**ERCOT Nodal Protocols**

**Section 15: Customer Registration**

**July 1, 2021**

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# CUSTOMER REGISTRATION

(1) ERCOT shall maintain a registration database of all metered and unmetered Electric Service Identifiers (ESI IDs) in Texas for Customer Choice.

(2) ERCOT will notify the Public Utility Commission of Texas (PUCT) and the affected Competitive Retailer (CR) if a Transmission and/or Distribution Service Provider (TDSP) fails to meet its Customer switch responsibilities under the ERCOT Protocols.

(3) All CRs with Customers in Texas, whether operating inside the ERCOT Region or not, shall be required to register their Customers in accordance with this Section.

(4) All Customer registration processes will be conducted using the appropriate Texas Standard Electronic Transactions (TX SETs). Definitions of all TX SET codes referenced in this Section can be found in Section 19, Texas Standard Electronic Transaction. A reference to any TX SET transaction should be read as referring to the named transaction or its Market Information System (MIS) equivalent, if any. Transaction flow diagrams for Customer registration processing are posted on the ERCOT website.

(5) ERCOT will reject any initiating transaction due to date reasonableness if the requested implementation date is of more than 90 days in the future or 270 days in the past. Initiating transactions are: 814\_01, Switch Request; 814\_16, Move In Request; and 814\_24, Move Out Request.

(6) ERCOT will prioritize initiating or inbound transactions in the following manner:

(a) Level 1 – Same day 814\_16 transactions, same day 814\_24 transactions, 814\_01 transactions and 814\_20, ESI ID Maintenance Requests (Create), will be processed in one Retail Business Hour.

(b) Level 2 – Standard 814\_16 transactions and standard 814\_24 transactions will be processed in two Retail Business Hours.

(c) Level 3 – 867\_02, Historical Usage, 814\_20, ESI ID Maintenance Requests (Maintain and Retire), will be processed in four Retail Business Hours.

(d) Level 4 – All 814\_26, Historical Usage Requests, 814\_18, Establish/Delete CSA Requests, and 814\_19, Establish/Delete CSA Responses, will be processed in one Retail Business Day.

(7) For transactions to flow through ERCOT, back-dated transactions for a market-approved corrective action must meet the date reasonableness test. Market Participants must work with ERCOT for any manual changes to transactions that fall outside these dates for market-approved corrective action. However, a TDSP will reject a back-dated transaction that is not part of a market-approved transaction.

(8) For more information concerning the requirements for transaction processing in the retail market, please refer to the Retail Market Guide.

15.1 Customer Switch of Competitive Retailer

(1) The following process shall be followed for a Competitive Retailer (CR) to switch an Electric Service Identifier (ESI ID).

15.1.1 Submission of a Switch Request

(1) The CR shall submit a Switch Request to ERCOT using the 814\_01, Switch Request. The Switch Request shall include, at a minimum, the five-digit zip code and an ESI ID. Within this transaction, the CR will also send information necessary for ERCOT to send a switch confirmation notice to the Customer as required by the applicable Public Utility Commission of Texas (PUCT) rules. The First Available Switch Date (FASD) is the day received by ERCOT unless received on a Sunday or an ERCOT holiday. If received on a Sunday or an ERCOT holiday, the FASD will be calculated as the next day that is not a Sunday or an ERCOT holiday.

15.1.1.1 Notification to Customer of Switch Request

(1) ERCOT will send a switch confirmation notice to the Customer as specified in the PUCT rules. This notice will give the Customer information regarding the Switch Request as described in the PUCT rules.

15.1.1.2 Provision of Historical Usage

(1) A request for historical usage may be submitted along with a Switch Request or as an ad hoc request.

15.1.1.2.1 Provision of Historical Usage with a Switch Request

(1) If requested by the switching CR in the Switch Request, the Transmission and/or Distribution Provider (TDSP) shall provide the most recent 12 months of historical usage, if available, to ERCOT, including monthly metered usage for the Customer’s ESI ID and any applicable metered interval usage in accordance with the 867\_02, Historical Usage. ERCOT’s business process for Switch Requests is not linked to the receipt of the historical usage and the processing of the switch will continue regardless of the TDSP returning historical usage. Upon receipt of the historical usage from the TDSP, ERCOT shall forward the 867\_02 transaction to the CR Data Universal Numbering System (DUNS) Number provided by the TDSP within four Retail Business Hours.

(2) Provision of meter read and historical usage data pursuant to this paragraph shall not be required when it would be prohibited by PUCT rules.

15.1.1.2.2 Ad Hoc Requests for Historical Usage

(1) To request historical usage on an ad hoc basis, the CR of Record must submit an 814\_26, Historical Usage Request, to ERCOT. Within one Retail Business Day of receipt of an 814\_26 transaction from a CR, ERCOT shall notify the TDSP of the ad-hoc request using the 814\_26 transaction. The TDSP shall provide the requested information to ERCOT within two Retail Business Days of receipt of the 814\_26 transaction using the 814\_27, Historical Usage Response. ERCOT shall forward the usage information to the CR of Record using the 814\_27 transaction within one Retail Business Day of receipt of the 814\_27 transaction from the TDSP. The TDSP shall provide the most recent 12 months of historical usage, if available, to ERCOT, including monthly, metered usage for the Customer’s ESI ID information and any applicable metered interval usage in accordance with the 867\_02, Historical Usage. ERCOT will send the 867\_02 transaction to the CR DUNS Number provided in the 867\_02 transaction by the TDSP within four Retail Business Hours of receipt from the TDSP.

(2) Provision of meter read and historical usage data pursuant to this paragraph shall not be required when prohibited by PUCT rules.

15.1.1.3 Switch Enrollment Notification Request to TDSP

(1) ERCOT will submit to the TDSP serving the ESI ID, an enrollment notification request using the 814\_03, Enrollment Notification Request, within one Retail Business Hour of the receipt of a valid Switch Request. The notification will include the name of the CR requesting service to the ESI ID and will indicate the FASD calculated pursuant to Section 15.1.1, Submission of a Switch Request.

15.1.1.4 Response from TDSP to Registration Notification Request

(1) Upon receipt of an enrollment notification request, the TDSP shall provide ESI ID information to ERCOT, including:

(a) ESI ID;

(b) Service Address;

(c) Rate class and sub-class, if applicable;

(d) Special needs indicator;

(e) Load Profile Type;

(f) Scheduled meter read date;

(g) Meter type, identification number, number of dials and role for each meter at the ESI ID if the ESI ID is metered;

(h) Number and description of each unmetered device for unmetered ESI IDs;

(i) Station ID; and

(j) Distribution Loss Factor (DLF) code.

(2) This information shall be transmitted using the 814\_04, Enrollment Notification Response, within two Retail Business Days of the receipt of the 814\_03, Enrollment Notification Request. If the TDSP does not respond with the ESI ID information within two Retail Business Days after the receipt of the 814\_03 transaction from ERCOT, ERCOT shall create an internal tracking exception. The switch will be held in “in review” status until the TDSP’s 814\_04 transaction response is received. If the TDSP’s 814\_04 transaction is not received within three Retail Business Days of receipt of the 814\_03 transaction from ERCOT and is still not received by the earlier of the requested date on the switch or within 20 Retail Business Days after the original submission of the 814\_03 transaction from ERCOT, ERCOT shall change the status of the switch to “cancel pending.” The TDSP will receive notification of the pending switch cancellation through the 814\_08, Cancel Request. The TDSP will respond using the 814\_09, Cancel Response. If the 814\_09 transaction is an “accept,” the submitting CR will receive notification of the switch cancellation through the 814\_08 transaction. Any other CR involved in the request to which an 814\_06, Loss Notification, has been sent will also receive notification of the switch cancellation through the 814\_08 transaction. If the 814\_09 transaction from the TDSP is a reject, the switch will return to an “in review” status and the TDSP shall also transmit an 814\_04 transaction within one Retail Business Day.

(3) If the TDSP responds to ERCOT’s 814\_03 transaction with an 814\_04 transaction and then later submits an 814\_28, Complete Unexecutable or Permit Required, indicating the TDSP is unable to complete the switch, ERCOT will send the TDSP’s 814\_28 transaction to the requesting CR. The TDSP will note the complete unexecutable reason on the 814\_28 transaction. The initiating transaction is considered unexecutable. The current CR will remain the CR of Record.

15.1.1.5 Response to Valid Enrollment Request

(1) Within one Retail Business Day of receipt of the TDSP’s 814\_04, Enrollment Notification Response, ERCOT will respond to the requesting CR in accordance with the 814\_05, CR Enrollment Notification Response. This response will contain the scheduled meter read date for the switch and all information the TDSP furnished to ERCOT under the TDSP’s 814\_04 transaction. The TDSP must effectuate the switch within two Retail Business Days of the scheduled meter read date.

15.1.1.6 Loss Notification to Current Competitive Retailer (with date)

(1) Within two Retail Business Days of the scheduled meter read date for the switch, but not before the receipt of the TDSP’s 814\_04, Enrollment Notification Response, ERCOT will notify the current CR using the 814\_06, Loss Notification. This notification will contain the scheduled meter read date for the switch.

15.1.1.7 Completion of Switch Request and Effective Switch Date

(1) A Switch Request is effectuated on the actual meter read date in the 867\_04, Initial Meter Read, or the final 867\_03, Monthly or Final Usage, which must be equal to the scheduled meter read date. The process for a specific Switch Request is complete upon receipt of the effectuating meter read sent by the TDSP. The TDSP shall send the meter read information to ERCOT using the 867\_03 transaction and 867\_04 transaction within three Retail Business Days of the meter read. This transaction will contain an effectuating meter read indicator. If the TDSP has made every reasonable effort to get the actual data for the meter read and absolutely cannot, the TDSP may estimate the reading for the ESI ID, regardless of the meter type or Customer class. When an estimate occurs on a demand meter, the demand indicator has not been reset. Upon receipt, ERCOT will send final meter read information to the current CR DUNS Number provided in the 867\_03 transaction by the TDSP and initial meter read information to the new CR DUNS Number provided in the 867\_04 transaction by the TDSP using the 867\_03 transaction and 867\_04 transaction, as appropriate. Meter reads will be sent to the CR DUNS Number within the Texas Standard Electronic Transaction (TX SET) transaction from the TDSP within 12 hours of receipt by ERCOT.

(2) Failure by ERCOT to provide the initial meter read information does not change the effective date of the switch.

(3) Switches shall become effective at 0000 (midnight) on the actual date of the effectuating meter read. The new CR may request a special meter read (including a profile-estimated meter read or interval meter calculation as allowed), in accordance with the TDSP’s tariff. For a special meter read, the switch is effective at 0000 (midnight) the day of the special meter read. During the switch process, the Customer will continue to be served by its current CR.

15.1.1.8 Rejection of Switch Request

(1) ERCOT will process Switch Requests upon receipt during Business Hours. If the request is invalid, i.e., meets one of the requirements as identified in this Section, ERCOT will respond to the CR with the 814\_02, Switch Reject Response, within one Retail Business Hour of ERCOT’s receipt of the Switch Request, and the switch process will terminate.

(2) ERCOT will reject a Switch Request using the 814\_02 transaction for any of the following reasons:

(a) The ESI ID provided is inactive or does not exist;

(b) The ESI ID and five digit zip code do not match;

(c) The CR is not certified by the PUCT, if required;

(d) The CR is not authorized to provide service in the TDSP service area;

(e) The CR has not registered as a CR with ERCOT in accordance with Section 16, Registration and Qualification of Market Participants;

(f) The PUCT directs ERCOT to reject registration requests from the CR per applicable PUCT rules;

(g) The standard Switch Request was received after a valid standard Switch Request was scheduled for the same date;

(h) The CR specifies a billing type or bill calculation code for an ESI ID that is not supported by the TDSP, Municipally Owned Utility (MOU), or Electric Cooperative (EC);

(i) The CR submits a Switch Request type that is invalid or undefined;

(j) The CR is already the CR of Record for the ESI ID or scheduled to be the CR of Record for the ESI ID on the requested date;

(k) The Customer notification name or address is required but invalid according to Texas Standard Electronic Transaction (TX SET) standards or is missing;

(l) The CR Data Universal Numbering System (DUNS) Number is missing or invalid;

(m) If requesting a self-selected switch date, the CR requests a switch date that is before the FASD;

(n) The date on the self-selected switch already has a move in, move out, or switch scheduled; or

(o) The ESI ID is de-energized or scheduled to be de-energized on the date requested in the switch. For standard requests, the FASD is used for the evaluation.

15.1.2 Response from ERCOT to Drop to Affiliate Retail Electric Provider Request

(1) ERCOT will send a reject response using the 814\_11, Drop Response, within one Retail Business Day to the current CR notifying the CR that the request is invalid.

15.1.3 Transition Process

(1) Certain circumstances may arise during the course of business in the Texas retail electric market that may necessitate the transition of ESI IDs from one CR to a Provider of Last Resort (POLR) or designated CR, or from one TDSP to another TDSP in quantities and on a time frame that is not completely supported by standard market transactions or business processes.

15.1.3.1 Mass Transition Process

(1) In a Mass Transition event, ERCOT shall submit the 814\_03, Enrollment Notification Request, requesting a meter read for the associated ESI IDs, for a date two days after the date ERCOT initiates such transactions to the TDSP. The 814\_03 transaction shall contain a request for historical usage and the requested date for the meter read date to transfer the ESI IDs. If an actual meter read cannot be obtained by the date requested in the 814\_03 transaction, then the meter read may be estimated by the TDSP. (See Retail Market Guide Section 9, Appendices, Appendix F2, Timeline for Initiation of a Mass Transition on a Business Day not Prior to a Weekend or ERCOT Holiday.)

(2) The TDSP shall respond to the 814\_03 transaction within two Retail Business Days with an 814\_04, Enrollment Notification Response, and an 867\_02, Historical Usage. Within one Retail Business Day of receiving the 814\_04 transaction, ERCOT will send an 814\_11, Drop Response, to the transitioning CR and forward an 814\_14, Drop Enrollment Request, with the scheduled meter read date, to the POLR(s) or designated CR. The TDSP shall submit an 867\_04, Initial Meter Read, with a meter read date equal to the scheduled meter read date in the 814\_04 transaction, which will also be known as the transition date. (See Retail Market Guide Section 9, Appendix D1, Transaction Timing Matrix, for specific transaction timings.)

(3) ERCOT shall identify and monitor transitioned ESI IDs for a period of 60 days from the Mass Transition Date, as defined in the Retail Market Guide, to ensure that when a Customer switches away from the POLR, the 814\_03 transaction is processed with a requested date equal to the FASD, regardless of how the switch was submitted. Identification of the transitioned ESI ID shall terminate either upon the first completed switch, move in, move out, or at the end of the 60 day period, whichever occurs first.

(4) For a detailed outline of the business process and responsibilities of all Entities involved in a Mass Transition event, refer to the Retail Market Guide Section 7, Market Processes.

15.1.3.2 Acquisition Transfer Process

(1) In an acquisition transfer event, ERCOT shall submit the 814\_03, Enrollment Notification Request, requesting a meter read for the associated ESI IDs. The 814\_03 transaction shall contain a request for historical usage and the requested date or FASD for the meter read date to transfer the ESI IDs. If an actual meter read cannot be obtained by the date requested in the 814\_03 transaction, then the meter read may be estimated by the TDSP.

(2) The TDSP shall respond to the 814\_03 transaction within two Retail Business Days with an 814\_04, Enrollment Notification Response, and an 867\_02, Historical Usage. Within one Retail Business Day of receiving the 814\_04 transaction, ERCOT will send an 814\_11, Drop Response, to the transitioning CR and forward an 814\_14, Drop Enrollment Request, with the scheduled meter read date, to the designated CR. The TDSP shall submit an 867\_04, Initial Meter Read, with a meter read date equal to the scheduled meter read date in the 814\_04 transaction, which will also be known as the transition date. See Retail Market Guide Section 9, Appendices, Appendix D1, Transaction Timing Matrix, for specific transaction timings.

(3) For a detailed outline of the business process and responsibilities of all Entities involved in an acquisition transfer event, refer to the Retail Market Guide Section 7, Market Processes.

15.1.3.3 Customer Billing Contact Information

(1) All CRs participating in the Texas retail electric market shall provide, in accordance with the Retail Market Guide, current Customer billing contact information to ERCOT for use in the event of a Mass Transition. ERCOT shall retain the Customer data from the most recent submission, to be used in lieu of data from the exiting CR, in instances where the exiting CR does not provide data. When a Mass Transition occurs, ERCOT shall provide the gaining CRs with available Customer billing contact information for the ESI IDs the gaining CRs will be obtaining through the Mass Transition event. During a Mass Transition event, ERCOT shall also provide the TDSPs with available Customer contact information.

(2) For a detailed outline of the process, refer to the Retail Market Guide Section 7, Market Processes.

15.1.4 Beginning Service (New Construction Completed and Move Ins)

(1) This Section applies to Customers moving into a Premise that is not currently being served by a CR (may or may not still be energized) or when construction has been completed by the TDSP for a new Premise and the Premise has been assigned an ESI ID and is ready to receive electric service.

(2) This Section does not apply to instances where construction services are required. Those procedures are covered in the TDSP tariff.

15.1.4.1 Move-In Request to Begin Electric Service

(1) The process described below relates to the transactions required to process a move in. A manual work-around process for same day and safety net move ins is also used by Market Participants in the Texas retail electric market to ensure that a Customer receives electric service in a timely manner. The manual work-around process is documented in the Retail Market Guide.

(2) In accordance with PUCT rules, the Customer shall contact a CR to begin electric service at an ESI ID. The CR shall submit to ERCOT a Move-In Request in accordance with 814\_16, Move In Request. Move ins will be considered same day, if the date requested is the same day the 814\_16 transaction is processed at ERCOT. Same day move ins will be forwarded to the TDSP within one Retail Business Hour of receipt by ERCOT. Standard move ins, those move ins not requesting same day services, will be forwarded to the TDSP within one Retail Business Hour of receipt by ERCOT.

(3) Two Retail Business Days prior to the scheduled meter read date of the move in or upon receipt of the TDSP 814\_04, Enrollment Notification Response, whichever is later, ERCOT will determine if the ESI ID is currently served or is scheduled to be served by another CR. If a move out from the current CR is scheduled for the same day as the move in, the TDSP will either complete both the move out and move in or will unexecute the move out, only working the move in. If, within four Retail Business Days of the scheduled date, the move out is still in a scheduled state, ERCOT shall cancel the move out and send cancellation notices to the TDSP and the respective CRs. ERCOT will submit an 814\_06, Loss Notification, to the current CR with a code indicating a forced move out.

(4) If requested by the CR in the Move-In Request and permitted under the PUCT rules, the TDSP shall provide up to 12 months of the most recent historical usage, as available, including monthly-metered usage and any applicable metered interval usage using the 867\_02, Historical Usage. ERCOT’s business process for a Move-In Request is not linked to the receipt of the historical usage and the processing of the move in will continue regardless of the TDSP returning historical usage. This information shall be provided to the CR DUNS Number provided in the 867\_02 transaction by the TDSP within four Retail Business Hours after ERCOT receipt of the 867\_02 transaction from the TDSP. The TDSP shall respond within two Retail Business Days after receipt of the 814\_03, Enrollment Notification Request. If historical usage is not available, the TDSP will indicate this in the 814\_04, Enrollment Notification Response.

15.1.4.2 Response to Invalid Move-In Request

(1) If the Move-In Request is invalid, ERCOT will respond to the CR using the 814\_17, Move In Reject Response, within one Retail Business Hour of receiving the 814\_16, Move In Request, with the exception of a move in that is invalid because of “Invalid ESI ID.” In the case of “Invalid ESI ID,” ERCOT will hold the Move-In Request and continue to retry the request at regular intervals for 48 hours counting only hours on Retail Business Days, but not only Business Hours. If the request is invalid in accordance with Section 15.1.4.8, Rejection of Move-In Request, the move in process will then terminate. If the request is valid, the process continues as described in Section 15.1.4.5, Response to Valid Move-In Request.

15.1.4.3 Notification to Transmission and/or Distribution Service Provider of Move In

(1) ERCOT will process Move-In Requests upon receipt during Business Hours. ERCOT will submit to the TDSP serving the ESI ID an 814\_03, Enrollment Notification Request, within one Retail Business Hour of receiving a valid Move-In Request. The notification will include the name of the new CR providing service to the ESI ID and will include the requested move in date by the CR.

(2) If the TDSP receives the 814\_03 transaction before 1700, a same day move in will be completed that day.

15.1.4.4 Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)

(1) Upon receipt of an enrollment notification request, the TDSP shall provide ESI ID information within the 814\_04, Enrollment Notification Response, including:

(a) ESI ID;

(b) Service Address;

(c) Rate class (if established\*) and sub-class (if established\*), if applicable;

(d) Special needs indicator;

(e) Load Profile Type;

(f) Scheduled meter read date;

(g) Meter type and role for each meter at the ESI ID, if ESI ID is metered;

(h) Identification number and number of dials for each meter at the ESI ID, if ESI ID is metered (if meter is present);

(i) For unmetered EDS IDs, number and description of each unmetered device (if devices are present\*);

(j) Station ID;

(k) DLF code;

(l) Premise type; and

(m) Meter reading cycle or meter cycle by day of the month.

\* If not sent on the 814\_04 transaction, the TDSP must send the rate class and sub-class on the 814\_20, ESI ID Maintenance Request, when established, to complete the move in. The TDSP must send the 814\_20 transaction prior to sending the monthly usage in the 867\_03, Monthly or Final Usage. ERCOT will neither hold transactions nor validate the order of receipt of these transactions prior to sending to the CRs.

(2) If the TDSP does not respond with either the 814\_04 transaction or the 814\_28, Complete Unexecutable or Permit Required, within two Retail Business Days after receiving the 814\_03, Enrollment Notification Request, ERCOT shall create an internal tracking exception. The move in will be held “in review” until the TDSP’s 814\_04 transaction or 814\_28 transaction is received. If the TDSP’s 814\_04 transaction or 814\_28 transaction, Permit Required, is not received within three Retail Business Days of receipt of the 814\_03 transaction from ERCOT and is still not received by the earlier of the requested date on the move in or within 20 Retail Business Days after the original submission of the 814\_03 transaction from ERCOT, ERCOT shall change the status of the move in to “cancel pending” status. The TDSP will receive notification of the pending cancellation through the 814\_08, Cancel Request. The TDSP will respond using the 814\_09, Cancel Response, within one Retail Business Day of receiving ERCOT’s 814\_08 transaction. If the 814\_09 transaction is accepted, relevant CRs will receive notification of the cancellation through the 814\_08 transaction. If the 814\_09 transaction from the TDSP is a reject, the move in will return to an “in review” status and the TDSP shall also transmit an 814\_04 transaction or 814\_28 transaction, Permit Required, within one Retail Business Day.

(3) If the meter is present at the Premise at the time the TDSP receives the 814\_03 transaction from ERCOT, and the TDSP responds with the 814\_04 transaction, the information as identified in paragraph (1) above shall be transmitted from the TDSP to ERCOT using the 814\_04 transaction. ERCOT shall forward ESI ID/Premise information using the 814\_05, CR Enrollment Notification Response, to the requesting CR.

(4) If a meter has not been established at the ESI ID/Premise at the time when the TDSP receives the 814\_03 transaction from ERCOT for a move in, the TDSP may respond with the 814\_04 transaction without meter information, TDSP rate class and sub-class, and the number and description of un-metered devices to ERCOT. ERCOT shall forward the ESI ID/Premise information using the 814\_05 transaction to the requesting CR. If the TDSP submits the 814\_04 transaction with the information as identified in this paragraph, the TDSP will submit this missing information to ERCOT using the 814\_20 transaction when established to complete the process. ERCOT shall forward the ESI ID/Premise information received from the TDSP’s 814\_20 transaction to the requesting CR within four Retail Business Hours of receipt from the TDSP.

(5) If the TDSP responds to ERCOT’s 814\_03 transaction for a move in with an 814\_28 transaction, Permit Required, ERCOT shall send this transaction within two Retail Business Hours to the requesting CR to notify that a permit is required. Upon receipt of the TDSP’s 814\_28 transaction, ERCOT will reset the 20 Retail Business Day clock, starting the clock on the requested date for the move in, and will separately track the non-response for the 814\_04 transaction due to permit required. The move in remains in a “permit pending” status.

(6) After expiration of the 20 Retail Business Days, non-response for the 814\_04 transaction because the TDSP has not received the permit, ERCOT will initiate the 814\_08 transaction to the TDSP the first Retail Business Day after expiration of the 20 Retail Business Day clock, and will set the status to “cancel pending.” The TDSP will respond to ERCOT using the 814\_09 transaction. If the TDSP receives the appropriate permit prior to the receipt of the 814\_08 transaction from ERCOT, the TDSP will submit the 814\_04 transaction with the scheduled move in date and the 814\_09 transaction with a status of reject and the move in process will proceed. If the TDSP responds with the 814\_09 transaction with a status of accept, ERCOT will cancel the move in, note the cancel reason as “permit not received,” and send the cancellation notice to the appropriate CRs.

(7) If the TDSP responds to ERCOT’s 814\_03 transaction with the 814\_04 transaction, and then later submits the 814\_28 transaction, ERCOT will send the TDSP’s 814\_28 transaction to the requesting CR. The TDSP will note the complete unexecutable reason on the 814\_28 transaction. The initiating transaction is considered cancelled in ERCOT, TDSP and CR systems and the current CR remains the CR of Record for that Premise or the Premise remains in a de-energized status.

(8) If after submitting a 814\_04 transaction on a forced move out, the TDSP is unable to obtain an actual meter read despite reasonable efforts the TDSP may complete the move in using an estimated meter read or complete unexecutable if the meter requires a permit, unsafe conditions exist, tampering has been detected or other similar conditions are found that would not allow an actual reading to be obtained.

15.1.4.5 Response to Valid Move-In Request

(1) ERCOT will respond to the CR using the 814\_05, CR Enrollment Notification Response, within one Retail Business Hour of receiving the TDSP’s 814\_04, Enrollment Notification Response, on a same day or standard Move-In Request. This response will contain the scheduled meter read date for the move in and all other information contained in the TDSP’s 814\_04 transaction.

15.1.4.5.1 Maintain Electric Service Identifier with Meter Level Information Request/Response

(1) If the TDSP returns the 814\_04, Enrollment Notification Response, without complete information (meter information and/or unmetered device(s) information), the TDSP is required to provide this information to ERCOT in the 814\_20, ESI ID Maintenance Request, following the installation of the meter or unmetered devices. The TDSP must send the 814\_20 transaction at the same time or prior to sending the 867\_04, Initial Meter Read, to ERCOT. ERCOT will forward the meter information in the 814\_20 transaction and the 867\_04 transaction to the CR.

15.1.4.6 Notification to Current Competitive Retailer

(1) An evaluation is done on the current CR two Retail Business Days prior to the scheduled meter read date, but not before receipt of the TDSP’s 814\_04, Enrollment Notification Response. ERCOT will submit to the current CR a notification using the 814\_06, Loss Notification, two days before the scheduled meter read date as set forth in the 814\_04 transaction.

(2) If ERCOT has submitted a notification using the 814\_06 transaction to the current CR before the TDSP sends the 814\_28, Complete Unexecutable or Permit Required, to ERCOT, ERCOT will notify the current CR by forwarding the 814\_28 transaction to the CR. The current CR will remain the CR of Record.

15.1.4.6.1 Complete Unexecutable

(1) After the new CR has received the Premise information in the 814\_05, CR Enrollment Notification Response, the TDSP will wait until the scheduled move in date to energize the Premise. If upon the field visit to the Premise, the TDSP is unable to execute due to conditions that require Customer resolution and if power is not flowing to the Premise, the TDSP will send a notification request to ERCOT using the 814\_28, Complete Unexecutable or Permit Required. The transaction will indicate the appropriate reason code for the complete unexecutable of the Move-In Request. If the move in has been complete unexecutable, ERCOT will internally flag the transaction as complete and will not expect the 867\_04, Initial Meter Read, to complete the life cycle. ERCOT will respond to the TDSP using the 814\_29, Complete Unexecutable or Permit Required Response.

(2) If ERCOT receives the 814\_28, Complete Unexecutable or Permit Required, ERCOT will forward the notification to the CR. In this case the CR will not receive the 867\_04 transaction. Once the condition has been corrected by the Customer, a new set of transactions must be initiated by the CR starting with the 814\_16, Move In Request.

15.1.4.7 Completion of Move-In Request and Effective Move In Date

(1) If upon the field visit to the Premise, the TDSP is unable to obtain a meter read due to conditions that require Customer resolution but power is flowing to the Premise, the TDSP may complete the move in using an estimated meter read or complete unexecutable if the meter requires a permit, unsafe conditions exist, tampering has been detected, or other similar conditions are found that would not allow an actual reading to be taken.

15.1.4.7.1 Standard Move-In Requests

(1) A standard Move-In Request is effectuated on the period start date in the 867\_04, Initial Meter Read, which shall be the date requested in the 814\_16, Move In Request, provided that the 814\_03, Enrollment Notification Request, was received by the TDSP by 1700 at least two Retail Business Days prior to the requested date. If the 814\_03 transaction is not received by the TDSP by 1700 at least two Retail Business Days prior to the requested date, the move in will be completed within two Retail Business Days after the receipt of the 814\_03 transaction by the TDSP. An extension of this period may be necessitated by circumstance requiring Customer resolution or construction of new facilities by the TDSP to serve the Premise.

(2) A Move-In Request is completed upon receipt of the effectuating meter read sent by the TDSP. Upon receipt, the TDSP will send initial meter read information to ERCOT and ERCOT shall resend to the CR DUNS Number provided in the 867\_04 transaction by the TDSP within four Retail Business Hours using the 867\_04 transaction. The 867\_04 transaction will be provided to ERCOT within three Retail Business Days of the meter read.

(3) The move in will become effective at 0000 (midnight) on the actual date of the effectuating meter read. The new CR may request a special meter read (including a profile-estimated meter read or interval meter calculation as allowed), in accordance with the TDSP’s tariff. For a special meter read, the move in is effective at 0000 (midnight) the day of the special meter read. Meter reads will be sent to the CR DUNS Number within the TX SET transaction from the TDSP within 12 hours of receipt by ERCOT.

15.1.4.7.2 Same Day Move-In Requests

(1) A same day Move-In Request is effectuated on the period start date in the 867\_04, Initial Meter Read, which shall be the date requested in the 814\_16, Move In Request, provided that the request was received by the TDSP by 1700 on the date requested. If the TDSP does not receive the same day move in by 1700, the move in will be completed no later than the next Retail Business Day. An extension of this period may be necessitated by circumstance requiring Customer resolution or construction of new facilities by the TDSP to serve the Premise.

(2) A Move-In Request is completed upon receipt of the effectuating meter read sent by the TDSP. Upon receipt, the TDSP will send initial meter read information to ERCOT and ERCOT shall resend to the CR DUNS Number provided in the 867\_04 transaction by the TDSP within four Retail Business Hours using the 867\_04 transaction. The 867\_04 transaction will be provided to ERCOT within three Retail Business Days of the meter read.

(3) The move in will become effective at 0000 (midnight) on the actual date of the effectuating meter read. The new CR may request a special meter read (including a profile-estimated meter read or interval meter calculation as allowed), in accordance with the TDSP’s tariff. For a special meter read, the move in is effective at 0000 (midnight) the day of the special meter read. Meter reads will be sent to the CR DUNS Number within the TX SET transaction from the TDSP within 12 hours of receipt by ERCOT.

15.1.4.8 Rejection of Move-In Request

(1) ERCOT will reject the 814\_16, Move In Request, using the 814\_17, Move In Reject Response, for any of the following reasons:

(a) The ESI ID provided is inactive or does not exist;

(b) The ESI ID and five-digit zip code do not match;

(c) The CR is not certified by the PUCT, if required;

(d) The CR is not authorized to provide service in the TDSP service area.

(e) CR has not registered as a CR with ERCOT in accordance to Section 16, Registration and Qualification of Market Participants.

(f) The PUCT directs ERCOT to reject registration requests from the CR per applicable PUCT rules;

(g) The CR specifies a billing type or billing calculation code for an ESI ID that is not supported by the TDSP, MOU, or EC;

(h) The CR submits a request type that is invalid or undefined;

(i) The CR DUNS Number is missing or invalid; or

(j) There is already a Move-In Request in progress for the same requested date, “not first in” for the same requested date.

15.1.5 Service Termination (Move Out)

15.1.5.1 Request to Terminate Service

(1) When a CR receives notice that a Customer is moving out, the CR may terminate service to that ESI ID by submitting a Move-Out Request to ERCOT using the 814\_24, Move Out Request. Move outs will be considered same day, if the date requested is the same day the 814\_24 transaction is processed at ERCOT. Same day move outs will be forwarded to the TDSP within one Retail Business Hour of receipt by ERCOT. Standard move outs, those move outs not requesting same day services, will be forwarded to the TDSP within two Retail Business Hours of receipt by ERCOT. This transaction will remove the requester as the CR of Record for that ESI ID. If the submitting CR did not include the “Ignore CSA” flag on the move out, ERCOT will determine if the ESI ID associated with the Premise has a Continuous Service Agreement (CSA) CR. If there is a CSA on record, ERCOT will notify the CSA CR of the move out (refer to Section 15.1.9, Continuous Service Agreement CR Processing) using the 814\_22, CSA CR Move In Request, within two Retail Business Days of the scheduled meter read date, but not before the receipt of the TDSP’s 814\_04, Enrollment Notification Response. If there is not a CSA CR, ERCOT will notify the TDSP to de-energize the ESI ID.

15.1.5.2 Response to Invalid Move-Out Request

(1) If the Move-Out Request is invalid, ERCOT will respond to the CR using the 814\_25, Move Out Response, within one Retail Business Hour of receiving the 814\_24, Move Out Request, with the exception of a move out that is invalid because of “de-energized ESI ID.” In the case of “de-energized ESI ID,” ERCOT will hold the Move-Out Request and continue to retry the request at regular intervals for 48 hours counting only hours on Retail Business Days but not only Business Hours. If the request is invalid, the move out process will then terminate. If the request is valid, the process continues as described in Section 15.1.5.5, Response to Valid Move-Out Request and Continuous Service Agreement in Effect.

15.1.5.3 Notification to Transmission and/or Distribution Service Provider of Move Out

(1) ERCOT will process Move-Out Requests upon receipt during Business Hours.

(2) If there is a CSA CR for the ESI ID, ERCOT will submit to the TDSP serving the ESI ID a registration notification request using the 814\_03, Enrollment Notification Request, within one Retail Business Hour of receiving a valid same day Move-Out Request and within two Retail Business Hours after receipt of the standard Move-Out Request. The notification will include the move out date requested by the CR.

(3) If there is not a CSA CR, ERCOT will notify the TDSP serving the ESI ID of the termination notification within one Retail Business Hour of receiving a valid same day Move-Out Request and within two Retail Business Hours after receipt of the standard Move-Out Request using the 814\_24, Move Out Request. The notification to the TDSP will include the move out date requested by the CR.

15.1.5.4 Response to Enrollment Notification Request/Service Termination from Transmission and/or Distribution Service Provider

(1) If there is a CSA CR, upon receipt of an Enrollment notification request, the TDSP shall provide ESI ID information, including:

(a) ESI ID;

(b) Service Address;

(c) Rate class and sub-class (if applicable);

(d) Any and all applicable riders;

(e) Special needs indicator;

(f) Load Profile Type;

(g) Scheduled meter read date;

(h) Meter type, identification number, number of dials and role for each meter at the ESI ID, if ESI ID is metered;

(i) For unmetered EDS IDs, number and description of each unmetered device;

(j) Load bus identification; and

(k) DLF code.

(2) This information shall be transmitted by the TDSP using the 814\_04, Enrollment Notification Response, and shall be provided to the CSA CR by ERCOT in the form of an 814\_22, CSA CR Move In Request, within two Retail Business Days of the scheduled meter read date on the move out to CSA. Items (1)(a) and (1)(g) above shall be forwarded to the submitting CR by ERCOT in the form of an 814\_25, Move Out Response. If the TDSP does not respond with ESI ID information within two Retail Business Days after the submission of the 814\_03, Enrollment Notification Request, from ERCOT, ERCOT shall create an internal tracking exception. The move out to CSA will be held in “in review” status until the TDSP’s 814\_04 transaction is received. If the TDSP’s 814\_04 transaction is not received within three Retail Business Days of submission of the 814\_03 transaction by ERCOT and is still not received by the earlier of the requested date on the move out to CSA or 20 Retail Business Days after the original submission of the 814\_03 transaction from ERCOT, ERCOT shall change the status of the move out to CSA to “cancel pending.” The TDSP will receive notification of the pending cancellation through the 814\_08, Cancel Request. The TDSP will respond using the 814\_09, Cancel Response. If the 814\_09 transaction is an accept, relevant CRs will receive notification of the cancellation through the 814\_08 transaction. If the 814\_09 transaction from the TDSP is a reject, the move out to CSA will return to an “in review” status and the TDSP shall also transmit an 814\_04 transaction within one Retail Business Day.

(3) If there is not a CSA CR, upon receipt of a service termination request, the TDSP shall provide ESI ID information, including:

(a) ESI ID; and

(b) Scheduled meter read date.

(4) This information shall be transmitted using the 814\_25 transaction and shall be provided by ERCOT to the submitting CR within two Retail Business Hours from ERCOT’s receipt of the TDSP’s 814\_25 transaction. If the TDSP does not respond with ESI ID information within two Retail Business Days after the submission of the 814\_24, Move-Out Request, by ERCOT, ERCOT shall create an internal tracking exception. The move out will be held in “in review” status until the TDSP’s 814\_25 transaction is received. If the TDSP’s 814\_25 transaction is not received within three Retail Business Days of submission of the 814\_24 transaction by ERCOT and is still not received by the earlier of the requested date on the move out or 20 Retail Business Days after the original submission of the 814\_24 transaction by ERCOT, ERCOT shall change the status of the move out to “cancel pending.” The TDSP will receive notification of the pending cancellation through the 814\_08, Cancel Request. The TDSP will respond in accordance with the 814\_09, Cancel Response. If the 814\_09 transaction from the TDSP is a reject, the move out will return to an “in review” status and the TDSP shall also transmit an 814\_25 transaction within one Retail Business Day.

(5) If the TDSP responds to ERCOT’s 814\_24 transaction with an 814\_25 transaction, and then later submits an 814\_28, Complete Unexecutable or Permit Required, indicating the TDSP is unable to complete the move out, ERCOT will send the TDSP’s 814\_28 transaction to the requesting CR. The TDSP will note the complete unexecutable reason on the 814\_28 transaction. The initiating transaction is considered unexecutable. The current CR will remain the CR of Record.

(6) If, despite reasonable efforts, the TDSP is unable to complete the move out after submitting the 814\_25 transaction, it shall unexecute the move out using the 814\_28 transaction, Complete Unexecutable, and the TDSP shall note the complete unexecutable reason on the 814\_28 transaction. ERCOT shall forward the 814\_28 transaction to the CR within two Retail Business Hours of receipt from the TDSP.

(7) Upon receipt of the 814\_28 transaction, the CR will make reasonable attempts to contact the Customer to address access issues if the reason the transaction was unexecuted relates to meter access. Otherwise, the CR will contact the TDSP in an attempt to address the problems that precluded execution of the transaction. TDSPs shall provide CRs with a list of contacts for this purpose, including escalation contacts which shall be used by a CR only in the event that the initial contacts fail to respond to the CR within a reasonable time.

(8) After the CR has made reasonable efforts to either contact the Customer or address issues with the TDSP, the CR may submit a second 814\_24 transaction to initiate the move out process. The CR will submit the second Move-Out Request within 30 days of the receipt of the 814\_28 transaction. If the TDSP continues to encounter difficulty in completing the transaction, the TDSP shall complete the transaction using an estimated meter read and make every reasonable effort to interrupt service at the premise to prevent additional cost to the market, such as Unaccounted for Energy (UFE) and repeated field trips executed by the TDSP to disconnect service or in management of the market-approved manual process for managing the left in hot process. For Customers who are critical care or critical Load, the CR will contact the appropriate TDSP Retail Electric Provider (REP) relations personnel to address the request.

15.1.5.5 Response to Valid Move-Out Request and Continuous Service Agreement in Effect

(1) Two Retail Business Days prior to the scheduled meter read date, but not prior to the receipt of the TDSP’s 814\_04, Enrollment Notification Response, ERCOT will send response information to the CSA CR using the 814\_22, CSA CR Move In Request. This notice will contain the confirmed meter read date for the move out. This date will be the start date for the CSA CR to begin serving the ESI ID.

15.1.5.6 Completion of Move-Out Request and Effective Move Out Date

(1) A Move-Out Request is effectuated on the actual meter read date in the final 867\_03, Monthly of Final Usage, which shall be the date requested in the 814\_24, Move Out Request, provided that the request was received by the TDSP by 1700 and at least two Retail Business Days prior to the date requested. If the request is not received by the TDSP by 1700 at least two days prior to the requested date, the request will be completed within two Retail Business Days after the Move-Out Request is received by the TDSP. An extension of this period may be necessitated by circumstances requiring Customer resolution, in which case the TDSP may provide an 814\_28, Complete Unexecutable or Permit Required, to the CR.

(2) A Move-Out Request is completed upon receipt of the effectuating meter read sent by the TDSP. The TDSP shall send the meter read information to ERCOT using the final 867\_03 transaction, within three Retail Business Days of the meter read. Upon receipt, ERCOT will send final meter read information to the current CR DUNS Number provided in the 867\_03 transaction by the TDSP and initial meter read information to the CSA CR DUNS Number provided in the 867\_04 transaction by the TDSP (if applicable) within four Retail Business Hours using the 867\_03 transaction and 867\_04, Initial Meter Read, as appropriate.

(3) The move out will become effective at 0000 (midnight) on the actual date of the effectuating meter read. The current CR may request a special meter read (including a profile-estimated meter read or interval meter calculation as allowed), in accordance with the TDSP’s tariff.

(4) For a special meter read, the move out is effective at 0000 (midnight) the day of the special meter read. Meter reads will be sent to the CR DUNS Number within the TX SET transaction from the TDSP within 12 hours of receipt by ERCOT.

15.1.5.7 Rejection of Move-Out Request

(1) ERCOT will reject a Move-Out Request using the 814\_25, Move Out Response, for any of the following reasons:

(a) The ESI ID provided is inactive or does not exist;

(b) The ESI ID and five-digit zip code do not match;

(c) The request type is invalid or undefined;

(d) The CR’s DUNS Number is missing or invalid;

(e) The requesting CR is not the current CR and not scheduled to be the CR on the requested date after a retry period of 48 hours counting only hours on Retail Business Days but not only Business Hours; or

(f) The move out is requesting a date that is scheduled on another move out.

15.1.6 Concurrent Processing

(1) Concurrent processing permits multiple requests to proceed at the same time. The purpose of concurrent processing is to assure all valid transactions are accepted and processed according to a set of market rules. The order of precedence for initiating retail transactions is:

(a) Move-In Requests;

(b) Move-Out Requests; and

(c) Switch Requests.

(2) When performing concurrent processing checks, ERCOT will first perform standard validations to ensure the requests are valid. This validation can be found in Section 15.1, Customer Switch of Competitive Retailer, Section 15.1.4, Beginning Service (New Construction Completed and Move Ins), and Section 15.1.5, Service Termination (Move Out).

15.1.6.1 Move In Date Prior to or After Move Out Date

(1) ERCOT performs evaluations two Retail Business Days prior to all move in and move out scheduled meter read dates or upon the receipt of the TDSP response, whichever is later. If the move in scheduled meter read date is not equal to the move out scheduled meter read date, both processes will run concurrently and both processes will be allowed to complete. If the submitting CR is not scheduled to be the CR of Record on the scheduled meter read date of the move out, ERCOT cancels the move out.

15.1.6.2 Move In Date Equal to Move Out Date

(1) ERCOT performs evaluations two Retail Business Days prior to all move in and move out scheduled meter read dates or upon the receipt of the TDSP response, whichever is later. If the move in scheduled meter read date is equal to the move out scheduled meter read date, the move out transaction is cancelled by ERCOT. If the move out is not scheduled, but the requested date is equal to the scheduled date for the move in, the move out transaction is cancelled by ERCOT.

(2) If the ERCOT evaluation is performed for a same day move in and a move out is already scheduled for the current day, ERCOT will not cancel the move out and will leave it in a scheduled status. If the TDSP chooses not to work the move out the TDSP will complete unexecute the move out. In the event the move out is not complete or complete unexecutable by the TDSP within four Retail Business Days, ERCOT will cancel the move out.

15.1.6.3 Move In Date Prior to or Equal to Switch Date

(1) ERCOT performs evaluations two Retail Business Days prior to all move in scheduled meter read dates or upon the receipt of the TDSP response, whichever is later. If there is a switch with a scheduled meter read date after or equal to the move -in scheduled meter read date, the switch transaction is cancelled by ERCOT. If the switch is not scheduled, but the requested date (FASD for standard switches) is after or equal to the scheduled date for the move in, the switch transaction is cancelled by ERCOT.

15.1.6.4 Move In Date After Switch Date

(1) ERCOT performs evaluations two Retail Business Days prior to all move in scheduled meter read dates or upon the receipt of the TDSP response, whichever is later. If the move in scheduled meter read date is after a switch scheduled meter read date, both processes will run concurrently and both processes will be allowed to complete.

15.1.6.5 Move In Date After Mass Transition Drop Date

(1) ERCOT performs evaluations two Retail Business Days prior to all move in scheduled meter read dates or upon the receipt of the TDSP response, whichever is later. If the move in scheduled meter read date is after a Mass Transition drop scheduled meter read date, both processes will run concurrently and both processes will be allowed to complete.

15.1.6.6 Move Out Date Prior to or Equal to Switch Date

(1) ERCOT performs evaluations two Retail Business Days prior to all move out scheduled meter read dates or upon the receipt of the TDSP response, whichever is later. If there is a switch with a scheduled meter read date after or equal to the move out scheduled meter read date, the switch transaction is cancelled by ERCOT. If the switch is not scheduled, but the requested date (FASD for standard switches) is after or equal to the scheduled date for the move out, the switch transaction is cancelled by ERCOT.

15.1.6.7 Move Out Date After Switch Date

(1) ERCOT performs evaluations two Retail Business Days prior to all move out scheduled meter read dates or upon the receipt of the TDSP response, whichever is later. If the move out scheduled meter read date is after a switch scheduled meter read date, both processes will run concurrently and both processes will be allowed to complete. If the submitting CR is not scheduled to be the CR of Record on the scheduled meter read date of the move out, ERCOT cancels the move out.

15.1.6.8 Move Out Date After Mass Transition Drop Date

(1) ERCOT performs evaluations two Retail Business Days prior to all move out scheduled meter read dates or upon the receipt of the TDSP response, whichever is later. If the move out scheduled meter read date is after a Mass Transition drop scheduled meter read date, both processes will run concurrently and both processes will be allowed to complete. If the submitting CR is not scheduled to be the CR of Record on the scheduled meter read date of the move out, ERCOT cancels the move out.

15.1.6.9 Multiple Switches

(1) ERCOT performs evaluations two Retail Business Days prior to all switch scheduled meter read dates or upon the receipt of the TDSP response, whichever is later. If there is another switch with a scheduled meter read date after or prior to the switch scheduled meter read date, both processes will run concurrently and both processes will be allowed to complete. If there is another switch with a scheduled meter read date equal to the switch scheduled meter read date and neither have a “cancel pending” status, ERCOT will cancel the second switch received based on receipt date/time of the initiating transaction. If one of the switches has a “cancel pending” status, it will be cancelled by ERCOT and the other one will be allowed to complete.

15.1.6.10 Multiple Move Ins

(1) ERCOT performs evaluations two Retail Business Days prior to all move in scheduled meter read dates or upon the receipt of the TDSP response, whichever is later. If there is another move in with a scheduled meter read date after or prior to the move in scheduled meter read date, both processes will run concurrently and both processes will be allowed to complete. If there is another move in with a scheduled meter read date equal to the move in scheduled meter read date and neither have a “cancel pending” status ERCOT will cancel the second move in received based on receipt date/time of the initiating transaction. If one of the move ins has a “cancel pending” status it will be cancelled by ERCOT and the other one will be allowed to complete.

15.1.6.11 Multiple Move Outs

(1) ERCOT performs evaluations two Retail Business Days prior to all move out scheduled meter read dates or upon the receipt of the TDSP response, whichever is later. If there is another move out with a scheduled meter read date after or prior to the move out scheduled meter read date, both processes will run concurrently and both processes will be allowed to complete. If the submitting CR is not scheduled to be the CR of Record on the scheduled meter read date of the move out, ERCOT cancels the move out. If there is another move out with a scheduled meter read date equal to the move out scheduled meter read date and neither have a “cancel pending” status, ERCOT will cancel the second move out received based on receipt date/time of the initiating transaction. If one of the move outs has a “cancel pending” status, it will be cancelled by ERCOT and the other one will be allowed to complete.

15.1.7 Move In or Move Out Date Change

(1) The CR will send a date change transaction using the 814\_12, Date Change Request. ERCOT will accept date changes on or before the day preceding the scheduled move in or move out. ERCOT will reject any 814\_12 transaction received on the scheduled move in or move out date, as well as date change requests on orders that were scheduled in the past.

(2) If the date change does not pass validation, ERCOT will reply to the CR with a rejection of the date change transaction using the 814\_13, Date Change Response, within two Retail Business Hours of receipt of the 814\_12 transaction with the exception of a date change that is invalid because of “Item or Service Not Established.” In the case of “Item or Service Not Established,” ERCOT will hold the date change request and continue to retry the request at regular intervals for 48 hours counting only hours on Retail Business Days, but not only Business Hours.

(3) If the date change is accepted, ERCOT will notify the TDSP using the 814\_12 transaction within two Retail Business Hours of receipt of the 814\_12 transaction from the CR. The TDSP will respond within two Retail Business Days using the 814\_13 transaction. If the TDSP accepts the date change, the submitting CR is notified via the 814\_13 transaction and the other CR is notified via the 814\_12 transaction. ERCOT will only send the 814\_12 transaction to the losing CR on a move in if ERCOT has already sent the 814\_06, Loss Notification, to the losing CR. ERCOT will only send the 814\_12 transaction to the gaining CR on a move out to CSA if ERCOT has already sent the 814\_22, CSA CR Move In Request, to the CSA CR.

15.1.8 Cancellation of Registration Transactions

(1) The CR will send a cancellation notice using the 814\_08, Cancel Request. ERCOT will accept cancellations on or before the day preceding the move in, move out or switch scheduled date. ERCOT will reject any 814\_08 transaction received on the scheduled move in, move out or switch date, as well as cancellation requests on orders that were scheduled in the past.

(2) If the cancellation does not pass validation, ERCOT will reply to the CR within two Retail Business Hours with a rejection of the cancellation notice using the 814\_09, Cancel Response, with the exception of a cancellation that is invalid because of “Item or Service Not Established.” In the case of “Item or Service Not Established,” ERCOT will hold the cancellation request and continue to retry the request at regular intervals for 48 hours counting only hours on Retail Business Days, but not only Business Hours.

(3) If the cancellation notice is accepted, ERCOT will set the status to “cancel pending” status and notify the TDSP within two Retail Business Hours using the 814\_08 transaction. If the TDSP accepts the cancel, ERCOT will cancel the transaction and notify the submitting CR using the 814\_09 transaction. When ERCOT has sent the current CR an 814\_06, Loss Notification, the current CR will be sent an 814\_08 transaction. On a move out to CSA, if ERCOT has sent the 814\_22, CSA CR Move In Request, to the CSA CR, the CSA CR will be sent an 814\_08 transaction. If the TDSP rejects the cancel, ERCOT will reset the status to “in review,” “permit pending,” or “scheduled” as appropriate, and forward the reject to the CR. The TDSP will respond within one Retail Business Day using the 814\_09 transaction.

15.1.9 Continuous Service Agreement CR Processing

(1) This Section sets forth the processes to initiate or terminate a CSA.

15.1.9.1 Request to Initiate Continuous Service Agreement in an Investor Owned Utility Service Territory

(1) When a CR establishes a CSA at an ESI ID, the CR will send an 814\_18, Establish/Delete CSA Request, to ERCOT. ERCOT will determine if the ESI ID has a CSA on record. If there is a current CSA CR, ERCOT will send notice of CSA termination using the 814\_18, Establish/Delete CSA Request, within one Retail Business Day of receipt of the 814\_18 transaction from the new CSA CR and will respond to the new CSA CR using the 814\_19, Establish/Delete CSA Response, within one Retail Business Day of receipt of the 814\_18 transaction. If there is not a current CSA, ERCOT will respond to the new CSA CR using the 814\_19, Establish/Delete CSA Response, within one Retail Business Day of receipt of the 814\_18 transaction.

(2) If a CSA CR wishes to establish CSAs with multiple ESI IDs, the CSA CR must submit an 814\_18 transaction for each ESI ID.

15.1.9.2 Request to Terminate Continuous Service Agreement

(1) The CSA CR will send an 814\_18, Establish/Delete CSA Request, to ERCOT. ERCOT will respond to the CR using the 814\_19, Establish/Delete CSA Response.

(2) If the CSA CR wishes to terminate CSAs with multiple ESI IDs, the CR must submit an 814\_18 transaction for each ESI ID.

15.1.9.3 Notice to Continuous Service Agreement Competitive Retailer of Enrollment Due to a Move Out

(1) If, during the processing of a Move-Out Request, ERCOT determines that a CSA CR exists for the ESI ID, ERCOT will notify the CSA CR of the move out (refer to Section 15.1.5, Service Termination (Move Out)) using the 814\_22, CSA CR Move In Request, within two Retail Business Days of the scheduled meter read date, but not before the receipt of the TDSP’s 814\_04, Enrollment Notification Response. This request will contain all of the information necessary for the CSA CR to begin servicing the ESI ID, including the move out date.

(2) If the CSA CR requires historical usage information for the ESI ID, the CSA CR will submit a request using the 814\_26, Historical Usage Request, after receipt of the 867\_04, Initial Meter Read.

15.1.9.4 Notice to Continuous Service Agreement Competitive Retailer of Drop Due to a Move In

(1) An evaluation is done on the CSA CR two Retail Business Days prior to the scheduled meter read date, but not before receipt of the TDSP’s 814\_04, Enrollment Notification Response. If ERCOT determines that there is a CSA CR or there is scheduled to be a CSA CR on the scheduled meter read date, ERCOT will submit to the CSA CR a notification using the 814\_06, Loss Notification.

(2) If ERCOT has submitted a notification using the 814\_06 transaction to the CSA CR and then the TDSP sends the 814\_28, Complete Unexecutable or Permit Required, to ERCOT, ERCOT will notify the CSA CR by submitting the 814\_28 transaction. The CSA CR will remain the CR of Record.

15.1.10 Continuous Service Agreement Competitive Retailer Processing in Municipally Owned Utility/Electric Cooperative Service Territory

(1) This Section sets forth the processes to initiate or terminate a CSA in a MOU or EC service territory.

15.1.10.1 Request to Initiate Continuous Service Agreement

(1) When a CR establishes a CSA at an ESI ID, the CR will send an 814\_18, Establish/Delete CSA Request, to ERCOT. This will be forwarded to the MOU/EC TDSP within one Retail Business Day. ERCOT will send the 814\_18 transaction, and if an 814\_19, Establish/Delete CSA Response, is not received from the MOU/EC TDSP within ten Business Days, ERCOT will cancel the CSA request and send an 814\_08, Cancel Request, to the requesting CSA CR and MOU/EC TDSP. Additional 814\_18 transactions received on the ESI ID while the first 814\_18 transaction is still pending will be rejected at ERCOT. If an 814\_18 transaction is received on an ESI ID with an existing CSA relationship, ERCOT will forward the 814\_18 transaction to the MOU/EC TDSP within one Retail Business Day, and upon receipt of the 814\_19 transaction (accept) from the MOU/EC TDSP, will send an 814\_18 transaction to the current CSA CR and an 814\_19 transaction to the new CSA CR within one Retail Business Day of receipt of the 814\_19 transaction from the MOU/EC TDSP.

(2) If a CSA CR wishes to establish CSAs with multiple ESI IDs, the CSA CR must submit an 814\_18 transaction for each ESI ID.

15.1.10.2 Request to Terminate Continuous Service Agreement

(1) The CSA CR will send an 814\_18, Establish/Delete CSA Request, to ERCOT. Upon receipt of an 814\_18 transaction, ERCOT will terminate the CSA relationship, send an 814\_19, Establish/Delete CSA Response, to the CSA CR, and forward the 814\_18 transaction to the TDSP. An 814\_18 transaction received while an 814\_18 Establish transaction is pending will delete the current CSA relationship at ERCOT, provided the CSA CR of the 814\_18 transaction and the current active CSA CR is the same.

(2) If CSA CR wishes to terminate CSAs with multiple ESI IDs, the CSA CR must submit an 814\_18 transaction for each ESI ID.

15.1.10.3 Notice to Continuous Service Agreement Competitive Retailer of Enrollment Due to a Move Out

(1) If, during the processing of a Move-Out Request, ERCOT determines that a CSA CR exists for the ESI ID, ERCOT will notify the CSA CR of the move out (refer to Section 15.1.5, Service Termination (Move Out)) using the 814\_22, CSA CR Move In Request, within two Retail Business Days of the scheduled meter read date, but not before the receipt of the MOU/EC TDSP’s 814\_04, Enrollment Notification Response. This request will contain all of the information necessary for the CSA CR to begin servicing the ESI ID including the move out date.

(2) If the CSA CR requires historical usage information for the ESI ID, the CSA CR will submit a request using the 814\_26, Historical Usage Request, after receipt of the 867\_04, Initial Meter Read.

15.1.10.4 Notice to Continuous Service Agreement Competitive Retailer of Drop Due to a Move In

(1) An evaluation is done on the CSA CR two Retail Business Days prior to the scheduled meter read date, but not before receipt of the MOU/EC TDSP’s 814\_04, Enrollment Notification Response. If ERCOT determines that there is a CSA CR or there is scheduled to be a CSA CR on the scheduled meter read date, ERCOT will submit to the CSA CR a notification using the 814\_06, Loss Notification.

(2) If ERCOT has submitted a notification using the 814\_06 transaction to the CSA CR and then the TDSP sends the 814\_28, Complete Unexecutable or Permit Required, to ERCOT, ERCOT will notify the CSA CR by forwarding the 814\_28 transaction. The CSA CR will remain the CR of Record.

15.2 Database Queries

(1) Market Participants may obtain information from ERCOT to determine or to verify the Electric Service Identifier (ESI ID) for a Service Delivery Point. The following information can be obtained through a database query or an extract on the ERCOT website:

(a) Service Address;

(b) Meter read code;

(c) ESI ID;

(d) Transmission and/or Distribution Service Provider (TDSP);

(e) Premise type;

(f) Current status (active/de-energized/inactive) with effective date;

(g) Move in/move out pending flag with associated date, if applicable;

(h) Power region;

(i) Station ID;

(j) Metered/unmetered flag;

(k) ESI ID dates that include:

(i) Eligibility date;

(ii) Start date;

(iii) Create date; and

(iv) Retire date;

(l) Provider of Last Resort (POLR) Customer class as defined in subsection (c) of P.U.C. Subst. R. 25.43, Provider of Last Resort (POLR);

(m) Settlement Advanced Metering System (AMS) meter or Municipally Owned Utility (MOU) / Electric Cooperative (EC) Non-BUSIDRRQ Interval Data Recorder (IDR) indicator that provides a true/false value as determined by ERCOT’s system evaluation of the current Load Profile ID assignment of an ESI ID;

(n) TDSP AMS indicator that is assigned by the TDSP to denote the following:

(i) AMSR – an AMS meter or MOU/EC Non-BUSIDRRQ IDR with remote connect and disconnect capability;

(ii) AMSM - an AMS meter or MOU/EC Non-BUSIDRRQ IDR without remote connect and disconnect capability; or

(iii) Null – neither an AMS meter type nor an MOU/EC Non-BUSIDRRQ IDR exists at this Premise; and

(o) Switch hold indicator.

(2) At least daily, ERCOT will provide all of the attributes listed above when an 814\_20, ESI ID Maintenance Request, is received and accepted by ERCOT that creates an ESI ID, or makes changes to the switch hold or the provisioned AMS meter indicator of an ESI ID.

15.2.1 Find ESI ID Function on the Market Information System

(1) Market Participants with an ERCOT digital certificate can obtain information to verify the Service Address for a Service Delivery Point using the Find ESI ID function on the Market Information System (MIS) Secure Area. The Find ESI ID function returns the information as identified in Section 15.2, Database Queries.

15.2.2 Find Transaction Function on the Market Information System

(1) Competitive Retailers (CRs) or TDSPs with an ERCOT digital certificate may obtain transaction information from ERCOT to review business processes (i.e. Switch Request, Move-In Request, etc.) on ESI IDs. The Find Transaction function provides both summary and detailed transaction information for an ESI ID. The data displayed is confidential information and therefore is restricted by digital certificate. Access to the ESI ID information displayed is limited based on transaction receiver/sender, TDSP ownership, or the Retail Electric Provider (REP) of Record for each ESI ID. MIS help screens provide detailed descriptions of the field contents and related screens.

15.2.3 Electric Service Identifier Extract on the Market Information System

(1) ERCOT posts a downloadable extract to the ERCOT website which contains the same information as listed in Section 15.2, Database Queries. The information provided allows Entities that do not have a digital certificate and are unable to access the information through the Find ESI ID function to use the information to determine or to verify the ESI ID for a Service Delivery Point using the Service Address. This extract is also used by Entities to incorporate ESI ID information into their database systems.

15.3 Monthly Meter Reads

(1) Each Transmission and/or Distribution Service Provider (TDSP) shall send monthly consumption information for all non-ERCOT-Polled Settlement (EPS) Meter Electric Service Identifiers (ESI IDs) within its service area to ERCOT not later than three Retail Business Days after the scheduled meter read cycle or scheduled meter cycle by day of the month for a point of delivery, using the 867\_03, Monthly or Final Usage. TDSPs shall send monthly consumption information for all ESI IDs associated with EPS-metered facilities to ERCOT no later than three Retail Business Days after TDSP receipt of daily EPS Meter data from ERCOT according to the TDSP scheduled meter read cycle or scheduled meter cycle by day of the month for a point of delivery, using the 867\_03 transaction. ERCOT will forward ERCOT-accepted consumption information to the Competitive Retailer (CR) Data Universal Numbering System (DUNS) Number provided in the 867\_03 transaction by the TDSP within 12 hours.

(2) If the meter read for an ESI ID fails the TDSP’s internal validation procedures, the TDSP may, at its discretion, delay sending consumption information for the ESI ID to ERCOT for an additional seven days in order to obtain a valid meter reading.

(3) If a TDSP is unable to obtain a meter reading for an ESI ID because the TDSP is denied access to the meter, the TDSP may, at its discretion, delay sending consumption information for the ESI ID to ERCOT for an additional seven days in order to obtain a valid meter reading.

(4) A TDSP, with notification to the market, may suspend the transmission of monthly consumption information during periods of storm restoration or other emergency operations undertaken pursuant to its emergency operations plan.

(5) For non-ERCOT ESI IDs, TDSPs shall have the option of sending monthly consumption information and effectuating meter reads to ERCOT using the 867\_03 transaction. ERCOT will then forward the monthly consumption and meter read information to the CR DUNS Number provided in the 867\_03 transaction by the TDSP within one Retail Business Day.

15.4 Electric Service Identifier

(1) Each Transmission and/or Distribution Service Provider (TDSP) Service Delivery Point shall have a unique number within Texas. Once this unique number has been created and assigned to a Service Delivery Point, it shall not be re-issued, even in the event of termination of the associated point-of-service. This unique number shall be referred to as the Electric Service Identifier (ESI ID).

(2) Notwithstanding the foregoing, in those situations where an ESI ID has been inadvertently placed into inactive status and upon notification from the responsible TDSP, ERCOT shall re-instate the ESI ID for that Service Delivery Point.

15.4.1 Electric Service Identifier Format

(1) The ESI ID will have the following format:

10xxxxxyyy..yy

Where:

**10** Represents a placeholder for future use;

**xxxxx** Is the five-digit Department of Energy identification code for the assigning TDSP; and

**yyy..yy** Is up to 29 alphanumeric characters assigned by the TDSP.

(2) Allowable alphanumeric characters are 0-9 and A-Z. The total length of the ESI ID cannot exceed 36 alphanumeric characters.

(3) It is the TDSP’s responsibility to create, assign, maintain and retire, as necessary, an ESI ID to each Service Delivery Point in its service area.

15.4.1.1 Assignment of ESI IDs to Unmetered Service Delivery Points

(1) In general, each unmetered Service Delivery Point will be assigned an ESI ID corresponding to the point of delivery from the TDSP system to the Customer or Load. The TDSP may, however, aggregate unmetered Service Delivery Points into one ESI ID provided they meet all of the following conditions:

(a) The Service Delivery Points are owned by the same Customer and are located at the same physical location (an exception is allowed for governmental unmetered loads such as street lighting and traffic signals);

(b) All Service Delivery Points have the same Usage Profile;

(c) All Service Delivery Points have the same voltage and are located in the same Unaccounted for Energy (UFE) zone and same Load Zone; and

(d) The TDSP’s tariffs allow aggregation of unmetered Service Delivery Points.

15.4.1.2 Assignment of ESI IDs to metered Service Delivery Points

(1) In general, each metered Service Delivery Point will be assigned an ESI ID corresponding to an existing billing meter. However, the TDSP may aggregate metered Service Delivery Points into one ESI ID provided they meet all the following conditions:

(a) The Service Delivery Points are owned by the same Customer and are at the same Service Address;

(b) All Service Delivery Points have the same Load Profile or all Service Delivery Points have Interval Data Recorders (IDRs);

(c) All Service Delivery Points have the same voltage and are located in the same UFE zone and same Load Zone; and

(d) The TDSP’s tariffs allow aggregation of separately metered Service Delivery Points.

(2) A Customer may request that the TDSP assign separate ESI IDs for separate Service Delivery Points as allowed in the TDSP’s tariffs.

(3) A TDSP may not assign an ESI ID to submeters where the energy consumption for those meters is included in another ESI ID. This does not prohibit the TDSP from tracking these submeters internally or charging for submetering services via the Competitive Retailer (CR). Notwithstanding the foregoing, TDSPs using the practice of subtract metering shall assign an ESI ID to both the master meter and the subtract meter and report adjusted consumption accordingly.

15.4.1.3 Splitting a Service Delivery Point into Multiple ESI IDs

(1) A Service Delivery Point with Load above one MW may split the actual meter into up to four virtual meters which would each have its own ESI ID. This process of splitting the meter into separate ESI IDs shall be performed in accordance with the requirements of Section 10, Metering. Reissuing and reassignment of ESI IDs is prohibited.

15.4.1.4 New Electric Service Identifier Creation

(1) Since it is anticipated that the ESI ID will be based on the existing TDSP account or Premise numbers (with a prefix identifying the TDSP), the TDSP will assign and submit to the registration database ESI IDs for new Premises as service is extended to them. TDSPs that opt in after the market startup will be responsible for the creation of ESI IDs for all existing Service Delivery Points in their service territory.

(2) The TDSP will send ESI ID information using the 814\_20, ESI ID Maintenance Request. ERCOT will verify that this transaction meets Texas Standard Electronic Transaction (TX SET) specifications. ERCOT will respond to the TDSP within one Retail Business Hour, with acceptance or rejection of these transactions using the 814\_21, ESI ID Maintenance Response. At least the following data elements are required to be sent in the 814\_20 transaction:

(a) ESI ID;

(b) Service Address; city, state, zip;

(c) Load Profile Type;

(d) Meter reading cycle or meter cycle by day of month;

(e) Station ID;

(f) Distribution Loss Factor (DLF) code; and

(g) Premise type.

(3) The TDSP must receive an accepted 814\_21 from ERCOT prior to initiating electric service pursuant to Section 15.1.4, Beginning Service (New Construction Completed and Move Ins).

15.4.1.5 Electric Service Identifier Maintenance

(1) The TDSP will notify ERCOT of any changes in information related to an ESI ID for which it is responsible. The TDSP will send changes to ERCOT using the 814\_20, ESI ID Maintenance Request. ERCOT will respond to the TDSP within four Retail Business Hours, using the 814\_21, ESI ID Maintenance Response. In addition, ERCOT will send all affected CRs notice of the changes using the 814\_20 transaction. The TDSP is responsible for the following data elements:

(a) Service Address; city, state, zip;

(b) Load Profile Type;

(c) Meter reading cycle or meter cycle by day of month;

(d) Station ID;

(e) DLF code;

(f) Eligibility date;

(g) Meter type;

(h) Rate class and sub-class, if applicable;

(i) Special needs indicator;

(j) Meter type, identification number, number of dials and role for each meter at the ESI ID, if ESI ID is metered;

(k) For unmetered ESI IDs, number and description of each unmetered device;

(l) Premise type;

(m) Advanced Metering System (AMS) or Municipally Owned Utility (MOU) / Electric Cooperative (EC) Non-BUSIDRRQ IDR indicator; and

(n) Switch hold indicator.

(2) If the 814\_20 transaction is invalid, ERCOT will respond to the TDSP using the 814\_21 transaction within four Retail Business Hours of receipt of the 814\_20, with the exception of an 814\_20 transaction that is invalid because of “ESI ID Invalid or Not Found.” In the case of “ESI ID Invalid or Not Found,” ERCOT will hold the 814\_20 transaction and continue to retry the request at regular intervals for 48 hours counting only hours on Retail Business Days, but not only Business Hours. If the request remains invalid for 48 hours, the process will terminate and ERCOT will forward an 814\_21 transaction.