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| NPRR Number |  | NPRR Title | Related to RMGRR172, Texas SET V5.0 Continuous Service Agreements Changes |
| Date Posted | |  | |
|  | |  | |
| Requested Resolution | | Normal | |
| Nodal Protocol Sections Requiring Revision | | 1 Customer Registration  15.1.5.1 Request to Terminate Service  15.1.9.1 Request to Initiate Continuous Service Agreement in Investor Owned Utility Territory  15.1.9.2 Request to Change Continuous Service Agreement End Date  15.1.9.3 Request to Terminate Continuous Service Agreement  15.1.9.4 Notice to Continuous Service Agreement Competitive Retailer of Enrollment Due to a Move Out  15.1.10.1 Request to Initiate Continuous Service Agreement  15.1.10.2 Request to Change Continuous Service Agreement End Date  15.1.10.3 Request to Terminate Continuous Service Agreement  15.1.10.4 Notice to Continuous Service Agreement Competitive Retailer of Enrollment Due to a Move Out  15.1.10.5 Notice to Continuous Service Agreement Competitive Retailer of a Drop Due to a Move In  15.4.1.5 Electric Service Identifier Maintenance  19.3.1, Defined Texas Standard Electronic Transactions | |
| 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 | | Protocol changes required to be consistent with Continuous Service Agreement changes in Texas SET V5.0. | |
| 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 | | The Texas SET V5.0 was developed to:   * Assist Market Participants in delivering a better overall Customer experience;   Texas SET V4.0 was released in 2012. The retail changes that V5.0 proposes strengthens processes and mitigates the following:   * An unauthorized activation of a CSA after the contract has terminated. | |

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| **Market Rules Staff Contact** | |
| **Name** |  |
| **E-Mail Address** |  |
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| Proposed Protocol Language Revision |

# 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. ERCOT will reject an 814\_18, Establish/Change/Delete, transaction with a requested start date of more than 90 days in the future or a requested start date in the past.

(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/Change/Delete CSA Requests, and 814\_19, Establish/Change/Delete CSA Responses, will be processed in one Retail Business Day.

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.

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| ***[NPRR1095: Replace paragraph (1) above with the following upon system implementation:]***  (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. Move outs not requesting same day services, will be forwarded to the TDSP within two Retail Business Hours of receipt by ERCOT.  (2) ERCOT will determine if the ESI ID associated with the Premise has a Continuous Service Agreement (CSA) CR.  (a) If there is an active CSA with an end date after the MVO date on record or a CSA with a start date prior to or equal to the requested date of the move out, ERCOT will notify the TDSP by sending the 814\_03, Enrollment Notification Request, with the move out indicator, within one Retail Business Hour for same day requests and two Retail Business Hours for move outs not requesting same day services. ERCOT will notify the CSA CR of the 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.  (b) If there is not an active CSA CR or a CSA with a start date prior to or equal to the requested date of the move out, ERCOT will notify the TDSP to de-energize the ESI ID by sending the 814\_24 transaction and will remove the requester as the CR of Record for that ESI ID.  (3) When requesting to terminate service where a CSA exists, the CSA CR may terminate service to that ESI ID by submitting an 814\_24 transaction with the “Move Out CSA De-Energize” code to ERCOT. ERCOT will validate that the submitting CR is the current CSA CR of Record (or pending CSA CR for the MVO date submitted). If the submitting CR is not the current CSA CR of Record, ERCOT will reject the 814\_24 transaction by sending the 814\_25, Move Out Response. 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. Move outs not requesting same day services will be forwarded to the TDSP within two Retail Business Hours of receipt by ERCOT. |

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.

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| ***[NPRR1095: Replace paragraph (1) above with the following upon system implementation and renumber accordingly:]***  (1) When a CR establishes a CSA at an ESI ID, the CR will send an 814\_18, Establish/Change/Delete CSA Request, to ERCOT. ERCOT will determine if the ESI ID has a CSA on record. If there is not a current CSA, ERCOT will respond to the new CSA CR using the 814\_19, Establish/Change/Delete CSA Response, within one Retail Business Day of receipt of the 814\_18 transaction. ERCOT will hold the CSA in a pending status until the start date of the CSA.  (2) If there is a current CSA, ERCOT will respond to the new CSA CR using the 814\_19 transaction within one Retail Business Day of receipt of the 814\_18 transaction. ERCOT will hold the CSA in a pending status until the start date of the CSA and on the start date of the new CSA, ERCOT will send notice of CSA termination using the 814\_18 transaction to the current CSA, within one Retail Business Day. |

(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 Change Continuous Service Agreement End Date

(1) The CSA CR will send an 814\_18, Establish/Change/Delete CSA Request, to ERCOT on an ESIID where the CSA CR is the Active CSA of record. ERCOT will update the Pending End Date for the Active CSA and respond to the CR using the 814\_19, Establish/Change/Delete CSA Response within one Retail Business Day of receipt of the 814\_18 transaction.

15.1.9.3 Request to Terminate Continuous Service Agreement

(1) The CSA CR will send an 814\_18, Establish/Change/Delete CSA Request, to ERCOT. ERCOT will respond to the CR using the 814\_19, Establish/Change/Delete CSA Response within one Retail Business Day of receipt of the 814\_18 transaction.

(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.

15.1.9.4 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.

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.

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| ***[NPRR1095: Replace paragraph (1) above with the following upon system implementation and renumber accordingly:]***  (1) When a CR establishes a CSA at an ESI ID, the CR will send an 814\_18, Establish/Change/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/Change/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. Upon receipt of the 814\_19 transaction (accept) from the MOU/EC TDSP, ERCOT will send an 814\_19 transaction to the new CSA CR within one Retail Business Day. ERCOT will hold the CSA in a pending status until the start date of the CSA.  (2) 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\_19 transaction to the new CSA CR within one Retail Business Day of receipt of the 814\_19 transaction from the MOU/EC TDSP. ERCOT will hold the CSA in a pending status until the start date of the CSA. On the start date of the new CSA, ERCOT will send notice of the CSA termination using the 814\_18 transaction to the current CSA within one Retail Business Day. |

15.1.10.2 Request to Change Continuous Service Agreement End Date

(1) The CSA CR will send an 814\_18, Establish/Change/Delete CSA Request, to ERCOT on an ESIID where the CSA CR is the Active CSA of record. Upon receipt of an 814\_18 transaction, ERCOT will update the Pending End Date for the Active CSA, send an 814\_19, Establish/Change/Delete CSA Response, within one Retail Business Day to the CSA CR, and forward the 814\_18 transaction to the TDSP within one Retail Business Day.

15.1.10.3 Request to Terminate Continuous Service Agreement

(1) The CSA CR will send an 814\_18, Establish/Change/Delete CSA Request, to ERCOT. Upon receipt of an 814\_18 transaction, ERCOT will terminate the CSA relationship, send an 814\_19, Establish/Change/Delete CSA Response, within one Retail Business Day to the CSA CR, and forward the 814\_18 transaction to the TDSP within one Retail Business Day. 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.

15.1.10.4 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.

15.1.10.5 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.

15.4.1.5 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;

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| ***[NPRR1095: Replace paragraph (a) above with the following upon system implementation:]***  (b) Service Address; city, state, zip, county; |

(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.

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| ***[NPRR1095: Insert paragraph (o) below upon system implementation:]***  (o) Metered service type, description (if provided). |

(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.

(1) **Service Order Request (650\_01)**

This transaction set:

(a) From the Competitive Retailer (CR) to the Transmission and/or Distribution Service Provider (TDSP) via point to point protocol, is used to initiate the original service order request, cancel request, or change/update request.

(b) For every 650\_01, Service Order Request, there will be a 650\_02, Service Order Response.

(2) **Service Order Response (650\_02)**

This transaction set:

(a) From the TDSP to the CR via point to point protocol, is used to send a response to the CR’s original 650\_01, Service Order Request, that the transaction is complete, complete unexecutable, rejected, or requires a permit.

(b) For every 650\_01 transaction, there will be a 650\_02 transaction.

(3) **Planned or Unplanned Outage Notification (650\_04)**

This transaction set:

(a) From the TDSP to the CR via point to point protocol, is used to notify the CR of a suspension of delivery service or to cancel the suspension of delivery service.

(b) From Municipally Owned Utility/Electric Cooperative (MOU/EC) TDSP to CR via point to point protocol, is used to notify the CR of disconnect/reconnect of delivery service for non-payment of wires charges.

(4) **Planned or Unplanned Outage Response (650\_05)**

This transaction set is no longer valid as of Texas SET 4.0.

(5) **TDSP Invoice (810\_02)**

This transaction set:

From the TDSP to the CR via point to point protocol, is an invoice for wire charges as listed in each TDSP tariff, (i.e., delivery charges, late payment charges, discretionary service charges, etc.). The 810\_02, TDSP Invoice, may be paired with an 867\_03, Monthly or Final Usage, to trigger the Customer billing process.

(6) **MOU/EC Invoice (810\_03)**

This transaction set:

From the CR to the MOU/EC TDSP via point to point protocol, is an invoice for monthly energy charges, discretionary, and service charges for the current billing period. The 810\_03, MOU/EC Invoice, will be preceded by an 867\_03, Monthly or Final Usage, to trigger the Customer billing process.

(7) **Maintain Customer Information Request (814\_PC)**

This transaction set:

(a) From a CR to the TDSP via point to point protocol, is used to maintain the information needed by the TDSP to verify the CR’s end use Customer’s identity (i.e., name, address and contact phone number) for a particular point of delivery served by the CR. A CR shall be required to provide TDSP with the information to contact the Customer and to continuously provide TDSP updates of changes in such information.

(b) From the CR to the TDSP via point to point protocol, will be transmitted only after the CR has received the 867\_04, Initial Meter Read, from the TDSP for that specific move in Customer. Also, the CR will not transmit this transaction set and/or provide any updates to the TDSP after receiving the 867\_03, Monthly or Final Usage, final meter read for that specific move out Customer.

(c) From a MOU/EC TDSP to CR via point to point protocol, is used to provide the CR with updated Customer information (name, address, membership ID, home phone number, etc.) for a particular point of delivery served by both the MOU/EC TDSP and the CR and to continuously provide CR updates of such information.

(8) **Maintain Customer Information Response (814\_PD)**

This transaction set:

From the TDSP to the CR via point to point protocol, or from the CR to MOU/EC TDSP via point to point protocol, is used to respond to the 814\_PC, Maintain Customer Information Request.

(9) **Switch Request (814\_01)**

This transaction set:

From a new CR to ERCOT, is used to begin the Customer enrollment process for a switch.

(10) **Switch Reject Response (814\_02)**

This transaction set:

From ERCOT to the new CR, is used by ERCOT to reject the 814\_01, Switch Request, based on incomplete or invalid information. This is a conditional transaction and will only be used as a negative response. If the 814\_02, Switch Reject Response, is not received from ERCOT, the new CR will receive the 814\_05, CR Enrollment Notification Response, from ERCOT.

(11) **Enrollment Notification Request (814\_03)**

This transaction set:

(a) From ERCOT to the TDSP, passes information from the 814\_01, Switch Request; 814\_16, Move In Request; or an 814\_24, Move Out Request, where a Continuous Service Agreement (CSA) exists.

(b) The historical usage, if requested by the submitter of the initiating transaction, will be sent using the 867\_02, Historical Usage.

(c) Will be initiated by ERCOT and transmitted to the TDSP in the event of a Mass Transition.

(d) Will be initiated by ERCOT and transmitted to the TDSP in the event of an acquisition transfer.

(12) **Enrollment Notification Response (814\_04)**

This transaction set:

From the TDSP to ERCOT, is used to provide the scheduled meter read date that the TDSP has calculated and pertinent Customer and Premise information in response to an 814\_01, Switch Request; 814\_16, Move In Request; 814\_24, Move Out Request, where a CSA exists initiated by a CR or a Mass Transition or acquisition transfer of Electric Service Identifiers (ESI IDs) initiated by ERCOT. TDSPs will acknowledge the initiating CRs request for historical usage with this transaction but will send the usage using the 867\_02, Historical Usage.

(13) **CR Enrollment Notification Response (814\_05)**

This transaction set:

From ERCOT to the new CR, is essentially a pass through of the TDSP’s 814\_04, Enrollment Notification Response, information. This transaction will provide the scheduled meter read date for the CR’s 814\_01, Switch Request, or 814\_16, Move In Request.

(14) **Loss Notification (814\_06)**

This transaction set:

From ERCOT to the current CR, is used to notify a current CR of a drop initiated by an 814\_01, Switch Request, or drop notification due to a pending 814\_16, Move In Request, from a new CR.

(15) **Loss Notification Response (814\_07)**

This transaction set is no longer valid as of Texas SET 4.0.

(16) **Cancel Request (814\_08)**

This transaction set:

(a) From ERCOT to the TDSP, is used to cancel an 814\_03, Enrollment Notification Request, or an 814\_24, Move Out Request.

(b) From ERCOT to the current CR, is used to cancel an 814\_06, Loss Notification, (forced Move-Out or Switch Request), an 814\_24 transaction, or an 814\_11, Drop Response.

(c) From ERCOT to the new CR, is used to cancel an 814\_01, Switch Request, an 814\_16, Move In Request, or an 814\_14, Drop Enrollment Request.

(d) From the current CR to ERCOT, is used to cancel an 814\_24 transaction.

(e) From the new CR to ERCOT, is used to cancel an 814\_01 or an 814\_16 transaction.

(f) From ERCOT to the CSA CR, is used to cancel an 814\_22, CSA CR Move In Request.

(g) From ERCOT to the requesting CR/Provider of Last Resort (POLR), is used to cancel pending transactions involved in a Mass Transition.

(h) From ERCOT to the gaining CR, is used to cancel pending transaction involved in an acquisition transfer.

(17) **Cancel Response (814\_09)**

This transaction set:

(a) From the TDSP to ERCOT, is used in response to the cancellation of an 814\_03, Enrollment Notification Request, or an 814\_24, Move Out Request.

(b) From the current CR to ERCOT, is no longer valid as of Texas SET 4.0.

(c) From the new CR to ERCOT, is no longer valid as of Texas SET 4.0.

(d) From ERCOT to the current CR, is used in forwarding the response of the Customer cancel of an 814\_24 transaction.

(e) From CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.

(f) From ERCOT to the submitter of an 814\_08, Cancel Request, is used to reject the cancellation request.

(g) From POLR to ERCOT, is no longer valid as of Texas SET 4.0.

(18) **Drop Request (814\_10)**

This transaction set is no longer valid as of March 8, 2007 (Reference Project No. 33025, PUC Rulemaking Proceeding to Amend Commission Substantive Rules Consistent With §25.43, Provider of Last Resort (POLR)).

(19) **Drop Response (814\_11)**

This transaction set:

(a) From ERCOT to the current CR, is sent within one Retail Business Day to notify the CR that the request is invalid.

(b) From ERCOT to the current CR, is used in response to a Mass Transition.

(c) From ERCOT to the current CR, is used in response to an acquisition transition.

(20) **Date Change Request (814\_12)**

This transaction set:

(a) From new CR to ERCOT, is used when the Customer requests a date change to the original 814\_16, Move In Request.

(b) From ERCOT to the current CR, is used for a notification of the date change on the 814\_16 transaction, from the new CR.

(c) From ERCOT to the TDSP, is used for notification of a move in or move out date change request.

(d) From the current CR to ERCOT, is used when the Customer requests a date change to the original 814\_24, Move Out Request.

(e) From ERCOT to the new CR, is used for notification of the date change on the 814\_24 transaction from the current CR.

(f) From ERCOT to the CSA CR, is used for notification of the date change on the 814\_24 transaction only.

(21) **Date Change Response (814\_13)**

This transaction set:

(a) From ERCOT to new CR, is used to respond to the requested date change to the original move in date on the 814\_12, Date Change Request.

(b) From the current CR to ERCOT, is no longer valid as of Texas SET 4.0.

(c) From the CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.

(d) From the TDSP to ERCOT, is used to respond to the requested date change to the original move in or move out date on the 814\_12 transaction.

(e) From ERCOT to the current CR, is used to respond to the requested date change to the original move out date on the 814\_12 transaction.

(f) From the new CR to ERCOT, is no longer valid as of Texas SET 4.0.

(22) **Drop Enrollment Request (814\_14)**

This transaction set:

(a) From ERCOT to the POLR or designated CR, is used in response to a Mass Transition.

(b) From ERCOT to the gaining CR, is used in response to an acquisition transfer.

(23) **Drop Enrollment Response (814\_15)**

This transaction set is no longer valid as of Texas SET 4.0.

(24) **Move In Request (814\_16)**

This transaction set:

From the new CR to ERCOT, is used to begin the Customer enrollment process for a move in.

(25) **Move In Reject Response (814\_17)**

This transaction set:

From ERCOT to the new CR, is used by ERCOT to reject the 814\_16, Move In Request, based on incomplete or invalid information. This is a conditional transaction and will only be used as a negative response. If the 814\_17, Move In Reject Response, is not received from ERCOT, the CR will receive the 814\_05, CR Enrollment Notification Response.

(26) **Establish/Change/Delete CSA Request (814\_18)**

This transaction set:

(a) From the new CSA CR to ERCOT, is used to establish the owner/landlords’ new CSA CR in the registration system.

(b) From the current CSA CR to ERCOT, is used to change an existing CSA CR End Date.

(c) From the current CSA CR to ERCOT, is used to remove an existing CSA CR from the registration system.

(d) From ERCOT to the current CSA CR, is used for notification that the owner/landlord has selected a new CSA CR.

(e) From ERCOT to the MOU/EC TDSP, is used to validate the CSA relationship information in the MOU/EC TDSP’s system.

(f) From ERCOT to the MOU/EC TDSP, is used for notification of a change in CSA End Date, unless otherwise indicated in Retail Market Guide Section 8.1.

(g) From ERCOT to the MOU/EC TDSP, is used for notification of CSA deletion.

(27) **Establish/Change/Delete CSA Response (814\_19)**

This transaction set:

(a) From ERCOT to the new CSA CR, is used to respond to the 814\_18, Establish/Change/Delete CSA Request, enrolling the new CSA CR in the registration system.

(b) From ERCOT to the new CSA CR, is used to respond to the 814\_18 transaction changing the End Date for the current CSA CR in the registration system.

(c) From ERCOT to the current CSA CR, is used to respond to the 814\_18 transaction deleting the current CR from the registration system.

(d) From the current CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.

(e) From the MOU/EC TDSP to ERCOT, is used to provide a response to the 814\_18 transaction.

(28) **ESI ID Maintenance Request (814\_20)**

This transaction set:

(a) From the TDSP to ERCOT, is used to initially populate the registration system for conversion/opt-in.

(b) From the TDSP to ERCOT, is used to communicate the addition of a new ESI ID, changes to information associated with an existing ESI ID, or retirement of an existing ESI ID.

(c) From ERCOT to current CR and any pending CR(s), is notification of the TDSP’s changes to information associated with an existing ESI ID.

(29) **ESI ID Maintenance Response (814\_21)**

This transaction set:

(a) From ERCOT to TDSP, is used to respond to the 814\_20, ESI ID Maintenance Request.

(b) From the current CR and any pending CR(s) to ERCOT, is no longer valid as of Texas SET 4.0.

(c) From the new CR to ERCOT, is no longer valid as of Texas SET 4.0.

(30) **CSA CR Move In Request (814\_22)**

This transaction set:

From ERCOT to CSA CR, is used to start a CSA service for the ESI ID.

(31) **CSA CR Move In Response (814\_23)**

This transaction set:

From the CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.

(32) **Move Out Request (814\_24)**

This transaction set:

(a) From the current CR to ERCOT, is used for notification of a Customer’s moveout request.

(b) From ERCOT to the TDSP, is notification of the Customer’s move out request. If a CSA exists on the ESI ID, then the 814\_03, Enrollment Notification Request, is sent instead of the 814\_24, Move Out Request.

(33) **Move Out Response (814\_25)**

This transaction set:

(a) From the TDSP to ERCOT to the current CR, is used to respond to the 814\_24, Move Out Request. If a CSA exists on the ESI ID and ERCOT sent the 814\_03, Enrollment Notification Request, instead of the 814\_24 transaction, the TDSP will then respond with the 814\_04, Enrollment Notification Response.

(b) From ERCOT to the current CR, is used to respond to the 814\_24 transaction.

(34) **Historical Usage Request (814\_26)**

This transaction set:

(a) From the current CR to ERCOT, is used to request the historical usage for an ESI ID.

(b) From ERCOT to the TDSP, it is a pass through of the current CR’s 814\_26, Historical Usage Request.

(35) **Historical Usage Response (814\_27)**

This transaction set:

(a) From the TDSP to ERCOT, is used to respond to the 814\_26, Historical Usage Request.

(b) From ERCOT to the current CR, is a pass through of the TDSP’s response to the 814\_26 transaction.

(36) **Complete Unexecutable or Permit Required (814\_28)**

This transaction set:

(a) For a move out, is from the TDSP to ERCOT, and from ERCOT to the current CR, to notify the current CR the move out was unexecutable. Upon sending this transaction, the TDSP closes the initiating move out transaction. The CR must initiate corrective action and resubmit the Move-Out Request.

(b) For a move in, is from the TDSP to ERCOT, and from ERCOT to the new CR, or the current CR for energized accounts, to notify the CR that the work was complete unexecutable, or that a permit is required. Upon sending this transaction to notify the new CR of a complete unexecutable, the TDSP closes the initiating transaction. The new CR must initiate corrective action and resubmit the Move-In Request.

(c) Upon sending the 814\_28 (PT) transaction to notify the new CR that a permit is required, ERCOT will allow the TDSP 20 Retail Business Days to send the 814\_04, Enrollment Notification Response, due to permit requirements. After the 20 Retail Business Days, if no 814\_04 transaction is received, ERCOT will then issue an 814\_08, Cancel Request. If the move in is cancelled due to permit not received, ERCOT will note the reason in the 814\_08 transaction.

(d) For a switch, is from the TDSP to ERCOT, and from ERCOT to the new CR or current CR, to notify CRs that the work has been complete unexecutable.

(37) **Complete Unexecutable or Permit Required Response (814\_29)**

This transaction set:

(a) From ERCOT to the TDSP to reject the 814\_28, Complete Unexecutable or Permit Required.

(b) From the CR (current CR for a move out or a new CR for a move in) to ERCOT, and from ERCOT to the TDSP is no longer valid as of Texas SET 4.0.

(38) **CR Remittance Advice (820\_02)**

This transaction set:

(a) From the CR to the TDSP, is used as a remittance advice concurrent with a corresponding payment to the TDSP banking institution for a dollar amount equal to the total of the itemized payments in the 820\_02, CR Remittance Advice. This transaction will reference the 810\_02, TDSP Invoice, by ESI ID. If payment and remittance are transmitted together to a financial institution, this implementation guide may be used as a baseline for discussion with the payer’s financial institution. All “must use” fields in the 820\_02 transaction must be forwarded to the payer’s financial institution and be supported by the payee’s financial institution.

(b) A single payment sent via the bank and a single remittance sent to the TDSP can include multiple invoices, however a one to one correlation must exist between the payment submitted to the bank and the corresponding remittance advice to the TDSP.

(39) **MOU/EC Remittance Advice (820\_03)**

This transaction set:

From the MOU/EC TDSP to the CR, is used as a remittance advice concurrent with a corresponding payment to the CR banking institution for a dollar amount equal to the total of the itemized payments in the 820\_03, MOU/EC Remittance Advice. This transaction will reference the CR’s Customer account number and ESI ID. If payment and remittance are transmitted together to a financial institution, this implementation guide may be used as a baseline for discussion with the payer’s financial institution. All “must use” fields in the 820\_03 transaction, must be forwarded to the payer’s financial institution and be supported by the payee’s financial institution.

(40) **Invoice or Usage Reject Notification (824)**

This transaction set:

(a) From the CR to the TDSP, is used by the CR to reject and/or accept with exception the 810\_02, TDSP Invoice, sent by the TDSP.

(b) From ERCOT to the TDSP, is used to reject the 867\_03, Monthly or Final Usage, transaction sent by the TDSP.

(c) From the CR to ERCOT, is used to reject the 867\_03 transaction sent by ERCOT.

(d) From the MOU/EC TDSP to the CR, is used to reject the 810\_03, MOU/EC Invoice, sent by the CR.

(41) **Historical Usage (867\_02)**

This transaction set:

(a) From the TDSP to ERCOT, is used to report historical usage.

(b) From ERCOT to the CR, is essentially a pass through of the TDSP’s 867\_02, Historical Usage.

(42) **Monthly or Final Usage (867\_03)**

This transaction set:

(a) From the TDSP to ERCOT, is used to report monthly usage.

(b) From ERCOT to the CR, is essentially a pass through of the TDSP’s 867\_03, Monthly or Final Usage.

(c) From ERCOT to the TDSP or CR, is for ERCOT polled services.

(43) **Initial Meter Read (867\_04)**

This transaction set:

(a) From the TDSP to ERCOT, is used to report the initial read associated with an 814\_01, Switch Request, or an 814\_16, Move In Request.

(b) From ERCOT to the new CR, is used to report the initial read associated with an 814\_01 or 814\_16 transaction.

(44) **Functional Acknowledgement (997)**

This transaction set:

(a) From the receiver of the originating transaction to the sender of the originating transaction, is used to acknowledge the receipt of the originating transaction and indicate whether the transaction passed American National Standards Institute (ANSI) ASC X12 validation. This acknowledgement does not imply that the originating transaction passed TX SET validation. The CR, TDSP, or ERCOT shall respond with a 997, Functional Acknowledgement, within 24 hours of receipt of an inbound transaction.

(b) Provides a critical audit trail. All parties must send a 997 transaction for all Electronic Data Interchange (EDI) transactions. Parties will track and monitor acknowledgements sent and received.

(45) **Option 1 Outages: Outage Status Request (T0)**

This transaction set:

From a CR to TDSP, is used to request outage status. This is not a required transaction for an Option 1 CR reporting unplanned outages.

(46) **Option 1 Outages: Trouble Reporting Request (T1)**

This transaction set:

From a CR to TDSP, is used to report an outage or service irregularity requiring near Real-Time outage response. This is a required transaction for an Option 1 CR to electronically transmit to the TDSP for every valid outage or service irregularity reported.

(47) **Option 1 Outages: Trouble Report Acknowledgement (T2)**

This transaction set:

From a TDSP to CR, is used to acknowledge the receipt of a T1, Option 1 Outages: Trouble Reporting Request, with either an acceptance or a rejection response. This is a required transaction for the TDSP when an Option 1 CR utilizes the T1 transaction.

(48) **Option 1 Outages: Status Response (T3)**

This transaction set:

From a TDSP to CR, is used to provide status information for a previously submitted T0, Option 1 Outages: Outage Status Request, message. This is a required transaction for the TDSP when an Option 1 CR utilizes the T0 transaction.

(49) **Option 1 Outages: Trouble Completion Report (T4)**

This transaction set:

From a TDSP to CR, is used by the TDSP to notify the CR that the trouble condition has been resolved. This is a required transaction for the TDSP when an Option 1 CR utilizes the T1, Option 1 Outages: Trouble Reporting Request, transaction.