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| RMGRR Number |  | RMGRR Title |  |
| Date Posted | |  | |
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| Requested Resolution | | Normal | |
| Retail Market Guide Sections Requiring Revision | | 7.11.2.4.1 Losing Competitive Retailer Responsibilities in an Acquisition Transfer Event  7.11.2.4.4 Gaining Competitive Retailer Responsibilities in an Acquisition Transfer  7.19 Business Processes related to Continuous Service Agreements  7.19.1 Removal of a pending Continuous Service Agreement – IOU Terriroty  7.19.2 Removal of a pending Continuous Service Agreement – MOU Territory  11.2.1.1 ERCOT Operating Rule 1 for Rejection: Same Day Scheduled Meter Read Date  11.2.5.6 ERCOT Operating Rule 23: Cancel with Exception  11.2.5.10 ERCOT Operating Rule 27: Duplicates  11.4.5 REP Operating Rule 5: Establish Continuous Service Agreement After Move Out Results in De-eneggized Premise  11.4.6 Operating Rule 6: Establish Continuous Service Agreement After Move Out Results in De-eneggized Premise  Appendix D1 Transaction Timing Matrix | |
| Related Documents Requiring Revision/Related Revision Requests | | Include title of document to be revised (i.e. Operating Guide, Telemetry Standards, etc.) or related Revision Request number and title. | |
| Revision Description | | Describe the basic function of the Revision Request. | |
| Reason for Revision | | Addresses current operational issues.  Meets Strategic goals (tied to the [ERCOT Strategic Plan](https://www.ercot.com/files/docs/2018/12/13/ERCOT_Strategic_Plan_2019-2023.pdf) or directed by the ERCOT Board).  Market efficiencies or enhancements  Administrative  Regulatory requirements  Other: (explain)  *(please select all that apply)* | |
| Business Case | | Update name of 814\_18 transaction. Added new section to describe how to cancel a pending CSA through MarkeTrak. | |

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| **Market Rules Staff Contact** | |
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| Proposed Guide Language Revision |

7.11.2.4.1 Losing Competitive Retailer Responsibilities in an Acquisition Transfer Event

(1) Before ERCOT initiates transactions in an Acquisition Transfer, the Losing CR shall satisfy its responsibilities as outlined in paragraph (2) below.

(2) The Losing CR will perform the following actions prior to the initial Acquisition Transfer event conference call, as scheduled by ERCOT in paragraph (3) of Section 7.11.2.4.2, ERCOT Responsibilities in an Acquisition Transfer:

(a) Confirm the Losing CR’s current list of Transition/Acquisition contacts are on file with ERCOT (as designated on the Losing CR’s ERCOT NCI form). It is the responsibility of the Losing CR to maintain accurate contact information on file with ERCOT. Additions and modifications to Transition/Acquisition contact information must be made by submitting an NCI form, as provided on the ERCOT website, to ERCOT Registration;

(b) Work with the Gaining CR, PUCT, ERCOT and applicable TDSP(s) as early as possible to determine timeline for the transfer including the date of transaction submission and transfer completion;

(c) Provide ERCOT with notice that the Losing CR has worked with the PUCT to begin the Acquisition Transfer event process;

(d) Send the 650\_01, Service Order Request, to the TDSP to remove the switch hold from any ESI IDs involved in the Acquisition Transfer event.

NOTE: If the Losing CR has not provided the 650\_01 transaction(s) to the applicable TDSP(s) requesting switch hold removal(s) no later than one Retail Business Day prior to the Acquisition Transfer event conference call, the TDSP(s) will remove all switch hold(s) that are associated with the list of ESI IDs that the TDSP(s) received from ERCOT as soon as possible in an effort to prevent ERCOT’s generated 814\_03, Enrollment Notification Request, from being rejected by the TDSP(s) due to switch hold.

(e) Send the 814\_18, Establish/Change/Delete CSA Request, to cancel existing CSAs as necessary;

7.11.2.4.4 Gaining Competitive Retailer Responsibilities in an Acquisition Transfer

(1) The Gaining CR will perform the following actions in an Acquisition Transfer event.

(2) Prior to the initial Acquisition Transfer event conference call, as scheduled by ERCOT in paragraph (3) of Section 7.11.2.4.2, ERCOT Responsibilities in an Acquisition Transfer:

(a) Confirm accuracy of the Gaining CR’s list of Transition/Acquisition contacts on file with ERCOT (as designated on the Gaining CR’s ERCOT NCI form). It is the responsibility of the Gaining CR to maintain accurate contact information on file with ERCOT. Additions and modifications to Transition/Acquisition contact information must be made by submitting an NCI form, as provided on the ERCOT website, to ERCOT Registration;

(b) Verify accuracy of Gaining CR’s DUNS # provided in the Acquisition Transfer file;

(c) Submit an 814\_18, Establish/Change/Delete CSA Request, for any CSA the Gaining CR they will be responsible for after the completion of the transfer and prior to the submission of any move outs;

7.18.1 Transmission and/or Distribution Service Provider Notification Requirements to Retail Electric Provider

(1) If a Customer currently served through an Advanced Meter elects to receive service through a Non-Standard Meter, the TDSP will notify the REP in accordance with the timelines below upon receipt of the Customer’s signed acknowledgement form electing to receive Non-Standard Metering service and payment of the one-time fee.

(a) Within three days of receipt of the acknowledgement form and fee, the TDSP will notify the current REP of record of such via MarkeTrak.

(i) The TDSP will create a *Day-to-Day* MarkeTrak issue, selecting the *Market Rule* subtype and entering “NSMSRVC” in the required field to indicate that the Customer has elected Non-Standard Metering service.

(ii) The REP of record shall accept the MarkeTrak issue by selecting “Complete” after which the issue can be “Closed” by the TDSP or will auto close in the system, requiring no further action by the REP of record after completion.

(b) Within 30 days of receipt of the acknowledgement form and fee, the TDSP will notify the current REP of record of the initiation date for the change to Non-Standard Metering service by submitting an 814\_20, ESI ID Maintenance Request, to notify the REP of the initiation date for the Electric Service Identifier (ESI ID).

(2) If a Customer currently served through a Non-Standard Meter elects to retain their service using a Non-Standard Meter, the TDSP will notify the REP in accordance with the timelines below upon receipt of the Customer of record’s signed acknowledgement form electing to retain Non-Standard Metering service and payment of the one-time fee.

(a) Within three days of receipt of the acknowledgement form and payment of the one-time fee, the TDSP will notify the current REP of record of such via MarkeTrak.

(i) The TDSP will create a *Day-to-Day* MarkeTrak issue, selecting the *Market Rule* subtype and entering “NSMSRVC” in the required field to

7.19 **Business Processes related to Continuous Service Agreements**

(1) This Section provides Market Participants with market-approved guidelines for Continuous Service Agreements.

7.19.1        Removal of a pending Continuous Service Agreement – IOU Territory

(1)        The CR will create a Day-to-Day *Market Rule* issue subtype, assigned to ERCOT, and enter “CSACAN” in the required Market Rule field to indicate that the CR would like to cancel a CSA where the CSA start date is in the future.

(2)        ERCOT shall accept the MarkeTrak issue, cancel the pending CSA, and select “Complete” to indicate the requested action has been taken.  The issue can then be “Closed” by the CR or will auto close in the system, requiring no further action by the CR after completion.

7.19.2        Removal of a pending Continuous Service Agreement – MOU Territory

(1)        The CR will create a Day-to-Day *Market Rule* issue subtype, assigned to ERCOT , and enter “CSACAN” in the required Market Rule field to indicate that the CR would like to cancel a CSA where the CSA start date is in the future.

(2)        ERCOT shall accept the MarkeTrak issue and, upon review, assign the issue to the MOU TDSP for approval.  Upon the MOU TDSP approval, the issue will be assigned back to ERCOT.  ERCOT shall cancel the pending CSA and select “Complete” to indicate the requested action has been taken.  The issue can then be “Closed” by the CR or will auto close in the system, requiring no further action by the CR after completion.

**11.2.1.1 ERCOT Operating Rule 1 for Rejection: Same Day Scheduled Meter Read Date**

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| ***[RMGRR169: Replace paragraphs (2) and (3) above with the following upon system implementation of NPRR1095:]***  (2) For a standard Switch Request, the First Available Switch Date (FASD) will be used for the evaluation. In the event there is already a standard Switch Request scheduled that does not have a Cancel Pending status and for which the SMRD is later than or equal to the FASD on the second standard Switch Request, the standard switch will be rejected for Not First In (NFI).  (3) If the Transmission and/or Distribution Service Provider (TDSP) determines that based on Table 11.1, New Transactions Rejected for Not First In, below, the standard Switch Request creates a scheduling conflict, the TDSP shall send an 814\_04, Enrollment Notification Response, reject.  Table 11.1, New Transactions Rejected for Not First In   |  |  |  | | --- | --- | --- | | **Scheduled** | **New Transaction** | **Rejected for Not First In** | | Move in | Move in | Yes | | Move in | Self-selected switch | Yes | | Move in | Move out | No | | Move in | Standard switch | Yes | | Move out | Move in | No | | Move out | Self-selected switch | Yes | | Move out | Move out | Yes | | Move out | Standard switch | Yes | | Switch | Move in | No | | Switch | Self-selected switch | Yes | | Switch | Move out | No | | Switch | Standard switch | Yes | | Mass Transition drop | Move in | No | | Mass Transition drop | Self-selected switch | No | | Mass Transition drop | Move out | No | | Mass Transition drop | Standard switch | No | | Acquisition Transfer | Move in | No | | Acquisition Transfer | Self-selected switch | No | | Acquisition Transfer | Move out | No | | Acquisition Transfer | Standard switch | No | |

**11.2.5.6 ERCOT Operating Rule 23: Cancel With Exception**

(1) This rule allows the 20 Retail Business Day cancellation period for Move-In, Move-Out and Switch Requests starting with the day the initiating transaction is processed by ERCOT as a maximum, and establishes a minimum cancellation period of three Retail Business Days starting with the day the initiating transaction is processed by ERCOT.

(a) Inside these parameters, the waiting period for the TDSP Response (814\_04, Enrollment Notification Response, 814\_25, Move Out Response, or 814\_28, Complete Unexecutable or Permit Required) expires on the RMRD (FASD for standard Switch Requests).

(b) Transactions that reach the RMRD inside the minimum and maximum parameters and have not received a response transaction from the TDSP go into a Cancel Pending status and the 814\_08, Cancel Request, is sent to the TDSP.

(c) ERCOT will monitor the cancels for non-response by the TDSP and if no response is received within seven days, ERCOT will move the business process to “Cancelled” and will send the 814\_08 transactions to the TDSP and the submitting REP.

(d) TDSPs should recognize that all Backdated Transactions received by ERCOT will default to the three Retail Business Day minimum for the expected response transaction.

(e) If the TDSP returns an 814\_04 or 814\_25 transaction, ERCOT will change the status from Cancel Pending to “Scheduled” and will accept, but not require, the 814\_09, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Response.

(f) TDSPs will not send an 814\_09 transaction with the accept code on an 814\_08 transaction for a Cancel With Exception if they have sent the 814\_04 or 814\_25 transaction for the business process instead, TDSPs should send an 814\_09 transaction with the reject code.

(2) Cancel With Exception allows a 20 Retail Business Day cancellation period for a Move-In Request in a Permit Pending status, starting with the day the 814\_28 transaction, with the Permit Required indicator, is processed by ERCOT.

(a) If after 20 Retail Business Days ERCOT has not received the 814\_04 transaction or 814\_28 transaction with the complete unexecutable indicator, ERCOT will move the order into a Cancel Pending status and the 814\_08 transaction is sent to the TDSP.

(b) ERCOT will monitor the cancels for non-response by the TDSP and if no response is received within seven days ERCOT will move the business process to “Cancelled” and will send the 814\_08 to the TDSP and the submitting REP.

(c) If the TDSP returns an 814\_04 transaction, ERCOT will change the status from Cancel Pending to “Scheduled” and will accept, but not require the 814\_09, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Response.

(d) TDSPs will not send an 814\_09 transaction with the accept code on an 814\_08 transaction for a permit not required if they have sent the 814\_04 transaction for the business process instead; TDSPs will send an 814\_09 transaction, with the reject code.

(3) Cancel With Exception allows a 20 Retail Business Day cancellation period for the 814\_26, Historical Usage Requests, starting with the day the initiating transaction is processed at ERCOT.

(a) If after 20 Retail Business Days ERCOT has not received an 814\_27, Ad Hoc Historical Usage Response, from the TDSP, ERCOT will move the business process to “Cancelled” and no 814\_08, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Request, will be sent out.

(4) Cancel With Exception allows a ten Retail Business Day cancellation period for CSA requests in a Municipally Owned Utility (MOU) or Electric Cooperative (EC) territory, starting with the day the initiating transaction is processed at ERCOT.

(a) If after ten Retail Business Days ERCOT has not received an 814\_19, Establish/Change/Delete CSA Response, from the TDSP, ERCOT will move the business process to “Cancelled” and will send the 814\_08 transaction to the CR and MOU/EC TDSP.

**11.2.5.10 ERCOT Operating Rule 27: Duplicates**

(1) ERCOT will reject duplicate submissions of initiating transactions with reject transactions. There are three types of duplicates and each type will have a unique reject reason code.

(a) Duplicate (DUP) - ERCOT will compare the original transaction ID, ESI ID, and the transaction type. If all three of these match to a previously received transaction from the same REP, the transaction will be rejected. The transactions that will be rejected for duplicate are 814\_01, Switch Request, 814\_08, Cancel Request, 814\_12, Date Change Request, 814\_16, Move In Request, 814\_18, Establish/Change/Delete CSA Request, 814\_20, ESI ID Maintenance Request, 814\_24, Move Out Request, 814\_26, Historical Usage Request, and 814\_28, Complete Unexcutable or Permit Required.

(b) Duplicate Cancel Reason (DCR) - For the 814\_08 transaction, there will be an additional duplication validation. This will be done by comparing the reject reason, ESI ID and the original transaction ID to any other 814\_08 transaction received from the same REP for which ERCOT has not yet received a response from the TDSP.

(c) Duplicate Original Transaction ID (DOT) - ERCOT will reject an initiating transaction if the original transaction ID matches an original transaction ID already submitted for the same ESI ID. This duplicate reject will apply to the 814\_01, 814\_16, 814\_18, 814\_20, 814\_24, and 814\_26 transactions.

**11.2.5.11 ERCOT Operating Rule 28: Historical Usage Orders**

(1) For historical usage orders, following the receipt of the 814\_27, Historical Usage Response, with the accept code, ERCOT will close the business process. The business process will be cancelled if ERCOT receives an 814\_27 transaction, with the reject code.

(2) If after 20 Retail Business Days have passed and ERCOT has not received an 814\_27 transaction from the TDSP, however the 867\_02, Historical Usage, was received, ERCOT will move the business process to “Complete” and close the business process.

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| ***[RMGRR169: Insert Section 11.2.5.12 below upon system implementation of NPRR1095:]***  **11.2.5.12 ERCOT Operating Rule 29: Continuous Service Agreements (CSAs)**  (1) CSAs have a start date and end date.  (a) On the morning of the requested start date for the CSA, ERCOT will update the CSA to “active”, ending any previous CSA agreements. If a CSA agreement is ended, an 814\_18, Establish/Change/Delete CSA Request, will be sent to the previous CSA Competitive Retailer (CR).  (b) If the requested start date is equal to the current calendar date, ERCOT will update the CSA to “active”, ending any previous CSA agreements. If a CSA agreement is ended, an 814\_18 transaction will be sent to the previous CSA CR.  (c) On the morning of the requested end date for the CSA, ERCOT will update the   CSA to “inactive”. |

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| ***[RMGRR169: Insert Section 11.2.5.13 below upon system implementation of NPRR1095:]***  **11.2.5.13 ERCOT Operating Rule 30: Move Out to CSA**  (1) In the event of a move out to CSA, ERCOT will use the start date and end date of all CSAs for the ESI ID to determine if a REP will be the CSA on the requested date of the move out.  (a) If a CSA CR has a start date prior to or equal to the requested date of the move out and does not have an end date after the requested date of the move out, ERCOT will send the 814\_03, Enrollment Notification Request, to the TDSP.  (b) If a CSA CR has an end date prior to the requested date of the move out, ERCOT will send the 814\_24, Move Out Request, to the TDSP.  (2) ERCOT evaluates the CSA CR on the receipt of the Move-Out Request. ERCOT does not do any re-evaluation on the move out. |

**11.4.5 REP Operating Rule 5: Establish Continuous Service Agreement After Move Out Results in De-energized Premise**

(1) If a REP submits an 814\_18, Establish/ Change /Delete CSA Request, with the addition indicator on an ESI ID where a move out has been submitted but is not complete, the move out will complete as if the establish Continuous Service Agreement (CSA) was not in effect or pending to be in effect and the Premise will be De-energized if there was no prior CSA relationship. If there was a prior CSA relationship, the prior, or pending, CSA REP will be the REP of record after the move out.

**11.4.6 REP Operating Rule 6: Establish Continuous Service Agreement After Move Out Results in De-energized Premise**

(1) If a REP submits an 814\_18, Establish/Change/Delete CSA Request, with the delete indicator on an ESI ID where a move out has been submitted, but is not complete, the move out will complete as if the establish CSA was still in effect and the CSA REP will be the REP of record after the move out.

# Appendix D1

## Transaction Timing Matrix

*Reference: Section 7.7, Transaction Timing Matrix*

CR = Competitive Retailer

CSA = Continuous Service Agreement

TDSP = Transmission and/or Distribution Service Provider

| **Transaction** | **Business Process** | **From** | **To** | **Timing/ Business Rules** | **Example** | **Protocol Reference Section** |
| --- | --- | --- | --- | --- | --- | --- |
| 814\_17, Move In Reject Response | Same Day move in | ERCOT | CR | One Retail Business Hour | *814\_16* received by ERCOT on Monday @ 1500 **= Hour 0**  *814\_17* sent to CR by Monday @ 1600 **= Hour 1**  **EXCEPTION: Move in that is invalid because of “Invalid ESI ID” requires 48 hours for ERCOT to reject.** | 15.1.4.2, Response to Invalid Move-In Request |
| 814\_17, Move In Reject Response | Standard move in | ERCOT | CR | One Retail Business Hour | *814\_16* received by ERCOT on Monday @ 1500 **= Hour 0**  *814\_17* sent to CR by Monday @ 1600 **= Hour 1**  **EXCEPTION: Move in that is invalid because of “Invalid ESI ID” requires 48 hours for ERCOT to reject.** | 15.1.4.2, Response to Invalid Move-In Request |
| 814\_18, Establish/Change/Delete CSA Request |  | CR | ERCOT | N/A |  | 15.1.9.1, Request to Initiate Continuous Service Agreement  15.1.10.1, Request to Initiate Continuous Service Agreement |
| 814\_18, Establish/Change/Delete CSA Request |  | ERCOT | CR | Within One Retail Business Day after the new CSA becomes Active |  | 15.1.9.1, Request to Initiate Continuous Service Agreement  15.1.10.1, Request to Initiate Continuous Service Agreement |
| 814\_18, Establish/Change/Delete CSA Request (MOU/EC) |  | ERCOT | TDSP | One Retail Business Day | *814\_18* received by ERCOT on Monday @ 1500 **= Day 0**  *814\_18* sent to CR by Tuesday @ 1700 **= Day 1** | 15.1.10.1, Request to Initiate Continuous Service Agreement |
| 814\_19, Establish/Change/Delete CSA Response |  | ERCOT | CR | One Retail Business Day | *814\_18* received by ERCOT on Monday @ 1500 **= Day 0**  *814\_19* sent to CR by Tuesday @ 1700 **= Day 1** | 15.1.9.1, Request to Initiate Continuous Service Agreement  15.1.10.1, Request to Initiate Continuous Service Agreement |
| 814\_20, ESI ID Maintenance Request |  | TDSP | ERCOT | N/A |  | Create  15.4.1.4, New Electric Service Identifier Creation  Maintain/Retire  15.4.1.5, Electric Service Identifier Maintenance |
| 814\_20, ESI ID Create/Maintain/Retire Request | Maintain | ERCOT | CR | Four Retail Business Hours | *814\_20 received by ERCOT on Monday @ 0800 = Hour 0*  *814\_20 sent to CR by Monday @ 1200 = Hour 4* | 15.4.1.5, Electric Service Identifier Maintenance |