YTD = 7.80%

Volume of Enrollments = 0.5% increase
Volume of IAG/IAL/RESC = 6.0% decrease
Did we achieve our goal?

<table>
<thead>
<tr>
<th>Year</th>
<th>SWI</th>
<th>MVI</th>
<th>Total</th>
<th>Overall %</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015</td>
<td>901,409</td>
<td>2,593,096</td>
<td>3,494,505</td>
<td>1.51%</td>
</tr>
<tr>
<td>2016</td>
<td>864,357</td>
<td>2,647,635</td>
<td>3,511,992</td>
<td>1.39%</td>
</tr>
<tr>
<td>2017</td>
<td>705,398</td>
<td>1,838,105</td>
<td>2,543,503</td>
<td>1.30%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Year</th>
<th>SWI</th>
<th>MVI</th>
<th>Total</th>
<th>IAG</th>
<th>IAL</th>
<th>Rescission</th>
<th>IAG, IAL, Res Total</th>
<th>Overall %</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015</td>
<td>901,409</td>
<td>2,593,096</td>
<td>3,494,505</td>
<td>22,337</td>
<td>18,861</td>
<td>11,574</td>
<td>52,772</td>
<td>1.51%</td>
</tr>
<tr>
<td>2016</td>
<td>864,357</td>
<td>2,647,635</td>
<td>3,511,992</td>
<td>22,397</td>
<td>16,246</td>
<td>10,182</td>
<td>48,825</td>
<td>1.39%</td>
</tr>
<tr>
<td>2017</td>
<td>705,398</td>
<td>1,838,105</td>
<td>2,543,503</td>
<td>15,106</td>
<td>11,742</td>
<td>6,326</td>
<td>33,174</td>
<td>1.30%</td>
</tr>
</tbody>
</table>

IAG / IAL / Rescission Issues - % of Enrollments

- SWI: System Wide Inquiry
- MVI: Market Viability Inquiry
- IAG: Initial Assignment Guidance
- IAL: Initial Assignment Letter
- Rescission: Rescission of Enrollment
Did we achieve our goal?

Average Days to Resolution - Valid IAG/IAL/RESC Issues by Close Date

<table>
<thead>
<tr>
<th>Year</th>
<th>IAG</th>
<th>IAL</th>
<th>Rescission</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015</td>
<td>11</td>
<td>16</td>
<td>10</td>
</tr>
<tr>
<td>2016</td>
<td>9</td>
<td>11</td>
<td>7</td>
</tr>
<tr>
<td>2017</td>
<td>10</td>
<td>14</td>
<td>10</td>
</tr>
</tbody>
</table>

Overall improvement in timeliness from 2015 to 2016
What has changed?

The ERCOT market stakeholder process recommends changes to Market Rules and Operating Guides.

<table>
<thead>
<tr>
<th>Retail Market Guide Revision Request (RMGRR)</th>
<th>Title</th>
<th>Approved Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>RMGRR 139</td>
<td>Date Change &amp; Evaluation Window</td>
<td>5/23/16</td>
<td>Removal of the 1-day evaluation window for ERCOT and now allows for Date change (814_12) and cancel (814-08) transactions to be sent the day prior to a scheduled transaction</td>
</tr>
<tr>
<td>RMGRR 133</td>
<td>Clarification of IAG Valid Reject Reasons</td>
<td>9/21/15</td>
<td>Removed ‘customer intent’ from the valid reject reasons for a Losing REP and clarified ‘customer intent’ for the Gaining CR</td>
</tr>
<tr>
<td>RMGRR 129</td>
<td>Customer Rescission Timeline</td>
<td>2/2/15</td>
<td>Revised the timeline for the processing of Customer Rescissions from the normal IAG processing timeline to 2 Business Days for the Losing CR to ‘Agree’ followed by another 2 Business Days to submit a BDMVI once the TDSP is ‘Ready to Receive’</td>
</tr>
<tr>
<td>RMGRR 128</td>
<td>Reinstate Critical Care Status after IAG</td>
<td>12/22/14</td>
<td>TDSP will restore a critical care status to an ESI that may have been removed due to an IAG</td>
</tr>
<tr>
<td>RMGRR 121</td>
<td>Clarification of IAG Process</td>
<td>2/17/14</td>
<td>Clarified the valid reject reasons for both the Gaining CR and the Losing CR</td>
</tr>
</tbody>
</table>
Why is this important to the market?

These recommendations are opportunities to refine processes, seek efficiencies, and ultimately improve the customer experience.

REPs should be willing to be accountable to each other regarding IAGs, working together to continue to drive solutions to the market.

- Reduce customer complaints
- Address customer issues faster
- Consume fewer back-office resources for REPS, TDSPs, ERCOT, & PUCT
How can we drive efficiency?

What can we all do to reduce the number of Inadvertent Gains/Losses in the market?

1. Analyzing why they occurred – trending, categorizing, and root causing

2. Execute techniques for preventing them going forward

3. Streamline management of MarkeTraks

4. Reporting to measure success
How can we drive efficiency? Analyzing

Analyzing why IAGs occurred …

1. Review the data and categorize root causes of the issue, such as:
   - Customer issue/error (wrong address- mailing vs service address)
   - Agent issue/error (wrong address- mailing vs service address)
   - System issue (order not processing)
   - Error by other REP (losses)
   - Back office error
   - Web portal error (house meter/building service ESI ID vs apartment)

2. Each of these root causes may be further broken down and addressed accordingly:
   - Coaching, coaching, coaching for agents who fail to comply with approved processes (issuance of MVOs to correct errors)
   - Internal reporting identifying offending REPs and reaching out with opportunities to solution gaps in processes
   - Education of agents on proper transactions
How can we drive efficiency? Execution

Execute techniques for preventing IAGs going forward …

- Confirm service address via ERCOT, meter number, etc.
  - *Mailing address vs Service address vs 911 address* confusion
  - simply restating address prior to authorization of enrollment (Third Party Verification)
  - ensure self-service web portals have proper validations (an apartment unit that may inadvertently enroll the house/building services meter)

- Alerts on ESI IDs for which an IAG is in progress to ensure improper transactions do not occur to break IAG or create a lights out situation

- Issuance of proper transaction – utilize a Cancel w/Approval MT, if applicable, in lieu of an IAG situation
How can we drive efficiency? *Streamline*

Streamline management of MarkeTraks …

- Utilize customized MarkeTrak reporting features to organize “your buckets” into the following categories to allow for prioritization of your daily work such as:
  - “ready to receive” – will display any MTs requiring BDMVIs
  - “unexecuted” – gains – requiring closure
  - “unexecuted” – losses – requiring closure
  - “begin working” – gains
  - “begin working” – losses
  - Setting up personalized dashboard for multi-views
Monthly IAG/IAL Reporting

What information is reported?

- Monthly IAG/IAL Statistics
- Top 10 Monthly – IAG/IAL
- Top 10 – 12 Month Average IAG/IAL
  - % of the aggregated totals for the last 12 months
- Explanation of the IAG/IAL Stats
- Top REPs – 12 Month Average Rescission
  - % of the aggregated totals for the last 12 months
- Explanation of Rescission Stats
- 18 Month Running Market Totals
August 2017 – IAG / IAL Statistics

Total IAG+IAL % of Total Enrollments: 0.96%

IAG/IAL % Greater Than 1% of Enrollments
Total IAG+IAL Count: 1,648

IAG/IAL % Less Than 1% of Enrollments
Total IAG+IAL Count: 1,647

Retail Electric Provider Counts

<table>
<thead>
<tr>
<th>Enrollment Total</th>
<th>Percent of Enrollments Resulting in IAG/IAL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>.00% to .25%</td>
</tr>
<tr>
<td>&lt;= 500</td>
<td>0</td>
</tr>
<tr>
<td>&gt; 500 and &lt;= 2500</td>
<td>3</td>
</tr>
<tr>
<td>&gt; 2500</td>
<td>0</td>
</tr>
</tbody>
</table>

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

- Blue row shows counts of REPs that have less than 500 total enrollments by their % ranges
- Orange row shows counts of REPs that have between 500 and 2500 total enrollments by their % ranges
- Purple row shows counts of REPs that have greater than 2500 total enrollments by their % ranges
Top 10 - August 2017 – IAG / IAL % Greater Than 1% of Enrollments With Number of Months Greater Than 1%
2017 August – IAG / IAL Statistics

Top 10 - 12 Month Average IAG / IAL % Greater Than 1% of Enrollments thru August 2017 With Number of Months Greater Than 1%
Explanation of IAG / IAL Slides Data

Slide 88 charts show the top 10 REPs whose IAG/IAL percentage of their total enrollments is above 1%.

- The blue chart shows enrollment totals of less than 500 for the month being reported
- The orange chart shows enrollment totals between 500 and 2500 for the month being reported
- The purple charts show enrollment totals of over 2500 for the month being reported
- REPs with the lowest AG/IAL totals start on the left, and move to the highest counts on the right

Slide 89 charts show the top 10 REPs whose 12 month average IAG/IAL percentage of their total enrollments is above 1%.

- The blue chart shows enrollment total averages of less than 500 for the month being reported
- The orange chart shows enrollment total averages between 500 and 2500 for the month being reported
- The purple charts show enrollment total averages of over 2500 for the month being reported
- REPs with the lowest IAG/IAL averages start on the left, and move to the highest counts on the right
- Number labels represent the number of months the REP has been over 1% during the 12 month period
2017 August – Rescission Statistics

Top - 12 Month Average Rescission % Greater Than 1% of Switches thru August 2017 With number of months Greater Than 1%
NOTE:

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

- Slide 91 charts show the top REPs whose 12 month average Rescission percentage of their total Switches is above 1%.
  - The blue shades show switch totals of less than 250 for the month being reported
  - The orange shades show switch totals between 250 and 1750 for the month being reported
  - The purple shades show switch totals of over 1750 for the month being reported
  - The REPs with the lowest count of rescission totals start on the left, and move to the highest counts on the right
  - Number labels represent the number of months the REP has been over 1% during the 12 month period
### 18 Month Running Market Totals

<table>
<thead>
<tr>
<th>Month</th>
<th>SWI</th>
<th>MVI</th>
<th>Total</th>
<th>IAG</th>
<th>IAL</th>
<th>Rescission</th>
<th>IAG,IAL,Res Total</th>
<th>Overall %</th>
<th>Days to Resolution</th>
</tr>
</thead>
<tbody>
<tr>
<td>2016-03</td>
<td>76,235</td>
<td>218,245</td>
<td>294,480</td>
<td>1,784</td>
<td>1,613</td>
<td>839</td>
<td>4,236</td>
<td>1.44%</td>
<td>8 10 7</td>
</tr>
<tr>
<td>2016-04</td>
<td>70,300</td>
<td>199,804</td>
<td>270,104</td>
<td>1,786</td>
<td>1,457</td>
<td>855</td>
<td>4,098</td>
<td>1.52%</td>
<td>8 9 6</td>
</tr>
<tr>
<td>2016-05</td>
<td>75,323</td>
<td>214,383</td>
<td>289,706</td>
<td>1,846</td>
<td>1,467</td>
<td>912</td>
<td>4,225</td>
<td>1.46%</td>
<td>8 11 6</td>
</tr>
<tr>
<td>2016-06</td>
<td>86,376</td>
<td>247,481</td>
<td>333,857</td>
<td>2,335</td>
<td>1,662</td>
<td>1,026</td>
<td>5,023</td>
<td>1.50%</td>
<td>9 11 6</td>
</tr>
<tr>
<td>2016-07</td>
<td>82,923</td>
<td>241,844</td>
<td>324,767</td>
<td>2,153</td>
<td>1,323</td>
<td>904</td>
<td>4,380</td>
<td>1.35%</td>
<td>8 11 6</td>
</tr>
<tr>
<td>2016-08</td>
<td>86,656</td>
<td>268,781</td>
<td>355,437</td>
<td>2,188</td>
<td>1,389</td>
<td>819</td>
<td>4,396</td>
<td>1.24%</td>
<td>8 12 7</td>
</tr>
<tr>
<td>2016-09</td>
<td>67,323</td>
<td>231,999</td>
<td>299,322</td>
<td>1,856</td>
<td>1,229</td>
<td>731</td>
<td>3,816</td>
<td>1.27%</td>
<td>8 12 7</td>
</tr>
<tr>
<td>2016-10</td>
<td>64,452</td>
<td>220,958</td>
<td>285,410</td>
<td>1,836</td>
<td>1,160</td>
<td>726</td>
<td>3,722</td>
<td>1.30%</td>
<td>9 12 7</td>
</tr>
<tr>
<td>2016-11</td>
<td>56,202</td>
<td>201,714</td>
<td>257,916</td>
<td>1,974</td>
<td>1,147</td>
<td>728</td>
<td>3,849</td>
<td>1.49%</td>
<td>10 13 8</td>
</tr>
<tr>
<td>2016-12</td>
<td>66,556</td>
<td>196,236</td>
<td>262,792</td>
<td>1,884</td>
<td>1,211</td>
<td>767</td>
<td>3,862</td>
<td>1.47%</td>
<td>11 14 13</td>
</tr>
<tr>
<td>2017-01</td>
<td>87,140</td>
<td>202,612</td>
<td>289,752</td>
<td>1,928</td>
<td>1,350</td>
<td>1,094</td>
<td>4,372</td>
<td>1.51%</td>
<td>9 13 11</td>
</tr>
<tr>
<td>2017-02</td>
<td>66,875</td>
<td>201,984</td>
<td>268,859</td>
<td>1,613</td>
<td>1,328</td>
<td>884</td>
<td>3,825</td>
<td>1.42%</td>
<td>10 13 9</td>
</tr>
<tr>
<td>2017-03</td>
<td>71,809</td>
<td>229,868</td>
<td>301,677</td>
<td>1,950</td>
<td>1,476</td>
<td>728</td>
<td>4,154</td>
<td>1.38%</td>
<td>10 12 9</td>
</tr>
<tr>
<td>2017-04</td>
<td>71,769</td>
<td>197,865</td>
<td>269,634</td>
<td>1,631</td>
<td>1,485</td>
<td>731</td>
<td>3,847</td>
<td>1.43%</td>
<td>10 13 8</td>
</tr>
<tr>
<td>2017-05</td>
<td>130,828</td>
<td>237,611</td>
<td>368,439</td>
<td>2,153</td>
<td>1,580</td>
<td>815</td>
<td>4,548</td>
<td>1.23%</td>
<td>10 14 11</td>
</tr>
<tr>
<td>2017-06</td>
<td>108,784</td>
<td>257,759</td>
<td>366,543</td>
<td>2,036</td>
<td>1,706</td>
<td>772</td>
<td>4,514</td>
<td>1.23%</td>
<td>11 15 10</td>
</tr>
<tr>
<td>2017-07</td>
<td>84,059</td>
<td>252,360</td>
<td>336,419</td>
<td>1,930</td>
<td>1,387</td>
<td>639</td>
<td>3,956</td>
<td>1.18%</td>
<td>10 14 9</td>
</tr>
<tr>
<td>2017-08</td>
<td>84,134</td>
<td>258,046</td>
<td>342,180</td>
<td>1,865</td>
<td>1,430</td>
<td>663</td>
<td>3,958</td>
<td>1.16%</td>
<td>12 15 10</td>
</tr>
</tbody>
</table>
How can we drive efficiency? Reporting

Reporting to measure success … New format!!

Impact by REP

- % of IAG/IALs to total enrollments by REP
- Each REP is assigned a REP # - this # won’t change
- Enrollments are MVIs+SWIs for IAG/IALs
- For Rescissions, enrollments are SWIs only
- IAG/IAL totals & % are calculated using the counts of the acknowledged Inadvertent Gaining REP only for both IAG & IAL issues.
  - If the Gaining REP in a submitted IAL issue does not agree they are the Gaining REP, that issue will not be counted
  - The Losing REP is not represented in any of the totals or % in any data
- Two month lag in reporting to allow for IAG/IALs to be tied to enrollment transaction
  - MVI sent in November that resulted in an IAG MT submitted in December, will be reported on the % IAG/IAL total for November
Market Challenge

**Challenge:**

- Reduce issue count by 10% !!
- Drive % of enrollment volume to below 1.5% !!
Market Challenge

Together we can make it a …

Great Customer Experience
Checkpoint Question #1

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

a) The Losing REP
b) The Gaining REP
Checkpoint Question #2

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

a) True

b) False
Checkpoint Question #3

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

a) Fewer customer complaints
b) Improved customer experience
c) Addressing customer issues faster
d) Fewer back-off resources
e) All of the above
Questions
2017
Inadvertent Switch & Customer Rescission
Market Training

APPENDIX
Appendix

- Process Flow – Inadvertent Loss
- Process Flow – Inadvertent Gain
- Customer Rescission Exceptions
- Customer Rescission – Re-submit
- Reference Documents – summaries
  - PUCT Subst. Rule §25.495. Unauthorized Change of Retail Electric Provider
  - Retail Market Guide Section 7.3 Inadvertent Gain Process
  - MarkeTrak User’s Guide Index
# Process Flow: IAL (Losing)

## Process Flow - Inadvertent Losing MarkeTrak Issue

<table>
<thead>
<tr>
<th>Transition</th>
<th>By</th>
<th>State</th>
<th>Owner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Create</td>
<td>Submitter <em>(Losing CR)</em> / Original CR</td>
<td>Pending Issue</td>
<td>Submitter <em>(Losing CR)</em> / Original CR</td>
</tr>
<tr>
<td>Assign Owner</td>
<td><em>(Gaining CR)</em> / Inadvertent CR</td>
<td>New <em>(Gaining CR)</em></td>
<td><em>(Gaining CR)</em> / Inadvertent CR</td>
</tr>
</tbody>
</table>

Submitter *(Losing CR)* / Original CR to Perform Research / Reconciliation / Verification Process:
- Subsequent transactions? Yes - Cancel W/Approval, No - Proceed
- Holds? Yes – Submit 650_01, No - Proceed
- Proposed Regain Date <= Gaining CR Start Date? Yes – Update, No – Proceed Send to TDSP
**Process Flow: IAL (Losing)**

<table>
<thead>
<tr>
<th>Send To TDSP</th>
<th>Submitter (Losing CR) / Original CR</th>
<th>New (TDSP)</th>
<th>TDSP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Begin Working</td>
<td>TDSP</td>
<td>In Progress (TDSP)</td>
<td>TDSP</td>
</tr>
</tbody>
</table>

**TDSP to Perform Research / Reconciliation / Verification Process:**
- ✓ Subsequent transactions? Yes – Send back to CRs, No - Proceed
- ✓ Holds? Yes – Send back to CRs, No - Proceed
- ✓ Proposed Regain Date <= Gaining CR Start Date? Yes – Send back to CRs, No – Proceed
- ✓ Check for Permit Requirements and override if any exist
- ✓ Add ESIID, Original CR and Proposed Regain Date to Safety Net and verify loaded correctly
- ✓ Update MarkeTrak issues with comments indicating readiness

<table>
<thead>
<tr>
<th>Ready To Receive</th>
<th>TDSP</th>
<th>New (Losing CR Submit)</th>
<th>Submitter (Losing CR) / Original CR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Begin Working</td>
<td>Submitter (Losing CR) / Original CR</td>
<td>In Progress (Submit Regaining)</td>
<td>Submitter (Losing CR) / Original CR</td>
</tr>
</tbody>
</table>
Process Flow: IAL (Losing)

Submitter (Losing CR) / Original CR to Perform Research / Reconciliation / Verification Process:
- Subsequent transactions? Yes - Cancel W/Approval, No - Proceed
- Send EDI for the Proposed Regain Date that the Original CR entered within the issue
- Verify the EDI was processed successfully by consulting the ERCOT MIS as well as any internal systems used for verifying transactions.
- Add the Regaining BGN information into the MarkeTrak issue only after verifying that it was successfully received
- DO NOT click the Send to TDSP transition as this will prevent the issue from Auto-completion

<table>
<thead>
<tr>
<th>Provide Regaining BGN02</th>
<th>Submitter (Losing CR) / Original CR</th>
<th>Regaining Transaction Submitted (PC)</th>
<th>Submitter (Losing CR) / Original CR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Update</td>
<td>ERCOT</td>
<td>Auto Complete</td>
<td>Submitter (Losing CR) / Original CR</td>
</tr>
</tbody>
</table>

PUBLIC
### Process Flow: IAL (Gaining)

#### Process Flow - Inadvertent Gaining MarkeTrak Issue

<table>
<thead>
<tr>
<th>Transition</th>
<th>By</th>
<th>State</th>
<th>Owner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Create</td>
<td>Submitter (Gaining CR) / Inadvertent CR</td>
<td>Pending Issue</td>
<td>Submitter (Gaining CR) / Inadvertent CR</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Submit</td>
<td>Submitter (Gaining CR) / Inadvertent CR</td>
<td>New (Losing CR)</td>
<td>(Losing CR) / Original CR</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assign Owner</td>
<td>(Losing CR) / Original CR</td>
<td>New (Losing CR)</td>
<td>(Losing CR) / Original CR</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Begin Working</td>
<td>(Losing CR) / Original CR</td>
<td>In Progress (Losing CR)</td>
<td>(Losing CR) / Original CR</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**(Losing CR) / Original CR to Perform Research / Reconciliation / Verification Process:**

- Subsequent transactions? Yes - Cancel W/Approval, No - Proceed
- Holds? Yes – Submit 650_01, No - Proceed
- Proposed Regain Date <= Gaining CR Start Date? Yes – Update, No – Proceed Send to TDSP

---

PUBLIC

107
Process Flow: IAL (Gaining)

Send To TDSP | (Losing CR) / Original CR | New (TDSP) | TDSP

Begin Working | TDSP | In Progress (TDSP) | TDSP

TDSP to Perform Research / Reconciliation / Verification Process:
- Subsequent transactions? Yes – Send back to CRs, No - Proceed
- Holds? Yes – Send back to CRs, No - Proceed
- Proposed Regain Date =< Gaining CR Start Date? Yes – Send back to CRs, No – Proceed
- Check for Permit Requirements and override if any exist
- Add ESIID, Original CR and Proposed Regain Date to Safety Net and verify loaded correctly
- Update MarkeTrak issues with comments indicating readiness

Ready To Receive | TDSP | New (Losing CR Submit) | (Losing CR) / Original CR

Begin Working | (Losing CR) / Original CR | In Progress (Submit Regaining) | (Losing CR) / Original CR
Process Flow: IAL (Gaining)

(Losing CR) / Original CR to Perform Research / Reconciliation / Verification Process:
- Subsequent transactions? Yes - Cancel W/Approval, No - Proceed
- Send EDI for the Proposed Regain Date that the Original CR entered within the issue
- Verify the EDI was processed successfully by consulting the ERCOT MIS as well as any internal systems used for verifying transactions.
- Add the Regaining BGN information into the MarkeTrak issue only after verifying that it was successfully received
- DO NOT click the Send to TDSP transition as this will prevent the issue from Auto-completion

Provide Regaining BGN02 | (Losing CR) / Original CR | Regaining Transaction Submitted (PC) | Submitter (Gaining CR) / Inadvertent CR

Update | ERCOT | Auto Complete | Submitter (Gaining CR) / Inadvertent CR
Customer Rescission – Exceptions

• If the regaining transaction remains in a Siebel status other than Complete in the ERCOT Registration System for greater than five calendar days, the issue will automatically transition back to the Losing CR, and an email generated to notify the Losing CR of the transition.

• If the regaining Siebel status is still Scheduled status, the Losing CR should repopulate the regaining BGN field with the same information.

• If the Siebel status is blank within the MarkeTrak issue, the Losing CR should verify the status of the regaining transaction and submit/repopulate a new transaction if necessary.

• This functionality is to ensure the issue is not closed before the premise has been regained, due to the time restriction on submission of new issues within this subtype.
Customer Rescission – Re-submit

Issue ID: 441692
State: New (Losing CR Re-Submit)
Title: Customer Rescission
ESI ID: ESIID0301141826MHOST
Original Tran ID: OTIDSW10301141953MHOST
GLOBPROCID: 0000000000000000ESIID0301141826MHOSTOTIDSW10301141953MHOST
Premise Type: Residential
Siebel Status: Complete
Siebel Substatus: 
Last Siebel Status Retrieval Date: 04/02/2012 14:55:48
Tran Type: 814_01
TXN Date: 
Comments: 04/02/2012 16:25:13 - ERCOT-183529049: Regaining Transaction has not completed at ERCOT. Please review and re-submit transaction.
Customer Rescission – Re-submit
Reference Documents

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

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

3. MarkeTrak User’s Guide
Reference Documents

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

http://www.puc.texas.gov/agency/rulesnlaws/subrules/electric/Electric.aspx

- Either the original REP (Losing REP) or the switching REP (Gaining REP) shall file a MarkeTrak issue as promptly as possible
- Affected REPs, ERCOT, and TDSP shall take all actions necessary to return the customer to the original REP as quickly as possible
- Gaining REP shall pay all transmission and distribution charges associated with returning the customer to the Losing REP
- Gaining REP shall refund within 5 days all charges paid by the customer for the time period the Losing REP regains and ultimately rebills the customer
- The REP that ultimately bills the customer is responsible for the non-bypassable charges and wholesale consumption for the customer
- The customer shall pay no more than the price at which the customer would have been billed had the unauthorized switch or move-in not occurred
Reference Documents

ERCOT Retail Market Guide

http://www.ercot.com/mktrules/guides/retail/current

7.3 Inadvertent Gain Process
   7.3.1 Escalation Process
   7.3.2 Competitive Retailer’s Inadvertent Gain Process
      7.3.2.1 Buyer’s Remorse
      7.3.2.2 Prevention of Inadvertent Gains
      7.3.2.3 Resolution of Inadvertent Gains
      7.3.2.4 Valid Reject / Unexecutable Reasons
      7.3.2.5 Invalid Reject / Unexecutable Reasons
      7.3.2.6 Out-of-Sync Conditions
      7.3.2.7 No Losing Competitive Retailer of Record
   7.3.3 Charges Associated with Returning the Customer
   7.3.4 Transmission and/or Distribution Service Provider Inadvertent Gain Process
      7.3.4.1 Inadvertent Dates Greater than 150 days
      7.3.4.2 Inadvertent Order is Pending
      7.3.4.3 Third Party has Gained Electric Service Identifier (Leapfrog Scenario)
      7.3.4.4 Transmission and/or Distribution Service Provider Billing
   7.3.5 Customer Rescission after Completion of a Switch Transaction
      7.3.5.1 Additional Valid Reasons for Rejection of a Rescission-based Issue
Retail Market Guide Section 7.3  Inadvertent Gain Process

Guidelines for ensuring that inadvertently gained ESI IDs are returned to the Losing REP in a quick and efficient manner with minimal inconvenience to the Customer as required by PUC Subst. Rule 25.495 Unauthorized Change of Retail Electric Provider

Escalation Process:

• Each Market Participant is responsible for it’s own compliance with the PUCT rules and RMG procedures & timelines.

• Each Market Participant shall maintain and update escalation contacts within the MarkeTrak Rolodex

• MarkeTrak will send escalation emails to the escalation contacts whenever an issue has remained in a ‘New’ or ‘Pending’ state for more than 3 calendar days
Section 7.3, Inadvertent Gain Process - continued

- CRs, both Losing and Gaining Reps, must investigate the matter and provide all necessary/relevant information – customer name, service address, meter number.
- An *untimely rescission* is not treated as an inadvertent gain or loss.
- The IAG process shall not be used to resolve an issue which an authorized enrollment causes a *breach of contract* between Customer and Losing Rep.
- Utilize the Cancel w/ Approval MarkeTrak to prevent an IAG if within one Retail Business Day prior to MVI or switch.
- If future dated MVI or switch and earlier than one Retail Business Day prior to transaction, utilize 814_08 Cancel Request.

![Diagram showing the steps: 814_08 Cancel w/ Approval, IAG MarkeTrak, "Key Date" – 1, "Key Date".](image-url)
Section 7.3, Inadvertent Gain Process - continued

- Do not issue a MVO on an ESI ID that was gained in error
- Do not issue an Inadvertent Loss MarkeTrak until the Gaining Rep’s transaction has completed
- The Losing Rep ultimately determines the reinstatement date
- **Reinstatement date shall be at the earliest DOL + 1 (Date of Loss) and at the latest 10 days from the date the MarkeTrak was submitted**
- The Losing Rep shall submit the BDMVI (back-dated move in) 814_16 no later than 12 days after submittal of the MarkeTrak and shall be dated with the ‘proposed regain date’ as agreed in the MarkeTrak
- The MT will auto-close if remains untouched for 20 days from the date the TDSP selects ‘Ready to Receive’
Reference Documents

Section 7.3, Inadvertent Gain Process - continued

• Be mindful of the Valid and Invalid Reject/Unexecutable reasons

• Each Rep shall be responsible for all non-bypassable TDSP charges and wholesale consumption costs for the periods that the Rep bills the customer

• If a lights out in error situation occurs (the Gaining Rep issues a MVO or DNP) the Losing Rep may submit a Redirect Fee MarkeTrak within 3 Retail Business Days following an 810_02 from the TDSP. Keep in mind, not all TDSPs have MVI fees for standard meters.

• TDSP shall not issue billing corrections more than 150 days in the past from the date of receipt of the BDMVI due to settlement issues. Losing Rep must resubmit the BDMVI with a new date.

• **Leapfrog Scenario** – when a legitimate third party transaction has occurred to an inadvertently gained ESI ID or if the BDMVI’s proposed regain date is more than 2 Retail Business Days prior to scheduled transaction, TDSP shall respond this is no longer an inadvertent issue.
Reference Documents

MarkeTrak User Guide

http://www.ercot.com/content/services/client_svcs/mktrk_info/MarkeTrak%2520User%2520Guide[1]%20(2).zip

2.1  Day to Day Issues – Inadvertent Gain
   2.1.1  Required Fields for Inadvertent Gain
   2.1.2  Definition of Inadvertent Gain
   2.1.3  Submitting an Inadvertent Gain
   2.1.4  Submitting a Customer Rescission Issue
   2.1.5  Redirect Fees Subtype
Got Feedback?

Scan this QR code to take the course survey!
<table>
<thead>
<tr>
<th>Slide</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>30</td>
<td>b) The Gaining REP - <em>only the Gaining REP may initiate the Rescission process.</em></td>
</tr>
<tr>
<td>31</td>
<td>True - <em>providing any relevant information assists in the timely resolution of the MT.</em></td>
</tr>
<tr>
<td>32</td>
<td>False - <em>per PUC Subst. Rule 25.474(j), a customer has the right to rescind the terms of service without penalty or fee of any kind.</em></td>
</tr>
<tr>
<td>33</td>
<td>c) 2 business days - <em>once the TDSP has transitioned the MT to “Ready to Receive”.</em></td>
</tr>
<tr>
<td>51</td>
<td>False - <em>this is not a valid reject reason, the Losing CR should regain the ESI ID and execute the Current Occupant process.</em></td>
</tr>
<tr>
<td>52</td>
<td>c) Either - <em>is applicable and is dependent upon the Losing CR’s business practices.</em></td>
</tr>
<tr>
<td>53</td>
<td>c) 12 days of MT submittal - <em>Per the RMG 7.3.2.3.1 Reinstatement Date, the Losing REP shall submit the BDMVI no later than 12 days after submittal of the MarkeTrak.</em></td>
</tr>
<tr>
<td>54</td>
<td>False - <em>Generally speaking issuing a MVO on an active ESI will create a light out situation at the incorrect address. An Inadvertent Gain MT should be submitted to resolve the incorrect address.</em></td>
</tr>
<tr>
<td>Slide</td>
<td>Answer</td>
</tr>
<tr>
<td>-------</td>
<td>--------</td>
</tr>
<tr>
<td>70</td>
<td>True - Any completed MVI/Switch or MVO transactions received after the initial transaction that caused the IAG will render the IAG regain process invalid.</td>
</tr>
<tr>
<td>71</td>
<td>a) The best practice is for Losing CR’s to send their BDMVI’s as soon as the TDSP gives the ok to send the BDMI. With each passing day there is an increased risk of new transactions being sent on the impacted ESI ID.</td>
</tr>
<tr>
<td>72</td>
<td>c) Using the MarkeTrak Rolodex tool to identify and reach out to escalation contacts within the non communicating CR’s organization.</td>
</tr>
<tr>
<td>98</td>
<td>b) The Gaining REP – valid IAG &amp; IAL MTs will only count toward the Gaining REP’s total</td>
</tr>
<tr>
<td>99</td>
<td>False – Assigned REP #s will remain consistent for the market reporting</td>
</tr>
<tr>
<td>100</td>
<td>e) All of the above – If all REPs work to drive efficiencies in their processes, the market will benefit</td>
</tr>
</tbody>
</table>