



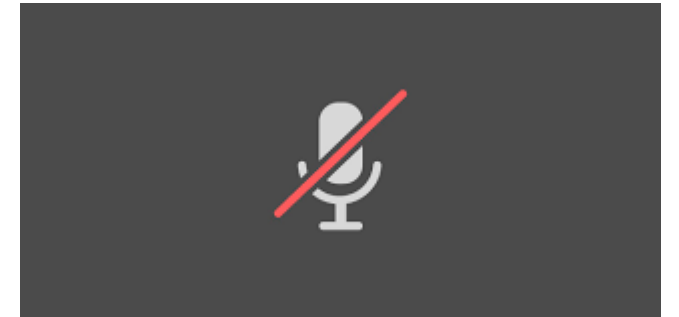
## Switch Hold and Inadvertent Gain Training – Part 2

## 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.<sup>1</sup>

## Notes

- 1 morning break
- Please keep yourself on mute unless you are speaking
- As presenters change, participants will need to reopen 'Chat' for Q & A.



# MarkeTrak Online Training

MarkeTrak online training is available on [www.ercot.com](http://www.ercot.com) and includes the following modules:

- MarkeTrak Overview
- Inadvertent Gain/Loss
- Cancel With/Without Approval
- Switch Hold Removal
- Data Extract Variance (DEV) LSE Subtypes
- Email Functionality
- Usage/Billing Disputes
- Additional Day to Day Subtypes
- Bulk Insert
- Admin Functionality
- Data Extract Variance (DEV) Non-LSE Subtypes
- Reporting

**Modules typically can be completed in 30 minutes or less.**

# MarkeTrak Training Objectives – Part 1

*Part 1 training covered the following topics:*

- General MarkeTrak Navigation
- Administrator Functionality
- Email Notification
- ListServ
- Missing Enrollments
- Usage & Billing
- Siebel Changes
- DEV LSE/Non LSE
- Bulk Insert
- Additional D2D Subtypes
- Other Subtype
- Background Reporting

# MarkeTrak Training Objectives – Part 2

*This training covers the following topics:*

- Switch Holds
- Inadvertent Gains
  - Overview
  - Rescission
  - IAG Walkthrough
  - Best Practices
  - Reporting



Market Training

## Switch Hold

# Switch Hold

## Purpose:

To ensure that the occupant responsible for the financial obligations at the premise satisfies and resolves any outstanding charges with the appropriate entities before switching to a new REP.

## What it is:

According to PUCT Subst. Rule 25.126 & PUCT Subst. Rule 25.480, a Switch Hold can be placed on a premise by either a Retail Electric Provider (REP) for a Deferred Payment Plan (DPP) or by the Transmission and Distribution Service Provider (TDSP) due to Meter Tampering. The Switch Hold will remain in effect until the specified charges have been paid by the customer.

## Types:

- 1) Deferred Payment Plan (DPP) – REP initiated
- 2) Tampering – TDSP initiated

# Types of Switch Hold

## Deferred Payment Plan (DPP) Switch Holds:

- Initiated and removed by the REP of Record via 650\_01 to TDSP.
- Prevents customers from switching to another REP if they have outstanding charges with current REP of Record (ROR).
- Current ROR must provide clear explanation (orally or written) to customer of the switch hold process before initiation of DPP Switch Hold.
- Current ROR must receive customer's agreement before initiation of DPP Switch Hold.
- Switch Hold must be removed by ROR in a timely manner once all DPP obligations have been satisfied by the customer.

# Types of Switch Hold

## Tampering Switch Holds:

- Initiated by the TDSP when Tampering is discovered at the premise.
- TDSP must store evidence of Tampering discovery.
- TDSP sends 814\_20 to update ESIID status for Tampering.
- TDSP sends Tampering charges on the 810\_02 to ROR.
- Switch Hold prevents customer from switching to another REP if they have outstanding Tampering charges with current ROR.
- Switch Hold must be removed in a timely manner by current ROR via 650\_01 once all outstanding Tampering charges are satisfied by the customer.

# Switch Hold Removal for Purposes of a Move In

## Scenario:

A Premise has a Switch Hold applied, however the customer vacates the premise. An entirely new customer tries to move in, yet encounters the Switch Hold on the Premise.

When this happens, the requesting REP cannot use a 650\_01 to remove the Switch Hold, since they are not the initiators of the Switch Hold.

Instead, the requesting REP must follow the process outlined in Retail Market Guide Section 7.16.4.3 (for Tampering) or 7.17.4.3 (for DPP) associated with removal of a Switch Hold for purposes of a Move In.

# Switch Hold Removal for Purposes of a Move In

## How it works:

- 1) Using only one (1) MarkeTrak issue per ESI ID, the requesting CR must initiate the Switch Hold MarkeTrak (MT) issue type to begin the removal process.
- 2) The TDSP, current REP of Record, and requesting CR will collaborate to determine if the New Occupant is in any way associated with the Current Occupant who is subject to Switch Hold.
- 3) The requesting CR must provide supporting documentation for the New Occupant including a New Occupant Statement (NOS).
  - Confirm a Switch Hold currently exists on the premise via MIS portal
  - Ensure submitter is not ROR
  - Documentation is valid and complete
- 4) If it is determined that the New Occupant is not associated with the Customer of Record (current occupant), the TDSP will remove any Switch Holds applied to the ESIID.
- 5) If an issue has been open for more than four (4) business hours without resolution, the TDSP will make the final decision as to whether or not the Switch Hold will remain.

# Switch Hold Removal

## What does it mean: Four (4) Business Hours?

- MarkeTrak Switch Hold Removals are worked during Business Hours only (Monday-Friday, 8:00AM-5:00PM CPT)
- Market Participant Timelines:
  - TDSP “Initial” review: one (1) business hour
  - Current REP of Record review: one and a half (1.5) business hours
  - TDSP “Final” review: one and a half (1.5) business hours (or any remaining time within the four-hour period)
- If issue remains unresolved at the end of a business day, the Responsible MP’s time will resume next business day at 8:00AM
  - Example: REP of Record is assigned the issue at 4:00PM Friday. Business hours cease at 5:00PM Friday. Business hours resume 8:00AM Monday. REP of Record has until 8:30 AM Monday to respond, for a total of one and a half business hours as Responsible MP.

# Switch Hold Removal Documentation

## Standard Documentation Requirements

Per RMG 7.16 & 7.17, the Requesting CR must include the New Occupant Statement (RMG Appendix J2) **AND** one of the following:

- Copy of a current signed lease;
- Notarized Affidavit of Landlord (RMG Appendix J9);
- Utility bill, in new occupant's name, dated within last two months from a different Premise address;
- Closing documents indicating transfer of ownership occurred subsequent to Switch Hold applied to Premise; or
- Certificate of Occupancy

**Ensure documentation is valid and complete prior to submitting a MarkeTrak Issue.**

# Switch Hold Removal Documentation

## Standard Documentation “Best Practices”

TDSPs will review all supplied documentation for completeness. For quickest resolution, the documentation provided should include:

- **Current Signed Lease**

- Customer name, service address, portion of lease signed by both landlord and tenant
- Dates on lease should align with Move In request

Any expired agreements or agreement not signed by all parties will be rejected by TDSP

- **Utility bill**

- Dated within last two months from a different Premise address and New Occupant’s name and service address should be visible

- **Closing Documents**

- New Occupant’s name and service address should be visible
- Indicating transfer of ownership occurring after Switch Hold was applied

- **Affidavit of Landlord**

- Notarized
- If form Appendix J9 is not used, the document must contain all data elements required within J9

# Switch Hold Removal

## Continuous Service Agreement (CSA) Documentation Requirements

- For a premise where a CSA agreement is present, only the CSA form in Appendix J4/J5 is required. The New Occupant Statement does not need to accompany the CSA form, and it does not need to be notarized.
- The Requesting CR must be the CSA provider, established via 814\_18 CSA Add transaction.
- If there is not an actual CSA, the Requesting CR must use the previously mentioned process.
  - New Occupant Statement + documentation
  - Example: Non-CSA vacant agreement

# Switch Hold Removal

“Happy Path” #1 – All users agree and switch hold is removed

- 1) Requesting CR selects **Switch Hold Removal** from Submit Tree.
- 2) Requesting CR enters all required information, attaches all valid and necessary documentation and chooses the ‘Submit’ transition.
- 3) The issue is now in the state of ‘New (TDSP)’ with the TDSP as Responsible MP.
- 4) TDSP selects ‘Begin Working’.
- 5) The issue is now in a state of ‘In Progress (TDSP)’.

## Switch Hold Removal

“Happy Path” #1 – All users agree and switch hold is removed (cont.)

- 6) TDSP selects ‘Send to REP of Record’.
  - ✓ Enters DUNS/company name via dropdown.
- 7) The issue is now in a state of ‘New’ with the REP of Record as Responsible MP.
- 8) REP of Record selects ‘Begin Working’.
- 9) Issue is now in a state of ‘In Progress (Assignee)’.
- 10) REP of Record selects ‘Agree’.

# Switch Hold Removal

“Happy Path” #1 – All users agree and switch hold is removed (cont.)

- 11) Issue is now in a state of ‘New (TDSP) - Final Review’ with the TDSP as Responsible MP.
- 12) TDSP selects ‘Begin Working’.
- 13) Issue is now in a state of ‘In Progress (TDSP)- Final Review’ with the TDSP as Responsible MP.
- 14) TDSP selects the ‘Switch Hold Removed’ transition.
- 15) Issue is now in a state of ‘Pending Complete’ with Requesting CR as Responsible MP.
- 16) Requesting CR selects ‘Complete’, and issue is closed.

# Switch Hold Removal

The screenshot shows the MarkeTrak web application interface. At the top, there is a navigation bar with 'MarkeTrak' and a menu with 'Home', 'Submit', 'Search', 'Reports', and 'Settings'. Below this is an 'ID Search' field. The main content area is titled 'Submit into: ERCOT Projects : MarkeTrak : Issues : D2D : Switch Hold Removal'. There are buttons for 'OK', 'Cancel', and 'Reset Form'. An 'Actions' dropdown menu is open, showing options: '(select one)', 'Add URL', 'Add File', and 'Add Item Link'. A red box highlights the text 'File attachment is required on the Submit transition.' with a red arrow pointing to the 'Add File' option in the dropdown. The form fields include: 'Title: Switch Hold Removal', 'Submitting MP: 111111111, Retail TestLSE, CR', '\* TDSP Involved: 666666666 (with a 'Find' button)', a dropdown menu showing '666666666, test TDSP company, TDSP', '\* ESI ID: 45464877413241546531', and '\* Comments: Requesting removal of Switch Hold'.

CR enters required information and attaches file(s).

# Switch Hold Removal

MarkeTrak

Home Submit Search Reports Settings ID Search: 1811401 >

Back to Results  
Switch Hold Removal MarkeTrak Issue 1811401: Switch Hold Removal - In Progress (TDSP)

Send to Rep of Record No Rep of Record Unexecutable Add Comment Assign Owner Assign To Group Actions:

State Change History

Create by RCC1 LSE-11111111	Pending Issue 07/30/2012 15:46:51 Owner : RCC1 LSE-11111111	Submit by RCC1 LSE-11111111	New (TDSP) 07/30/2012 15:46:51 Owner : Unknown Unknown	Begin Working by RCC1 TDSP-66666666	In Progress (TDSP) 07/30/2012 15:47:31 Owner : RCC1 TDSP-66666666
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Issue Information

- Title: Switch Hold Removal
- Issue ID: 1811401
- State: In Progress (TDSP)
- Submitting MP: 111111111, Retail TestLSE, CR
- TDSP Involved: 666666666, test TDSP company, TDSP
- ESI ID: 45464877413241546531
- Comments: 07/30/2012 15:46:47 - RCC1 LSE-111111111: Requesting removal of Switch Hold
- Issue Available Date: 07/30/2012 15:46:56 First Touched: 07/30/2012 15:47:32
- Parent Issue Number:
- Responsible MP: 666666666, test TDSP company, TDSP
- MPs Involved: 111111111, Retail TestLSE, CR  
183529049, ERCOT, ERCOT  
666666666, test TDSP company, TDSP

TDSP sends to  
REP of Record.

# Switch Hold Removal

MarkeTrak

Home Submit Search Reports Settings ID Search: 1811401 >

Send to Rep of Record Switch Hold Removal MarkeTrak Issue 1811401: Switch Hold Removal - (Auto)

OK Cancel Reset Form Actions: (select one) [v] [envelope] [info]

Issue Information

\* Assignee: 111111112 Find [magnifying glass]

111111112, Test LSE2, CR [v] [print]

Comments: New text added by RCC1 TDSP-666666666:

[text area]

07/30/2012 15:46:47 - RCC1 LSE-111111111:  
Requesting removal of Switch Hold

Attachments

sample doc.docx (14287 bytes) by RCC1 LSE-111111111 (07/30/2012 15:46:43) [envelope] [book]

REP of Record DUNS is used  
by TDSP to assign issue.

# Switch Hold Removal

Home Submit Search Reports Settings ID Search: 1811401 >

[Back to Results](#)  
Switch Hold Removal MarkeTrak Issue 1811401: Switch Hold Removal - In Progress (Assignee)

[Agree](#) [Disagree](#) [Time Limit Exceeded](#) [Add Comment](#) [Assign Owner](#) [Assign To Group](#)

Issue Information

**Title:** Switch Hold Removal  
**Issue ID:** 1811401  
**State:** In Progress (Assignee)

**Submitting MP:** 111111111, Retail TestLSE, CR  
**Assignee:** 111111112, Test LSE2, CR  
**TDSP Involved:** 666666666, test TDSP company, TDSP  
**ESI ID:** 45464877413241546531  
**Comments:** 07/30/2012 15:46:47 - RCC1 LSE-111111111: Requesting removal of Switch Hold

**Issue Available Date:** 07/30/2012 15:46:56 **First Touched:** 07/30/2012 15:47:32  
**Responsible MP:** 111111112, Test LSE2, CR  
**MPs Involved:** 111111111, Retail TestLSE, CR  
111111112, Test LSE2, CR  
183529049, ERCOT, ERCOT  
666666666, test TDSP company, TDSP

**Parent Issue Number:**  
**Submitting MP Owner:** LSE-111111111, RCC1 - 111111111, Retail TestLSE, CR  
**TDSP Involved Owner:** TDSP-666666666, RCC1 - 666666666, test TDSP company, TDSP  
**Assignee MP Owner:** LSE2-111111112, RCC1 - 111111112, Test LSE2, CR  
**ERCOT Owner:** (None)

REP of Record agrees to release switch hold.

# Switch Hold Removal

MarkeTrak

Home Submit Search Reports Settings ID Search: 1811401 >

Back to Results  
Switch Hold Removal MarkeTrak Issue 1811401: Switch Hold Removal - In Progress (TDSP) - Final Review

Switch Hold Removed Return to Rep of Record Switch Hold Not Removed Add Comment Assign Owner  
Assign To Group

State Change History

Create by RCC1 LSE-11111111	Pending Issue 07/30/2012 15:46:51 Owner : RCC1 LSE-11111111	Submit by RCC1 LSE-11111111	New (TDSP) 07/30/2012 15:46:51 Owner : Unknown Unknown	Begin Working by RCC1 TDSP-66666666	In Progress (TDSP) 07/30/2012 15:47:31 Owner : RCC1 TDSP-66666666
Begin Working by RCC1 LSE2-11111112	In Progress (Assignee) 07/30/2012 15:53:17 Owner : RCC1 LSE2-11111112	Agree by RCC1 LSE2-11111112	New (TDSP) - Final Review 07/30/2012 15:56:29 Owner : RCC1 TDSP-66666666	Begin Working by RCC1 TDSP-66666666	In Progress (TDSP) - Final Review 07/30/2012 15:56:57 Owner : RCC1 TDSP-66666666

Issue Information

Title: Switch Hold Removal  
Issue ID: 1811401  
State: In Progress (TDSP) - Final Review  
Submitting MP: 111111111, Retail TestLSE, CR  
Assignee: 111111112, Test LSE2, CR  
TDSP Involved: 666666666, test TDSP company, TDSP  
ESI ID: 45464877413241546531  
Comments: 07/30/2012 15:46:47 - RCC1 LSE-11111111: Requesting removal of Switch Hold

TDSP confirms removal of switch hold.

# Switch Hold Removal

MarkeTrak

Home Submit Search Reports Settings ID Search: 1811401 >

Back to Results  
Switch Hold Removal MarkeTrak Issue 1811401: Switch Hold Removal - Pending Complete

Complete Add Comment Assign Owner Assign To Group

State Change History

Create by RCC1 LSE-11111111	Pending Issue 07/30/2012 15:46:51 Owner : RCC1 LSE-11111111	Submit by RCC1 LSE-11111111	New (TDSP) 07/30/2012 15:46:51 Owner : Unknown Unknown	Begin Working by RCC1 TDSP-66666666	In Pro 07/30/ Owner 6
Begin Working by RCC1 LSE2-11111112	In Progress (Assignee) 07/30/2012 15:53:17 Owner : RCC1 LSE2-11111112	Agree by RCC1 LSE2-11111112	New (TDSP) - Final Review 07/30/2012 15:56:29 Owner : RCC1 TDSP-66666666	Begin Working by RCC1 TDSP-66666666	In Progre 07/30/ Owner 6

Issue Information

- Title: Switch Hold Removal
- Issue ID: 1811401
- State: Pending Complete
- Submitting MP: 111111111, Retail TestLSE, CR
- Assignee: 111111112, Test LSE2, CR
- TDSP Involved: 666666666, test TDSP company, TDSP
- ESI ID: 45464877413241546531
- Comments: 07/30/2012 15:46:47 - RCC1 LSE-111111111: Requesting removal of Switch Hold

Submitting (Requesting)  
CR selects 'Complete'  
and the issue is closed.

## Alternate Resolution Paths

Step by Step walkthrough of the following paths is located after the checkpoint questions:

1. REP of Record disagrees; TDSP declines to remove hold
2. REP of Record disagrees; TDSP still removes hold.
3. TDSP rejects issue during first step as Responsible MP.
4. REP of Record does not choose “Begin Working”, exceeds time limit.
5. REP of Record selects ‘Begin Working’, exceeds time limit.
6. ‘Time Limit Exceeded’ used before one and a half business hours.

**Ultimately the TDSP determines if the Switch Hold will be removed.**

# Switch Hold Overview

References and General Overview of Switch Hold Process:

## PUCT Rule References:

- PUCT Subst. Rule 25.126, Adjustments due to Non-Compliant Meters and Meter Tampering in Areas where Customer Choice has been Introduced
- PUCT Subst. Rule 25.480, Bill Payments and Adjustments

## Retail Market Guide References:

- 7.16, Business Processes & Communications Related to Meter Tampering
  - 7.16.4.3, Removal of a Switch Hold for Meter Tampering for Purposes of a Move In
- 7.17, Business Processes & Communications Related for Switch Holds Related to Deferred Payment Plans
  - 7.17.3.3, Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move In

## Checkpoint Question

*How long does the REP of Record have to review the Switch Hold Removal request, once the TDSP assigns the issue to them?*

- a) 1 hour
- b) 4 hours
- c) 1 ½ hours
- d) 6 Hours
- e) None of the Above

## Checkpoint Question

*The TDSP assigns a Switch Hold Removal MarkeTrak issue to the REP of Record on Friday, at 4:30 pm. When does the REP of Record's review period expire?*

- a) Friday at 6:00pm
- b) Saturday at 9:00 am
- c) Sunday at 9:00 am
- d) Monday at 9:00 am
- e) None of the Above

## Checkpoint Question

*Which of the following documents is not an “acceptable” document for Switch Hold Removal consideration?*

- a) Utility bill from a different address dated within the last two months
- b) Notarized Affidavit of Landlord
- c) Closing documents executed after the Switch Hold was applied
- d) Cell phone bill
- e) All of the above

# Questions





MarkeTrak Training

# 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.

## Gaining CR and Losing CR

- The **Gaining CR** is a competitive retailer who inadvertently gains an ESI ID and is responsible for returning the customer to the previous REP of Record.
  - When initiating the MarkeTrak process the Gaining CR shall submit the Inadvertent Gain subtype.
- The **Losing CR** is a competitive retailer who was the REP of Record prior to losing an ESI ID due to an Inadvertent Gain situation.
  - When initiating the MarkeTrak process the Losing CR shall submit the Inadvertent Loss subtype.

## Reference Documents

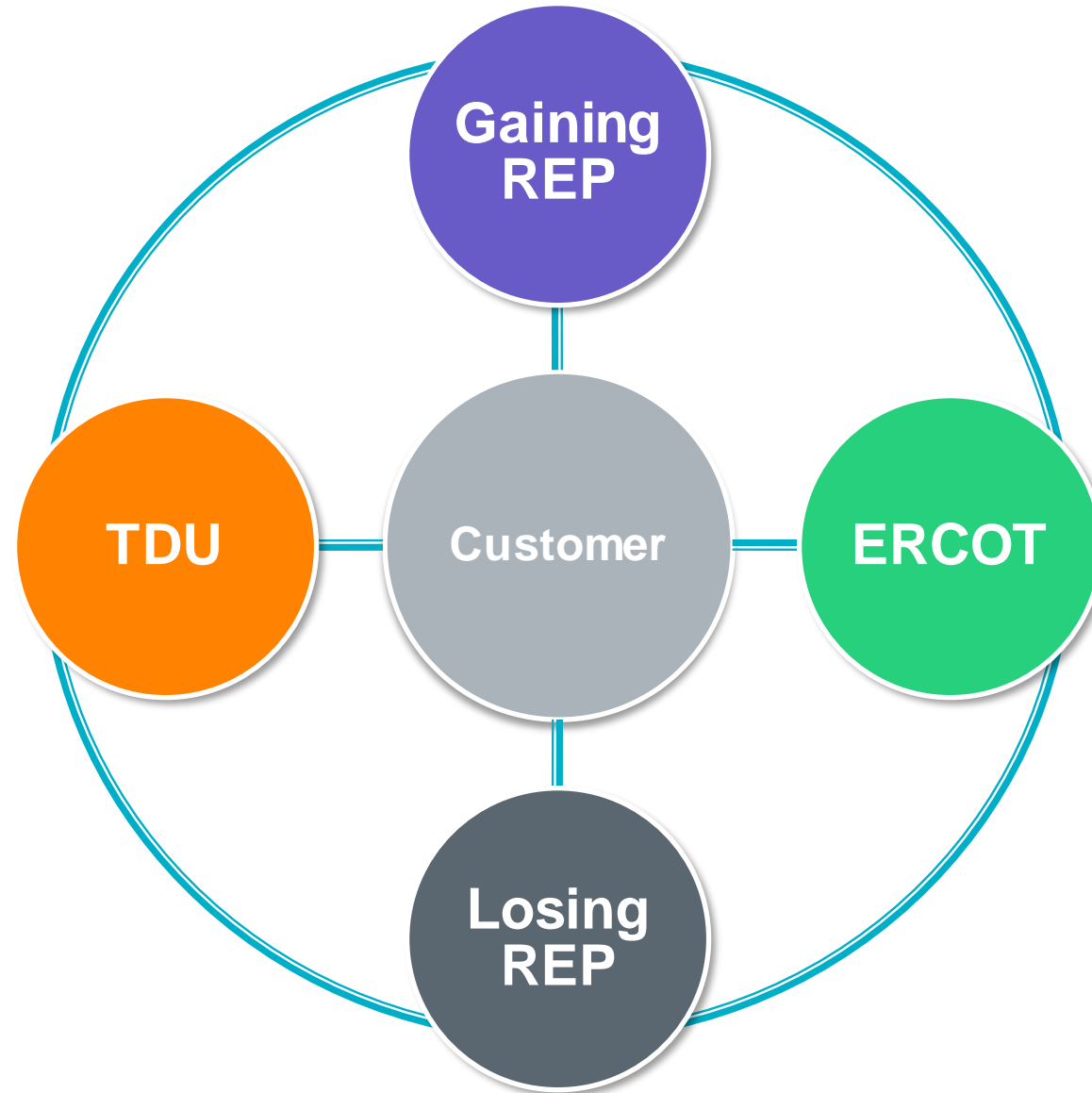
1. PUCT Subst. Rule §25.495, Unauthorized Change of Retail Electric Provider
2. ERCOT Retail Market Guide Section 7.3, Inadvertent Gain Process
3. MarkeTrak User's Guide, Section 2

## 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, ESI ID, wrong apartment number.
- Incorrect information entered by the REP during enrollment
- Unauthorized enrollments – slamming
- Variety of different enrollment processes used by REPs

# Who does an IAG impact?



# 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 **49%** of all MTs
- One of the longest MT issues to resolve
- It can create distrust and confusion in the Market

- **Cost**

- Resource Commitments
- Consumption Write-offs
- IAG Fees from TDSPs



# Questions





MarkeTrak Training

# 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.
- If/when the customer requests rescission (within the 3 federal business day window), the ‘losing’ REP must promptly regain the Customer – ***no questions asked***.
  - The research and investigation normally pursued during resolution of an Inadvertent Switch is not utilized when resolving Customer Rescission.

# Rescission vs. Inadvertent Switch

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

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

# Customer Rescission Guidelines

- Only the Gaining CR may submit the rescission-based MarkeTrak
- The issue 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 issue through the IAG/IAL 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**.

The screenshot shows the MarkeTrak web interface. At the top, there is a dark blue header with the 'MarkeTrak' logo. Below it is a navigation bar with tabs for 'Home', 'Submit', 'Search', 'Reports', and 'Settings', along with an 'ID Search:' field. The main content area is titled 'Submit Tree' and displays a tree view of the system's structure. The tree is expanded to show the following items:

- MarkeTrak
  - Bulk Insert
  - Issues
    - D2D
      - Missing TXNs
      - Usage/Billing Issues
      - Reject TXNs
      - Rep of Record
      - Projects
      - Siebel CHG/Info
      - 997 Issues
      - Other
      - Cancel With Approval
    - IAG
      - Customer Rescission ←
      - Inadvertent Gaining
      - Inadvertent Losing
      - Redirect Fees

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)

The screenshot shows the MarkeTrak web application interface. At the top, there is a blue header with the 'MarkeTrak' logo. Below the header is a navigation bar with buttons for 'Home', 'Submit', 'Search', 'Reports', and 'Settings', followed by an 'ID Search:' field with a search icon. Below the navigation bar are buttons for 'OK', 'Cancel', and 'Reset Form', along with an 'Actions:' dropdown menu set to '(select one)' and a help icon. The main content area is titled 'Submit into: ERCOT Projects : MarkeTrak : Issues : D2D : IAG : Customer Rescission'. Below this is a section titled 'Issue Information' with a collapsed icon. The 'Title' is set to 'Customer Rescission'. There is a checkbox for 'Assign To Pending?'. The required fields are: '\* ESI ID:' (text input), '\* Original Tran ID:' (text input), and 'TXN Date:' (calendar icon) with a format of 'mm/dd/yyyy'. A large text area for 'Comments:' is also present. Small circular icons with 'ERCOT' are visible next to the input fields.

# 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]**
6. Losing CR user selects 'Begin Working'.

# Rescission Walkthrough – Losing CR

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]**

The screenshot displays the MarkeTrak web application interface. At the top, there is a navigation bar with 'Home', 'Submit', 'Search', 'Reports', and 'Settings' buttons, along with an 'ID Search' field. Below this is a 'Create Listing report' section with a 'Back to Results' link. The main content area shows a 'Customer Rescission MarkeTrak Issue 440970: Customer Rescission - In Progress (Losing CR)'. A row of buttons includes 'Send To Gaining CR', 'Send To TDSP' (highlighted with an arrow), 'Close', 'Unexecutable', 'Add Comment', 'Assign Owner', and 'Assign To Group'. Below the buttons is an 'Update Siebel Status/Substatus' button. The 'Issue Information' section lists the following details:

Issue ID:	440970
State:	In Progress (Losing CR)
Title:	Customer Rescission
ESI ID:	ESIID0113123339MHOST
Original Tran ID:	OTIDSW10113123446MHOST
GLOBPROCID:	00000000000000000000ESIID0113123339MHOSTOTIDSW10113123446MHOST
Premise Type:	Residential
Siebel Status:	Complete
Siebel Substatus:	
Last Siebel Status Retrieval Date:	02/01/2012 10:58:28
Tran Type:	814_01
TXN Date:	
Gaining MP:	111111112, Test LSE2, CR

## 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.

# Rescission Walkthrough - TDSP

12. TDSP selects 'Ready to Receive'

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

The screenshot displays the MarkeTrak web application interface. At the top, there is a navigation bar with 'Home', 'Submit', 'Search', 'Reports', and 'Settings' buttons, along with an 'ID Search' field containing '440970'. Below this, a 'Back to Results' link is visible. The main heading reads 'Customer Rescission MarkeTrak Issue 440970: Customer Rescission - In Progress (TDSP)'. A row of action buttons is shown, with 'Ready To Receive' highlighted by a red arrow. Other buttons include 'Send To Submitting CR', 'Request Updated Proposed Regain Date', 'Assign To Group', and 'Update Siebel Status/Substatus'. Below the buttons is an 'Issue Information' section with the following details:

Issue ID:	440970
State:	In Progress (TDSP)
Title:	Customer Rescission
ESI ID:	ESIID0113123339MHOST
Original Tran ID:	OTIDSW10113123446MHOST
GLOBPROCID:	00000000000000000000ESIID0113123339MHOSTOTIDSW10113123446MHOST
Premise Type:	Residential
Siebel Status:	Complete
Siebel Substatus:	
Last Siebel Status Retrieval Date:	02/01/2012 10:58:28
Tran Type:	814_01
TXN Date:	
Gaining MP:	111111112, Test LSE2, CR
Losing MP:	111111111, Retail TestLSE, CR
Submitting MD:	111111112, Test LSE2, CR

## Rescission Walkthrough – Losing CR

13. Issue is in a state of 'New (Losing CR Submit)' with the Losing CR as Responsible MP.
14. Losing CR selects 'Begin Working'.
15. Issue is in a state of 'In Progress (Submit Regaining)' with the Losing CR as Responsible MP.

# Rescission Walkthrough – Losing CR

16. Losing CR selects 'Provide Regaining BGN02'.

MarkeTrak

Home Submit Search Reports Settings ID Search: 440970

Back to Results  
Customer Rescission MarkeTrak Issue 440970: Customer Rescission - In Progress (Submit Regaining)

Provide Regaining BGN02 Send To TDSP Close Add Comment Assign Owner Assign To Group

Update Siebel Status/Substatus

Issue Information

Issue ID: 440970  
State: In Progress (Submit Regaining)  
Title: Customer Rescission  
ESI ID: ESIID0113123339MHOST  
Original Tran ID: OTIDSW10113123446MHOST  
GLOBPROCID: 0000000000000000ESIID0113123339MHOSTOTIDSW10113123446MHOST  
Premise Type: Residential  
Siebel Status: Complete  
Siebel Substatus:  
Last Siebel Status Retrieval Date: 02/01/2012 10:58:28  
Tran Type: 814\_01  
TXN Date:  
Gaining MP: 111111112, Test LSE2, CR  
Losing MP: 111111111, Retail TestLSE, CR  
Submitting MP: 111111112, Test LSE2, CR  
TDSP Invoked: 66666666 test TDSP company TDSP

# Rescission Walkthrough – Losing CR

17. Losing CR populates all required information:

- Regaining Transaction Submit Date
- Regaining BGN 02

MarkeTrak

Home Submit Search Reports Settings ID Search: 440970 >

Provide Regaining BGN02 Customer Rescission MarkeTrak Issue 440970: Customer Rescission - (Auto)

OK Cancel Reset Form Actions: (select one) [icon] [icon]

Issue Information

\* Regaining Transaction Submit Date: [input] [calendar icon] mm/dd/yyyy hh:mm:ss \* Regaining BGN 02: [input] [RDC icon]

Comments: New text added by RCC1 LSE-111111111:

[text area]

08/01/2012 15:02:07 - RCC1 LSE-111111111: comments

## 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

## Checkpoint Question #2

*In order to efficiently process a Rescission MT, the customer name should be stated in the comments.*

- a) True
- b) False

## Checkpoint Question #3

*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

# Questions





MarkeTrak Training

**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 by submitting an 814\_08 EDI cancel transaction.
  - 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.

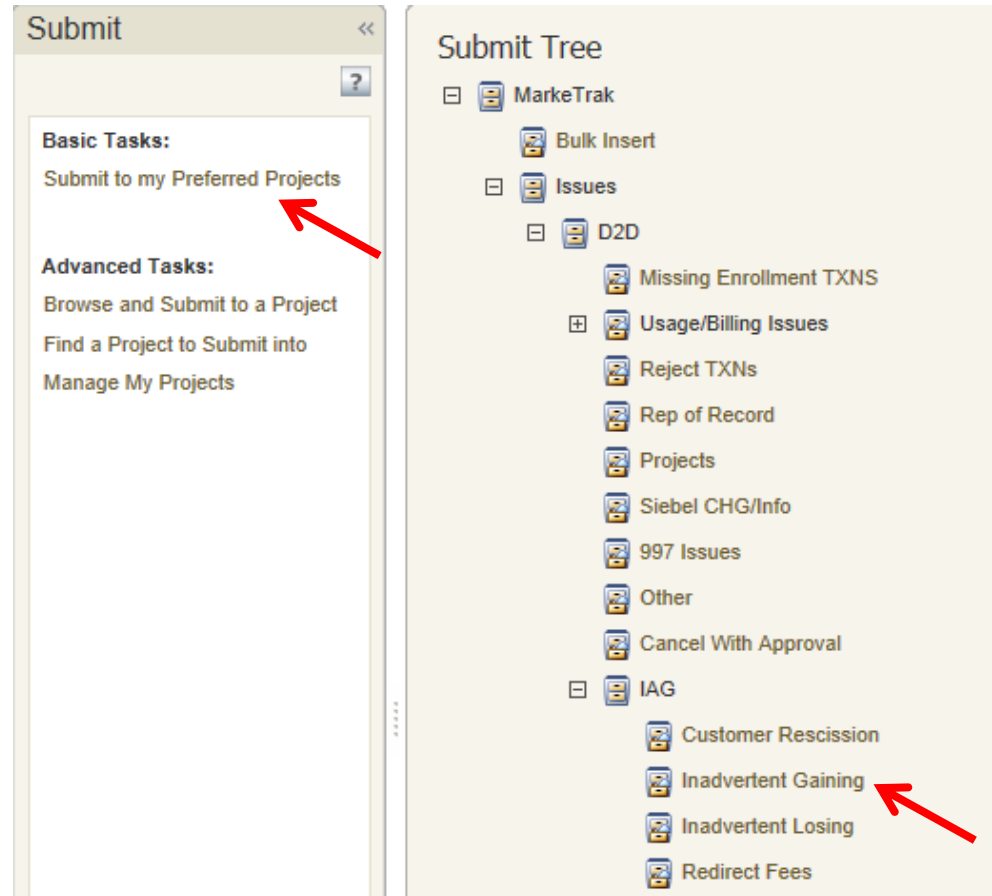
# Inadvertent Gain

- 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).

Submit into: MarkeTrak : Issues : D2D : IAG : Inadvertent Gaining

OK Cancel

Issue Information

Title: Inadvertent Gaining

\* ESI ID: TESTESIID20170222 ABC

\* Original Tran ID: TESTESIID20170222 ABC

Tran Type: (None) v

TXN Date: mm/dd/yyyy

Assign To Pending?:

Responsible MP: 799530915, Reliant Energy Retail Services, CR

Issue Available Date: First Touched:

Comments: Wendy Day was inadvertently gained on (Date). We are asking the previous REP to reinstate this ESID back to their date of loss. ABC

**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



# Inadvertent Gain

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

The screenshot displays the 'Inadvertent Gaining MarkeTrak Issue - 2650506: Inadvertent Gaining - New (Losing CR)' interface. At the top, there are several action buttons: 'Begin Working', 'Withdraw', 'Add Comment', 'Assign Owner', 'Assign To Group', and 'Update Siebel Status/Substatus'. Below these is a 'State Change History' section with a 'Show All' link. The history shows a sequence of actions: 'Send To Losing CR' (CR ID: 9530915, Date: 02/22/2017 09:24:19), 'New (Losing CR)' (CR ID: 1733370281000, Date: 02/22/2017 09:24:19), 'Assign Owner' (CR ID: 1733370281000, Date: 02/22/2017 10:21:49), and another 'New (Losing CR)' (CR ID: 1733370281000, Date: 02/22/2017 10:21:49). Below the history is the 'Issue Information' section, which lists: 'Issue ID: 2650506', 'State: New (Losing CR)', and 'Title: Inadvertent Gaining'.

- 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”**

The screenshot shows a form titled "Issue Information". It contains a dropdown menu labeled "\* Unexecutable Reason:" with the following options: "(None)", "(None)", "Authorized Enrollment Confirmed", "Duplicate Issue", "3rd party CR has regained/transaction completed", and "Other". The "3rd party CR has regained/transaction completed" option is currently selected and highlighted in blue. To the right of the dropdown is a text input field labeled "Comments:".

# Inadvertent Gain

## 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”**

The screenshot shows a form titled "Issue Information" with a dropdown menu for "Unexecutable Reason". The dropdown is open, showing options: "(None)", "(None)", "Authorized Enrollment Confirmed", "Duplicate Issue", "3rd party CR has regained/transaction completed", and "Other". The "Duplicate Issue" option is highlighted in blue.

### NOTE:

**“Authorized Enrollment Confirmed” and “Other” are not valid reasons for Losing REP to unexecute.**

The screenshot shows a form titled "Issue Information" with a dropdown menu for "Unexecutable Reason". The dropdown is open, showing options: "(None)", "(None)", "Authorized Enrollment Confirmed", "Duplicate Issue", "3rd party CR has regained/transaction completed", and "Other". The "Authorized Enrollment Confirmed" option is highlighted in blue.

## Invalid Reject 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).

Located under RMG 7.3.2.5 Invalid Reject / Unexecutable Reasons

# 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."

The screenshot displays the 'Inadvertent Gaining MarkeTrak Issue - 2650577: Inadvertent Gaining - Regaining Transaction Submitted (PC)' interface. At the top, there is a row of buttons: 'Complete', 'Send To TDSP', 'Add Comment', 'Assign Owner', 'Assign To Group', and 'Update Regaining Transaction Siebel Status'. Below this is another button 'Update Siebel Status/Submit Status' with a warning icon. On the left side, there are 'OK' and 'Cancel' buttons. The main area contains a table with columns for 'Gaining MP Owner', 'Losing MP Owner', 'TDSP Involved Owner', 'ERCOT Owner', 'Gaining CR ROR', 'Regaining Transaction Submit Date', 'Regaining BGN Requested Date', 'Regaining Global ID', 'Unexecutable Reason', 'Invalid IAG Reason', and 'Issue Available Date'. The 'Proposed Regain Date' field is highlighted with a red arrow. Below the table, there is a 'Comments' section with a text area and a red arrow pointing to it.

Field	Value
Gaining MP Owner:	124769063, 183529049, ERCOT, ERCOT, 799530915, .
Losing MP Owner:	124769063, . 124769063, CR, 799530915, - 799530915 Retail Services, CR
TDSP Involved Owner:	(None)
ERCOT Owner:	Host-Admin-183529049, - 183529049, ERCOT, ERCOT
Gaining CR ROR:	Yes
Regaining Transaction Submit Date:	02/14/2017 00:00:00
Regaining BGN Requested Date:	
Regaining Global ID:	
* Proposed Regain Date:	<input type="text"/>
Unexecutable Reason:	(None)
Invalid IAG Reason:	(None)
Issue Available Date:	02/22/2017 11:26:50

# 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).

The screenshot displays the 'Inadvertent Gaining MarketTrak Issue - 1878601: Inadvertent Gaining - In Progress (TDSP)'. At the top, there are several action buttons: 'Ready To Receive', 'Send To Submitting CR', 'Request Updated Proposed Regain Date', 'Add Comment', 'Assign Owner', 'Assign To Group', and 'Update Siebel Status/Substatus'. Below these is a 'State Change History' section showing a sequence of transitions: 'In Progress (Losing CR)' (RCC1 L5E2-11111112, 02/15/2013 15:15:47) → 'Send To TDSP' (By RCC1 L5E2-11111112, Details...) → 'New (TDSP)' (Unknown Unknown, 02/16/2013 15:24:06) → 'Begin Working' (By RCC1 TDSP-66666666, Details...) → 'In Progress (TDSP)' (RCC1 TDSP-66666666, 02/16/2013 15:24:51). Red arrows point from the 'Ready To Receive', 'Send To Submitting CR', and 'Request Updated Proposed Regain Date' buttons to the 'Send To TDSP' transition in the history. Below the history is an 'Issue Information' section with the following details: Issue ID: 1878601, State: In Progress (TDSP), Title: Inadvertent Gaining.

# 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.

Gaining CR ROR: No
* Regaining BGN 02: <input type="text"/> ABC

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.

# Losing REP VALID Reject / Unexecutable Reasons

## RMG 7.3.2.4 Valid Reject / Unexecutable Reasons

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.

# Gaining REP Valid Reject / Unexecutable Reasons

## RMG 7.3.2.4 Valid Reject / Unexecutable Reasons

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

# INVALID Reject Reasons

## RMG 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

## Checkpoint Question #2

*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





MarkeTrak Training

# Common IAG Issues, Best Practices, & Quick Tips

# MVO vs IAG

## Issue:

MVO's are incorrectly being submitted for IAG situations

## Solution:

CR's **MUST NOT** issue MVOs for active 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 provided incorrect?”)
- For an incorrect address, review ERCOT's MIS to see if the MVI resulted in an 814\_06 Loss Transaction being sent to a Losing REP. If so, issue an IAG MT.

### Transaction Flow for Inadvertent Gain situation

814_01	CR to ERCOT
814_03	ERCOT to TDSP
814_04	TDSP to ERCOT
814_05	ERCOT to CR
<b>814_06</b>	<b>ERCOT to Losing CR</b>
867_04	TDSP to CR
867_03F	TDSP to Losing CR

# 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

# Escalation for resolution of IAGs

## Issue:

MTs and/or Escalated MTs are not receiving responses or being completed in a timely manner

## Solution:

Market participants should maintain “rolodex” contacts and work escalations on a daily basis.

## Best Practice:

Designate one of the escalation contacts as a departmental mailbox instead of an individual

### Escalation Path

#### Recommendations :

- **First escalation:** email via MarkeTrak to the assigned agent working the issue.
- **Second escalation:** email via MarkeTrak to primary and secondary contact in Rolodex.
- **Third Escalation:** include REP Relations/ERCOT Account Manager

Allow 3-5 business days between escalations.

# Expected Level of Performance

## Issue:

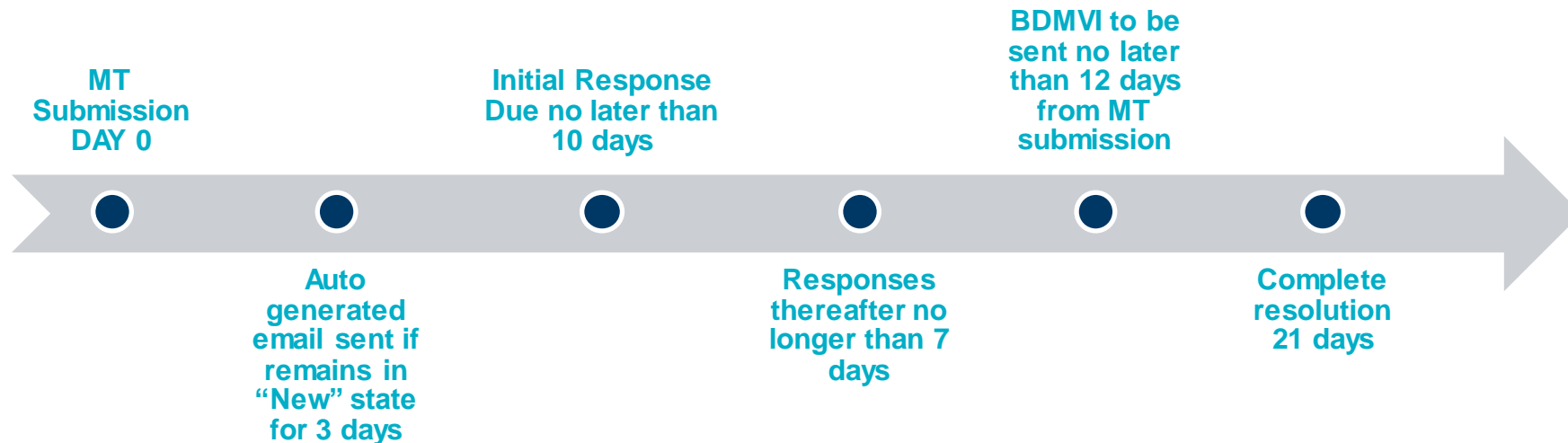
Untimely resolution of IAG issues

## Solution:

Adoption of timelines stated in Retail Market Guide

## Best Practice:

REPs to develop internal SLAs to address MTs aligning with market's expected level of performance



RMG Section 7.3 Inadvertent Gain Process

# No Current Occupant

## Issue:

Losing REP responds to an IAG indicating:

- “their customer no longer occupies the premise”
- “no longer under contract”
- “cannot reach the customer”
- “Customer no longer wants us as REP of Record”

and attempts to ‘unexecute’ the IAG MT issue.

## Solution:

These are **NOT** valid reasons for unexecuting MT (RMG 7.3.2.5 Invalid Reject/Unexecutable Reasons)

## Best Practice:

Losing REP must regain ESI ID and initiate the 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 by the Gaining REP 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 an active Switch Hold and remove as needed

RMG Section 7.3.2.3 Resolution of Inadvertent Gains

# Self-Service Portals (online enrollment/Multi-Family Portals)

## Issue:

Customers use Self-Service portals to initiate MVI's, Transfers of Service or MVOs

## Solution:

Establish safeguards ensuring that customers who may have inadvertently selected an incorrect address do not cause a lights out situation.

## Best Practice:

- Limited functionality for transfers of service within XX amount of days.
- Redirect the customer to contact call center in move out situations
- Display FAQ's regarding Inadvertent Switches

# Linking IAL Issues with Customer Rescission

## Issue:

Losing REP issues IAL MT prior to the Gaining REP being able to issue Customer Rescission MT

## Solution:

Gaining REP should create Customer Rescission MT linking it to the Losing REP's IAL MT.

## Best Practice:

- Rescission MarkeTrak should be created prior to executing the Losing REP's IAL
- Linking the MT's together allows for quicker resolution and tracking
- Unexecute Losing REP's IAL MT as a duplicate issue.

# Questions





Market Training

IAG / IAL Reporting

# 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

# Monthly IAG / IAL Statistics

**Total IAG+IAL % of Total Enrollments: 1.40%**

**IAG/IAL % Greater Than 1% of Enrollments**

**Total IAG+IAL Count: 3,547**

**IAG/IAL % Less Than 1% of Enrollments**

**Total IAG+IAL Count: 1,806**

## Retail Electric Provider Counts

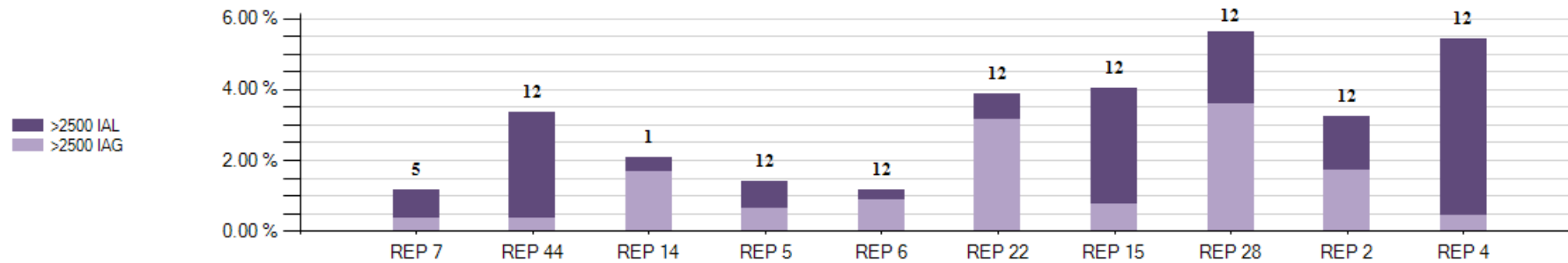
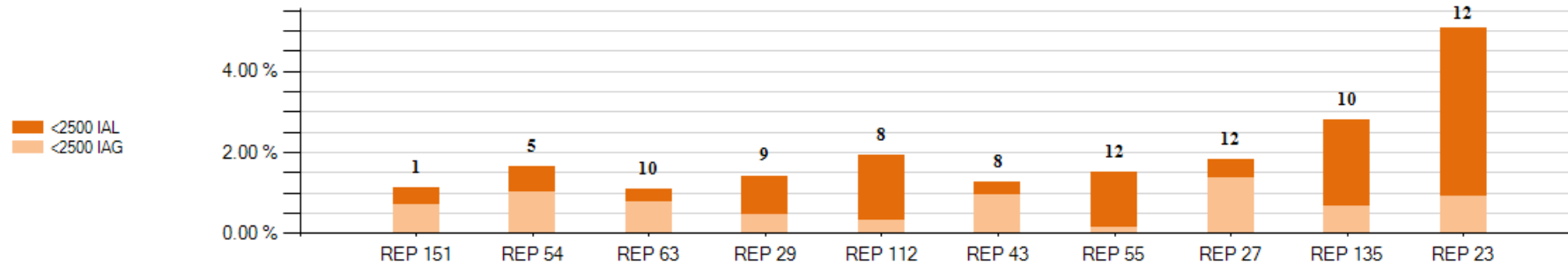
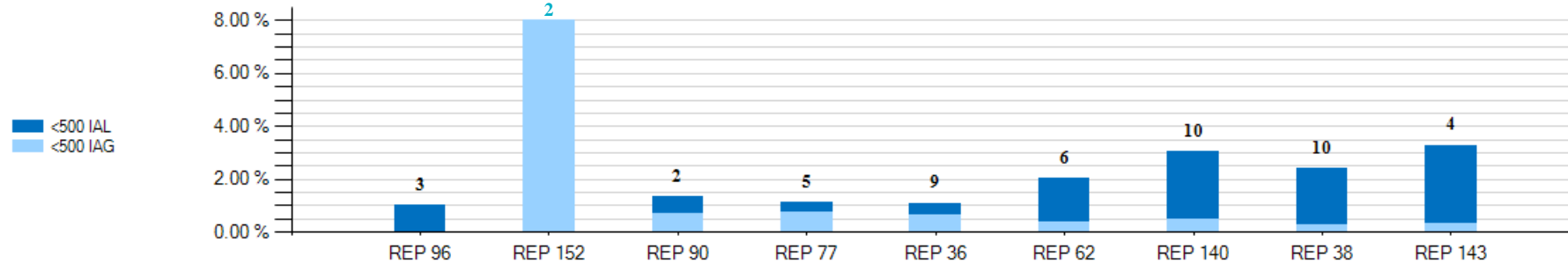
	Percent of Enrollments Resulting in IAG/IAL			
Enrollment Total	.00% to .25%	.26% to .50%	.51% to .75%	.76% to 1.00%
<= 500	1	1	3	2
> 500 and <= 2500	4	4	6	3
> 2500	2	3	4	8

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

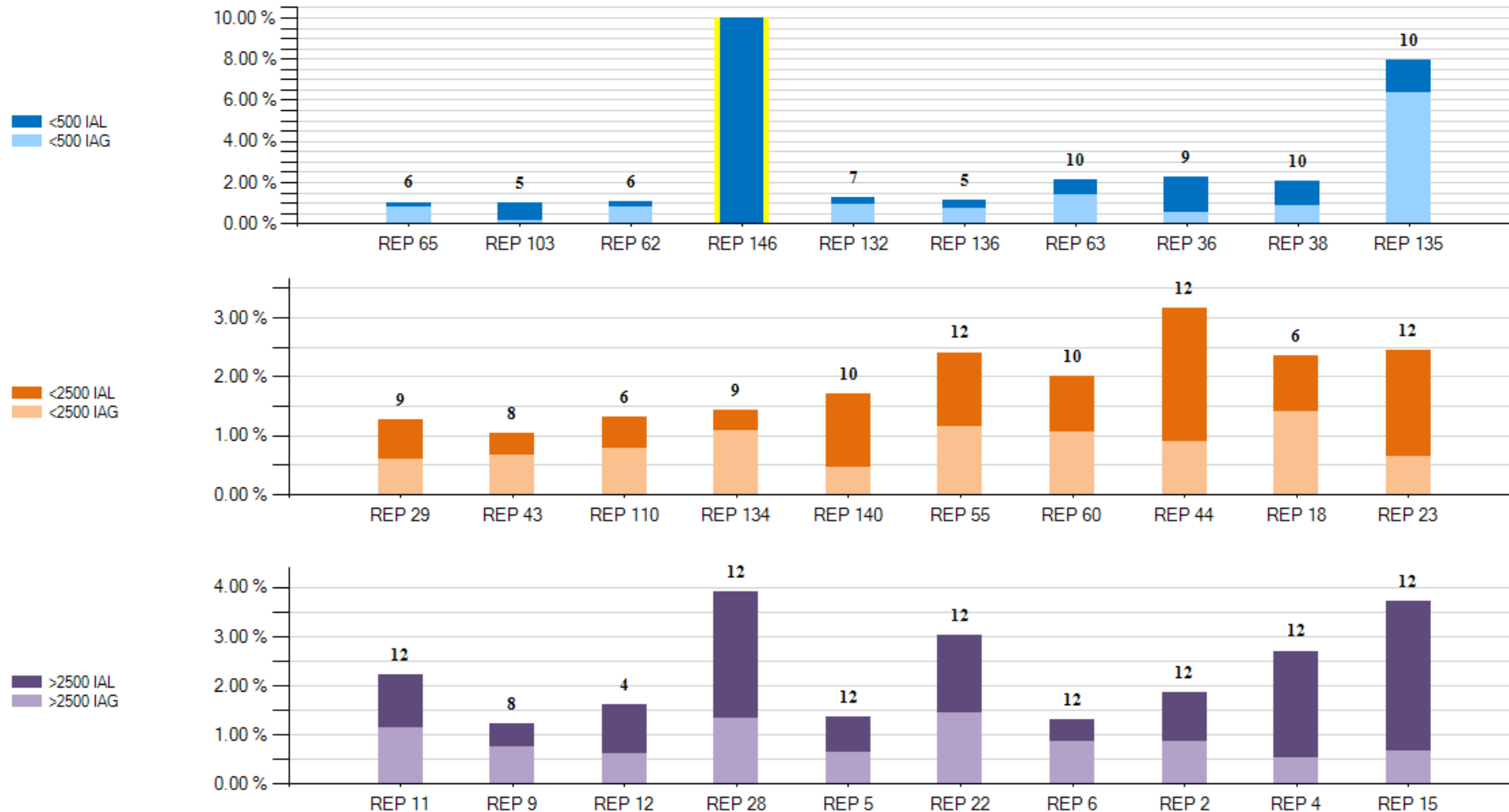
# Monthly Top 10 – IAG / IAL Statistics

Top 10 – Monthly– IAG / IAL % Greater Than 1% of Enrollments With Number of Months Greater Than 1%



# 12 Month Average – IAG / IAL Statistics

Top 10 - 12 Month Average IAG / IAL % Greater Than 1% of Enrollments  
With Number of Months Greater Than 1%

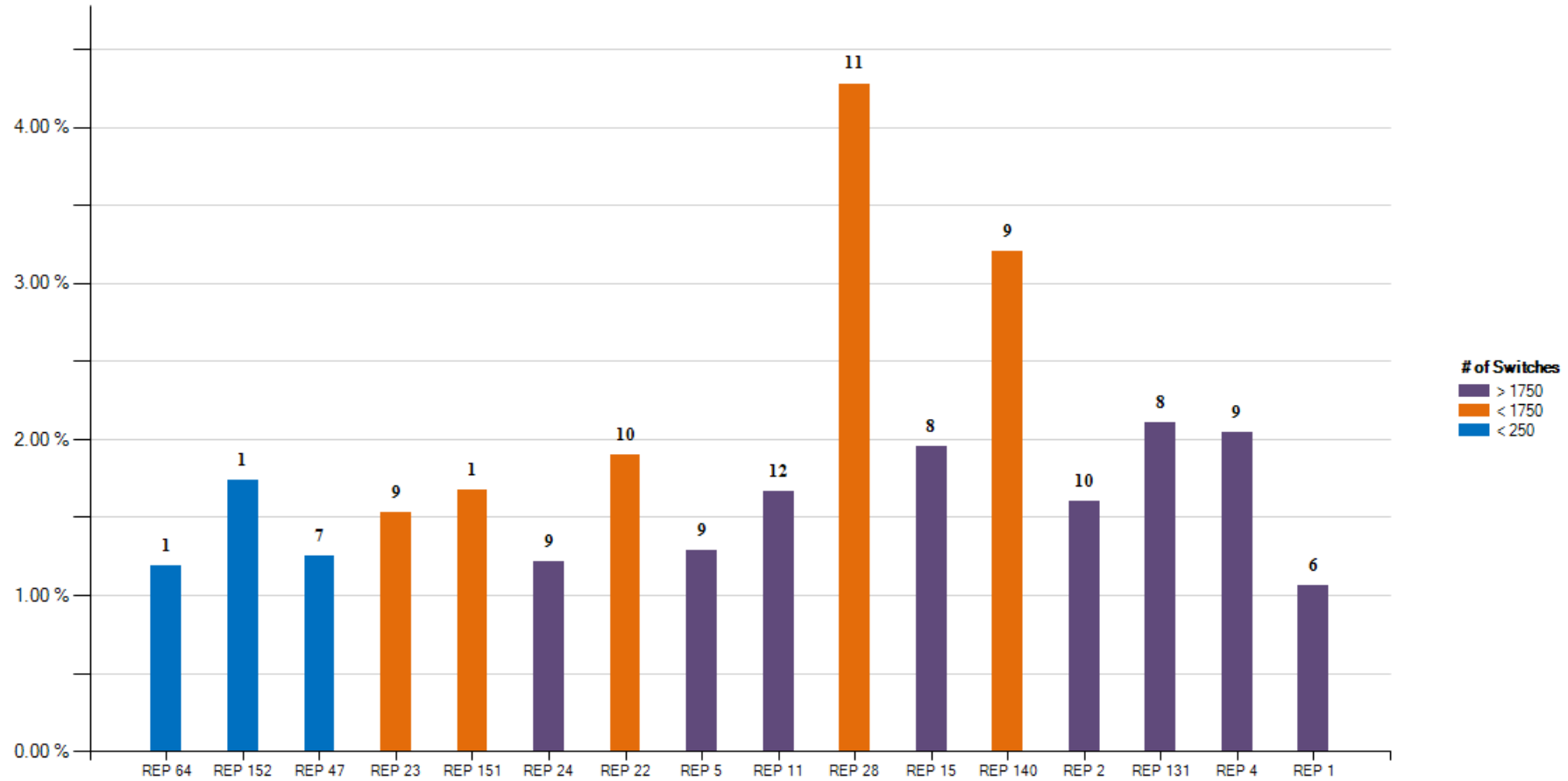


# Explanation of IAG / IAL Slides Data

- ▶ **Slide 198** 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 199** 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

# 12 Month Average – Rescission Statistics

Top - 12 Month Average Rescission % Greater Than 1% of Switches  
With number of months Greater Than 1%



# Explanation of Rescission Slide Data

## 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 **201** 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

Month	Enrollments			IAG, IAL, Rescission					Days to Resolution		
	SWI	MVI	Total	IAG	IAL	Rescission	IAG, IAL, Res Total	Overall %	IAG	IAL	Rescission
2019-07	142,418	288,116	430,534	2,559	2,903	587	6,049	1.40%	15	17	11
2019-08	146,534	278,737	425,271	2,437	2,398	692	5,527	1.30%	14	17	12
2019-09	104,974	257,060	362,034	2,071	2,143	453	4,667	1.29%	14	16	11
2019-10	97,443	259,662	357,105	2,050	2,283	454	4,787	1.34%	13	17	13
2019-11	69,866	210,793	280,659	1,834	2,129	397	4,360	1.55%	15	18	14
2019-12	74,363	210,921	285,284	1,841	1,980	394	4,215	1.48%	16	19	14
2020-01	78,720	227,645	306,365	1,980	2,165	531	4,676	1.53%	13	16	11
2020-02	74,361	213,951	288,312	1,975	2,025	563	4,563	1.58%	12	15	11
2020-03	88,857	217,657	306,514	1,707	1,779	575	4,061	1.32%	12	14	10
2020-04	82,551	191,679	274,230	1,494	1,438	245	3,177	1.16%	10	12	8
2020-05	99,776	208,903	308,679	1,549	1,358	335	3,242	1.05%	10	13	8
2020-06	146,804	241,696	388,500	1,935	1,922	392	4,249	1.09%	11	13	9
2020-07	109,354	267,239	376,593	1,962	2,151	600	4,713	1.25%	11	13	9
2020-08	123,368	253,886	377,254	1,737	2,207	457	4,401	1.17%	12	14	9
2020-09	81,951	239,448	321,399	1,571	2,331	392	4,294	1.34%	11	13	7
2020-10	98,008	244,865	342,873	1,699	2,323	343	4,365	1.27%	11	13	7
2020-11	144,773	215,114	359,887	1,457	1,934	288	3,679	1.02%	13	16	11
2020-12	118,401	232,338	350,739	1,432	2,514	369	4,315	1.23%	11	14	8

# How can we drive efficiency? *Reporting*

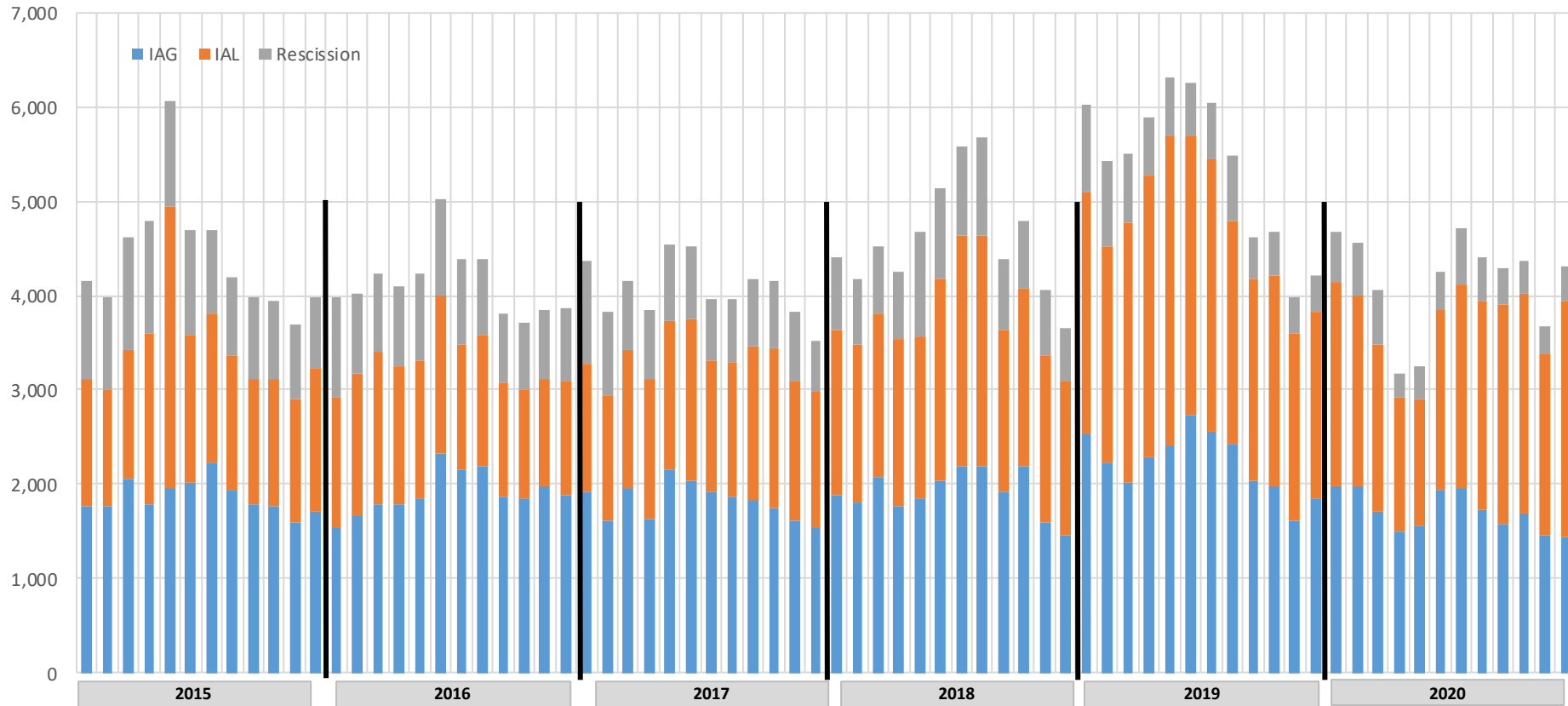
Reporting to measure success ... **New format!!**

## 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* to return the ESI to the Losing 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 Performance - Volumes

Issue Counts - Valid Inadvertent Issues by Month of Enrollment



**Overall % Change in IAS volume per enrollment:**

2015 to 2016 = -6.62%

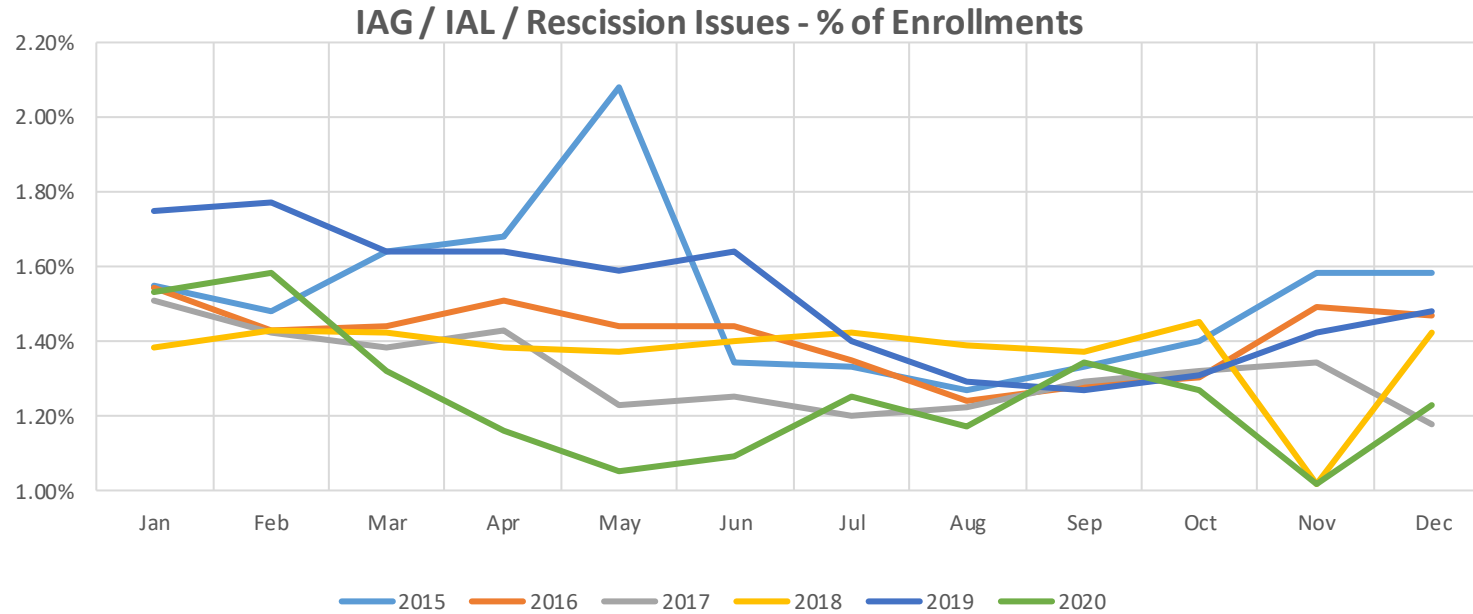
2016 to 2017 = -7.09%

2017 to 2018 = 5.38%

2018 to 2019 = 10.59%

2019 to 2020 = -17.7%

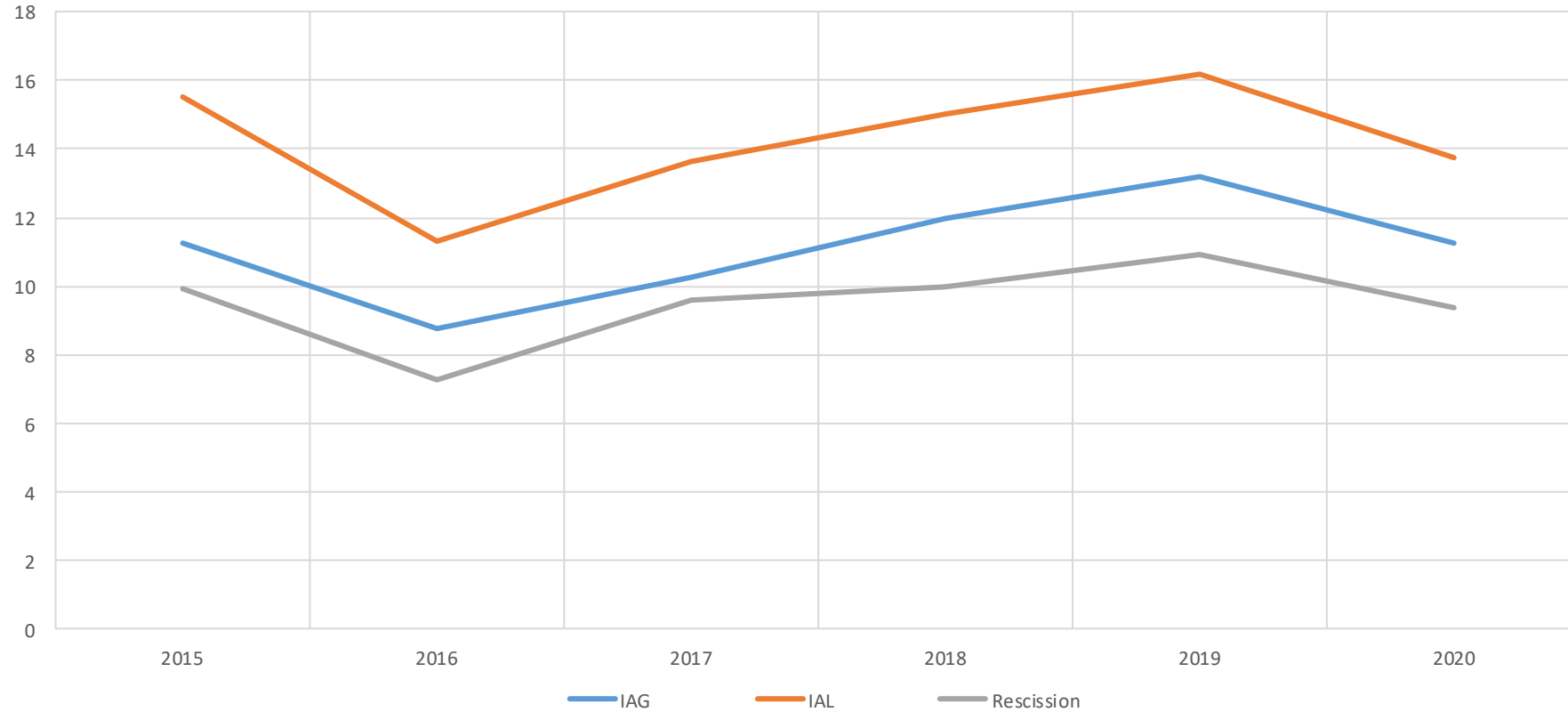
# Market Performance - % of enrollments



Year	Enrollments			IAG, IAL, Rescission				Overall %
	SWI	MVI	Total	IAG	IAL	Rescission	IAG, IAL, Res Total	
2015	901,409	2,593,096	3,494,505	22,337	18,861	11,574	52,772	<b>1.51%</b>
2016	864,357	2,647,635	3,511,992	22,843	16,555	10,210	49,608	<b>1.41%</b>
2017	1,001,416	2,765,274	3,766,690	21,807	18,017	9,036	48,860	<b>1.30%</b>
2018	1,214,662	2,836,682	4,051,344	22,979	22,680	9,668	55,327	<b>1.37%</b>
2019	1,322,647	2,944,372	4,267,019	26,655	30,446	7,340	64,441	<b>1.51%</b>
2020	1,246,924	2,754,421	4,001,345	20,498	24,147	5,090	49,735	<b>1.24%</b>

# Market Performance – Resolution Days

Average Days to Resolution



**Valid IAG/IAL/RESC Issues by Close Date**

# Inadvertent Gain Process Timeline

TDTMS analyzed the results of over 44,000 IAGs/IALs from July 2019 to July 2020, breaking down time required for each transition to provide insight into opportunities for efficiency...

IAS Steps	
1	OTRAN date
2	Submit
3	Receive
4	Agree
5	Ready to Receive
6	BDMVI sent
7	Billing
8	Close

Inadvertent Situation Flow		
Time elapsed		
2 → 1	original transaction to submittal of MT	
2 → 3	how long to begin working	
2 → 4	agreement between CRs	
3 → 4	how long to agree once touched	
4 → 6	Losing CR to send BDMVI	
5 → 6	Ready to Receive to submittal of BDMVI	
2 → 8	total resolution time	

# Inadvertent Gain Process Timeline – Data Analysis

## Summary of the TDTMS analysis...

- ❑ Over 50% of MTs are submitted within 7 days of the originating transaction
- ❑ ~50% of MTs are acknowledged same day they are submitted
- ❑ 94% of completed MTs – CRs reach an agreement within 7 days once opened
- ❑ Appears some REPs have ‘hand-offs’ in sending BDMVIs
- ❑ 90% of IAGs are resolved in 21 days
- ❑ 80% of IALs are resolved in 21 days
- ❑ **CALL TO ACTION** – REPs are encouraged to review their performance to identify any opportunities to streamline their process
- ❑ Posted to main TDTMS meeting page are ***IAL Analysis 20201116*** and ***IAG Analysis 20201116*** providing the performance of each REP (listed by respective REP#) <http://www.ercot.com/committee/tdtms/2020>

## 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





MarkeTrak Training

## Survey

- What did you like?
- What didn't you like?
- What could we do better?

[www.surveymonkey.com/r/ERCOTILT](http://www.surveymonkey.com/r/ERCOTILT)