

# ERCOT Retail Market Guide

January 1, 2024

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# **ERCOT Retail Market Guide**

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**ERCOT Retail Market Guide**  
**Section 1: Purpose**

**July 1, 2010**

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## **1 PURPOSE**

The Retail Market Guide (RMG) supplements the ERCOT Protocols. The RMG provides more detail and establishes additional requirements for those organizations and Entities operating in the Texas retail market. Entities are obligated to comply with the RMG. In the event of a conflict between the RMG and the ERCOT Protocols or Public Utility Commission of Texas (PUCT) Substantive Rules, the ERCOT Protocols and PUCT Substantive Rules take precedence over the RMG.

**ERCOT Retail Market Guide**  
**Section 2: Definitions and Acronyms**

November 1, 2023

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## 2 DEFINITIONS AND ACRONYMS

### 2.1 DEFINITIONS

Relevant terms and definitions used in the Retail Market Guide can be found in Protocol Section 2, Definitions and Acronyms, and in Chapter 25, Substantive Rules Applicable to Electric Service Providers, of the Public Utility Commission of Texas (PUCT) Substantive Rules. This Section 2.1 contains terms not defined in either the Protocols or PUCT Substantive Rules.

#### LINKS TO DEFINITIONS:

[A](#), [B](#), [C](#), [D](#), [E](#), [F](#), [G](#), [H](#), [I](#), [J](#), [K](#), [L](#), [M](#), [N](#), [O](#), [P](#), [Q](#), [R](#), [S](#), [T](#), [U](#), [V](#), [W](#), [X](#), [Y](#), [Z](#);

[List of Acronyms](#)

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## A

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## B

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### **Backdated Transaction**

An initiating move in or move out transaction in which the Requested Date is earlier than the date the transaction is received by ERCOT.

## C

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### **Cancel Pending**

The status of a business process at ERCOT that indicates that ERCOT has sent a response-driven cancel transaction to the Transmission and/or Distribution Service Provider (TDSP), but ERCOT has not yet received the response transaction.

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**Decision**

Parameters associated with a Mass Transition or Acquisition Transfer event that dictate the parties involved and the Target Effective Date of the Mass Transition or Acquisition Transfer. Decision parameters include designation of the Losing Competitive Retailer (CR), the Gaining CR, the preliminary list of transitioning Electric Service Identifiers (ESI IDs) and the Target Effective Date of the Mass Transition or Acquisition Transfer.

**De-energized**

The status of an ESI ID, at ERCOT, that indicates that ERCOT does not currently have a Retail Electric Provider (REP) of record.

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**Effective Date**

The date on which the Mass Transition or Acquisition Transfer of ESI IDs from the Losing CR to the Gaining CR is to take place. This is the date on which the meter read is taken and is used in Mass Transition or Acquisition Transfer transactions.

**Evaluation**

The process in which ERCOT utilizes the Stacking Logic on an ESI ID to determine if a cancellation and/or Notification Transaction should be sent.

**Evaluation Window**

The time period prior to a transaction's expected effectuating date in which ERCOT will perform an evaluation on an ESI ID for potential cancel and/or Notification Transactions as well as evaluating the Stacking Logic on Pending orders.

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**Field Operational Day**

The normal hours of operation for field services at the TDSP.

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### **Gaining Competitive Retailer**

CR identified in the initiating Decision who is to become the REP of record as of the Effective Date for a transitioned ESI ID following the Mass Transition or Acquisition Transfer.

## H

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## I

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### **In Review**

The status of a business process at ERCOT that indicates that an initiating transaction has been received and processed at ERCOT, but a response transaction has not been received from the TDSP.

### **Inadvertent Gain/Loss (IAG)**

An unauthorized change of a Customer's Competitive Retailer (CR) when a Customer or a Premise is changed to a CR that is different from the Customer's expected CR of choice. An IAG is either reported as a gain by the gaining CR or a loss by the losing CR.

### **Iteration Counter**

A mandatory date/time element in the 814\_12, Date Change Request, that is initiated by the REP and is increased in value for each subsequent 814\_12 transaction that the REP sends to ERCOT for a single Customer order. The Iteration Counter is passed in all subsequent 814\_12 transactions and 814\_13, Date Change Responses, that are a result of the originating 814\_12 transaction.

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## L

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### **Launch**

Initial step in the Mass Transition or Acquisition Transfer process whereby parties are informed that a Mass Transition or Acquisition Transfer event is underway and overall management of the Mass Transition or Acquisition Transfer event begins.

### **Losing Competitive Retailer**

CR identified in the initiating Decision who is to be removed as the REP of record upon the processing of a Mass Transition or Acquisition Transfer transaction.

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## N

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### **New Competitive Retailer**

CR who is neither the Losing CR nor the Gaining CR and who is involved in a transaction associated with a transitioned ESI ID during or following a Mass Transition or Acquisition Transfer.

### **Non-Standard Meter or Non-Standard Metering**

A meter as defined by Applicable Legal Authorities (ALA) in P.U.C. SUBST. R. 25.133, Non-Standard Metering Service.

## **Notification Transactions**

Transactions that notify the CR it is either gaining or losing the ESI ID.

## **O**

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## **Off-Cycle**

An activity performed not in association with the normally scheduled cycle for meter reads.

## **Overflow**

Service order requests not worked on the date wanted due to events such as outages, extreme weather, or an increased volume of higher priority service request types (reconnects, move-ins and move-outs). Overflow service requests will be scheduled for the next available Field Operational Day until the order is successfully completed or Completed Unexecutable.

## **P**

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## **Pending**

The status of any order that is received prior to the requested completion date for Disconnect for Non-Pay (DNP) or Reconnect for Non-Pay (RNP) requests. The Pending status at ERCOT is a status other than “complete” or “cancelled.”

## **Pending Transaction**

Any transaction associated with a transitioned ESI ID that is in-flight (not completed) when the Mass Transition or Acquisition Transfer event occurs.

## **Permit Pending**

The status of a transaction at ERCOT that indicates that ERCOT has received the 814\_28, Complete Unexecutable or Permit Required, with the permit required indicator from the TDSP, but has not received a subsequent 814\_04, Enrollment Notification Response, or 814\_28 transaction with the unexecutable indicator.

**Premise Based Permit**

Type of permit that is required once on the Premise and does not have regard for which tenant moves in once it is satisfied.

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**R**

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**Requested Meter Read Date (RMRD)**

The meter read date requested by the REP, in either an initiating transaction or an 814\_12, Date Change Request.

**S**

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**Scheduled Meter Read Date (SMRD)**

The service period start date on the 814\_04, Enrollment Notification Response, or the service period end date on the 814\_25, Move Out Response, from the TDSP.

**Stacking Logic**

The methodology by which REPs, ERCOT and TDSPs process multiple, non-sequential transactions concurrently for an ESI ID.

**T**

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**Target Effective Date**

Effective Date for the Mass Transition or Acquisition Transfer of ESI IDs identified in the Mass Transition or Acquisition Transfer Decision. This date may be modified by agreement among Market Participants based on the volume of transitioning ESI IDs and the TDSP's capacity to read meters and process transactions involving manual intervention.

**Tenant Based Permit**

Type of permit that requires one permit per tenant on the Premise.

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**2.2 ACRONYMS**

|                 |                              |
|-----------------|------------------------------|
| <b>AEP</b>      | American Electric Power      |
| <b>CNP</b>      | CenterPoint Energy           |
| <b>DEV</b>      | Data Extract Variance        |
| <b>DNP</b>      | Disconnect for Non-Pay       |
| <b>FASD</b>     | First Available Switch Date  |
| <b>FSR</b>      | Field Service Representative |
| <b>IAG</b>      | Inadvertent Gain/Loss        |
| <b>LP&amp;L</b> | Lubbock Power & Light        |

|             |                                    |
|-------------|------------------------------------|
| <b>LSP</b>  | Large Service Provider             |
| <b>MCL</b>  | Mass Customer List                 |
| <b>NEC</b>  | Nueces Electric Cooperative        |
| <b>NFI</b>  | Not First In                       |
| <b>OPUC</b> | Office of Public Utility Counsel   |
| <b>RMRD</b> | Requested Meter Read Date          |
| <b>RNP</b>  | Reconnect for Non-Pay              |
| <b>SMRD</b> | Scheduled Meter Read Date          |
| <b>SU</b>   | Sharyland Utilities                |
| <b>TNMP</b> | Texas New Mexico Power             |
| <b>VREP</b> | Volunteer Retail Electric Provider |

**ERCOT Retail Market Guide**  
**Section 3: Retail Market Guide Revision Process**

**January 1, 2024**

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|          |   |            |
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### 3 RETAIL MARKET GUIDE REVISION PROCESS

#### 3.1 Introduction

- (1) A request to make additions, edits, deletions, revisions, or clarifications to this Retail Market Guide (RMG), including any attachments and exhibits to this RMG, is called a Retail Market Guide Revision Request (RMGRR). Except as specifically provided in other sections of the RMG, this Section 3, Retail Market Guide Revision Process, shall be followed for all RMGRRs. ERCOT Members, Market Participants, Public Utility Commission of Texas (PUCT) Staff, the Reliability Monitor, the Independent Market Monitor (IMM), the North American Electric Reliability Corporation (NERC) Regional Entity, ERCOT, and any other Entities are required to utilize the process described herein prior to requesting, through the PUCT or other Governmental Authority, that ERCOT make a change to the RMG, except for good cause shown to the PUCT or other Governmental Authority.
- (2) The “next regularly scheduled meeting” of the Retail Market Subcommittee (RMS), the Technical Advisory Committee (TAC), the ERCOT Board, or the PUCT, shall mean the next regularly scheduled meeting for which required Notice can be timely given regarding the item(s) to be addressed, as specified in the appropriate PUCT, ERCOT Board, or committee procedures.
- (3) RMS shall ensure that the RMG is compliant with the ERCOT Protocols. As such, the RMS will monitor all changes to the ERCOT Protocols and initiate any RMGRRs necessary to bring the RMG in conformance with the ERCOT Protocols. The RMS will also initiate a Nodal Protocol Revision Request (NPRR) if such a change is necessary to accommodate a proposed RMGRR prior to proceeding with that RMGRR.
- (4) Throughout the RMG, references are made to the ERCOT Protocols. ERCOT Protocols supersede the RMG and any RMGRRs must be compliant with the ERCOT Protocols. The ERCOT Protocols are subject to the revision process outlined in Protocol Section 21, Revision Request Process.
- (5) ERCOT may make non-substantive corrections at any time during the processing of a particular RMGRR. Under certain circumstances, however, the RMG can also be revised by ERCOT rather than using the RMGRR process outlined in this Section.
  - (a) This type of revision is referred to as an “Administrative RMGRR” or “Administrative Changes” and shall consist of non-substantive corrections, such as typos (excluding grammatical changes), internal references (including table of contents), improper use of acronyms, references to ERCOT Protocols, PUCT Substantive Rules, the Public Utility Regulatory Act (PURA), NERC regulations, Federal Energy Regulatory Commission (FERC) rules, etc., and revisions for the purpose of maintaining consistency between Section 3 and Protocol Section 21.
  - (b) ERCOT shall post such Administrative RMGRRs on the ERCOT website and distribute the RMGRR to the RMS. If no Entity submits comments to the

Administrative RMGRR within ten Business Days in accordance with paragraph (1) of Section 3.3.3, Retail Market Subcommittee Review and Action, ERCOT shall implement the Administrative RMGRR according to paragraph (3) of Section 3.6, Retail Market Guide Revision Implementation. If any Entity submits comments to the Administrative RMGRR, then it shall be processed in accordance with the RMGRR process outlined in this Section 3.

### **3.2 Submission of a Retail Market Guide Revision Request**

- (1) The following Entities may submit a Retail Market Guide Revision Request (RMGRR):
  - (a) Any Market Participant;
  - (b) Any ERCOT Member;
  - (c) Public Utility Commission of Texas (PUCT) Staff;
  - (d) The Reliability Monitor;
  - (e) The North American Electric Reliability Corporation (NERC) Regional Entity;
  - (f) The Independent Market Monitor (IMM);
  - (g) ERCOT; and
  - (h) Any other Entity that meets the following qualifications:
    - (i) Resides (or represents residents) in Texas or operates in the Texas electricity market; and
    - (ii) Demonstrates that Entity (or those it represents) is affected by the Customer Registration or Renewable Energy Credit (REC) Trading Program sections of the ERCOT Protocols.

### **3.3 Retail Market Guide Revision Procedure**

#### ***3.3.1 Review and Posting of Retail Market Guide Revision Requests***

- (1) Retail Market Guide Revision Requests (RMGRRs) shall be submitted electronically to ERCOT by completing the designated form provided on the ERCOT website. Excluding ERCOT-sponsored RMGRRs, ERCOT shall provide an electronic return receipt response to the submitter upon receipt of the RMGRR.
- (2) The RMGRR shall include the following information:
  - (a) Description of requested revision and reason for suggested change;

- (b) Impacts and benefits of the suggested change on ERCOT market structure, ERCOT operations, and Market Participants to the extent that the submitter may know this information;
  - (c) List of affected Retail Market Guide (RMG) sections and subsections;
  - (d) General administrative information (organization, contact name, etc.); and
  - (e) Suggested language for requested revision.
- (3) ERCOT shall evaluate the RMGRR for completeness and shall notify the submitter, within five Business Days of receipt, if the RMGRR is incomplete, including the reasons for such status. ERCOT may provide information to the submitter that will correct the RMGRR and render it complete. An incomplete RMGRR shall not receive further consideration until it is completed. In order to pursue the RMGRR, a submitter must submit a completed version of the RMGRR.
  - (4) If a submitted RMGRR is complete or upon completion of an RMGRR, ERCOT shall post the RMGRR on the ERCOT website and distribute to the Retail Market Subcommittee (RMS) within three Business Days.
  - (5) For any ERCOT-sponsored RMGRR, ERCOT shall also post an initial Impact Analysis on the ERCOT website, and distribute it to RMS. The initial Impact Analysis will provide RMS with guidance as to potential ERCOT computer systems, operations, or business functions that could be affected by the submitted RMGRR.

### **3.3.2 *Withdrawal of a Retail Market Guide Revision Request***

- (1) A submitter may withdraw or request to withdraw an RMGRR by submitting a completed Request for Withdrawal form provided on the ERCOT website. ERCOT shall post the submitter's Request for Withdrawal on the ERCOT website within three Business Days of submittal.
- (2) The submitter of an RMGRR may withdraw the RMGRR at any time before RMS recommends approval of the RMGRR.
- (3) If RMS has recommended approval of the RMGRR, the Request for Withdrawal must be approved by the Technical Advisory Committee (TAC) if the RMGRR has not yet been recommended for approval by TAC.
- (4) If TAC has recommended approval of an RMGRR, the Request for Withdrawal must be approved by the ERCOT Board if the RMGRR has not yet been recommended for approval by the ERCOT Board.
- (5) Once recommended for approval by the ERCOT Board, an RMGRR cannot be withdrawn.

### 3.3.3 *Retail Market Subcommittee Review and Action*

- (1) Any ERCOT Member, Market Participant, Public Utility Commission of Texas (PUCT) Staff, the Reliability Monitor, the North American Electric Reliability Corporation (NERC) Regional Entity, the Independent Market Monitor (IMM), or ERCOT may comment on the RMGRR.
- (2) To receive consideration, comments must be delivered electronically to ERCOT in the designated format provided on the ERCOT website within 14 days from the posting date of the RMGRR. Comments submitted after the 14 day comment period may be considered at the discretion of the RMS after these comments have been posted. Comments submitted in accordance with the instructions on the ERCOT website regardless of date of submission shall be posted on the ERCOT website and distributed to the RMS within three Business Days of submittal.
- (3) RMS shall consider the RMGRR at its next regularly scheduled meeting after the end of the 14 day comment period. At such meeting, the RMS may take action on the RMGRR. The quorum and voting requirements for RMS action are set forth in the Technical Advisory Committee Procedures. In considering action on an RMGRR, RMS shall:
  - (a) Recommend approval of the RMGRR as submitted or as modified;
  - (b) Reject the RMGRR;
  - (c) Table the RMGRR; or
  - (d) Refer the RMGRR to another RMS working group or task force, or another TAC subcommittee with instructions.
- (4) If a motion is made to recommend approval of an RMGRR and that motion fails, the RMGRR shall be deemed rejected by RMS unless at the same meeting RMS later votes to recommend approval of, table, or refer the RMGRR. If a motion to recommend approval of an RMGRR fails via e-mail vote according to the Technical Advisory Committee Procedures, the RMGRR shall be deemed rejected by the RMS unless at the next regularly scheduled RMS meeting or in a subsequent e-mail vote prior to such meeting, RMS votes to recommend approval of, table, or refer the RMGRR. The rejected RMGRR shall be subject to appeal pursuant to Section 3.4, Appeal of Action.
- (5) Within three Business Days after the RMS takes action on the RMGRR, ERCOT shall post an RMS Report reflecting the RMS action on the ERCOT website. The RMS Report shall contain the following items:
  - (a) Identification of submitter of the RMGRR;
  - (b) Modified RMG language recommended by the RMS, if applicable;
  - (c) Identification of authorship of comments;

- (d) Proposed effective date(s) of the RMGRR;
  - (e) Recommended priority and rank for any RMGRR requiring an ERCOT project for implementation; and
  - (f) RMS action.
- (6) The RMS chair shall notify TAC of Revision Requests rejected by RMS.

#### **3.3.4 *Comments to the Retail Market Subcommittee Report***

- (1) Any ERCOT Member, Market Participant, PUCT Staff, the Reliability Monitor, the NERC Regional Entity, the IMM, or ERCOT may comment on the RMS Report. Comments submitted in accordance with the instructions on the ERCOT website, regardless of date of submission, shall be posted on the ERCOT website and distributed to the working group or committee (i.e., RMS and/or TAC) considering the RMGRR within three Business Days of submittal.
- (2) The comments on the RMS Report will be considered at the next regularly scheduled RMS or TAC meeting where the RMGRR is being considered.

#### **3.3.5 *Retail Market Guide Revision Request Impact Analysis***

- (1) If RMS recommends approval of an RMGRR, ERCOT shall prepare an Impact Analysis based on the proposed language in the RMS Report. If ERCOT has already prepared an Impact Analysis, ERCOT shall update the existing Impact Analysis, if necessary, to accommodate the language recommended for approval in the RMS Report.
- (2) The Impact Analysis shall assess the impact of the proposed RMGRR on ERCOT staffing, computer systems, operations, or business functions and shall contain the following information:
  - (a) An estimate of any cost and budgetary impacts to ERCOT for both implementation and ongoing operations;
  - (b) The estimated amount of time required to implement the RMGRR;
  - (c) The identification of alternatives to the RMGRR that may result in more efficient implementation; and
  - (d) The identification of any manual workarounds that may be used as an interim solution and estimated costs of the workaround.
- (3) Unless a longer review period is warranted due to the complexity of the proposed RMS Report, ERCOT shall post an Impact Analysis on the ERCOT website, for an RMGRR for which RMS has recommended approval of prior to the next regularly scheduled RMS meeting, and distribute to RMS. If a longer review period is required by ERCOT to

complete an Impact Analysis, ERCOT shall submit comments with a schedule for completion of the Impact Analysis.

### **3.3.6 Retail Market Subcommittee Review of Impact Analysis**

- (1) After ERCOT posts the results of the Impact Analysis, RMS shall review the Impact Analysis at its next regularly scheduled meeting. RMS may revise its RMS Report after considering the information included in the Impact Analysis or additional comments received on the RMS Report.
- (2) Within three Business Days of RMS consideration of the Impact Analysis and RMS Report, ERCOT shall post the RMS Report on the ERCOT website. If RMS revises the RMS Report, ERCOT shall update the Impact Analysis, if necessary, post the updated Impact Analysis on the ERCOT website, and distribute it to the working group or committee (i.e., RMS and/or TAC) considering the Impact Analysis. If a longer review period is required for ERCOT to update the Impact Analysis, ERCOT shall submit comments with a schedule for completion of the Impact Analysis.
- (3) If the RMGRR requires an ERCOT project for implementation, at the same meeting, RMS shall assign a recommended priority and rank for the associated project.

### **3.3.7 Retail Market Guide Revision Request and Impact Analysis for Point-to-Point Transactions or Processes between Competitive Retailers and Transmission and/or Distribution Service Providers**

- (1) Upon receipt of RMGRRs submitted by any Entity other than ERCOT that are limited to Point-to-Point transactions or processes between Competitive Retailers (CRs) and Transmission and/or Distribution Service Providers (TDSPs) which are not intended to impact ERCOT, ERCOT shall perform an initial evaluation to verify if there is any impact on ERCOT and include the evaluation in a preliminary Impact Analysis. ERCOT shall post the preliminary Impact Analysis prior to the RMS initial review of the RMGRR, if practicable.
- (2) If the preliminary Impact Analysis is available for RMS, RMS could then consider both the language and the preliminary Impact Analysis and choose to forward both to TAC for recommendation for approval. If RMS recommends approval of the RMGRR, ERCOT shall prepare an Impact Analysis, based on the proposed language in the RMS Report, to identify and evaluate the required changes to ERCOT systems and staffing needs, including, but not limited to, ERCOT's operating systems, Settlement systems, business functions, operating practices, and ERCOT System operations. If ERCOT has already prepared an Impact Analysis, ERCOT shall update the existing Impact Analysis, if necessary, to accommodate the language recommended for approval in the RMS Report.

### 3.3.8 *Protocol Revision Subcommittee Review of Project Prioritization*

- (1) At the next regularly scheduled Protocol Revision Subcommittee (PRS) meeting after RMS recommends approval of an RMGRR that requires an ERCOT project for implementation, the PRS shall assign a recommended priority and rank for the associated project.

### 3.3.9 *Technical Advisory Committee Vote*

- (1) TAC shall consider any RMGRR that RMS has submitted to TAC for consideration for which both an RMS Report and an Impact Analysis (as updated if modified by RMS under Section 3.3.6, Retail Market Subcommittee Review of Impact Analysis) have been posted on the ERCOT website. The following information must be included for each RMGRR considered by TAC:
  - (a) The RMS Report and Impact Analysis;
  - (b) The RMS-recommended priority and rank, if an ERCOT project is required; and
  - (c) Any comments timely received in response to the RMS Report.
- (2) The quorum and voting requirements for TAC action are set forth in the Technical Advisory Committee Procedures. In considering action on an RMS Report, the TAC shall:
  - (a) Recommend approval of the RMGRR as recommended in the RMS Report or as modified by TAC;
  - (b) Reject the RMGRR;
  - (c) Table the RMGRR;
  - (d) Remand the RMGRR to RMS with instructions; or
  - (e) Refer the RMGRR to another TAC subcommittee or a TAC working group or task force with instructions.
- (3) If a motion is made to recommend approval of an RMGRR and that motion fails, the RMGRR shall be deemed rejected by TAC unless at the same meeting the TAC later votes to recommend approval of, table, remand, or refer the RMGRR. If a motion to recommend approval of an RMGRR fails via e-mail vote according to the Technical Advisory Committee Procedures, the RMGRR shall be deemed rejected by TAC unless at the next regularly scheduled TAC meeting or in a subsequent e-mail vote prior to such meeting, TAC votes to recommend approval of, table, remand, or refer the RMGRR. The rejected RMGRR shall be subject to appeal pursuant to Section 3.4, Appeal of Action.



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- (4) Within three Business Days after TAC takes action on an RMGRR, ERCOT shall post a TAC Report reflecting the TAC action on the ERCOT website. The TAC Report shall contain the following items:
- (a) Identification of the submitter of the RMGRR;
  - (b) Modified RMG language proposed by TAC, if applicable;
  - (c) Identification of the authorship of comments, if applicable;
  - (d) Proposed effective date of the RMGRR;
  - (e) Priority and rank for any RMGRR requiring an ERCOT project for implementation;
  - (f) RMS action;
  - (g) TAC action;
  - (h) IMM Opinion;
  - (i) ERCOT Opinion; and
  - (j) ERCOT Market Impact Statement.
- (5) If TAC recommends approval of an RMGRR, ERCOT shall forward the TAC Report to the ERCOT Board for consideration pursuant to Section 3.3.10, ERCOT Board Vote.
- (6) The TAC chair shall report the results of all votes by TAC related to RMGRRs to the ERCOT Board at its next regularly scheduled meeting.

### **3.3.10 *ERCOT Board Vote***

- (1) Upon issuance of a TAC Report and Impact Analysis to the ERCOT Board, the ERCOT Board shall review the TAC Report and the Impact Analysis at the next regularly scheduled meeting. For Urgent RMGRRs, the ERCOT Board shall review the TAC Report and Impact Analysis at the next regularly scheduled meeting, unless a special meeting is required due to the urgency of the RMGRR.
- (2) The quorum and voting requirements for ERCOT Board action are set forth in the ERCOT Bylaws. In considering action on a TAC Report, the ERCOT Board shall:
- (a) Recommend approval of the RMGRR as recommended in the TAC Report or as modified by the ERCOT Board;
  - (b) Reject the RMGRR;
  - (c) Table the RMGRR; or

- (d) Remand the RMGRR to TAC with instructions.
- (3) If a motion is made to recommend approval of an RMGRR and that motion fails, the RMGRR shall be deemed rejected by the ERCOT Board unless at the same meeting the ERCOT Board later votes to recommend approval of, table, or remand the RMGRR. The rejected RMGRR shall be subject to appeal pursuant to Section 3.4, Appeal of Action.
- (4) Within three Business Days after the ERCOT Board takes action on an RMGRR, ERCOT shall post a Board Report reflecting the ERCOT Board action on the ERCOT website.

### **3.3.11 PUCT Approval of Revision Requests**

- (1) All RMGRRs require approval by the PUCT prior to implementation.
- (2) Within three Business Days after the PUCT takes action on an RMGRR, ERCOT shall post a PUCT Report reflecting the PUCT action on the ERCOT website.

## **3.4 Appeal of Action**

- (1) Any ERCOT Member, Market Participant, Public Utility Commission of Texas (PUCT) Staff, the Reliability Monitor, the Independent Market Monitor (IMM), the North American Electric Reliability Corporation (NERC) Regional Entity, or ERCOT may appeal a Retail Market Subcommittee (RMS) action to reject, table, or refer a Retail Market Guide Revision Request (RMGRR) directly to the Technical Advisory Committee (TAC). Such appeal to the TAC must be submitted electronically to ERCOT by completing the designated form provided on the ERCOT website within seven days after the date of the relevant RMS appealable event. ERCOT shall reject appeals made after that time. ERCOT shall post appeals on the ERCOT website within three Business Days of receiving the appeal. Appeals shall be heard at the next regularly scheduled TAC meeting that is at least seven days after the date of the requested appeal. An appeal of an RMGRR to TAC suspends consideration of the RMGRR until the appeal has been decided by TAC.
- (2) Any ERCOT Member, Market Participant, PUCT Staff, the Reliability Monitor, the IMM, the NERC Regional Entity, or ERCOT may appeal a TAC action to reject, table, remand, or refer an RMGRR directly to the ERCOT Board. Appeals to the ERCOT Board shall be processed in accordance with the ERCOT Board Policies and Procedures. An appeal of an RMGRR to the ERCOT Board suspends consideration of the RMGRR until the appeal has been decided by the ERCOT Board.
- (3) Any ERCOT Member, Market Participant, PUCT Staff, the Reliability Monitor, the IMM, or the NERC Regional Entity may appeal any decision of the ERCOT Board regarding an RMGRR to the PUCT or other Governmental Authority. Such appeal to the PUCT or other Governmental Authority must be made within any deadline prescribed by the PUCT or other Governmental Authority, but in any event no later than 35 days of the date of the relevant ERCOT Board appealable event. Notice of any appeal to the PUCT

or other Governmental Authority must be provided, at the time of the appeal, to ERCOT's General Counsel. If the PUCT or other Governmental Authority rules on the RMGRR, ERCOT shall post the ruling on the ERCOT website.

### **3.5 Urgent Requests**

- (1) The party submitting a Retail Market Guide Revision Request (RMGRR) may request that the RMGRR be considered on an urgent timeline ("Urgent") only when the submitter can reasonably show that an existing Retail Market Guide (RMG) provision is impairing or could imminently impair ERCOT System reliability or wholesale or retail market operations, or is causing or could imminently cause a discrepancy between a Settlement formula and a provision of the ERCOT Protocols.
- (2) The Retail Market Subcommittee (RMS) may designate the RMGRR for Urgent consideration if a submitter requests Urgent status or upon a valid motion in a regularly scheduled meeting of the RMS. Criteria for designating an RMGRR as Urgent are that the RMGRR requires immediate attention due to:
  - (a) Serious concerns about ERCOT System reliability or market operations under the unmodified language; or
  - (b) The crucial nature of Settlement activity conducted pursuant to any Settlement formula.
- (3) ERCOT shall prepare an Impact Analysis for Urgent RMGRRs as soon as practicable.
- (4) RMS shall consider the Urgent RMGRR and Impact Analysis, if available, at the next regularly scheduled RMS meeting, or at a special meeting called by the RMS leadership to consider the Urgent RMGRR.
- (5) If the submitter desires to further expedite the processing of the RMGRR, a request for voting via e-mail may be submitted to the RMS chair. The RMS chair may grant the request for voting via e-mail. Such voting will be conducted pursuant to the Technical Advisory Committee Procedures.
- (6) If recommended for approval by RMS, ERCOT shall post an RMS Report on the ERCOT website within three Business Days after RMS takes action. The Technical Advisory Committee (TAC) chair may request action from TAC to accelerate or alter the procedures described herein, as needed, to address the urgency of the situation.
- (7) Any Urgent RMGRRs shall be subject to an Impact Analysis pursuant to Section 3.3.6, Retail Market Subcommittee Review of Impact Analysis, and TAC consideration pursuant to Section 3.3.9, Technical Advisory Committee Vote.

### **3.6 Retail Market Guide Revision Implementation**

- (1) Following Public Utility Commission of Texas (PUCT) approval, ERCOT shall implement Retail Market Guide Revision Requests (RMGRRs) on the first day of the month following PUCT approval, unless otherwise provided in the PUCT Report for the approved RMGRR.
- (2) For such other RMGRRs, the Impact Analysis shall provide an estimated amount of time required to implement the RMGRR and ERCOT shall issue a Market Notice as soon as practicable, but no later than ten days prior to the actual implementation, unless a different Notice period is required in the PUCT Report for the approved RMGRR.
- (3) ERCOT shall implement an Administrative RMGRR on the first day of the month following PUCT approval.

**ERCOT Retail Market Guide**  
**Section 4: Public Utility Commission of Texas Requirements**

**July 1, 2010**

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**4 Public Utility Commission of Texas ..... 4-1**

#### **4 PUBLIC UTILITY COMMISSION OF TEXAS**

- (1) The Public Utility Commission of Texas (PUCT) Substantive Rules establish the rights and responsibilities of the electric utilities, including Transmission and/or Distribution Service Providers (TDSPs), non-utility wholesale and retail Market Participants and electric Customers. The PUCT has also approved tariffs for competitive retail access in Municipally Owned Utility (MOU) and Electric Cooperative (EC) service areas. The complete text of the PUCT Substantive Rules is located on the PUCT website.
  
- (2) Competitive Retailers (CRs) intending to operate in Texas must be certified by the PUCT. The PUCT Substantive Rules provide the various administrative, financial and technical requirements for certification, as well as the conditions under which certification may be suspended or revoked.

**ERCOT Retail Market Guide**  
**Section 5: Electric Reliability Council of Texas**

**February 1, 2012**

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## 5 ELECTRIC RELIABILITY COUNCIL OF TEXAS

The functions of ERCOT are outlined in Protocol Section 1.2, Functions of ERCOT. In addition, Customer registration information can be found in Protocol Section 15, Customer Registration. As part of the certification process, Competitive Retailers (CRs) and Transmission and/or Distribution Service Providers (TDSPs) must complete ERCOT registration requirements as described in Protocol Section 16, Registration and Qualification of Market Participants.

### 5.1 ERCOT Retail Client Services

- (1) ERCOT's Retail Client Services department is available to assist with Market Participant questions and to provide education as needed on retail issues. Retail Account Managers act as the liaison between ERCOT and Market Participants and are the primary contact for all retail market operation questions and issues. ERCOT Retail Account Managers fulfill this role by performing the following functions:
  - (a) Maintaining business relationships with all Market Participants to facilitate or assist with issue resolution;
  - (b) Analyzing issues as they arise to provide support to Market Participants in their business functions with ERCOT and also between other Market Participants;
  - (c) Advocating Market Participant issues within ERCOT and providing communication back to the Market Participant;
  - (d) Addressing the needs of Market Participants during the certification process;
  - (e) Participating in the stakeholder process to communicate and resolve issues; and
  - (f) Monitoring the rules of the market to assist Market Participants with any questions/issues they may have.
- (2) In addition, the Retail Client Services department also provides Market Participants assistance with the following:
  - (a) ERCOT Protocols;
  - (b) Market Participant registration information;
  - (c) ERCOT tools such as the ERCOT website, Market Information System (MIS), MarkeTrak, and the Retail Testing website;
  - (d) Reports and extracts; and
  - (e) Training needs.
- (3) Existing Market Participants should contact their assigned Retail Account Manager. Potential Market Participants may call the general ERCOT Client Services phone number

at (512) 248-3900 or contact ERCOT Client Services via e-mail at ClientServices@ercot.com.

## **5.2 ERCOT Help Desk**

For technical questions about automated communications, connectivity issues such as North American Energy Standards Board (NAESB) or Market Information System (MIS), IT support, data, and system administration issues, Market Participants should call or e-mail ERCOT's 24-hour Help Desk at (512) 248-6800 or helpdesk@ercot.com.

## **5.3 Ad Hoc Retail Market Conference Calls**

Market Participants may request an ad hoc retail market conference call by contacting the chair and/or vice-chair of the Retail Market Subcommittee (RMS). RMS leadership will contact ERCOT Client Services who will announce the call via a market Notice to the Retail Market Call (RMC) e-mail distribution list. Market Participants interested in receiving ad hoc retail market conference call announcements should subscribe to the RMC distribution list located on the ERCOT website. Topics of discussion for the ad hoc call may include but are not limited to:

- (a) Transaction and system processing updates (i.e., processing statistics; slow, late or large volumes);
- (b) Outage Notifications (i.e., planned/unplanned system Outages or maintenance updates); and
- (c) Any issues affecting more than one Competitive Retailer (CR) or the entire market (i.e., re-bill efforts, synchronization).

## **5.4 Retail Market Transaction Processing Service Availability**

ERCOT is committed to providing reliable retail market transaction processing services to the competitive retail market in Texas. A description of the service availability targets and operating hours for retail market transaction processing services provided by ERCOT is available on the ERCOT website. The availability targets are intended to build upon the requirements outlined in Protocol Section 15, Customer Registration and to provide additional guidance to Competitive Retailers (CRs) and Transmission and /or Distribution Service Providers (TDSPs) regarding retail market transaction processing service availability. In the event of a conflict with the ERCOT Protocols or the Public Utility Commission of Texas (PUCT) Substantive Rules, the ERCOT Protocols and PUCT Substantive Rules take precedence over the service availability document.

**ERCOT Retail Market Guide**  
**Section 6: Retail Market Subcommittee Working Groups**

**July 1, 2010**

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**6 Retail Market Subcommittee Working Groups..... 6-1**

## **6 RETAIL MARKET SUBCOMMITTEE WORKING GROUPS**

- (1) The Retail Market Subcommittee (RMS) has several working groups that are in place to assist RMS with discharging its responsibilities as set forth in the Retail Market Subcommittee Procedures. The working groups are comprised of Market Participants and provide Market Participants with the opportunity to participate in developing business rules and processes that govern the Texas retail electric market.
- (2) The RMS may also form ad hoc working groups and direct these working groups and make assignments as necessary.
- (3) Additional information about the working groups is available on the ERCOT website and in the Retail Market Subcommittee Procedures.

# **ERCOT Retail Market Guide**

## **Section 7: Market Processes**

**November 1, 2023**

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## 7 MARKET PROCESSES

### 7.1 Overview and Assumptions

- (1) Market processes provide guidelines for Market Participants operating in the Texas retail market to resolve issues allowing the market to function in a timely and efficient manner.
- (2) Current tariff information, can be found in P.U.C. SUBST. R. 25, Appendix V, Tariff for Competitive Retailer Access, and P.U.C. SUBST. R. 25.214(d), Figure 16, Terms and Conditions of Retail Delivery Service Provided by Investor Owned Transmission and Distribution Utilities, on the Public Utility Commission of Texas (PUCT) website or the Transmission and/or Distribution Service Provider (TDSP) website. General contact information for the TDSPs can be found in Table 1, TDSP Contact Information.
- (3) For an overview on the use of the Texas Standard Electronic Transactions (TX SETs), refer to Protocol Section 19, Texas Standard Electronic Transaction.
- (4) The Texas Standard Electronic Transaction Implementation Guides located on the ERCOT website provide implementation guidelines for the transactions used in the Texas retail market as well as specific details contained within the transactions.

**Table 1. TDSP Contact Information**

| <b>TDSP</b>  | <b>General Call Center</b>  | <b>Website</b>  |
|--------------|---|---|
| <b>AEP</b>   | 877-373-4858  | <a href="http://www.aeptexas.com">http://www.aeptexas.com</a>                             |
| <b>CNP</b>   | 713-207-2222 (local – Houston)<br>800-332-7143 (toll free)                | <a href="http://www.centerpointenergy.com/home">http://www.centerpointenergy.com/home</a> |
| <b>Oncor</b> | 888-313-6934 (Competitive Retailers (CRs) only, not for end-use Customer) | <a href="http://www.Oncor.com">www.Oncor.com</a>  |
| <b>TNMP</b>  | 888-866-7456  | <a href="http://www.tnmp.com">www.tnmp.com</a>  |

### 7.2 Market Synchronization

- (1) Market synchronization issues may arise as Market Participants submit and process transactions.
- (2) In order to maintain synchronization with the Transmission and/or Distribution Service Providers (TDSPs) and Competitive Retailers (CRs), ERCOT provides the following reports on the Market Information System (MIS) Certified Area:
  - (a) Mapping Status Reject Report – A daily report identifying inbound transactions that ERCOT rejected due to mapping status errors.

- (i) Notifies TDSPs and CRs that one or more transactions submitted the previous day were rejected due to failing the Texas Standard Electronic Transaction (TX SET) validation process.
- (b) Potential Load Loss Report – A daily report notifying CRs of potential Customer loss based on ERCOT’s receipt of the TDSP’s accepted response to a Switch or Move-In Request.
  - (i) Notifies CRs that are the current Retail Electric Provider (REP) of record for an Electric Service Identifier (ESI ID) that the ESI ID has a pending Switch or Move-In Request and the scheduling transaction for the pending order has been received outside the two Business Day window; and
  - (ii) Assists CRs with daily Load forecasting by providing advance notice of the potential loss of a Customer and the associated Load.
- (3) ERCOT has developed MarkeTrak, an issue management tool, to help ensure that the various databases are synchronized with each other. The ERCOT MarkeTrak system is a web-based workflow application made available to all active Market Participants with a digital certificate. MarkeTrak is the primary tool used by CRs, TDSPs and ERCOT to resolve retail market transaction issues, request manual service order cancellations, request ERCOT assistance with inadvertent ESI ID transfers, and file Data Extract Variance (DEV) issues.
- (4) All retail market transaction issues and DEV issues must be logged in the MarkeTrak system before they can be worked by ERCOT.
- (5) Market Participants should refer to the MarkeTrak Users Guide located on the ERCOT website for guidelines on issue submission, timing, and issue resolution.

### **7.2.1 *Transmission and/or Distribution Service Provider Cancel***

- (1) When it is necessary for a TDSP to request a manual cancellation of a service order at ERCOT, the TDSP shall submit the cancellation through the MarkeTrak process. The workflow will allow the CR and TDSP involved with the cancellation to have access to the issue. When ERCOT issues the cancel, it will provide the A13 reject code with explanatory text appropriate for the scenario.

### **7.2.2 *MarkeTrak Day-to-Day***

- (1) Market Participants use the MarkeTrak Day-to-Day workflow to report an issue to ERCOT and/or the TDSP. By selecting the *Day-to-Day* MarkeTrak issue and the correct subtype, Market Participants are able to create an issue that involves ERCOT and potentially another Market Participant or a non-ERCOT issue such as a point-to-point transaction between a Market Participant and the TDSP.

- (2) Some examples of issues that should be filed to ERCOT through MarkeTrak are Service Order Request cancellations, REP of record requests, inadvertent issues, rejected transactions and missing transactions. Some examples of non-ERCOT Day-to-Day issues are billing questions and missing monthly usage.

### **7.2.3 *MarkeTrak Data Extract Variance Processes***

- (1) In order to ensure that ERCOT systems and Market Participant systems are synchronized, ERCOT created the ESI ID Service History and Usage Data Extract. ESI ID Service History includes ESI ID relationships and ESI ID characteristics. This data extract provides transparency to Market Participants for ESI ID level data that ERCOT utilizes in market Settlement. The DEV process will assist in the expedited resolution of ESI ID level data variances between ERCOT and Market Participant systems. Load Serving Entities (LSEs), Meter Reading Entities (MREs), and TDSPs will receive these incremental changes from ERCOT on a daily basis. Additional data extracts may be needed to resolve DEV issues. See the MarkeTrak User Guide for business rules concerning filing DEV issues in MarkeTrak. The Market Participant should contact their ERCOT Account Manager for additional information.
- (2) If a DEV issue, submitted according to the MarkeTrak Users Guide is not resolved prior to the True-Up Settlement, a Market Participant may seek correction of ESI ID service history and usage information and resettlement pursuant to the provisions of Protocol Section 20, Alternative Dispute Resolution Procedure and Procedure for Return of Settlement Funds.

## **7.3 *Inadvertent Gain/Loss Process***

- (1) An Inadvertent Gain/Loss (IAG) is defined in Section 2.1, Definitions.
- (2) The IAG process shall be used in cases where a Competitive Retailer (CR) is serving a Customer without proper authorization pursuant to P.U.C. SUBST. R. 25.474, Selection of Retail Electric Provider. This Section provides guidelines for ensuring that inadvertently gained Electric Service Identifiers (ESI IDs) are returned to the losing CR in a quick and efficient manner with minimal inconvenience to the Customer as required by P.U.C. SUBST. R. 25.495, Unauthorized Change of Retail Electric Provider.
- (3) CRs shall submit IAGs to ERCOT as promptly as possible via the MarkeTrak tool.

### **7.3.1 *Escalation Process***

- (1) Each Market Participant is responsible for compliance with the Public Utility Commission of Texas (PUCT) rules and the procedures and timelines in this Section 7.3, Inadvertent Gain/Loss Process. Each Market Participant shall provide separate Escalation Primary and Secondary contacts to assist in resolution of delays and disputes regarding the procedures. MarkeTrak will send escalation e-mails to the escalation

contact(s) whenever an issue has not been transitioned by the responsible party within the escalation timelines found in the MarkeTrak User Guide.

### **7.3.2 Competitive Retailer's IAG Process**

- (1) As soon as a CR discovers or is notified of a potential IAG, the CR shall promptly investigate the matter and provide necessary Customer information in the comments field to effectively resolve the inadvertent gain issue, including, but not limited to the following:
  - (a) Customer name;
  - (b) Service address; and
  - (c) Meter number (if available).
- (2) The bulk insert templates shall only be used for the submission of multiple IAGs for the same Customer under the same contract (retail service agreement) such as a large apartment complex or property management company or in cases where system issues occurred only with proper notification as required under Section 7.3.2.4, Gaining CR System Processing Errors.
- (3) The CR investigation should include reviewing the ESI ID Service History on the Market Information System (MIS) Certified Area. Refer to Section 2, Inadvertent Gain, in the MarkeTrak Users Guide for more detail.

#### **7.3.2.1 Invalid Use of the IAG Process**

##### **7.3.2.1.1 After the Rescission Period**

- (1) An untimely notice of rescission does not constitute and should not be treated as an inadvertent gain or loss. Any CR receiving an untimely notice of rescission from the Customer shall inform the Customer that they have a right to select another CR and may do so by contacting that CR. The CR shall also inform the Customer that they will be responsible for charges from the CR for services provided until they switch to another CR. The right of rescission is not applicable to a Customer requesting a move in.

##### **7.3.2.1.2 Breach of Contract**

- (1) The IAG process shall not be used to resolve an issue in which an authorized enrollment causes a breach of contract (e.g., early termination fee) between the Customer and the losing CR.

- (2) The IAG process shall not be used to resolve an issue in which an authorized enrollment causes a breach of contract (e.g., non-payment) between the Customer and the gaining CR.

#### **7.3.2.1.3 Service Connected As A Result of Identity Theft**

- (1) The IAG process shall not be used to resolve an issue where the service is connected as a result of identity theft.

#### **7.3.2.2 Prevention of Inadvertent Gains**

- (1) If the gaining CR determines that a potential inadvertent gain may be avoided by cancelling a pending switch or move in transaction prior to the scheduled date, the gaining CR shall cancel the transaction using the 814\_08, Cancel Request.

#### **7.3.2.3 Rescission Period**

- (1) CRs that receive a notice of rescission in a timely manner shall first attempt to cancel the order in question by submitting the appropriate Texas Standard Electronic Transaction (TX SET). If this is not possible due to the order having completed, MarkeTrak shall be utilized to restore the Customer to their previous Retail Electric Provider (REP). The submitting REP for a rescinded switch shall follow the process outlined in the MarkeTrak Users Guide.

#### **7.3.2.4 Gaining CR System Processing Errors**

- (1) Should a CR experience a system processing issue resulting in inadvertently gaining greater than 100 ESI IDs, the gaining CR shall send a timely informational-only Market Notice to all impacted Market Participants, via the MarkeTrak escalation contacts, detailing the cause of the issue, and send immediately following the submission of the IAG MarkeTraks.

#### **7.3.2.5 Resolution of IAGs**

- (1) If the Gaining CR determines that the gain was inadvertent, the CR shall promptly submit an *Inadvertent Gaining* issue in MarkeTrak. (See Section 7.2, Market Synchronization, for more information about MarkeTrak).
- (2) The Gaining CR shall not submit a Move-Out Request or a Disconnect for Non-Pay (DNP) on an ESI ID that was gained inadvertently.
- (3) The Losing CR shall not submit an *Inadvertent Losing* issue in MarkeTrak until the Gaining CR's switch or move in transaction has completed.



- (4) If the Gaining CR placed a switch hold on an ESI ID that was gained inadvertently via the 650\_01, Service Order Request, the Gaining CR shall request the removal of all switch holds from the ESI ID via a 650\_01 transaction before proceeding towards a resolution of the *Inadvertent Gaining* or *Inadvertent Losing* MarkeTrak issue. However, if a switch hold was placed on the ESI ID by the Transmission and/or Distribution Service Provider (TDSP) due to tampering, the Losing CR may request that the TDSP reinstate the tampering switch hold on the ESI ID in the *Inadvertent Gaining* or *Inadvertent Losing* MarkeTrak issue.

***[RMGRR169: Replace paragraph (4) above with the following upon system implementation of NPRR1095:]***

- (4) If the Gaining CR placed a switch hold on an ESI ID that was gained in error via the 650\_01, Service Order Request, the Gaining CR shall request the removal of all switch holds from the ESI ID via a 650\_01 transaction before proceeding towards a resolution of the *Inadvertent Gaining* or *Inadvertent Losing* MarkeTrak issue. However, if a switch hold was placed on the ESI ID by the Transmission and/or Distribution Service Provider (TDSP) due to tampering, the Losing CR may request that the TDSP reinstate the tampering switch hold on the ESI ID.
- (5) After the Losing CR regains the ESI ID, the TDSP will reinstate any critical care designations that have not expired and were previously assigned to the Customer at the ESI ID and submit the 814\_20, ESI ID Maintenance Request.

#### **7.3.2.5.1 Reinstatement Date**

- (1) The losing CR and the gaining CR may work together to negotiate a reinstatement date for the losing CR to take the ESI ID back and note that date in the MarkeTrak issue. However, the losing CR shall ultimately determine the reinstatement date and note that date in the MarkeTrak issue.
- (2) The reinstatement date shall be one day beyond the date of loss (date of loss is the date the Customer started with the gaining CR) or any subsequent date chosen by the losing CR for which the losing CR had authorization to serve the Customer, but no greater than ten days from the date the MarkeTrak issue was submitted. If the reinstatement date in the backdated move in is prior to or equal to the gaining CR's start date, ERCOT will reject the backdated move in and resolution of the inadvertent gain will be delayed.
- (3) If the reinstatement process is delayed, the reinstatement date shall be no greater than ten days from the date the MarkeTrak issue was submitted.
- (4) No later than 12 days after the submittal of the *Inadvertent Gaining* or *Inadvertent Losing* MarkeTrak issue, the losing CR shall submit an 814\_16, Move In Request, that is backdated by at least one Retail Business Day. The backdated move in shall use the date as populated within the "proposed regain date" field in MarkeTrak as the requested

reinstatement date. The losing CR shall verify that the backdated move in was successfully received and accepted by the TDSP and populate the BGN02 field from that transaction.

- (5) If the move in has not been submitted within the required timeline, or the reinstatement date is different than the date noted in the MarkeTrak issue, refer to the escalation process in the MarkeTrak Users Guide.
- (6) MarkeTrak issues where all parties have agreed and the MarkeTrak issue remains untouched for 20 days from the date the TDSP selects *Ready to Receive* will be auto closed in the system.

### 7.3.2.6 Valid Reject/Unexecutable Reasons

- (1) The losing CR may reject the return of an inadvertently gained ESI ID from the gaining CR for one of the following reasons only:
  - (a) A new transaction has completed in the market, including, but not limited to the following transactions:
    - (i) The 814\_16, Move In Request; or
    - (ii) The 814\_01, Switch Request.
  - (b) Duplicate *Inadvertent Gaining* issue in MarkeTrak for the same Customer on the same ESI ID.
  - (c) The IAG was inappropriately submitted as described in Section 7.3.2.1, Invalid Use of the IAG Process.
- (2) The gaining CR may reject returning an inadvertently gained ESI ID to the Losing CR for one of the following reasons only:
  - (a) A new transaction has completed in the market, including, but not limited to the following transactions:
    - (i) The 814\_16 transaction; or
    - (ii) The 814\_01 transaction.
  - (b) Duplicate *Inadvertent Losing* issue in MarkeTrak for the same Customer on the same ESI ID;
  - (c) The Gaining CR has confirmed with the Customer that the Customer's CR of choice is the Gaining CR:

- (i) Gaining CR has a valid enrollment with the same Customer and provides the Customer name, service address and meter number (if available) in the comments section of the MarkeTrak issue.
- (d) In cases of Customer rescission, *Inadvertent Losing* MarkeTrak issue is rejected/unexecuted and a *Rescission* MarkeTrak issue is created.

### 7.3.2.7 Invalid Reject/Unexecutable Reasons

- (1) The losing CR shall not reject the return of an inadvertently gained ESI ID due to:
  - (a) Inability to contact the Customer;
  - (b) Past due balances or credit history;
  - (c) Customer no longer occupies the Premise in question;
  - (d) Contract expiration or termination;
  - (e) Pending TX SETs; or
  - (f) Losing CR serving the Premise under a Continuous Service Agreement (CSA).

#### 7.3.2.7.1 *Procedures For A Premise with No Service Agreement / No Current Occupant Process*

- (1) If a CR finds that a current occupant at a Premise for which the provider is shown as the CR of record in the ERCOT or TDSP system is not the Customer with whom the CR currently has a service agreement for retail electric service or the occupant is a Customer whose prior service agreement is expired or is no longer in effect, the procedures set forth in P.U.C. SUBST. R. 25.488, Procedures for a Premise with No Service Agreement, shall be followed.
- (2) The No Current Occupant process may be used in cases where a CR has regained an inadvertently lost ESI ID for which the customer names differ and the CR does not have a valid service agreement for retail electric service.

### 7.3.2.8 Out-of-Sync Condition

- (1) If the losing CR does not have a record of ever serving the ESI ID involved in the *Inadvertent Gaining* MarkeTrak issue, the losing CR shall update the MarkeTrak issue with this information. ERCOT and the losing CR will work together to resolve the out-of-sync issue. TDSP corrections necessary to reestablish the ESI ID with the losing CR may result in a TDSP invoice for a minimum of a one day charge which includes any applicable TDSP service charges according to the TDSP tariffs. For system logic rules, see Section 11, Solution to Stacking.

### 7.3.2.9 No Losing Competitive Retailer of Record

- (1) If it is determined that the losing CR is no longer active in the market, then it is recommended that the gaining CR make reasonable attempts to contact the Customer to resolve the issue and request that ERCOT close the MarkeTrak issue. If the gaining CR is unable to contact the Customer, they may consider following the rules established in P.U.C. SUBST. R. 25.488, Procedures for a Premise with No Service Agreement.

### 7.3.3 Charges Associated with Returning the Customer

- (1) The affected CRs and TDSP shall take all actions necessary to correctly bill all charges, so that the end result is that the CR that served the ESI ID without proper authorization shall pay all transmission, distribution and discretionary charges associated with returning the ESI ID to the losing CR, or CR of choice in the case of a move in. Each CR shall be responsible for all non-by passable TDSP charges and wholesale consumption costs for the periods that the CR bills the Customer.
- (2) If the gaining CR sends a move out or DNP (in violation of Section 7.3.2.5, Resolution of IAGs), and in order for the TDSP to reverse fees associated with the inadvertent gain, the losing CR should file a MarkeTrak issue under the *Redirect Fees* subtype within three Retail Business Days following receipt of the 810\_02, TDSP Invoice, containing discretionary fees as a result of the inadvertent gain. The losing CR shall item link any existing related *Inadvertent Gaining* or *Inadvertent Losing* issues, if applicable. If the gaining CR agrees that an inadvertent gain has occurred, including agreement within a related inadvertent gain issue, then the gaining CR shall agree to the losing CR's *Redirect Fees* MarkeTrak issue and shall not dispute any of the valid TDSP fees associated with returning the ESI ID to the losing CR.
- (3) The losing CR shall not submit a priority 814\_16, Move In Request, if the Customer currently has power.

### 7.3.4 Transmission and/or Distribution Service Provider Inadvertent Gain Process

- (1) As soon as a TDSP is assigned the *Inadvertent Gaining MarkeTrak* issue, the TDSP shall acknowledge receipt of the issue by placing comments in the MarkeTrak issue.

***[RMGRR169: Replace paragraph (1) above with the following upon system implementation of NPRR1095:]***

- (1) Once a TDSP receives the backdated 814\_16, Move In Request, with the Inadvertent Gain/Loss indicator "IA" found in the BGN07 field, the TDSP will complete the Move-In Request and send the 867\_04, Initial Meter Read, to the Losing CR and the 867\_03, Monthly or Final Usage, to the Gaining CR.

**7.3.4.1 Inadvertent Dates Greater than 150 Days**

- (1) If the inadvertent gain occurred more than 150 days in the past, the TDSP shall not issue billing corrections more than 150 days in the past from the date of the receipt of the move in transaction by the TDSP. For those instances in which the requested reinstatement date in the MarkeTrak issue is 150 days or greater in the past, the TDSP will place comments in the MarkeTrak issue to indicate an acceptable reinstatement date for the move in. For instances in which the backdated move in date is further in the past than the date provided by the TDSP, the move in will be completed unexecutable with remarks. The CR must resubmit the move in with a new date.

**7.3.4.2 Inadvertent Order is Pending**

- (1) If the inadvertent order is pending, TDSPs will respond with the following statement:

*Since the inadvertent transaction is still pending, an attempt should be made by the gaining CR to cancel the transaction, provided that the gaining CR agrees to do so. If so, please submit an 814\_08, Cancel Request, transaction prior to the date the inadvertent transaction is scheduled to complete. Otherwise, the inadvertent gain will follow the standard inadvertent process.*

**7.3.4.3 Third Party has Gained Electric Service Identifier (Leapfrog Scenario)**

- (1) If a third party CR legitimately acquires a previously inadvertently gained ESI ID or if the backdated transaction is requesting a date prior to a scheduled transaction where the evaluation has already occurred (two Retail Business Days prior to the scheduled switch, move in, move out or Mass Transition drop), the TDSPs shall respond with the following statement:

*Gaining CR is no longer the REP of record or scheduled to be the REP of record for this ESI ID. A third party has gained or is in the process of gaining the account. The TDSP no longer considers this an inadvertent issue.*

***[RMGRR169: Replace Sections 7.3.4.1, 7.3.4.2, and 7.3.4.3 above with the following upon system implementation of NPRR1095:]***

**7.3.4.1 Transmission and/or Distribution Service Provider Transaction Processing Rejections**

- (1) If the backdated 814\_16, Move In Request, does not contain the Inadvertent Gain “IA” or Customer Rescission “CR” indicator, the TDSP shall reject the backdated 814\_16 transaction with a reject response of Date in the Past “DIP”.
- (2) If the backdated 814\_16 transaction includes the Inadvertent Gain “IA” or Customer Rescission “CR” indicator, but the move in date is greater than 150 days in the past, the

TDSP shall reject the backdated move in transaction with a reject response of “150”. The TDSP shall not cancel and rebill invoices greater than 150 days in the past from the date that the move in transaction was received. Upon the Competitive Retailer’s receipt of the reject response of “150”, the Competitive Retailer shall take the appropriate action(s) to correct the backdated move in date before resubmitting their transaction to the TDSP.

- (3) If a third party Competitive Retailer legitimately acquires a previously inadvertently gained ESI ID, the TDSP no longer considers this an inadvertent issue and shall reject the backdated 814\_16 transaction with a reject response of “Leapfrog Scenario - Third Party has Gained or is in the process of Gaining this ESI ID”.
- (4) If a move out transaction is scheduled or has been completed for an inadvertently gained ESI ID, TDSP shall reject the backdated 814\_16 transaction with a reject response of “Move-Out is Scheduled or has been Completed by the TDSP”.

#### **7.3.4.4 Transmission and/or Distribution Service Provider Billing**

- (1) Once a backdated move in has been accepted by the TDSP, the TDSP shall invoice all transmission, distribution and discretionary charges associated with returning the Customer to the losing CR, or CR of choice in the case of a move in, to the gaining CR. The TDSP shall be responsible for invoicing all non-bypassable TDSP charges to the CRs in accordance with the periods that they each served the Customer.
- (2) Any disputes regarding TDSP charges shall be filed in accordance with Section 7.8, Formal Invoice Dispute Process for Competitive Retailers and Transmission and/or Distribution Service Providers.

***[RMGRR169: Replace Section 7.3.4.4 above with the following upon system implementation of NPRR1095:]***

#### **7.3.4.2 Transmission and/or Distribution Service Provider Billing**

- (1) Once a backdated move in transaction has been accepted by the TDSP, the TDSP shall invoice all transmission, distribution and discretionary charges associated with returning the Customer to the Losing CR, or CR of choice in the case of a move in, to the Gaining CR. The TDSP shall be responsible for invoicing all non-bypassable TDSP charges to the CRs in accordance with the periods that they each served the Customer.
- (2) Any disputes regarding TDSP charges shall be filed in accordance with Section 7.8, Formal Invoice Dispute Process for Competitive Retailers and Transmission and/or Distribution Service Providers.

### 7.3.5 *Customer Rescission after Completion of a Switch Transaction*

- (1) The time period allowed for a Customer to rescind a switch transaction may extend beyond the completion date of a switch. If a Customer requests to cancel a switch for the purpose of rescission, the CR scheduled to gain the Premise shall attempt to cancel the transaction by following the steps outlined in Section 7.3.2.2, Prevention of Inadvertent Gains, regarding cancellation of the pending 814\_01, Switch Request.
  - (a) If the TDSP is unable to cancel the switch, or the Customer waits until after the switch is complete to exercise the rescission, but the Customer is still rescinding the agreement within the timelines specified in P.U.C. SUBST. R. 25.474, Selection of Retail Electric Provider, the Gaining CR shall file a MarkeTrak issue, subtype *Customer Rescission*, to initiate reinstatement of the Customer to the previous CR.
  - (b) Upon receiving the Customer Rescission MarkeTrak issue, the Losing CR shall agree to the Customer Rescission MarkeTrak issue within two Business Days unless a valid reason for rejecting a rescission-based issue under Section 7.3.5.1, Additional Valid Reasons for Rejection of a Rescission-based Issue, is met.

***[RMGRR169: Replace item (b) above with the following upon system implementation of NPRR1095:]***

- (b) Upon receiving the *Customer Rescission* MarkeTrak issue, the Losing CR shall agree to the *Customer Rescission* MarkeTrak issue within two Business Days.

- (2) The TDSP shall not assess any fees related to Customer reinstatement in cases of a valid Customer rescission, provided the submit date of the MarkeTrak issue falls on or before the 25th day following the established First Available Switch Date (FASD) of the 814\_03, Enrollment Notification Request, per the timeline specified in Protocol Section 15.1.1, Submission of a Switch Request. Once this time frame has expired, the Gaining CR will no longer be able to submit an issue under the subtype *Customer Rescission* and must use the *Inadvertent Gaining* subtype to return the Premise. The Gaining CR will incur all TDSP charges normally associated with the return of a Premise through that subtype.
- (3) Within two Business Days of the TDSP updating the *Customer Rescission* MarkeTrak issue status to *Ready to Receive*, the Losing CR shall submit the backdated 814\_16, Move In Request, to reinstate the Customer for one day beyond the original date of loss. The option to reinstate the Customer for any date beyond that as outlined in Section 7.3.2.5.1, Reinstatement Date, is not applicable for rescissions received within the timelines specified in this scenario.

***[RMGRR169: Replace paragraph (3) above with the following upon system implementation of NPRR1095:]***

(3) Within two Business Days of CR agreement to the *Customer Rescission* MarkeTrak issue, the Losing CR shall submit the backdated 814\_16, Move In Request, with the Customer Rescission indicator “CR” found in the BGN07 field, to reinstate the Customer for one day beyond the original date of loss. The option to reinstate the Customer for any date beyond that as outlined in Section 7.3.2.5.1, Reinstatement Date, is not applicable for rescissions received within the timelines specified in this scenario.

- (4) The rules and guidelines set forth in previous sections regarding valid/invalid reject reasons, back-dated transactions over 150 days, pending order notification and third party transactions/leapfrog scenarios shall apply to rescission-based reinstatement.
- (5) Only those enrollments initiated by an 814\_01 transaction, and eligible for Customer rescission as defined in P.U.C. SUBST. R. 25.474, may be returned through the process outlined in this Section. Only the Gaining CR may initiate the process of returning the Customer to the Losing CR by filing a MarkeTrak issue upon being contacted by the Customer exercising rescission. If a Gaining CR attempts to submit a *Customer Rescission* issue in MarkeTrak only to discover an *Inadvertent Losing* issue has been submitted by the Losing CR for the same transaction, the Gaining CR shall mark the *Inadvertent Losing* issue unexecutable and proceed with submission of a new issue under the *Customer Rescission* subtype.

### 7.3.5.1 Additional Valid Reasons for Rejection of a Rescission-based Issue

- (1) The TDSP may return an issue to the submitting CR due to the gaining CR requesting, and the TDSP completing, a move out transaction for the inadvertently gained ESI ID.

***[RMGRR169: Delete Section 7.3.5.1 above upon system implementation of NPRR1095.]***

## 7.4 Safety-Nets

- (1) This Section explains the steps that Market Participants must follow when processing safety-net Move-In Requests. This document is not intended to supersede or contradict P.U.C. SUBST. R. 25.487, Obligations Related to Move-In Transactions.

### 7.4.1 Purpose

- (1) The Competitive Retailer (CR) establishes its responsibilities to serve a Customer at a Premise, which is identified by the Electric Service Identifier (ESI ID), beginning with the service start date the Transmission and/or Distribution Service Provider (TDSP) completes the move-in per the CR’s move-in transaction or safety-net request, whichever date is earliest.



- (2) The safety-net process is a manual work-around process used by Market Participants in the Texas retail market in the event that 814\_16 transactions are systematically delayed due to system degradation or complete system malfunction.
- (3) The process may also be used during extended transaction processing outages, as described in Section 7.10, Emergency Operating Procedures for Extended Unplanned System Outages. However, under no circumstances should this safety-net process be used to bypass approved rules, Protocols, guides and/or market approved processes.

#### 7.4.2 Safety-Net Submission Processes

- (1) If the TDSP provides an internet-based portal for safety-net requests, the CR may submit a safety-net move-in requesting a move-in service start date of the current date by means of the TDSP's specific internet-based submission process.
- (2) If the CR utilizes the safety-net move-in spreadsheet process via email, request(s) shall be submitted:
  - (a) Requesting a move-in service start date using the current Business Day;
  - (b) With standard and priority move-ins as separate spreadsheets;
  - (c) One time per day notification transmitted no later than 4:00 PM CPT; and
  - (d) Adhering to the format and content found in the following sections.

**Table 1. TDSP Safety-Net E-mail Address**

| TDSP  | TDSP Safety-Net E-mail Address  |
|-------|---|
| AEP   | Please utilize AEP REPDesk (repdesk.aep.com) as the primary method to submit safety-nets.<br><br>Secondary method is to send safety-net emails to:<br><a href="mailto:aepbaoorders@aep.com">aepbaoorders@aep.com</a>                                |
| CNP   | CNP.Priority@CenterPointEnergy.com  |
| Oncor | Please utilize Oncor's Competitive Retailer Information Portal (CRIP) as the primary method to submit safety-nets.<br><br>Secondary method is to send safety-net emails to:<br><a href="mailto:contactcenter@oncor.com">contactcenter@oncor.com</a> |
| TNMP  | Please utilize TNMP's Retail Electric Provider (REP) Portal as the primary method to submit safety-net requests.<br><br><a href="mailto:safetynet@tnmp.com">safetynet@tnmp.com</a>  |

### 7.4.2.1 *Standard and Priority Move-In Safety-Net E-mail Requirements*

- (1) A standard move-in spreadsheet request may be submitted via e-mail using the “Subject Line” as indicated below in Table 2, Required Subject Lines for Standard Safety-Net Move-In E-mails.
- (a) The standard move-in spreadsheet shall be used for 814\_16, Move-In Request, transaction(s) submitted with a standard move-in priority code.

**Table 2. Required Subject Lines for Standard Safety-Net Move-In E-mails**

| <b>Subject Line</b>                                    | <b>Used For</b>              | <b>Submitted By</b> |
|--|------------------------------|---------------------|
| [CR Name] – Safety-net – [Date Requested]              | Move-In Request              | CR                  |
| [CR Name] – Safety-net – UPDATE – [Date Requested]     | Providing Updated BGN02      | CR                  |
| [CR Name] – Safety-net – CANCEL – [Date Requested]     | Cancel Safety-net Request    | CR                  |
| [TDSP Name] – Safety-net – RESPONSE – [Date Requested] | Status of Safety-net Request | TDSP                |

- (2) A priority Move-In Request may be submitted via e-mail using the appropriate “Subject Line” as indicated below in Table 3, Required Subject Lines for Priority Safety-Net Move-In E-mails.
- (a) The priority move-in spreadsheet shall be used for 814\_16 transaction(s) submitted with a priority move-in priority code or a holiday move-in priority code, if offered by the TDSP.

**Table 3. Required Subject Lines for Priority Safety-Net Move-In E-mails**

| <b>Subject Line</b>   | <b>Used For</b>                       | <b>Submitted By</b> |
|---|---------------------------------------|---------------------|
| [CR Name] – PRIORITY Safety-net – [Date Requested]              | Priority Move-In Request              | CR                  |
| [CR Name] – PRIORITY Safety-net – UPDATE – [Date Requested]     | Providing Updated BGN02               | CR                  |
| [CR Name] – PRIORITY Safety-net – CANCEL – [Date Requested]     | Cancel Priority Move-In Request       | CR                  |
| [TDSP Name] – PRIORITY Safety-net – RESPONSE – [Date Requested] | Status of Priority Safety-net Request | TDSP                |

- (b) Priority safety-net move-in spreadsheets that are completed on the same-day or next day by the TDSP may be charged priority move-in discretionary charges by the TDSP according to the TDSP’s tariff, regardless of the priority code that is

reflected in the corresponding 814\_16 transaction submitted by the CR for the same ESI ID and service start date.

### 7.4.3 Move-In Spreadsheet Format

- (1) The CR will attach the spreadsheet with the safety-net acceptable data content in the format as indicated below in Table 4, Safety-Net Spreadsheet Content, to the appropriate TDSP safety-net e-mail address or by means of a TDSP internet-based portal.

**Table 4. Safety-Net Spreadsheet Content**

| Column | Field Name                                       | Note                             | Data Attributes |                         |
|--------|--|----------------------------------|-----------------|-------------------------|
|        |  |                                  | Type            | Length<br>(Min. / Max.) |
| (1)    | ESI ID   | (required)                       | AN              | 1 Min. / 80 Max.        |
| (2)    | Customer Name                                    | (required)                       | AN              | 1 Min. / 60 Max.        |
| (3)    | Customer Phone                                   | (required if available)          | AN              | 1 Min. / 80 Max.        |
| (4)    | MVI Street Address                               | (required)                       | AN              | 1 Min. / 55 Max.        |
| (5)    | MVI Apartment Number                             | (if applicable)                  | AN              | 1 Min. / 55 Max.        |
| (6)    | MVI ZIP  | (required)                       | ID              | 3 Min. / 15 Max.        |
| (7)    | MVI City   | (required)                       | AN              | 2 Min. / 30 Max.        |
| (8)    | CR Data Universal Numbering System (DUNS) Number | (required)                       | AN              | 2 Min. / 80 Max.        |
| (9)    | CR Name  | (prefer D/B/A to corporate name) | AN              | 1 Min. / 60 Max.        |
| (10)   | MVI Request Date                                 | (required)                       | DT              | 8 Min. / 8 Max.         |
| (11)   | Critical Care Flag                               | (optional)                       | AN              | 1 Min. / 30 Max.        |
| (12)   | BGN02  | (required)                       | AN              | 1 Min. / 30 Max.        |
| (13)   | Notes/Directions                                 | (optional)                       | AN              | 1 Min. / 80 Max.        |
| (14)   | CR Reason for Using Spreadsheet                  | (optional –free form)            | AN              | 1 Min. / 80 Max.        |

- (2) Row 1 of the spreadsheet is reserved for a title but is optional and at the discretion of the CR. The ‘Field Name’ header row shall begin on row 2 as shown below in the Example for Safety-Net Spreadsheet Format.

### Example for Safety-Net Spreadsheet Format

|   | A      | B             | C              | D                  | E                    | F       | G        | H              | I       | J                | K                  | L     | M                | N                               |
|---|--------|---------------|----------------|--------------------|----------------------|---------|----------|----------------|---------|------------------|--------------------|-------|------------------|---------------------------------|
| 1 |        |               |                |                    |                      |         |          |                |         |                  |                    |       |                  |                                 |
| 2 | ESI ID | Customer Name | Customer Phone | MVI Street Address | MVI Apartment Number | MVI ZIP | MVI City | CR DUNS Number | CR Name | MVI Request Date | Critical Care Flag | BGN02 | Notes/Directions | CR Reason for Using Spreadsheet |
| 3 |        |               |                |                    |                      |         |          |                |         |                  |                    |       |                  |                                 |
| 4 |        |               |                |                    |                      |         |          |                |         |                  |                    |       |                  |                                 |
| 5 |        |               |                |                    |                      |         |          |                |         |                  |                    |       |                  |                                 |
| 6 |        |               |                |                    |                      |         |          |                |         |                  |                    |       |                  |                                 |

#### 7.4.4 TDSP Safety-Net Response

- (1) Once the safety-net spreadsheet is received by the TDSP, the TDSP shall evaluate all of the ESI IDs included in the safety-net list to make a determination to schedule, complete unexecutable, or reject the Move-In Request. The TDSP shall respond within one Business Day of receipt of the request.
  - (a) TDSP response scenarios:
    - (i) If the “MVI Request Date” value(s) within the safety-net spreadsheet are other than the current date, the TDSP may reject or complete unexecutable the safety-net Move-In Request for the applicable ESI ID(s);
    - (ii) If construction service is required, the TDSP may reject or complete unexecutable the safety-net Move-In Request for the applicable ESI ID(s);
    - (iii) If a 814\_16, Move-In Request, transaction has already been submitted by the CR for the specific ESI ID and has been accepted and scheduled by TDSP, the TDSP may reject or complete unexecutable the safety-net Move-In Request for the applicable ESI ID(s); or
    - (iv) If the TDSP deems the ESI ID invalid or is not in their service territory, the safety-net Move-In Request may be rejected or complete unexecutable for the applicable ESI ID(s).
  - (b) The TDSP shall notify the CR by attaching to the e-mail the spreadsheet in the market-approved spreadsheet format (see Table 5, TDSP Move-In Safety-Net Response Content) or by means of an internet-based response if the TDSP provides an internet-based portal, of all safety-net Move-In Requests that could not be completed as indicated below in Table 6, TDSP Return Codes.

**Table 5. TDSP Move-In Safety-Net Response Content**

| Column | Field Name           |
|--------|----------------------|
| (1)    | ESI ID               |
| (2)    | MVI Street Address   |
| (3)    | MVI Apartment Number |

| Column | Field Name   |
|--------|--|
| (4)    | MVI ZIP  |
| (5)    | MVI City   |
| (6)    | CR Name (D/B/A preferred)                              |
| (7)    | MVI Request Date                                       |
| (8)    | BGN02 (optional)                                       |
| (9)    | TDU Return Code  |
| (10)   | Complete Unexecutable or Reject Description (optional) |

**Table 6. TDSP Return Codes**

| Return Code | Description                  | Data Attributes |                  |
|-------------|------------------------------|-----------------|------------------|
|             |                              | Type            | Length Min/Max   |
| A76         | ESI ID Invalid or Not Found  | AN              | 1 Min. / 30 Max. |
| API         | Required information missing | AN              | 1 Min. / 30 Max. |
| PT          | Permit Required              | ID              | 1 Min. / 2 Max.  |
| 09          | Complete Unexecutable        | AN              | 1 Min. / 2 Max.  |
| SHF         | Switch Hold Indicator        | AN              | 1 Min. / 3 Max.  |

#### 7.4.5 Transactional Reconciliation

- (1) Per P.U.C. SUBST. R. 25.487, Obligations Related to Move-In Transactions, the CR shall ensure that the 814\_16, Move-In Request, is submitted to ERCOT on or before the fifth Business Day after submitting the Move-In Request through the safety-net process.
- (2) The CR shall submit an 814\_16 to ERCOT and note the BGN02 on the safety-net spreadsheet that is sent to the TDSP. All resubmitted 814\_16 transactions must use the same requested date as submitted with the original safety-net spreadsheet. The CR may submit a MarkeTrak issue after not receiving a response from ERCOT on their 814\_16 transaction within 48 hours.

#### 7.5 Standard Historical Usage Request

- (1) With the Customer's authorization, Competitive Retailers (CRs) may request the Customer's historical data when they are not the Retail Electric Provider (REP) of record. This data includes the most recent 12 months of usage and is provided by the Transmission and/or Distribution Service Provider (TDSP) to the requesting CR. In order to provide the data to the CR, the TDSP must have written authorization (includes electronic authorization) from the Customer to allow the TDSP to provide the proprietary information. The TDSP will provide the requested data electronically in a Microsoft

Excel© format within three Business Days of receipt of a valid Letter of Authorization for the Request of Historical Usage Information.

### **7.5.1 Overview of the Letter of Authorization for Historical Usage**

- (1) To obtain historical usage for an Electric Service Identifier (ESI ID), the requestor must submit the Letter of Authorization for the Request of Historical Usage Information Form to the appropriate TDSP (see Section 9, Appendices, Appendix B1, Standard Letter of Authorization for the Request of Historical Usage Information Form (English), and Appendix B2, Formulario Carta De Autorización Para Solicitar Información De Consumo Histórico (Letter of Authorization for the Request of Historical Usage Information Form – Spanish)). The Customer may allow the use of the same Letter of Authorization for the Request of Historical Usage Information Form by designating a specific expiration date on the form or designating the form as unlimited. The Customer must provide an expiration date or designate the form as unlimited.
- (2) In lieu of the Customer completing and signing the Letter of Authorization for the Request of Historical Usage Information Form, the requestor may complete the Letter of Authorization for the Request of Historical Usage Information Form if authorized to do so by the Customer and may submit it electronically to the TDSP. The requestor takes full responsibility for obtaining such Customer authorization and shall hold the TDSP harmless for providing the historical data. The requestor must check the box under the “Authorization” section of the Letter of Authorization for the Request of Historical Usage Information Form, complete the Customer identification information, and send the completed form to the TDSP.
- (3) If the request is for a Premise with an Interval Data Recorder (IDR) Meter, the requesting CR shall indicate whether summary billing, interval data or both summary billing and interval level data is required by checking the appropriate boxes. The TDSP shall provide all data requested by the CR and authorized by the Customer, if available and shall use Section 9, Appendices, Appendix B4, Transmission and/or Distribution Service Provider Response to Request for Historical Usage.
- (4) When requesting historical usage from multiple TDSPs on the same Letter of Authorization for the Request of Historical Usage Information Form, the requestor must complete Section 9, Appendices, Appendix B3, Requesting Historical Usage from Multiple Transmission and/or Distribution Service Providers, and attach it to the Letter of Authorization for the Request of Historical Usage Information Form when requesting historical usage from multiple TDSPs on the same LOA. If forms are submitted via e-mail, the requestor shall place the Customer’s name first when naming attachments, e.g., CustomerABC.xls, CustomerABC.pdf, CustomerABC-AEP.xls. The TDSP will reject submitted ESI IDs that are not located within the TDSP’s territory.

## 7.6 Disconnect and Reconnect for Non-Payment Process

- (1) The Disconnect for Non-Pay (DNP) and Reconnect for Non-Pay (RNP) process provides Market Participants with market approved guidelines to support disconnect and reconnect transactions and business processes as allowed or prescribed by P.U.C. SUBST. R. 25.483, Disconnection of Service.
- (2) The purpose of the DNP and RNP process is to provide Market Participants with a document that defines market processing for DNP and RNP requests and for managing emergency and contingency procedures in support of DNP and RNP activities.
- (3) Prior to issuing the 650\_01, Service Order Request, for DNP or RNP, certified Competitive Retailers (CRs) shall have successfully completed market certification testing and have received disconnection authority from the Public Utility Commission of Texas (PUCT).
- (4) Transactions will be completed according to the Texas Standard Electronic Transaction (TX SET) guidelines.

### 7.6.1 Assumptions and Market Processes

#### 7.6.1.1 Safety-Nets

- (1) DNP request received prior to safety-nets will be completed as will the subsequent safety-net requests. If a safety-net move in has been received and completed by Oncor for a new CR of Record, a forced move out will be created for the previous CR of Record. Any subsequent DNP or Move-Out Request issued from the previous CR will be rejected upon receipt as not CR of Record by Oncor.
- (2) For all other Transmission and/or Distribution Service Providers (TDSPs), if a safety-net move in has been received and completed for a new CR of Record, but the supporting Electronic Data Interchange (EDI) transaction has not been received, any subsequent DNP or Move-Out Requests received by the TDSP will be completed.
- (3) Upon notification from the CR of an inadvertent DNP or move out that has been completed by the TDSP, the TDSP will restore service following the procedures outlined in Section 7.6.5.1, Emergency Reconnects.
- (4) Any TDSP charges associated with re-energizing the Customer's Premise will be billed to the CR initiating the safety-net move in. Charges associated with re-energizing a Customer's Premise while completing an emergency RNP as a result of an inadvertent DNP or move out will be billed to the CR of Record. The CR of Record may use the dispute process to remedy resulting billing issues.

## 7.6.2 *Process Overview*

### 7.6.2.1 **Disconnect for Non-Payment Process Overview**

- (1) The CR credit cycle reveals the Electric Service Identifier (ESI ID) population subject to DNP.
- (2) The CR performs internal validations prior to issuing DNP request.
- (3) The CR submits the 650\_01, Service Order Request, for DNP.
- (4) In the event that the TDSP does not complete the DNP service request as referenced in the Section 9, Appendices, Appendix D3, TDSP's Discretionary Services Timelines Matrix, the TDSP shall reference the YES or NO authorization found in the Friday Authorization for Overdue Disconnect for Non-Payment segment of the 650\_01 transaction and will reschedule Friday orders with the NO flag for the next Retail Business Day.
  - (a) AEP, TNMP and Oncor will utilize the Friday Authorization segment of the 650\_01 transaction regardless of the overdue status and will reschedule Friday orders with the NO flag for the next Retail Business Day.
- (5) For detailed information on disconnect timelines, refer to P.U.C. SUBST. R. 25.214, Terms and Conditions of Retail Delivery Service Provided by Investor Owned Transmission and Distribution Utilities.
- (6) The TDSP receives the 650\_01 transaction and performs validations.
  - (a) For orders that do not pass validations, a 650\_02, Service Order Response, reject response with the appropriate code and reason is sent to the CR.
  - (b) If the transaction does not pass American National Standards Institute (ANSI) validation, the 997, Functional Acknowledgement, reject is sent.
- (7) Upon successfully validating the 650\_01 transaction, the TDSP creates an internal service order which either scheduled to be executed by their Advanced Metering System (AMS) or routed to the appropriate Field Service Representative (FSR).
  - (a) For orders that cannot be completed, the 650\_02 transaction is Completed Unexecutable, with the appropriate code and reason sent to the CR.
  - (b) For orders that cannot be completed on the requested date, the TDSP will pend the order and schedule on the next available Field Operational Day.
  - (c) For all Premise types, the TDSP shall not disconnect a Premise before the requested date and shall not disconnect a Premise on the Retail Business Day immediately preceding a holiday. The TDSP shall not complete a DNP request



between the hours of 1700 and 0700, unless the CR and TDSP coordinate another time for the disconnection to occur, or on a weekend or holiday.

- (8) TDSP completes the order and responds to CR with a 650\_02 transaction within one Retail Business Day of completion.
- (9) In the event that a TDSP receives a DNP request for charges associated with tampering code of “DC005” in the 650\_01 transaction, the TDSP is under no obligation to verify that the ESI ID has been involved or invoiced for a tampering event.

#### **7.6.2.2 Reconnect for Non-Payment Process Overview**

- (1) The CR confirms Customer’s satisfactory correction of reasons for DNP.
- (2) The CR performs internal validations prior to issuing RNP request.
- (3) The CR submits the 650\_01, Service Order Request, for RNP according to timelines outlined in P.U.C. SUBST. R. 25.483, Disconnection of Service.
- (4) For detailed information on reconnect timelines, refer to P.U.C. SUBST. R. 25.214, Terms and Conditions of Retail Delivery Service Provided by Investor Owned Transmission and Distribution Utilities.
- (5) The TDSP receives the 650\_01 transaction and performs validations.
  - (a) For orders that do not pass validations, the 650\_02, Service Order Response, reject response with the appropriate code and reason sent to the CR.
  - (b) If the transaction does not pass ANSI validation, the 997, Functional Acknowledgement, reject is sent.
- (6) Upon successfully validating the 650\_01 transaction, the TDSP creates an internal service order which is then geographically routed and scheduled to the appropriate FSR, if applicable, to be completed according within the timelines outlined in P.U.C. SUBST. R. 25.483 and within the requirements defined by the TDSP tariff.
  - (a) For orders that cannot be completed, the 650\_02 transaction, Completed Unexecutable with the appropriate code and reason sent to the CR.
- (7) The TDSP completes the order and responds to the CR with a 650\_02 transaction within one Retail Business Day of completion.
- (8) In the event that a TDSP receives an RNP request for charges associated with tampering code of “RC005” 650\_01 transaction, the TDSP is under no obligation to verify that the ESI ID has been involved or invoiced for a tampering event.

### **7.6.3 Transaction Processing**

#### **7.6.3.1 Timelines for Transaction Delivery**

- (1) Timelines for receipt of disconnection for non-pay and reconnection after disconnection for non-pay for 650\_01, Service Order Request, refer to Section 9, Appendices, Appendix D3, TDSP's Discretionary Services Timelines Matrix.

#### **7.6.3.2 Transaction Validations**

- (1) CRs shall perform the following validations prior to initiating the 650\_01, Service Order Request, for DNP:
  - (a) Verify that they are still the CR of Record.
  - (b) Verify that a Pending DNP request or Move-Out Request does not exist to prevent the 650\_01 transaction from being rejected.
  - (c) Verify the critical care status of residential Customers prior to issuing the initial DNP request.
  - (d) Verify that DNP / RNP service order requests are not backdated to prevent the 650\_01 transaction from being rejected.
- (2) TDSPs may perform the following validations upon receipt of the 650\_01 transaction for a DNP or RNP request:
  - (a) Verify that the CR is certified for DNP transaction processing;
  - (b) Verify that the CR submitting the DNP request is the CR of Record;
  - (c) Perform ANSI validations on the 650\_01 transaction;
  - (d) Perform TX SET validations on 650\_01 transaction;
  - (e) Review meter indicators for ESI ID for critical Load, critical care, chronic condition, and master metered Premise;
  - (f) Verify if a DNP request is a duplicate;
  - (g) Verify if a RNP request is a duplicate;
  - (h) Verify if a move in or switch has been scheduled on the requested date;
  - (i) Verify if a move out has been received from the requesting CR;

- (j) Determine if the requesting CR has indicated that DNPs not completed within three Retail Business Days should not be completed on a Friday. AEP, TNMP and Oncor will utilize the Friday Authorization segment of the 650\_01 transaction regardless of the overdue status and will reschedule Friday orders with the NO flag for the next Retail Business Day.
- (k) Identify if RNP request is a same day reconnect.
- (l) Verify if a RNP request has been previously received for DNP request within the past 24 hours for CNP and within the past one hour for Oncor.
- (m) Upon receipt of a RNP request, verify that the original DNP request was not rejected (CNP and Oncor only).
- (n) Verify if a weather moratorium is in effect.
- (o) Verify that DNP / RNP service order requests are not backdated; otherwise the 650\_01 transaction will be rejected.

### 7.6.3.3 Competing Orders

- (1) All TDSPs will Complete Unexecutable a DNP request when the requested date is greater than or equal to the scheduled date of a Pending switch or move in. When a DNP request is received with a requested date that is prior to the scheduled date of a switch or move in, the DNP requests will be scheduled. DNP requests carried over to the next Retail Business Day may not be worked due to competing orders and will be Completed Unexecutable.
  - (a) Move in - In order to re-energize a Premise that has been disconnected, the new CR of Record's move in will energize the Customer's Premise and will be subject to applicable fees per TDSP tariffs.
    - (i) A move in submitted on a Premise that has been de-energized for non-payment may still require a permit for completion in certain TDSP's service territories.
    - (ii) A move in submitted on a Premise that has been de-energized for non-payment at a premium disconnect location may be subject to a premium reconnect charge.
  - (b) Self-selected switch - If the new CR of Record has submitted a self-selected switch, the TDSP will re-energize the Premise and bill applicable charges to the new CR of Record. See Table 8, Competing Orders – Self-selected Switch, below.

### Table 8. Competing Orders - Self-selected Switch

| <b>TDSP</b>  | <b>TDSP Action</b>  | <b>TDSP Fee</b>                   |
|--------------|---------------------|-----------------------------------|
| <b>AEP</b>   | Re-energize Premise | Reconnect charge                  |
| <b>CNP</b>   | Re-energize Premise | Reconnect charge                  |
| <b>NEC</b>   | Re-energize Premise | Reconnect charge                  |
| <b>Oncor</b> | Re-energize Premise | Reconnect charge                  |
| <b>TNMP</b>  | Re-energize Premise | Out-of-cycle meter reading charge |

- (c) Standard switch - If the new CR of Record has submitted a standard switch at a Premise that has been previously de-energized, the TDSP will perform one of the actions identified in Table 9, Competing Orders – Standard Switch, below.
- (i) In order to re-energize the Premise, CNP would require the CR with the ability to submit a 650\_01, Service Order Request, reconnect transaction to send the transaction with a purpose code of RC003 to the TDSP in order to restore the service. In the event that a CR is not certified to transmit this transaction, CNP would expect the CR to follow the emergency procedures outlined in Section 7.6.5.1, Emergency Reconnects.

**Table 9. Competing Orders - Standard Switch**

| <b>TDSP</b>  | <b>TDSP Action</b> | <b>Energize</b> | <b>TDSP Fee</b> |
|--------------|--------------------|-----------------|-----------------|
| <b>AEP</b>   | Perform meter read | Yes             | Reconnect fee   |
| <b>CNP</b>   | Perform meter read | No              | None            |
| <b>NEC</b>   | Perform meter read | Yes             | Reconnect fee   |
| <b>Oncor</b> | Perform meter read | Yes             | Reconnect fee   |
| <b>TNMP</b>  | Perform meter read | Yes             | None            |

#### **7.6.3.4 Reconnect for Non-Pay and Disconnect for Non-Pay Processing Order**

- (1) If an RNP request is received before a DNP request, AEP, and TNMP will reject the RNP request immediately using TX SET code “RWD.” Any DNP requests received after an associated RNP request has been rejected will be worked by the TDSP. If an inadvertent DNP occurs, then emergency RNP provisions will be followed.
- (2) If an RNP is received without a corresponding DNP request, the RNP request is currently held for 24 hours at CNP and one hour for Oncor, to wait for the corresponding 650\_01,

Service Order Request, for DNP. If no corresponding 650\_01 transaction is received within the time frames described above, the RNP request will be rejected using the TX SET reject code of “RWD.”

- (a) If the corresponding DNP request arrives during that period, the transactions/requests cancel each other out and produce a 650\_02, Service Order Response, with TX SET code “V005” reason codes and “RC Received Before DNP Worked” reason description.
- (b) If an inadvertent DNP occurs, then emergency RNP provisions will be followed.

### **7.6.3.5 Disconnection at Premium Disconnect Location**

- (1) When necessary, service orders without a premium disconnect location indicator (i.e. pole, substation) that cannot be completed by the FSR at the meter may be referred within one Retail Business Day to a specialized field group that will disconnect service at the pole or transformer if the CR indicated that it would pay for this charge by sending a 650\_01, Service Order Request, with the code “ROL – Roll to Other Location.”
- (2) Orders for disconnect at a premium disconnect location will be completed per Section 9, Appendices, Appendix D3, TDSP’s Discretionary Services Timelines Matrix. The TDSP shall reference the YES or NO authorization found in the 650\_01 transaction and will reschedule all orders that would have been scheduled for Friday with the NO flag for the next Retail Business Day.
- (3) Service orders sent with premium disconnect location indicator, “PDL – Premium Disconnect Location,” will be immediately referred to specialized field personnel. A CR that does not want to pay for a premium disconnect will send the 650\_01 transaction with the code “MTR – Meter Disconnect Only.”
- (4) When service is disconnected at a premium disconnect location, the TDSP will notify the CR on the 650\_02, Service Order Response, with a code of “O” for “Disconnected Other than at Meter.” For any DNP request performed, the appropriate TDSP tariff charges will be applied. When service cannot be disconnected at a premium disconnect location, the TDSP will respond with a 650\_02 transaction Complete Unexecutable and the CR will need to contact the TDSP for special consideration.

### **7.6.3.6 Completed Unexecutable and Rejected Orders**

- (1) The TDSP will issue the 650\_02, Service Order Response, within one Retail Business Day for the rejected 650\_01, Service Order Request, or service orders that cannot be completed.
- (2) No charges will be applied to service orders that are rejected.

- (3) Service requests that are dispatched and then Complete Unexecutable will be subject to charges as indicated in Table 10, Application of TDSP Dispatch Fees.

**Table 10. Application of TDSP Dispatch Fees**

| <b>TDSP</b>  | <b>Application of Disconnect or Reconnect Fees</b> |
|--------------|--|
| <b>AEP</b>   | Dispatched order fee.                              |
| <b>CNP</b>   | Apply fee based on initiating service order.       |
| <b>Oncor</b> | Apply fee based on initiating service order        |
| <b>TNMP</b>  | Apply fee based on initiating service order        |

#### **7.6.3.7 Same Day/Priority or Weekend / Holiday Reconnect or Disconnect for Non-Payment**

- (1) Per Customer Protection rule, subsection (f) of P.U.C. SUBST. R. 25.483, Disconnection of Service, a CR shall not request disconnection of a customer's electric service for nonpayment on a holiday or weekend, or the day immediately preceding a holiday or weekend, unless the CR's personnel are available on those days to take payments, make payment arrangements with the customer, and request reconnection of service.
- (2) When issuing a 650\_01, Service Order Request, for RNP or DNP requests, CRs may request priority service where available. The TX SET codes indicated in Table 11, TDSP Priority Codes, should be used to indicate priority status on RNP and DNP requests.
- (3) Any service order received by a TDSP with a priority code other than those listed below in Table 11 will be processed as a standard service order.
- (4) If a CR issues a same day RNP request after issuing a standard RNP request and the standard RNP request has not been completed, the same day request may be rejected as a duplicate request by the TDSP.
- (5) The prepay priority code, listed in Table 11 shall only be used by the REP of record for ESI IDs identified by the TDSP as having a meter that is capable of remote disconnect and reconnect. TDSPs will convert service orders received with a prepay priority code on ESI IDs that do not have remote disconnect and reconnect capability to the standard disconnect or reconnect for non-payment processes adhering to all tariff timelines for scheduling and charges of the request.
- (6) The prepay priority code shall not be used by the REP of record unless the current Customer is on a prepay service offering as applicable in P.U.C. SUBST. R. 25.498, Prepaid Service. All disconnect service orders with a prepay priority code will be worked as the current prevailing timeline within each TDSP's service territory. All reconnects with prepay priority shall be worked within one hour of the reconnect service

order being received by the TDSP from the REP of record per Section 9, Appendices, Appendix D3, TDSP’s Discretionary Services Timelines Matrix. TDSPs will make reasonable efforts to perform manual processing of the prepay reconnects when necessary to overcome communication interference to the Advanced Meter. Applicable TDSP discretionary service charges may apply for service orders completed manually.

- (7) Upon request by Oncor, each REP offering prepay services shall provide a current list of all prepay ESI IDs to Oncor within seven calendar days of such request.

**Table 11. TDSP Priority Codes**

| <b>TDSP</b>  | <b>Same Day Reconnect</b> | <b>Weekend Non Holiday Reconnect</b> | <b>Holiday Reconnect</b> | <b>Prepay for ESI IDs With Provisioned AMS Meters</b><br><br><b>Note: Used for Both RNPs and DNPs</b> |
|--------------|---------------------------|--------------------------------------|--------------------------|---|
| <b>AEP</b>   | 99                        |                                      | 99                       | 05  |
| <b>CNP</b>   | 02                        |                                      | 02                       | 05  |
| <b>Oncor</b> | 02                        | 03                                   | 04                       | 05  |
| <b>TNMP</b>  | 02                        | 03                                   | 04                       | 05  |

### 7.6.3.8 Service Order Cancellations

- (1) In order to cancel a DNP request that has not been completed, a CR must send a 650\_01, Service Order Request, RNP request referencing the BGN02 of the DNP request to the TDSP.
- (2) With the exception of AEP and TNMP, no charges will apply if the reconnect is received prior to completing the disconnect request.
- (3) For orders that are already in a scheduled status after 0800 on the date of request the charges indicated in Table 12, Service Order Cancellation for DNP, below will apply.

**Table 12. Service Order Cancellations for DNP**

| <b>TDSP</b>  | <b>TDSP Fee to Cancel DNP Request</b>                                      | <b>TDSP Fee to Cancel DNP Request in Scheduled Status After 0800 on Date of Request</b> |
|--------------|--|---|
| <b>AEP</b>   | Charges apply.   | Dispatched order fee  |
| <b>CNP</b>   | No charges applied for reconnect request received prior to completing DNP. | No charges  |
| <b>Oncor</b> | No charges applied for reconnect request received prior to completing DNP. | No charges  |
| <b>TNMP</b>  | Charges apply.   | No charges  |

- (2) In order to cancel a reconnect request because the CR may have sent the reconnect in error or for the wrong ESI ID, a CR must send a 650\_01 transaction “C” Cancel, referencing the BGN02 of the initiating 650\_01 transaction requesting reconnection. For orders that are already in a scheduled status after 0800 on the date of request, the charges indicated in Table 13, Service Order Cancellation for RNP, below will apply.

**Table 13. Service Order Cancellation for RNP**

| <b>TDSP</b>  | <b>TDSP Fee to Cancel RNP Request in Scheduled Status After 0800 on Date of Request</b> |
|--------------|---|
| <b>AEP</b>   | Dispatched order fee.   |
| <b>CNP</b>   | No charges.   |
| <b>Oncor</b> | No charges.   |
| <b>TNMP</b>  | No charges.   |

### 7.6.3.9 Response Transactions

- (1) The 650\_02, Service Order Response, will be issued by TDSPs for every 650\_01, Service Order Request, within one Retail Business Day upon the following:
- (a) Rejection of service order after performing initial transaction validations;
  - (b) Completion of the requested field service activity;
  - (c) Determination by FSR of unexecutable status; and



- (d) Cancellations of a requested RNP request.
- (2) Due to the exceptional conditions outlined in Sections 7.6.5, Exceptions, and 7.6.2.1, Disconnect for Non-Payment Process Overview, CRs will need to follow up with the TDSP if the 650\_02 transaction for a DNP request is not received within five Retail Business Days following the requested disconnect date. Inquiries should be submitted via e-mail as indicated in Table 14, TDSP Contact for 650\_02s not Received, below:

**Table 14. TDSP Contact for 650\_02s not Received**

| <b>TDSP</b>  | <b>E-mail Address</b>                   |
|--------------|---|
| <b>AEP</b>   | crrtx@aep.com                           |
| <b>CNP</b>   | EMO-ServiceOrders@centerpointenergy.com |
| <b>Oncor</b> | utiltxn@Oncor.com                       |
| <b>TNMP</b>  | MPRelations@tnmp.com                    |

#### **7.6.4 Field Service Activities**

##### **7.6.4.1 Reconnection Service Orders**

- (1) Per P.U.C. SUBST. R. 25.483, Disconnection of Service, any reconnect request, including those for a premium disconnect location (i.e. pole, substation), issued by a CR according to the timeframes outlined in P.U.C. SUBST. R. 25.483(n)(1) through (6), must be completed by the TDSP as specified in Appendix D3, TDSP's Discretionary Services Timelines Matrix.

Table 15 below outlines the CR timelines for submitting RNP requests.

**Table 15. CR Timelines for Submitting RNP Requests**

| <b>Payments Made on a Retail Business Day:</b> | <b>RNP Request Must be Sent by:</b> |
|--|-------------------------------------|
| Before 1200                                    | 1400 that Retail Business Day.      |
| Between 1200 and 1700                          | 1900 that Retail Business Day.      |
| Between 1700 and 1900                          | 2100 that Retail Business Day.      |
| Between 1900 and 2400                          | 1400 the next Retail Business Day.  |

|  |   |
|--|---|
| <b>Payments Made on a Retail Business Day:</b>   | <b>RNP Request Must be Sent by:</b>                           |
| <b>Payments made on a weekend day or holiday</b> | 1400 the first Retail Business Day after the payment is made. |

#### 7.6.4.2 Requirements for Reconnecting Service

- (1) Safe access to the meter or premium disconnect location is required to restore service. Evidence of tampering or damage to the meter equipment may result in delayed or Completed Unexecutable order when reconnecting service.
- (2) TDSPs will not require inside or outside breakers to be off when performing a RNP request. CRs are advised to inform Customers whose service has been disconnected for non-pay to take appropriate safety measures such as placing all breakers in the “OFF” position and to disconnect any extension cords from a neighboring facility.

#### 7.6.4.3 Customer Receipting Issue

- (1) An FSR cannot verify a Customer’s payment and/or determine if the receipt shown is valid for the outstanding amount, therefore, the DNP request may be executed by the FSR. Under this circumstance, the FSR may inform the Customer that they need to contact their REP to arrange for reconnection of their service.

#### 7.6.4.4 Premise Access Issues

- (1) TDSPs will make every reasonable attempt to gain access to the Customer’s Premise to complete the service order. These measures may include notifying law enforcement agencies to request assistance, although law enforcement may not ensure access to meter on Customer’s private property, or referring the service order to specialized field personnel for DNP request at a premium disconnect location provided that action has been specified by CR on the DNP request. Based upon determinations made in the field at the time the FSR is attempting to DNP or RNP, these measures are applied by TDSPs on a case by case basis. The CR may also be requested to assist and participate with this request, as a means to successfully completing the service order.
- (2) If access is denied, no additional denials of access fees are applied to a DNP or RNP request. These types of orders will be Completed Unexecutable with applicable TDSP tariff charges. See Table 16, TDSP Fee for Access Denied, below.

#### Table 16. TDSP Fee for Access Denied

| <b>TDSP</b>  | <b>TDSP Fee</b>   |
|--------------|---|
| <b>AEP</b>   | Dispatched order fee.   |
| <b>CNP</b>   | Disconnect or reconnect charge based on initiating service order request with the exception of cancels prior to field completion. |
| <b>Oncor</b> | Disconnect or reconnect charge based on initiating service order request with the exception of cancels prior to field completion. |
| <b>TNMP</b>  | Disconnect or reconnect charge based on initiating service order request with the exception of cancels prior to field completion. |

#### 7.6.4.5 Door Hanger Policies

- (1) TDSPs may provide a DNP door hanger that informs the Customer that at the request of their CR, the TDSP has disconnected the electric service for non-payment. The language provided in the door hanger encourages the Customer to contact their CR to arrange for reconnection of their service. This door hanger is left at the Premise for DNPs, both residential and commercial.
- (2) If the FSR is unable to gain the required access to reconnect service a door hanger may be left advising the Customer of the reconnection attempt and the action the Customer may take to have service restored.
- (3) TDSPs will offer door hangers as indicated in Table 17, Door Hanger Use by TDSP, below for Premises without remote disconnect/reconnect capability.

**Table 17. Door Hanger Use by TDSP**

| <b>TDSP</b>  | <b>Disconnect</b>                 | <b>Reconnect</b>                  |
|--------------|-----------------------------------|-----------------------------------|
| <b>AEP</b>   | No                                | Yes, when unable to access meter. |
| <b>CNP</b>   | Yes, for completed service order. | Yes, when unable to access meter. |
| <b>Oncor</b> | No                                | Yes, when unable to access meter. |
| <b>TNMP</b>  | No                                | No                                |

#### 7.6.4.6 Meter Seal Policies for Disconnection at Premises Without Remote Disconnect/Reconnect Capability

- (1) Table 18, Meter Seal Use by TDSP, below identifies the distinguishing characteristics used by TDSPs at a Customer Premise meter to indicate the service is off for non-pay (e.g. meter seal, sticker, etc.).

**Table 18. Meter Seal Use by TDSP**

| <b>TDSP</b>  | <b>Indicator for No Service Due to a DNP</b>   |
|--------------|--|
| <b>AEP</b>   | The meter seal is red and is the same seal used for completed Move-Out Request. In addition, a tan colored attachment to meter seal advises Customer to contact CR to have service restored. |
| <b>CNP</b>   | The meter seal is red, and this is also the same seal used for completed Move-Out request.   |
| <b>Oncor</b> | The meter seal is orange.  |
| <b>TNMP</b>  | The meter seal is gold.  |

#### 7.6.5 Exceptions

##### 7.6.5.1 Emergency Reconnects

- (1) There may be times when a Customer has been disconnected for non-payment in error. For completed DNP request that result in a life threatening situation, PUCT request or are completed inadvertently, CRs will need to contact each TDSP to arrange for an emergency RNP and identify the reason for the emergency Service Request. Life threatening situations should be immediately reported to the TDSP 24 hours per day, seven days per week contacts in order to expedite the reconnection request. See Table 19, Contact Information for Emergency RNP Requests, below.
- (2) After initiating an emergency RNP request with the TDSP's 24 hours per day, seven days per week support center, CRs shall submit a follow up e-mail, attaching the completed Section 9, Appendices, Appendix C2, Emergency Reconnect Request Data Requirements, spreadsheet to the e-mail address indicated in Table 19 below or submit the request by means of an internet-based submission process if the TDSP provides an internet-based portal.

**Table 19. Contact Information for Emergency RNP Requests**

| <b>TDSP</b>  | <b>Contact Information for Emergency RNP Requests</b>  | <b>TDSP E-mail for Appendix C2, Emergency Reconnect Request Data Requirements, Spreadsheet</b> | <b>Require 650_01, Service Order Request, to Reconnect</b>   |
|--------------|--|--|--|
| <b>AEP</b>   | Contact CR Relations team for process.   | crrtx@aep.com  | No   |
| <b>CNP</b>   | Contact 24 hours per day seven days per week support center (713) 207-2222 or (800) 332-7143 | CNP.Priority@CenterPointEnergy.com   | Yes, 650_01 RC001 or RC003 (If the CR cannot issue RC003 reconnects and is not the CR initiating the original DNP request, the 650_01 transaction will not be required.) |
| <b>Oncor</b> | Contact 24 hours per day seven days per week support center (888) 313-6934                   | contactcenter@Oncor.com<br>Include "Emergency Reconnect" in the subject line.                  | No   |
| <b>TNMP</b>  | Contact 24 hours per day seven days per week support center (888) 866-7456                   | SafetyNet@tnmp.com   | No   |

### 7.6.5.2 Critical Load/Critical Care

- (1) CRs requesting DNP for critical Load or critical care Customers must contact the TDSP to arrange and coordinate special instructions to provide notice as required by PUCT rules and TDSP tariffs, providing the Customer the opportunity to ameliorate the condition. To complete DNP requests for critical Load or critical care Premises, CRs will need to coordinate with their REP relations managers at each TDSP.
- (2) If it is determined by the TDSP not to disconnect a critical Load or critical care Customer after receiving a DNP request from a CR, the TDSP may request that the CR submit a RNP to unexecute the DNP. If the CR doesn't submit a RNP request, the TDSP may either reject the DNP request with the appropriate TX SET reason code or Complete Unexecutable with the appropriate TX SET reason code.

### 7.6.5.3 Field Service Exceptions

- (1) Per subsection (g)(3) of P.U.C. SUBST. R. 25.483, Disconnection of Service:

*If, in the normal performance of its duties, a TDU obtains information that a customer scheduled for disconnection may qualify for delay of disconnection pursuant to this subsection, and the TDU reasonably believes that the information may be unknown to the REP, the TDU shall delay the disconnection and promptly communicate the information to the REP. The TDU shall disconnect such Customer if it subsequently receives a confirmation of the disconnect notice from the REP. Nothing herein should be interpreted as requiring a TDU to assess or to inquire as to the customer's status before performing a disconnection, or to provide prior notice of the disconnection, when not otherwise required.*

- (2) CRs requesting DNP for these previously unexecuted DNP requests must contact the TDSP to arrange and coordinate the special instructions of providing notice as required by PUCT rules and TDSP tariffs, allowing the Customer the opportunity to ameliorate the condition. To complete subsequent DNP requests, REPs will coordinate with their REP relations managers at each TDSP.

#### 7.6.5.4 Weather Moratoriums

- (1) All Market Participants should monitor [www.nws.noaa.gov](http://www.nws.noaa.gov) for the conditions in Table 20, Extreme Weather Emergency Due to Cold, and Table 21, Extreme Weather Emergency Due to Heat, that would establish a weather moratorium. A weather moratorium may be invoked in a service territory at any time during the day when one of the following conditions exists in a county as outlined in P.U.C. SUBST. R. 25.483, Disconnection of Service:

**Table 20. Extreme Weather Emergency Due to Cold**

| The previous day's highest temperature did not exceed 32°F and the predicted temperature for the next 24 hours is at or below 32°F. (Both conditions must be met before disconnection activity is suspended in a service territory). | Saturday | Sunday | Monday        | Tuesday    | Wednesday  | Thursday   | Friday        |
|--|----------|--------|---------------|------------|------------|------------|---------------|
| Example I  | 28°F     | 28°F   | 32°F          | 34°F       | 34°F       | 32°F       | 32°F          |
|  |          |        | No Disconnect | Disconnect | Disconnect | Disconnect | No Disconnect |
| Example II   | 28°F     | 28°F   | 32°F          | 32°F       | 34°F       | 32°F       | 45°F          |

|  |          |        |               |               |            |            |               |
|--|----------|--------|---------------|---------------|------------|------------|---------------|
| The previous day's highest temperature did not exceed 32°F and the predicted temperature for the next 24 hours is at or below 32°F. (Both conditions must be met before disconnection activity is suspended in a service territory). | Saturday | Sunday | Monday        | Tuesday       | Wednesday  | Thursday   | Friday        |
|  |          |        | No Disconnect | No Disconnect | Disconnect | Disconnect | Disconnect    |
| Example III  | 28°F     | 28°F   | 32°F          | 30°F          | 34°F       | 32°F       | 25°F          |
|  |          |        | No Disconnect | No Disconnect | Disconnect | Disconnect | No Disconnect |

**Table 21. Extreme Weather Emergency Due to Heat**

|   |                         |                         |                         |                  |                         |                  |                         |
|---|-------------------------|-------------------------|-------------------------|------------------|-------------------------|------------------|-------------------------|
| The National Weather Service issues a heat Advisory for that day or on any one of the preceding two days. | Saturday                | Sunday                  | Monday                  | Tuesday          | Wednesday               | Thursday         | Friday                  |
|   | Heat Advisory in Effect | Heat Advisory in Effect | Heat Advisory in Effect | No Heat Advisory | No Heat Advisory        | No Heat Advisory | Heat Advisory in Effect |
| Example I   |                         |                         | No Disconnect           | No Disconnect    | No Disconnect           | Disconnect       | No Disconnect           |
|   | Heat Advisory in Effect | No Heat Advisory        | No Heat Advisory        | No Heat Advisory | Heat Advisory in Effect | No Heat Advisory | No Heat Advisory        |
| Example II  |                         |                         | No Disconnect           | Disconnect       | No Disconnect           | No Disconnect    | No Disconnect           |

**(2) Disconnection Activity During Extreme Weather**

- (a) In the event that one of the above conditions exists in a TDSP's service territory, that TDSP shall notify the PUCT as described in P.U.C. SUBST. R. 25.483(i)(2) to [outage@puc.state.tx.us](mailto:outage@puc.state.tx.us) and CRs via e-mail that a weather moratorium has been invoked and that disconnection activity has been suspended as indicated in Table 22, TDSP Disconnection Activity During Weather Moratorium.

- (b) CRs will need to provide their company contact to their REP relations manager at each TDSP in order to receive the weather moratorium notifications.
  - (c) For the duration of the weather moratorium, CRs shall not issue DNP request for affected areas. New DNP requests issued for Premises in counties or service territories that are experiencing a weather moratorium will be processed as indicated in Table 22 below.
  - (d) DNP requests that are Pending completion by the TDSP at the time a weather moratorium is established will be Completed Unexecutable or rejected in accordance with Table 22, TDSP Disconnection Activity During Weather Moratorium.
  - (e) DNP requests that are Completed Unexecutable by a TDSP during a weather moratorium and still qualify for DNP should be resubmitted by the CR at the time the weather moratorium is lifted.
- (3) Reconnection Activity During Extreme Weather
- (a) All types of RNP request will be processed by all TDSPs during a weather moratorium.
  - (b) RNP requests received for Pending DNP requests will be processed in order to cancel the DNP request. RNP requests received for DNP completed prior to an extreme weather event are processed and dispatched according to applicable timeframes during a weather moratorium.

**Table 22. TDSP Disconnection Activity During Weather Moratorium**

| <b>TDSP</b>  | <b>TDSP E-Mail Notification - Disconnection Activity Suspended Due to Weather Moratorium</b> | <b>TDSP Processing of New DNP Requests Issued During Weather Moratorium</b> |
|--------------|--|---|
| <b>AEP</b>   | By county.   | Completed Unexecutable  |
| <b>CNP</b>   | By service territory.  | Will either be rejected or Completed Unexecutable                           |
| <b>Oncor</b> | By county.   | Completed Unexecutable  |
| <b>TNMP</b>  | By service territory.  | Completed Unexecutable  |

#### **7.6.5.5 Force Majeure Event**

- (1) During both weather moratoriums and Force Majeure Events, DNP request that are Pending/scheduled to be worked during the event are Completed Unexecutable throughout the term of the event. During a Force Majeure Event, RNP request will



remain Pending until management has acknowledged and communicated to the market that routine operations have been re-established.

- (2) All TDSPs will notify the market of the establishment and conclusion of a Force Majeure Event via their REP relations or account management teams. Once a Force Majeure Event has concluded and the TDSP has re-established routine operations, CRs should resubmit DNP requests for ESI IDs that still qualify for disconnection.

#### 7.6.5.6 Master Metered Premises

- (1) Prior to issuing a DNP request for a master metered Premise, a CR must fulfill the tenant notification requirements outlined in subsection (j) of P.U.C. SUBST. R. 25.483, Disconnection of Service. If applicable, a CR may request that a TDSP's FSR post the required notices at a master metered property for a designated fee listed in Table 23, DNP Request for Mastered Metered Premises and Unmetered Services below.
- (2) DNP requests received for a master metered Premise will be Completed Unexecutable by the TDSP. The requesting CR will need to contact the TDSP to coordinate the DNP request of the master metered Premise as indicated in Table 23, DNP/RNP Request for Mastered Metered Premises and Unmetered Services, below.

**Table 23. DNP/RNP Request for Mastered Metered Premises and Unmetered Services**

| <b>TDSP</b>  | <b>Notice Posting Availability for Master Metered Premises</b> | <b>Fee (if applicable)</b> | <b>TDSP Contact to Coordinate DNP Request</b>                 |
|--------------|--|----------------------------|---|
| <b>AEP</b>   | Available  | \$42                       | AEP CRR Account Manager                                       |
| <b>CNP</b>   | Unavailable  |                            | MasterMeterDNP@CenterPointEnergy.com                          |
| <b>Oncor</b> | Unavailable  |                            | Business Support at (888) 313-6934 or contactcenter@Oncor.com |
| <b>TNMP</b>  | Available  | \$35                       | REP Relations manager   |

#### 7.6.5.7 Unmetered Service

- (1) An unmetered service that is not a critical Load Premise or that does not present a hazardous condition if disconnected will be subject to the same processing as metered services for DNP and RNP requests.
- (2) For all other unmetered services, DNP requests will be Completed Unexecutable upon receipt or following field investigation. The requesting CR will need to contact the TDSP to coordinate the DNP request as indicated in Table 23, DNP/RNP Request for Mastered Metered Premises and Unmetered Services, above.

### 7.6.5.8 Multiple Metered Service (not Master Metered)

- (1) For TDSPs that have multiple meters associated with an ESI ID, any 650\_01 Service Order Request, whether for DNP or RNP, will be executed for all meters associated with that Premise. CRs will need to submit the 650\_01 transactions for multiple meters as indicated in Table 24, Multiple Metered Service, below.
- (2) If the DNP or RNP request cannot be completed for any meter associated with the ESI ID, the TDSP will notify the CR via the 650\_02, Service Order Response.
- (3) Discretionary charges for DNP or RNP requests are billed by the TDSP as follows:

**Table 24. Multiple Metered Service**

| <b>TDSP</b>  | <b>650_01 Submittal by CR for Multiple Meters</b> | <b>TDSP Discretionary Charges Billed</b> |
|--------------|---|--|
| <b>AEP</b>   | One 650_01 per ESI ID                             | One service charge per ESI ID            |
| <b>CNP</b>   | One 650_01 per ESI ID                             | One service charge per ESI ID            |
| <b>Oncor</b> | One 650_01 per ESI ID                             | One service charge per ESI ID            |
| <b>TNMP</b>  | Not applicable                                    | Not applicable                           |

### 7.6.5.9 Customer Threatens Transmission and/or Distribution Service Provider Field Service Representative

- (1) If threatened by the Customer, the FSR will not disconnect service. However, the FSR may refer the DNP request to another group specialized in disconnecting service at the pole, transformer (overhead and pad mount), or weatherhead. Similar to resolving access issues, the TDSP will exhaust all means available, which may include communicating with the CR to request their assistance and participation, as a means to successfully complete the DNP request and may request that meter enclosure be relocated to an accessible location.

## 7.6.6 *Transmission and/or Distribution Service Provider Charges for Reconnect and Disconnect Services*

### 7.6.6.1 Discretionary Charges

- (1) TDSP will use SAC04 codes for discretionary charges resulting for DNP or RNP service as outlined below:

**Table 25. SAC04 Codes-Discretionary Charges**

| Charge Description                           | AEP    | CNP    | Oncor  | TNMP   |
|--|--------|--------|--------|--------|
| <b>Disconnection</b>                         |        |        |        |        |
| Standard Disconnect at Meter                 | SER024 | SER024 | SER024 | SER024 |
| Standard Disconnect at Pole                  | SER026 | SER024 | SER026 | SER026 |
|  |        |        |        |        |
| <b>Reconnection</b>                          |        |        |        |        |
| Standard Reconnect at Meter                  | SER030 | SER028 | SER030 | SER030 |
| Standard Reconnect at Meter<br>Special Route | N/A    | SER034 | SER031 | N/A    |
| Standard Reconnect at Pole                   | SER034 | SER028 | SER034 | SER034 |
| Standard Reconnect at Subsurface<br>Box      | SER034 | SER034 | SER034 | N/A    |
| Standard Reconnect at CT Meter               | SER034 | SER034 | SER034 | N/A    |
|  |        |        |        |        |
| Same Day Reconnect at Meter                  | SER031 | SER029 | SER029 | SER032 |
| Same Day Reconnect at Pole                   | SER029 | SER035 | SER035 | SER035 |
| Same Day Reconnect at<br>Subsurface Box      | SER029 | SER035 | SER035 | N/A    |
| Same Day Reconnect at CT Meter               | SER029 | SER035 | SER035 | N/A    |
|  |        |        |        |        |
| Weekend Reconnect at Meter                   | SER032 | SER032 | SER032 | SER033 |
| Weekend Reconnect at Pole                    | SER035 | SER035 | SER035 | SER036 |
| Weekend Reconnect at Subsurface<br>Box       | SER035 | SER035 | SER035 | N/A    |
| Weekend Reconnect at CT Meter                | SER035 | SER035 | SER035 | N/A    |
|  |        |        |        |        |
| Holiday Reconnect at Meter                   | SER033 | SER033 | SER033 | N/A    |
| Holiday Reconnect at Pole                    | SER036 | SER036 | SER036 | N/A    |
| Holiday Reconnect at Subsurface<br>Box       | SER036 | SER036 | SER036 | N/A    |
| Holiday Reconnect at CT Meter                | SER036 | SER036 | SER036 | N/A    |
|  |        |        |        |        |
| After-hours Reconnect at Meter               | N/A    | N/A    | SER032 | N/A    |

| Charge Description  | AEP    | CNP    | Oncor  | TNMP   |
|---|--------|--------|--------|--------|
| After-hours Reconnect at Pole                                 | N/A    | N/A    | SER035 | N/A    |
| After-hours Reconnect at Subsurface Box                       | N/A    | N/A    | SER035 | N/A    |
| After- hours Reconnect at CT Meter                            | N/A    | N/A    | SER035 | N/A    |
|   |        |        |        |        |
| <b>Denial of Access to Meter</b>                              |        |        |        |        |
| For Disconnection Orders                                      | SER133 | SER026 | SER026 | SER133 |
| For Reconnections Orders                                      | SER133 | SER026 | SER035 | SER133 |
|   |        |        |        |        |
| <b>Order Cancellation Fees</b>                                |        |        |        |        |
| Disconnect Administration Fee                                 | N/A    | N/A    | N/A    | N/A    |
| Dispatched Order Fee  | SER132 | N/A    | N/A    | N/A    |
|   |        |        |        |        |
| <b>Tampering Charges</b>                                      |        |        |        |        |
| Broken Meter Seal Fee   | SER107 | SER130 | SER130 | SER130 |
| Broken Meter Seal Fee (Self Connect or Repeat Offender)       | SER130 | N/A    | N/A    | N/A    |
| Meter Tampering Fee   | SER072 | SER072 | SER072 | SER072 |
|   |        |        |        |        |
| <b>Connection Fees</b>  |        |        |        |        |
| Connect Fee/Connection Charge at Meter/Account Activation Fee | SER019 | SER019 | SER030 | SER014 |

### 7.6.6.2 Other Charges

- (1) Non-usage based charges will continue to be assessed by the TDSP and billed to the CR of Record until service at the disconnected Premise has been terminated upon completion of a Move-Out Request. Non-usage based charges are:
  - (a) Customer Charge: All TDSPs use BAS001
  - (b) Customer Metering Charge: All TDSPs use BAS003
- (2) In order to avoid ongoing liability, a CR must submit a Move-Out Request to terminate service no earlier than five days after receipt of a 650\_02, Service Order Response, indicating successful completion of the DNP request. CRs receiving reliable information indicating a Premise is vacant may submit move out earlier. Upon completion of the move out order, the TDSP will discontinue billing the CR for non-usage based charges as outlined above. A CR's financial liability for a disconnected Premise is removed upon the completion of a move out. Until a move out is effectuated, the CR will remain the CR of Record and will re-energize the Customer's Premise upon remedy of the reason for the DNP request if necessary. Whether prior to or after the completion of the Move-Out Request, the CR will re-establish service to the extent required under PUCT rules.

### 7.6.7 *Emergency System Outage*

- (1) In the event of a system outage during Business Hours and a CR cannot submit EDI transactions, CRs should contact their REP relations manager at the TDSP(s) to arrange for a workaround in order to submit RNP requests. For system outages that occur outside Business Hours, CRs should contact the TDSPs as indicated in Table 26, Emergency System Outage After-hours Contact, below.

**Table 26. Emergency System Outage After-hours Contact**

| <b>TDSP</b>  | <b>Emergency System Outage After-hours Contact</b>   |
|--------------|--|
| <b>AEP</b>   | AEP CRR Account Manager and/or utilize the AEP REPDesk safety-net functionality available 24/7 at repdesk.aep.com. |
| <b>CNP</b>   | 800-332-7143   |
| <b>Oncor</b> | 888-313-6934 or contactcenter@Oncor.com  |
| <b>TNMP</b>  | 888-866-7456   |

### 7.7 **Transaction Timing Matrix**

- (1) Section 9, Appendices, Appendix D1, Transaction Timing Matrix, is an abbreviated version of Protocol Section 15, Customer Registration, used to assist Market Participants in identifying the flow and timing of transactions between Market Participants and ERCOT.
- (2) Appendix D1, Transaction Timing Matrix, is based on the following assumptions:
- (a) Business Hours are from 0800 – 1700, Monday through Friday (excluding holidays);
  - (b) 0800 – 1700 on a Retail Business Day is considered one Business Day;
  - (c) Days are counted beginning with Day 0 (day of transaction receipt) and progress sequentially from that day as Day 1, Day 2, etc.
    - (i) Day 0 is transaction receipt date and may not be a full Retail Business Day if received after 0800 but before 1700 on a Retail Business Day.
    - (ii) If the transaction is received after 1700 on a Retail Business Day, Day 0 will begin the next Retail Business Day and will be a full Retail Business Day as that is considered the date of receipt. Day 0 can only begin on a Retail Business Day during Business Hours;

- (d) Transactions received after 1700, Monday through Thursday, Day 0 will begin at 0800 the following Retail Business Day; Transactions received after 1700 on Friday, Day 0 will begin at 0800 the following Monday (excluding holidays at which point, if Monday is a holiday, Day 0 would begin the following Retail Business Day); and
- (e) Protocol sections referenced in Appendix D1, Transaction Timing Matrix, may not be the only Protocol sections relevant to the transactions.

### **7.7.1 824, Invoice or Usage Reject Notification, Reject Transaction Timing**

- (1) 824, Invoice or Usage Reject Notification, used to reject the 867\_03, Monthly or Final Usage, 810\_02, TDSP Invoice, and 810\_03, MOU/EC Invoice, contain codes that establish the time frame for when the 824 transaction to reject can be sent by the Competitive Retailer (CR). A CR has up to five Retail Business Days from the receipt of the meter usage and invoice to send an 824 transaction to reject. Specific timings based on the 824 transaction reject codes used are provided in Section 9, Appendices, Appendix D2, 824, Invoice or Usage Reject Notification, Reject Transaction Timing.

## **7.8 Formal Invoice Dispute Process for Competitive Retailers and Transmission and/or Distribution Service Providers**

### **7.8.1 Overview of Formal Invoice Dispute Process**

- (1) Transmission and/or Distribution Service Providers (TDSPs) and Competitive Retailers (CRs) shall use good-faith and commercially reasonable efforts to informally resolve invoice disputes. All disputes shall be conducted pursuant to the procedures outlined in the TDSP tariffs, unless otherwise provided for in the TDSP tariff. For current tariff information, refer to P.U.C. SUBST. R. 25, Appendix V, Tariff for Competitive Retailer Access, and subsection (d)(1), Figure: 16 of P.U.C. SUBST. R. 25.214, Terms and Conditions of Retail Delivery Service Provided by Investor Owned Transmission and Distribution Utilities.

### **7.8.2 Guidelines for Notification of Invoice Dispute**

- (1) MarkeTrak is the most efficient method to resolve a TDSP invoice dispute. To initiate the invoice dispute process for a TDSP invoice, the CR must provide written notification to the TDSP by use of one of the following methods:
  - (a) MarkeTrak Day-to-Day monthly 'Billing and Usage' subtype.
    - (i) The CR shall specify the start time and stop time for the disputed invoice, and note the reason for dispute as well as any other pertinent information in the 'Comments' field.

- (ii) Upon receipt of the disputed invoice MarkeTrak issue, the TSDP will investigate and respond to the MarkeTrak within ten Business Days of receipt of the MarkeTrak. All disputes received by the TDSP after 1700 will be deemed as received by the TDSP on the following Business Day. TDSP responses shall include a suggested resolution based on findings. If after ten Business Days, no results have been reported, CRs may choose to use the MarkeTrak escalation process. Within 20 Business Days of the response, either party may initiate the dispute resolution procedures set forth in the TDSP tariffs.
- (b) MarkeTrak Day-to-Day ‘Other’ subtype.
  - (i) To be used in the event a dispute is due to CR being “Not REP of Record” for the invoice in question.
  - (ii) The CR shall specify the start time and stop time for the disputed invoice, and note “Not REP of Record” as well as any other pertinent information in the ‘Comments’ field.
  - (iii) Upon receipt of the disputed invoice MarkeTrak issue, the TSDP will investigate and respond to the MarkeTrak within ten Business Days of receipt of the MarkeTrak. All disputes received by the TDSP after 1700 will be deemed as received by the TDSP on the following Business Day. TDSP responses shall include a suggested resolution based on findings. If after ten Business Days, no results have been reported, CRs may choose to use the MarkeTrak escalation process. Within 20 Business Days of the response, either party may initiate the dispute resolution procedures set forth in the TDSP tariffs.
- (2) In the event MarkeTrak is not accessible, the CR may initiate the formal dispute process by sending an e-mail to the designated e-mail address provided by the TDSP, with “Invoice Dispute” in the subject line.
  - (a) The CR shall complete the CR required fields in Section 9, Appendices, Appendix E, Formal Transmission and/or Distribution Service Provider Invoice Dispute Process Communication, and attach the spreadsheet to the e-mail.
  - (b) Upon receipt of the e-mail notification of the disputed invoice, the TDSP will investigate and respond to the CR in writing within ten Business Days of transmittal of the notice. TDSP responses shall include a proposed resolution. If after the ten Business Days no results have been reported, CRs may choose to escalate the dispute. Within 20 Business Days of the response, either party may initiate the dispute resolution procedures set forth in the TDSP tariffs.
  - (c) Disputes received after 1700 by the TDSP will be deemed as received by the TDSP on the following Business Day.

- (d) Following the TDSP investigation and response to the CR dispute, the CR will have five Business Days to respond with an Accept or Deny on the spreadsheet. If the CR receives the TDSP's completed spreadsheet for its response after 1700, the five Business Day clock will begin the following Business Day. If after five Business Days the CR fails to respond with an Accept or Deny on the spreadsheet, the response will be deemed as an Accept.
- (3) Dispute Parameters:
- (a) Amounts disputed following the stated due date of a valid invoice will have late payment charges applied.
- (b) Reference the TDSP tariff for information regarding delinquent payments.
- (c) A rejected invoice does not constitute a disputed invoice. CRs shall validate or reject the appropriate Texas Standard Electronic Transaction (TX SET) within five Business Days of receipt.
- (d) Formal dispute spreadsheets may be submitted by type of dispute or type of dispute may be indicated by dispute type within column provided in spreadsheet. Examples may include:
- (i) Outdoor Light Disputes;
  - (ii) Fee Disputes;
  - (iii) Tariff Review Disputes;
  - (iv) Usage Disputes; and
  - (v) Retail Electric Provider (REP) of Record Disputes.

## 7.9 No Retail Electric Provider of Record or Left in Hot

- (1) P.U.C. SUBST. R. 25.489, Treatment of Premises with No Retail Electric Provider of Record, obligates the Transmission and/or Distribution Service Provider (TDSP) to identify Electric Service Identifiers (ESI IDs) that receive electrical service without a Retail Electric Provider (REP) of record.
- (a) The TDSP shall:
- (i) Prepare a No REP of Record List on a monthly basis, identifying all ESI IDs with consumption equal to or greater than 150 kilowatt hours (kWh) in a single meter reading cycle, but no REP of record in the TDSP's customer information system;
    - (A) In the event no ESI IDs have been identified, the TDSP will not provide a No REP of Record List.



- (ii) Delete an ESI ID from the list if there is evidence of erroneous meter reads for the ESI ID;
  - (iii) Cross reference the list with ERCOT's pending orders to identify any move-in transactions that indicate that a REP is initiating service at an ESI ID on the list and remove such ESI IDs from the list;
  - (iv) Review safety-net Move-In Requests to initiate service and remove such ESI IDs from the list;
  - (v) Review its internal systems for pending transactions and any correspondence from REPs claiming that an ESI ID should be assigned to the REP. Any corresponding matches of ESI IDs shall be removed from the list; and
  - (vi) Send the No REP of Record List to all REPs offering service in its service area each month if a list containing ESI IDs was prepared for the month.
- (b) A REP, within five Business Days after the TDSP sends the list, shall inform the TDSP in writing if it has a contract for an ESI ID on the list and shall submit a move-in transaction for the ESI ID for the appropriate in-service date.
- (2) For all remaining ESI IDs not claimed by a REP, the TDSP shall provide disconnection notice by placing door hangers or by mailing notice to each ESI ID with identifying code #999 to the Customer in the standardized bilingual format consistent with paragraph (g) of P.U.C. SUBST. R. 25.489.
- (3) Pursuant to paragraph (i) of P.U.C. SUBST. R. 25.489, the TDSP may disconnect an ESI ID with no REP of record no earlier than ten days after the Customer receives the TDSP's notification as required by paragraph (g) of P.U.C. SUBST. R. 25.489. A TDSP shall not disconnect any ESI ID that has been claimed by a REP. Prior to disconnecting the service for an ESI ID with no REP of record, each TDSP shall repeat the procedures listed in paragraph (1) of this section (other than issuing notice) to prevent the disconnection of a Customer who has initiated service with a REP.
- (a) If a TDSP disconnects an ESI ID in error, the TDSP shall reconnect the ESI ID on an expedited basis in accordance with its tariff and Public Utility Commission of Texas (PUCT) rules, whichever process is shorter.

## **7.10 Emergency Operating Procedures for Extended Unplanned System Outages**

- (1) This Section provides processes to be used by Market Participants in the event of extended unplanned system outages, which include system degradation, affecting market processes. The emergency operating procedure utilized during an extended unplanned system outage as described in this Section shall be used for legitimate purposes and not to bypass standard rules and processes.

- (2) Initiation of procedures for extended unplanned system outages as identified in this Section will be addressed on a retail market conference call and/or Market Notice per Section 12, Market Participant Communication Process, as described in the paragraphs below.
  - (a) For ERCOT outages, ERCOT will hold a retail market conference call within two hours of the initial Market Notice. On the retail market conference call, the decision will be made on the appropriate method in which Market Participants will support energizing a Premise. Any market communication(s) from ERCOT shall include updates, estimated outage duration, and possible restoration timeframe.
  - (b) For Transmission and/or Distribution Service Provider (TDSP) outages, the TDSP or designated representative is responsible for sending Market Notices and may coordinate with ERCOT to facilitate a retail market conference call. Any market communication from the TDSP shall include updates, estimated outage duration, possible restoration timeframe, and/or the appropriate method in which the TDSP will support energizing a Premise.
  - (c) For Retail Electric Provider (REP) outages, the REP is responsible for sending Market Notices and shall coordinate with ERCOT to facilitate a retail market conference call. Any market communication(s) from the REP shall include updates, estimated outage duration, and possible restoration timeframe.
- (3) The Retail Market IT Services Service Level Agreement, posted to the ERCOT website, defines the timelines for extended unplanned system outages.

#### ***7.10.1 Emergency Operating Procedure for Energizing a Premise During an Extended Unplanned System Outage***

- (1) Market Participants shall determine the appropriate method for which the market will support energizing a Premise during an extended unplanned outage on the retail market conference call and/or Market Notice as described in Section 7.10, Emergency Operating Procedures for Extended Unplanned System Outages.
- (2) REPs may use the move in safety-net spreadsheet, emergency reconnect spreadsheet, or the appropriate method as directed on the retail market conference call. Upon restoration of the extended unplanned system outage, all requests for energizing the Premise shall have a corresponding Texas Standard Electronic Transaction (TX SET). The REP may submit a MarkeTrak issue to investigate any missing response transaction(s), if needed, giving the appropriate party access to the issue.
  - (a) If construction service is required, the service may be delayed or the service order may be completed unexecutable.

### **7.10.1.1 Safety-Net Cancellation Process to Only Be Used During an Extended Unplanned Outage**

- (1) In the event of an extended unplanned outage, if the Competitive Retailer (CR) wants to cancel a safety-net move-in, the CR must notify the TDSP at the TDSP e-mail address as indicated in Table 1, TDSP Safety-Net E-mail Address, as located in Section 7.1, Overview and Assumptions, or by means of an internet-based cancellation process if the TDSP provides an internet-based portal. If the CR does not notify the TDSP of a cancellation, the TDSP will complete the Move-In Request, and the CR will be responsible for the Customer's consumption and all applicable discretionary charges.
  - (a) If a CR cancels a safety-net move-in on the requested date, the TDSP may charge the CR a trip charge in accordance with TDSP tariffs for canceling the safety-net move-in.
  - (b) If the TDSP has already completed the standard move-in, the CR must initiate an Inadvertent Gain/Loss MarkeTrak issue to return the Premise to the original status.

### **7.10.2 *Emergency Operating Procedure for Move Outs During an Extended Unplanned System Outage***

- (1) The emergency operating procedure for move outs during an extended unplanned system outage shall only be utilized when TX SET processing is unavailable. Initiation of the move-out process shall be determined only during the retail market conference call, as described in Section 7.10, Emergency Operating Procedures for Extended Unplanned System Outages.
  - (a) CRs may use the safety-net spreadsheet for all Electric Service Identifiers (ESI IDs).
  - (b) When ERCOT systems are unavailable, TDSPs will not be able to identify ESI IDs with a Continuous Service Agreement (CSA) and will be unable to execute the move in to CSA, therefore the Premise may be deenergized. If ERCOT systems are unavailable and the Premise is deenergized, then the CSA CR may provide a safety-net move-in to the TDSP as prescribed in Section 7.4, Safety-Nets, to restore service. Once systems become available the CSA CR will be responsible for submitting the 814\_16, Move-In Request.
  - (c) Upon restoration of transaction processing, Market Participants must ensure that there are corresponding TX SETs for all safety-net orders sent or received during the outage.
  - (d) The CR may submit a MarkeTrak issue to investigate the missing response transaction, if needed, giving the appropriate party access to the issue.

### 7.10.2.1 Format of the Move Out Safety-Net Spreadsheet Used During an Extended Unplanned System Outage

- (1) Safety-net Move-Out Requests may be submitted via e-mail using the appropriate “Subject Line” included in Table 1, Required E-mail Subject Line for Safety-Net Move Outs During an Extended Unplanned System Outage, if initiation of this process is determined on the retail market conference call, as described in Section 7.10, Emergency Operating Procedures for Extended Unplanned System Outages.

**Table 1. Required E-mail Subject Line for Safety-Net Move Outs During an Extended Unplanned System Outage**

| Subject Line   | Used For  | Submitted By |
|--|---|--------------|
| [REP Name] – OUTAGE Safety-net move out – [Date Requested]             | Move-Out Request during extended unplanned system outage. | REP          |
| [REP Name] – OUTAGE Safety-net move out – UPDATE – [Date Requested]    | Providing Updated BGN02                                   | REP          |
| [REP Name] – OUTAGE Safety-net move out – CANCEL– [Date Requested]     | Cancel Move-Out Request                                   | REP          |
| [TDSP Name] – OUTAGE Safety-net move out – RESPONSE – [Date Requested] | Status of safety-net Move-Out Request                     | TDSP         |

- (2) TDSPs will reject Move-Out Requests if the market has not agreed to use the extended unplanned system outage safety-net process as a workaround for Move-Out Requests. If there is market agreement to use the extended unplanned system outage safety-net process, requests shall be submitted via e-mail using the appropriate “Subject Line” included in Table 1 above.

### 7.10.2.2 Safety-Net Move-Out Procedures During an Extended Unplanned System Outage

- (1) Safety-net Move-Out Requests are initiated by the CR via an e-mail to the TDSP at the TDSP’s e-mail address indicated below in Table 2, TDSP E-mail Address for Safety-Net Move Outs During an Extended Unplanned System Outage.

**Table 2. TDSP E-mail Address for Safety-Net Move Outs During an Extended Unplanned System Outage**

| TDSP | TDSP E-mail Address for Safety-Net Move Outs During an Extended Unplanned System Outage |
|------|---|
| AEP  | aepbaoorders@aep.com  |
| CNP  | CNP.Priority@CenterPointEnergy.com  |

| <b>TDSP</b> | <b>TDSP E-mail Address for Safety-Net Move Outs During an Extended Unplanned System Outage</b> |
|-------------|--|
| Oncor       | utiltxn@oncor.com  |
| TNMP        | safetynet@tnmp.com   |

- (2) The CR shall attach the spreadsheet with the safety-net acceptable data content in the format as indicated below in Table 3, Safety-Net Move Out Spreadsheet Content Used During an Extended Unplanned System Outage, to the e-mail.

**Table 3. Safety-Net Move Out Spreadsheet Content Used During an Extended Unplanned System Outage**

| Column | Field Name                                       | Note                             | Data Attributes |                         |
|--------|--|----------------------------------|-----------------|-------------------------|
|        |  |                                  | Type            | Length<br>(Min. / Max.) |
| (1)    | ESI ID   | (required)                       | AN              | 1 Min. / 80 Max.        |
| (2)    | Customer Name                                    | (required)                       | AN              | 1 Min. / 60 Max.        |
| (3)    | Customer Phone                                   | (required if available)          | AN              | 1 Min. / 80 Max.        |
| (4)    | MVO Street Address                               | (required)                       | AN              | 1 Min. / 55 Max.        |
| (5)    | MVO Apartment Number                             | (if applicable)                  | AN              | 1 Min. / 55 Max.        |
| (6)    | MVO ZIP  | (required)                       | ID              | 3 Min. / 15 Max.        |
| (7)    | MVO City   | (required)                       | AN              | 2 Min. / 30 Max.        |
| (8)    | CR Data Universal Numbering System (DUNS) Number | (required)                       | AN              | 2 Min. / 80 Max.        |
| (9)    | CR Name  | (prefer D/B/A to corporate name) | AN              | 1 Min. / 60 Max.        |
| (10)   | MVO Request Date                                 | (required)                       | DT              | 8 Min. / 8 Max.         |
| (11)   | Critical Care Flag                               | (optional)                       | AN              | 1 Min. / 30 Max.        |
| (12)   | BGN02  | (required)                       | AN              | 1 Min. / 30 Max.        |
| (13)   | Notes/Directions                                 | (optional)                       | AN              | 1 Min. / 80 Max.        |
| (14)   | CR Reason for Using Spreadsheet                  | (optional –free form)            | AN              | 1 Min. / 80 Max.        |

- (3) Row 1 of the spreadsheet is reserved for a title but is optional and at the discretion of the CR. The ‘Field Name’ header row shall begin on row 2 as shown below in the Example for the Safety-Net Move-Out Spreadsheet Format Used During an Extended Unplanned System Outage layout below. The spreadsheet data content shall begin on row 3.

**Example for the Safety-Net Move-Out Spreadsheet Format Used During an Extended Unplanned System Outage:**

|   | A      | B             | C              | D                  | E                    | F       | G        | H              | I       | J                | K                  | L     | M                | N                               |
|---|--------|---------------|----------------|--------------------|----------------------|---------|----------|----------------|---------|------------------|--------------------|-------|------------------|---------------------------------|
| 1 |        |               |                |                    |                      |         |          |                |         |                  |                    |       |                  |                                 |
| 2 | ESI ID | Customer Name | Customer Phone | MVO Street Address | MVO Apartment Number | MVO ZIP | MVO City | CR DUNS Number | CR Name | MVO Request Date | Critical Care Flag | BGN02 | Notes/Directions | CR Reason for Using Spreadsheet |
| 3 |        |               |                |                    |                      |         |          |                |         |                  |                    |       |                  |                                 |
| 4 |        |               |                |                    |                      |         |          |                |         |                  |                    |       |                  |                                 |
| 5 |        |               |                |                    |                      |         |          |                |         |                  |                    |       |                  |                                 |
| 6 |        |               |                |                    |                      |         |          |                |         |                  |                    |       |                  |                                 |

- (4) If the TDSP does not have a transaction to respond to, the TDSP shall notify the CR by attaching to the e-mail the spreadsheet in the market-approved spreadsheet format (see Table 4, TDSP Format for Move-Out Safety-Net Responses During an Extended Unplanned System Outage) of all safety-net Move-Out Requests that could not be completed as noted in Table 5, TDSP Return Codes. The TDSP shall respond within one Retail Business Day of receipt of the request.

**Table 4. TDSP Format for Move-Out Safety-Net Responses During an Extended Unplanned System Outage**

| Column | Field Name                                    |
|--------|---|
| (1)    | ESI ID  |
| (2)    | MVO Street Address                            |
| (3)    | MVO Apartment Number                          |
| (4)    | MVO ZIP                                       |
| (5)    | MVO City                                      |
| (6)    | CR Name (D/B/A preferred)                     |
| (7)    | MVO Request Date                              |
| (8)    | BGN02 (optional)                              |
| (9)    | TDU Return Code                               |
| (10)   | Completed Unexecutable Description (optional) |

**Table 5. TDSP Return Codes**

| Return Code | Description  | Data Attributes |                  |
|-------------|--|-----------------|------------------|
|             |  | Type            | Length Min/Max   |
| A76         | ESI ID Invalid or Not Found                                | AN              | 1 Min. / 30 Max. |
| API         | Required information missing                               | AN              | 1 Min. / 30 Max. |
| 09          | Complete Unexecutable                                      | AN              | 1 Min. / 2 Max.  |
| 24L         | Less than 24 hours after the retail market conference call | AN              | 1 Min. / 3 Max.  |

- (5) If the CR wants to cancel a safety-net move out, it must notify the TDSP at the TDSP e-mail address indicated in Table 2 above. If the CR does not notify the TDSP of a cancellation, the TDSP will complete the Move-Out Request, and the CR will be responsible for the Customer's consumption until completion of the Move-Out Request.

- (a) The CR's e-mail notification must follow the format outlined in:

- (i) Paragraph (1) of Section 7.10.2.1, Format of the Move Out Safety-Net Spreadsheet Used During an Extended Unplanned System Outage; and
  - (ii) Paragraphs (1) and (2) above.
- (b) If the TDSP has already completed the move out, the CR must send a Move-In Request to restore service and return the Premise to its original status.
- (6) The CR must submit an 814\_24, Move-Out Request, to ERCOT and note the BGN02 on the safety-net spreadsheet that was sent to the TDSP. If a subsequent 814\_24 transaction is accepted by ERCOT, the CR must update the TDSP with the latest BGN02 for its safety-net move-out ESI ID.
- (a) All updates must reference the original move out date requested in the safety-net spreadsheet.
  - (b) The e-mail with the updated safety-net spreadsheet information must be in the format outlined in paragraphs (1) and (2) above.

### ***7.10.3 Removal of a Meter Tampering or Payment Plan Switch Hold for Purposes of a Move In During an Extended Unplanned MarkeTrak Outage***

- (1) In the event of an extended MarkeTrak outage, the market may decide via an ad hoc retail market conference call, as described in Section 7.10, Emergency Operating Procedures for Extended Unplanned System Outages, that a manual switch hold removal process may be used.
- (a) During the retail market conference call, REPs will be requested to provide the TDSPs, via e-mail, with a primary and secondary contact for switch hold removals using the e-mail addresses below in Table 6, TDSP E-mail Addresses for Switch Hold Removal During an Extended MarkeTrak Outage.
  - (b) This process can only be used on a Premise that is de-energized. Although facilitated via email, the switch hold removal timeline during an extended MarkeTrak outage will follow the same timelines as outlined in Sections 7.16.4.3.2, Steps for Removal of a Switch Hold for Meter Tampering for Purposes of a Move in, or Section 7.17.3.3.2, Steps for Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move in.
  - (c) A request to remove a switch hold will be rejected by the TDSP if the Premise is energized. Upon the restoration of the MarkeTrak system, all other switch hold removals will follow the process as described in Section 7.16.4.3.2 or Section 7.17.3.3.2.

### **Table 6. TDSP E-mail Addresses for Switch Hold Removal During an Extended MarkeTrak Outage**

| <b>TDSP</b> | <b>TDSP E-mail Address for Extended MarkeTrak Outage</b>                                 |
|-------------|--|
| AEP         | <a href="mailto:aepbaoorders@aep.com">aepbaoorders@aep.com</a>                           |
| CNP         | <a href="mailto:SWHRemovals@centerpointenergy.com">SWHRemovals@centerpointenergy.com</a> |
| Oncor       | <a href="mailto:marketrak@oncor.com">marketrak@oncor.com</a>                             |
| TNMP        | <a href="mailto:MPRelations@tnmp.com">MPRelations@tnmp.com</a>                           |

**7.10.4 Addition or Removal of Switch Hold by Retail Electric Provider of Record Request for 650 Transactions During Extended Unplanned System Outage Affecting the REP and/or TDSP**

- (1) In the event that an extended unplanned system outage prevents sending/receiving 650 TX SETs, the market may decide via an ad hoc retail market conference call, as described in Section 7.10, Emergency Operating Procedures for Extended Unplanned System Outages, that a manual workaround process to add or remove switch holds may be used.
  - (a) For a REP system issue, the REP will need to contact TDSPs to arrange for use of an agreed upon workaround.
  - (b) For a TDSP system issue, the TDSP is responsible for sending a market notice and coordinating with ERCOT to facilitate a retail market conference call as described in Section 7.10.

**7.10.4.1 Addition of Payment Plan Switch Hold by Retail Electric Provider of Record Request During Extended Unplanned System Outage**

- (1) The process for the addition of a switch hold by REP of record during an extended unplanned system outage is as follows:
  - (a) Create an individual MarkeTrak issue for each ESI ID to be added to the switch hold list using the Other subtype;
  - (b) Populate the ESI ID field; and
  - (c) Assign the issue to the TDSP.
- (2) The TDSP, upon receipt of MarkeTrak issue, will perform one of the following:
  - (a) Place the ESI ID on switch hold:

If a move in or switch is already scheduled in the TDSP’s system prior to a switch hold being placed on the ESI ID, the move in or switch may be completed unexecutable utilizing reason code “T024” in the 814\_28, Complete Unexecutable or Permit Required; or



- (b) Reject the issue due to the following:
  - (i) Incorrect MarkeTrak issue subtype;
  - (ii) Incorrect ESI ID or ESI ID field is not populated; or
  - (iii) Submitting CR is not REP of record.

#### **7.10.4.2 Removal of Switch Holds by Retail Electric Provider of Record Request During Extended Unplanned System Outage**

- (1) The process for removal of a switch hold by REP of record during an extended unplanned system outage is as follows:
  - (a) The REP of record may submit a MarkeTrak issue to the TDSP to remove the switch hold and to remove the ESI ID from the next Retail Business Day's switch hold list provided by the TDSP per Section 7.16.3, Transmission and/or Distribution Service Provider Switch Hold Notification for Meter Tampering, using the following process:
    - (i) Create an individual MarkeTrak issue for each ESI ID to be removed from the switch hold list using the "Other" subtype;
    - (ii) Populate the ESI ID field; and
    - (iii) Assign the issue to the TDSP.
  - (b) The TDSP, upon receipt of MarkeTrak issue, will perform one of the following:
    - (i) Accept the issue and remove the switch hold by 2000 the same Retail Business Day if received by 1300, or by 2000 the next Retail Business Day if received after 1300. Comments shall be placed in the issue notifying REP of record of the removal of the switch hold; or
    - (ii) Reject the issue due to the following:
      - (A) Incorrect MarkeTrak issue subtype;
      - (B) Incorrect ESI ID or ESI ID field is not populated; or
  - (c) Submitting CR is not REP of record.

### **7.11 Transition Process**

- (1) During the course of business in the Texas retail electric market, circumstances may necessitate the expeditious transfer of large numbers of Customers from one Market

Participant to another either from one Competitive Retailer (CR) to a Provider of Last Resort (POLR) or designated CR, or from one Transmission and/or Distribution Service Provider (TDSP) to another TDSP, in quantity, or within a time frame, identified by Applicable Legal Authority (ALA). The goal of the transition process is to transfer responsibility for all affected Electric Service Identifiers (ESI IDs) while abiding by all ALA requirements. All Market Participants and ERCOT will work to honor the Customer's choice to switch to its chosen CR. ERCOT will be responsible for administering and managing transition events.

**7.11.1 Transition Process of Competitive Retailer's Electric Service Identifiers to Provider of Last Resort or Designated Competitive Retailer Pursuant to P.U.C. SUBST. R. 25.43, Provider of Last Resort (POLR), or CR Voluntarily Leaving the Market**

- (1) This Section 7.11.1 outlines a transition process that can be used when such circumstances exist pursuant to P.U.C. SUBST. R. 25.43, Provider of Last Resort (POLR), referred to herein as a "Mass Transition," and may include ESI IDs that are transferred to a designated CR as a result of an acquisition pursuant to P.U.C. SUBST. R. 25.493, Acquisition and Transfer of Customers from one Retail Electric Provider to Another.
- (2) Each opt-in Municipally Owned Utility (MOU) or opt-in Electric Cooperative (EC) without an affiliated POLR that has not delegated authority to designate POLRs to the Public Utility Commission of Texas (PUCT), as applicable to opt-in ECs, must provide its initial POLR allocation methodology to ERCOT no later than 30 days prior to the Customer Choice opt-in date using Section 9, Appendices, Appendix J7, Mass Transition Allocation Methodology. Should the opt-in MOU or opt-in EC determine the allocation methodology must be changed at any time, such updates must be provided to ERCOT no later than 30 days prior to its effective date or at a time prior to the initiation of a Mass Transition as defined in Section 7.11.1.1, Mass Transition Initiation. All updates to the allocation methodology must be provided using Appendix J7. Confirmation of all allocation methodologies must be submitted to ERCOT prior to January 1<sup>st</sup> of each odd numbered year using Section 9, Appendix J8, Attestation to Confirm Mass Transition Allocation Methodology.
- (3) Market Participants that wish to transfer Customers for reasons other than P.U.C. SUBST. R. 25.43 should contact ERCOT Client Relations and the PUCT Staff.
- (4) Per Protocol Section 16.1.1, Re-Registration as a Market Participant, any Market Participant that has had its Customers dropped via the Mass Transition process must provide to ERCOT a new Data Universal Numbering System (DUNS) Number (DUNS #) to re-register as a Market Participant with ERCOT.
- (5) For the purpose of a Mass Transition and the associated timeline, the following definitions shall apply:
  - (a) Notification Date - Date on which ERCOT sends the initial Mass Transition Market Notice to affected parties informing them that a Mass Transition will

occur as a result of a Market Participant default, also known as the pre-Launch stage in the process.

- (b) Calendar Day 0 - Date that ERCOT sends 814\_03, Enrollment Notification Request. This can be on the Notification Date.
  - (c) Mass Transition Date - Scheduled Meter Read Date (SMRD) will be equal to Calendar Day 0 plus two days and will be the date requested in the 814\_03 transaction from ERCOT to the TDSP. POLRs will be responsible for ESI IDs no earlier than the Mass Transition Date.
- (6) The processes described in this Section presume that a decision to transfer the ESI IDs has already been made by ERCOT as a result of a Market Participant's default of the Standard Form Market Participant Agreement with ERCOT.
  - (7) ERCOT may coordinate periodic testing with Market Participants of Mass Transition processes as defined in this Section and Section 11, Solution to Stacking.

### **7.11.1.1 Mass Transition Initiation**

#### ***7.11.1.1.1 Mass Transition Initiation***

- (1) If ERCOT has reason to expect that it may be necessary to initiate a Mass Transition on a given Business Day, it may notify PUCT and Office of Public Utility Counsel (OPUC) Staff and potentially affected TDSPs and POLRs that a Mass Transition might commence that day. Such notification shall not disclose the name or DUNS # of the potential Losing CR, the number of ESI IDs involved, or any other Protected Information.
- (2) If ERCOT determines that no Mass Transition is necessary, and preliminary notice has been provided to potentially affected parties in accordance with paragraph (1) above, ERCOT shall then notify PUCT and OPUC Staff and the potentially affected TDSPs and POLRs that the Mass Transition will not occur on that Business Day.
- (3) Upon confirmation that a Mass Transition will occur, ERCOT shall provide an initial Mass Transition Market Notice to affected TDSPs, POLRs, the Losing CR, and appropriate PUCT and OPUC Staff. If a Mass Transition is initiated on a Business Day prior to a weekend or ERCOT holiday, the initial Mass Transition project coordination call will be scheduled for that Business Day. See Section 9, Appendices, Appendix F2, Timeline for Initiation of a Mass Transition. The initial Mass Transition Market Notice shall include:
  - (a) Confirmation of a Mass Transition event;
  - (b) The total number of ESI IDs of the Losing CR;
  - (c) The estimated Load of the Losing CR;

- (d) The Mass Transition Date; and
  - (e) Logistical details for the initial Mass Transition project coordination call, which will be scheduled for the same or the next Business Day. If the Mass Transition is initiated on a Business Day prior to a weekend or ERCOT holiday the initial project coordination call must be scheduled for the same Business Day.
- (4) The same day as and following the initial Mass Transition Market Notice to affected parties, ERCOT will provide a Mass Transition Market Notice to Transition/Acquisition contacts for Load Serving Entities (LSEs) and TDSPs, and the Retail Market Subcommittee (RMS) e-mail ListServ. This Market Notice shall include:
- (a) Confirmation of a Mass Transition event;
  - (b) The name and DUNS # of the Losing CR;
  - (c) The total number of ESI IDs of the Losing CR;
  - (d) The estimated Load of the Losing CR; and
  - (e) The Mass Transition Date.
- (5) Should issues arise that are not addressed in this document or the ERCOT Nodal Protocols, ERCOT and the affected parties will work to resolve such issues.

#### **7.11.1.2 Handling Pending Texas Standard Electronic Transactions During a Mass Transition**

- (1) The following processes shall be utilized for handling Pending Texas Standard Electronic Transactions (TX SETs) as identified by ERCOT:
- (a) Pending - A status other than “Complete” or “Cancelled.” May also be referred to as “Open”;
  - (b) In Review - A status at ERCOT indicating the initiating transaction has been received and processed. The scheduling transaction has not been received from the TDSP;
  - (c) Scheduled - A status at ERCOT indicating the scheduling transaction has been received and processed. The effectuating meter read has not been received from the TDSP;
  - (d) Permit Pending - A status at ERCOT indicating ERCOT has received the 814\_28, Complete Unexecutable or Permit Required, with the Permit Pending indicator from the TDSP, but has not received a subsequent 814\_04, Enrollment Notification Response, or 814\_28 transaction, Completed Unexecutable; and

- (e) Cancel Pending - A status as ERCOT indicating ERCOT has sent a response driven cancel to the TDSP and has not received a response.
- (2) For Pending Transactions that will result in the Losing CR having responsibilities for an ESI ID:
- (a) Pending Transaction has a scheduled date that is prior to or equal to Calendar Day 0:
- (i) Switch: Allowed to complete and ERCOT sends the 814\_03, Enrollment Notification Request, with the Mass Transition, indicator;
  - (ii) Move in: Allowed to complete and ERCOT sends the 814\_03 transaction;
  - (iii) Move out to Continuous Service Agreement (CSA): Allowed to complete and ERCOT sends the 814\_03 transaction; or
  - (iv) Acquisition Order: Allowed to complete and ERCOT sends the 814\_03 transaction with the Mass Transition indicator.
- (b) Pending Transaction has a scheduled date that is greater than Calendar Day 0 or is not yet scheduled (In Review or Permit Pending):
- (i) Switch: Cancelled and ERCOT will not send an 814\_03 transaction;
  - (ii) Move in: Cancelled by ERCOT and POLR and/or designated CR is responsible for submitting a move in for the Mass Transition Date or any future date that is the same Requested Date as the initial Move-In Request. The POLR or designated CR is not required to use a Requested Date that is prior to the Mass Transition Date. ERCOT will send the 814\_03 transaction with the Mass Transition indicator only if the Premise is energized with the Losing CR. In this case, ERCOT will cancel the Pending move in and the POLR or designated CR is still responsible for submitting a new Move-In Request;
  - (iii) Move out to CSA: Cancelled and ERCOT will not send an 814\_03 transaction. Submitting CR must resubmit move out once ERCOT deletes CSA relationship with Losing CR. If the submitting CR is both the Losing CR and the CSA CR, ERCOT will delete the CSA relationship and cancel the move out prior to sending the 814\_03 transaction with the Mass Transition indicator to the POLR or designated CR. The POLR or designated CR will submit an 814\_24, Move Out Request, based on an indicator in the 814\_14, Drop Enrollment Request; or
  - (iv) Acquisition Order: Cancelled and ERCOT will not send the 814\_03 transaction.

- (3) For Pending Transactions that will result in an ESI ID being moved away from the Losing CR:
- (a) The Pending Transaction has a scheduled date that is no greater than two Business Days after the Mass Transition Date:
    - (i) Switch: Allowed to complete per Protocol Section 15, Customer Registration, and ERCOT will not send the 814\_03 transaction with the Mass Transition indicator;
    - (ii) Move in: Allowed to complete and ERCOT will not send the 814\_03 transaction with the Mass Transition indicator;
    - (iii) Move out: Allowed to complete and ERCOT will not send the 814\_03 transaction with the Mass Transition indicator; or
    - (iv) Acquisition Order: Allowed to complete and ERCOT will not send the 814\_03 transaction with the Mass Transition indicator.
  - (b) The Pending Transaction has a scheduled date that is greater than two Business Days after the Mass Transition Date or is not yet scheduled (In Review or Permit Pending):
    - (i) Switch: Allowed to complete per Protocol Section 15 and ERCOT will send the 814\_03 transaction with the Mass Transition indicator;
    - (ii) Move in: Allowed to complete and ERCOT will send the 814\_03 transaction with the Mass Transition indicator;
    - (iii) Move out: ERCOT will cancel the move out and ERCOT will send the 814\_03 transaction with the Mass Transition indicator to the POLR or designated CR. ERCOT will send the POLR or designated CR the Pending move out date and the POLR or designated CR will submit move out based on an indicator in the 814\_14 transaction. The Requested Date received from the gaining POLR or designated CR cannot be a backdated Requested Date, unless the TDSP agrees; or
    - (iv) Acquisition Order: Allowed to complete and ERCOT will send the 814\_03 transaction with the Mass Transition indicator.
  - (c) ERCOT will provide a list of ESI IDs to each affected CR (both POLR and non-POLR CRs) of all Pending switch transactions they are scheduled to receive with a scheduled date greater than two Business Days after the Mass Transition Date (including In-Review and Scheduled) (see Section 9, Appendices, Appendix F5, ERCOT Template – Electric Service Identifiers for New Competitive Retailer with Pending Transactions). The lists will include ESI ID, Requested Date or scheduled date. CRs should take action to work with the Customer to expedite the switch in order to minimize the time the Customer is served by the POLR.

CRs may use a move in transaction in extreme circumstances as authorized by PUCT designee. If the CR takes no action, the Pending order will be allowed to complete on the originally scheduled date.

- (4) Any Cancel Pending Transaction(s) that affect the ESI IDs involved in the Mass Transition are immediately cancelled (non-response driven) and the ESI ID is evaluated by ERCOT to determine appropriate action to take to transfer the ESI ID(s).

### **7.11.1.3 Competitive Retailer Mass Transition Meter Reading**

- (1) TDSPs are responsible for obtaining actual or estimated meter reads that can be used in denoting the transition point for changing responsibility for serving an ESI ID from the Losing CR to the POLR or designated CR. The meter reads and the dates on which they were taken will be sent to ERCOT from the TDSP in the appropriate TX SET.

### **7.11.1.4 Mass Transition Roles/Responsibilities**

#### ***7.11.1.4.1 Mass Transition Roles/Responsibilities (Pre-Launch)***

- (1) This Section 7.11.1.4.1 outlines the various roles and responsibilities of parties involved in a Mass Transition event pre-Launch.

#### **7.11.1.4.1.1 Public Utility Commission of Texas Pre-Launch Responsibilities in a Mass Transition**

- (1) Designate lead individual from PUCT Staff to work with ERCOT project lead and market team for project coordination purposes; and
- (2) Monitor progress of involved parties in completing the transition in accordance with target schedules.

#### **7.11.1.4.1.2 ERCOT Pre-Launch Responsibilities in a Mass Transition**

- (1) Identify the defaulting CR;
- (2) Identify the appropriate POLR(s) or designated CR;
- (3) Identify all of the affected TDSPs and CRs (current, CSA, and pending new CR);
- (4) Determine the ESI IDs by designated POLR class associated to the Mass Transition and notify the affected parties according to the following:

- (a) If all ESI IDs associated with the Mass Transition will only be allocated among Volunteer Retail Electric Providers (VREPs), then ERCOT will only need to include affected parties in the Mass Transition project; or
  - (b) If all ESI IDs associated with the Mass Transition will be allocated among Large Service Providers (LSPs) and VREPs, then ERCOT will include affected parties in the Mass Transition project.
- (5) Determine the Mass Transition launch timeline;
  - (6) Determine the Mass Transition completion date to be no more than five days after ERCOT generates and the TDSP receives the 814\_03, Enrollment Notification Request, with the Mass Transition indicator, for all affected ESI IDs;
  - (7) Designate the ERCOT Mass Transition project lead;
  - (8) Schedule and conduct Mass Transition project coordination calls with affected parties;
  - (9) Complete and disseminate required Mass Transition Market Notices;
  - (10) Delete or disable CSAs to prevent the Losing CR from becoming the Retail Electric Provider (REP) responsible for an ESI ID (REP of record) on an ongoing basis after the Mass Transition has begun;
  - (11) Identify Pending TX SETs associated with those affected ESI IDs;
  - (12) Send a list of ESI IDs targeted to the POLRs or designated CRs where they are expected to become REP of record and to the affected TDSP(s) (see Section 9, Appendices, Appendix F4, ERCOT Template - Electric Service Identifiers for Gaining Competitive Retailer/Transmission and/or Distribution Service Provider Use);
  - (13) Assign ESI IDs to the POLR(s) as directed by ALA and the POLR rule;
  - (14) Provide a list of ESI IDs to any CR (both POLR and non-POLR) of any Pending switch transactions with a scheduled date greater than two Business Days after the Mass Transition Date (including in-review and scheduled). See Section 9, Appendices, Appendix F5, ERCOT Template – Electric Service Identifiers for New Competitive Retailer with Pending Transactions; and
  - (15) Manage the POLR DUNS # list according to the registration by the POLR Entities.

#### **7.11.1.4.1.3 Transmission and/or Distribution Service Provider Pre-Launch Responsibilities in a Mass Transition**

- (1) Review and identify any exceptions from the list of ESI IDs provided by ERCOT;
- (2) Confirm accuracy of the TDSP's list of Transition/Acquisition contacts (technical, business and regulatory) on file with ERCOT (as designated on the TDSP's ERCOT



registration file or as updated via the Notice of Change of Information (NCI) form). It is the responsibility of the TDSP to maintain accurate contact information on file with ERCOT. Additions and modifications to the Transition/Acquisition contact information must be made by submitting an NCI form, as provided on the ERCOT website, to ERCOT Registration;

- (3) Participate in initial and ongoing Mass Transition project coordination calls through completion of the transition event; and
- (4) Remove switch hold on any ESI IDs involved in the Mass Transition event.

#### **7.11.1.4.1.4 Provider of Last Resort or Designated Competitive Retailer Pre-Launch Responsibilities in a Mass Transition**

- (1) Confirm accuracy of the POLR or Designated CR's list of Transition/Acquisition contacts (technical, business and regulatory) on file with ERCOT (as designated on the POLR or Designated CR's ERCOT registration file or as updated via the NCI form). It is the responsibility of the POLR or Designated 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;
- (2) Participate in initial and ongoing Mass Transition project coordination calls through completion of the transition event; and
- (3) Confirm accuracy of DUNS # provided to ERCOT to be used for allocation of ESI IDs. File appropriate NCI form to authorize ERCOT to make changes.

#### **7.11.1.4.2 Mass Transition Roles/Responsibilities During the Mass Transition**

- (1) This Section 7.11.1.4.2 outlines the various roles and responsibilities of parties involved during a transition event.

##### **7.11.1.4.2.1 Public Utility Commission of Texas Staff Responsibilities During the Mass Transition**

- (1) Monitor the progress of involved parties in completing the Mass Transition in accordance with project completion schedules.

##### **7.11.1.4.2.2 ERCOT Responsibilities During the Mass Transition**

- (1) Schedule and conduct initial and periodic Mass Transition project coordination calls, as needed;
- (2) Complete and disseminate Mass Transition Market Notices as needed;

- (3) Coordinate dissemination of mandated PUCT communications to impacted Customers;
- (4) Provide Customer billing contact information in accordance with Section 7.11.3.3, Submission of Customer Billing Contact Information During a Mass Transition Event;
- (5) Create and submit the 814\_03, Enrollment Notification Request, with the Mass Transition indicator for the affected ESI IDs;
- (6) Identify and monitor all transitioned ESI IDs to ensure that the first switch following a Mass Transition (if received within 60 days of the effective date provided in the 814\_03 transaction with the Mass Transition indicator) is forwarded to the TDSP with a requested effective date equal to the First Available Switch Date (FASD). 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;

***[RMGRR168: Replace paragraph (6) above with the following upon system implementation:]***

- (6) Identify and monitor all transitioned ESI IDs to ensure that the first 814\_01, Switch Request, transaction following a Mass Transition (if received within 60 days of the effective date provided in the 814\_03 transaction with the Mass Transition indicator) is forwarded by ERCOT with the CR's requested date to the TDSP for scheduling according to the TDSP tariff timelines. Identification of the transitioned ESI ID by ERCOT shall terminate either upon the first completed switch, move in, move out, or at the end of the 60 day period, whichever occurs first;
- (7) Once ERCOT has received the 814\_04, Enrollment Notification Response, from TDSPs on the affected ESI IDs, forward the 814\_14, Drop Enrollment Request, to the POLRs or designated CRs, and forward the 814\_11, Drop Response, to the defaulting CR;
- (8) Work with Market Participants to resolve exceptions in the list of affected ESI IDs;
- (9) Maintain the official list of affected ESI IDs;
- (10) Work with involved parties to determine specific transactions and processes to be used to resolve exceptions with Pending Transactions;
- (11) Monitor the progress of the Mass Transition project and recommend conclusion of project based on successful completion of transition activities; and
- (12) Process final and initial meter reads from the TDSP and forward to the appropriate CR.

#### **7.11.1.4.2.3      Transmission and/or Distribution Service Provider Responsibilities During the Mass Transition**

- (1) Participate in initial and periodic Mass Transition project coordination meetings through completion of the transition event;
- (2) Provide the SMRDs using the 814\_04, Enrollment Notification Response, to ERCOT for each affected ESI ID;
- (3) Identify and monitor all transitioned ESI IDs to ensure that no fee is charged for the first switch received within 60 days of the effective date provided in the 814\_03, Enrollment Notification Request, with the Mass Transition indicator. 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) Provide final and initial meter reads to ERCOT using the appropriate TX SET;
- (5) Work with involved parties to determine the process to be used for exception ESI IDs; and
- (6) Provide notification in the 814\_04 transaction that the ESI ID previously had a switch hold due to tampering in which the switch hold was removed as a result of the Mass Transition event.

#### **7.11.1.4.2.4      Provider of Last Resort or Designated Competitive Retailer Responsibilities During the Mass Transition**

- (1) Work with involved parties to determine the process to be used for exception ESI IDs; and
- (2) Participate in initial and periodic Mass Transition project coordination meetings through completion of the transition event.

#### **7.11.1.4.3      *Mass Transition Roles and Responsibilities (After the Scheduled Completion Date)***

- (1) This Section 7.11.1.4.3 outlines the various roles and responsibilities of parties involved in a Mass Transition event after completion of the Mass Transition event.

#### **7.11.1.4.3.1      Public Utility Commission of Texas Staff Responsibilities Post Mass Transition Event**

- (1) Monitor progress of involved parties in completing the Mass Transition in accordance with project completion schedules.

**7.11.1.4.3.2 ERCOT Responsibilities Post Mass Transition Event**

- (1) Monitor the progress of the Mass Transition;
- (2) Ensure all affected ESI IDs have been transitioned according to the official list of affected ESI IDs; and
- (3) Provide notification to involved parties as specified in paragraphs (2) and (3) of Section 7.11.1.1.1, Mass Transition Initiation, of the conclusion of the Mass Transition based on the successful completion of Mass Transition activities.

**7.11.1.4.3.3 Transmission and/or Distribution Service Provider Responsibilities Post Mass Transition Event**

- (1) Work with ERCOT to ensure all affected ESI IDs have been transitioned according to the official list of affected ESI IDs.

**7.11.1.4.3.4 Provider of Last Resort and/or Designated Competitive Retailer Responsibilities Post Mass Transition Event**

- (1) Work with ERCOT to ensure all affected ESI IDs have been transitioned according to the official list of affected ESI IDs; and
- (2) Complete any outstanding activities associated with follow-up due to handling of Pending Transactions as referenced in Section 7.11.1.2, Handling Pending Texas Standard Electronic Transactions During a Mass Transition.

**7.11.2 *Acquisition and Transfer of Customers from one Retail Electric Provider to Another***

- (1) This Section outlines the process that can be used to transfer ESI IDs from the current CR to another CR(s) as a result of an acquisition pursuant to P.U.C. SUBST. R. 25.493, Acquisition and Transfer of Customers from one Retail Electric Provider to Another, referred to herein as an “Acquisition Transfer.”
- (2) When feasible, ERCOT shall adhere to the timelines defined within this Section, unless ERCOT Legal authorizes the execution of an Acquisition Transfer on an expedited timeline.
- (3) The processes described in this Section presume that a decision to transfer the ESI IDs has already been made and will be a collaborative effort between PUCT Staff, ERCOT and Market Participants involved in the acquisition.
- (4) The parameters for the Acquisition Transfer process will include:
  - (a) Acknowledgement from PUCT designee of the following;

- (i) The PUCT is aware of the acquisition;
  - (ii) The CRs involved in the acquisition have worked with the PUCT in accordance with paragraph (b) of P.U.C. SUBST. R. 25.493; and
  - (iii) The acquisition does not require advance PUCT approval, unless the transfer is due to abandonment of a REP;
- (b) Identification of the Losing CR;
  - (c) Designation of the Gaining CR(s);
  - (d) A list of the affected ESI IDs;
  - (e) The date ERCOT will provide in an 814\_03, Enrollment Notification Request, indicating the Acquisition Transfer Requested Date(s) for each ESI ID. The date the Acquisition Transfer will effectuate for a specific ESI ID is herein referred to as the “Requested Date;”
  - (f) Any non-date specific transactions will be submitted by ERCOT with FASD and processed as a standard 814\_03 transaction, following the applicable timeline. Any date specific transactions will be submitted by ERCOT as a self-selected 814\_03 transaction, and may be processed on the Requested Date by the TDSP(s).

#### **7.11.2.1 Acquisition Transfer Initiation**

- (1) Upon Notification from the PUCT and involved CRs, ERCOT will initiate processes for the transfer of the impacted ESI IDs.

#### **7.11.2.2 Handling Pending Texas Standard Electronic Transactions During an Acquisition Transfer Event**

- (1) The following processes shall be utilized for handling Pending TX SET as identified by ERCOT.
  - (a) Pending – A status other than “Complete” or “Cancelled.” This status may also be referred to as “Open.”
  - (b) In Review - A status at ERCOT indicating the initiating transaction has been received and processed. The scheduling transaction has not been received from the TDSP.
  - (c) Scheduled - A status at ERCOT indicating the scheduling transaction has been received and processed. The effectuating meter read has not been received from the TDSP.

- (d) Permit Pending - A status at ERCOT indicating ERCOT has received the 814\_28, Complete Unexecutable or Permit Required, with the Permit Pending indicator from the TDSP, but has not received a subsequent 814\_04, Enrollment Notification Response, or 814\_28, Complete Unexecutable.
  - (e) Cancel Pending - A status at ERCOT indicating ERCOT has sent a response driven cancel to the TDSP and has not received a response.
- (2) Pending transactions that will result in the Losing CR having responsibility for an ESI ID will not be cancelled by ERCOT or the TDSP. It is the responsibility of the Losing CR to cancel any pending transactions as necessary.
- (a) Pending transactions that have a scheduled date that is prior to or equal to Business Day 0:
    - (i) Switch: Allowed to complete and ERCOT sends the 814\_03, Enrollment Notification Request, with the Acquisition Transfer indicator.
    - (ii) Move in: Allowed to complete and ERCOT sends the 814\_03 transaction with the Acquisition Transfer indicator.
    - (iii) Move out to CSA: Allowed to complete and ERCOT sends the 814\_03 transaction with the Acquisition Transfer indicator.
  - (b) Pending transactions that have a scheduled date that is greater than Business Day 0 or are not yet scheduled (In Review or Permit Pending):
    - (i) Switch: ERCOT will not perform any action on the pending switch. The Gaining CR submits a switch on directive of the Losing CR. It is the responsibility of the Losing CR to cancel the Losing CR's pending switch.
    - (ii) Move in (Premise not energized by Losing CR): The Gaining CR is responsible for submitting a move in for the date provided by the Losing CR. The Gaining CR is not required to use a Requested Date that is prior to the Acquisition Transfer date.
    - (iii) Move in (Premise is energized with the Losing CR): ERCOT will send the 814\_03 transaction with the Acquisition Transfer indicator. ERCOT will not cancel the Pending move in and it is the responsibility of the Losing CR to cancel its pending move in. The Gaining CR is responsible for submitting a move in for the date provided by the Losing CR.
    - (iv) Move out to CSA (Premise is not energized by Losing CR): If the Losing CR is not the submitter of the move out, ERCOT will not perform any action. Gaining CR is responsible for submitting a switch per the date provided by the Losing CR. Losing CR is responsible for ending the CSA relationship.

- (v) Move out to CSA (Premise is energized by Losing CR): ERCOT will send the 814\_03 transaction with the Acquisition Transfer indicator. Gaining CR will submit move out based on the indicator in the 814\_14, Drop Enrollment Request. Losing CR is responsible for ending the CSA relationship.
- (3) For Pending TX SETs that will result in an ESI ID being moved away from the Losing CR:
- (a) Pending transactions that have a scheduled date that is no greater than seven Business Days after the Acquisition Transfer date:
    - (i) Switch: Allowed to complete per Protocol Section 15, Customer Registration, and ERCOT will not send the 814\_03 transaction with the Acquisition Transfer indicator.
    - (ii) Move in: Allowed to complete and ERCOT will not send the 814\_03 transaction with the Acquisition Transfer indicator.
    - (iii) Move out: Allowed to complete and ERCOT will not send the 814\_03 transaction with the Acquisition Transfer indicator.
  - (b) Pending transactions that have a schedule date that is greater than seven Business Days after the Acquisition Transfer date or are not yet scheduled (In Review or Permit Pending):
    - (i) Switch: Allowed to complete per Protocol Section 15 and ERCOT will send the 814\_03 transaction with the Acquisition Transfer indicator.
    - (ii) Move in: Allowed to complete and ERCOT will send the 814\_03 transaction with the Acquisition Transfer indicator.
    - (iii) Move out: ERCOT will send the 814\_03 transaction with the Acquisition Transfer indicator to the Gaining CR. ERCOT notifies the Gaining CR of the Pending move out date and the Gaining CR will submit move out based on an indicator in the 814\_14 transaction. The Requested Date received from the Gaining CR cannot be a backdated Requested Date, unless the TDSP agrees.
- (4) ERCOT will not cancel any existing CSAs currently active with the Losing CR. It is the responsibility of the Losing CR to cancel any CSA instances as applicable.
- (5) Normal stacking logic as described in Section 11, Solution to Stacking, will apply to all transactions associated with any impacted ESI IDs.
- (6) ERCOT will not perform daily re-evaluation of ESI IDs to ensure transfer.

### 7.11.2.3 Competitive Retailer Acquisition Transfer Meter Reading

- (1) TDSP(s) are responsible for obtaining actual or estimated meter reads that can be used in denoting the transfer point for changing responsibility for serving an ESI ID from the Losing CR to the Gaining CR. The meter reads and the dates on which they were taken will be sent to ERCOT from the TDSP in the appropriate TX SET.

### 7.11.2.4 Acquisition Transfer Roles/Responsibilities

- (1) This Section outlines the various roles and responsibilities of parties involved (Losing CR, Gaining CR, TDSPs, ERCOT, PUCT) in an Acquisition Transfer event once the decision to transfer ESI IDs has been made and the parameters for the Acquisition Transfer process as described in Section 7.11.2, Acquisition and Transfer of Customers from one Retail Electric Provider to Another, have been met, and in accordance with Protocol Section 15.1.3.2, Acquisition Transfer Process.
- (2) The success of the Acquisition Transfer process is greatly dependent upon the ability and willingness of all parties involved to fully participate in the Acquisition Transfer event by satisfying all of their respective responsibilities throughout the Acquisition Transfer event as outlined below in this Section.

#### 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/Delete CSA Request, to cancel existing CSAs as necessary;

***[RMGRR172: Replace paragraph (e) above with the following upon implementation of PR409-01, TX SET 5\_0 and SCR817:]***

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

- (f) Provide the list of ESI IDs to be transferred (as agreed to by the ALA) to the Gaining CR, ERCOT and applicable TDSP(s) using the file format specified in Section 9, Appendix F7, File Layout for Acquisition Transfer, indicating those ESI IDs using standard 814\_03 transaction timelines and those using self-selected 814\_03 transaction timelines. For Acquisition Transfers requesting a self-selected 814\_03 transaction, the Losing CR must indicate the self-selected Requested Date. The Requested Date is required to be no more than 90 days in the future;
- (3) Participate in the initial Acquisition Transfer event conference call, as described in paragraph (3) of Section 7.11.2.4.2, between ERCOT, PUCT, Gaining CR, and applicable TDSP(s) to make sure all parties are aware of the transfer;
  - (4) If the Losing CR provides the Customer billing contact information to the Gaining CR using the format in File 1, MTCRCustomerInformation.csv, in Section 9, Appendix F6, Customer Billing Contact Information, or a mutually agreed upon file content and/or file format, the Losing CR does not need to submit the file to ERCOT as ERCOT is not responsible for providing this information to the Gaining CR;
  - (5) Following the initial Acquisition Transfer Event conference call, the Losing CR shall complete the following:
    - (a) Receive the 814\_11, Drop Response, from ERCOT;
    - (b) Work with involved parties to resolve exception ESI IDs (i.e. clean up out-of-sync REP of record associations, pending transaction questions, and any exceptions that may not have been included in the list of ESI IDs provided in the Acquisition Transfer file described in paragraph (2)(f) above);

- (c) Work with affected parties to close MarkeTrak issues associated with ESI IDs to be transferred; and
- (6) Participate in any additional conference calls concerning the Acquisition Transfer event scheduled by ERCOT, as described in paragraph (5) of Section 7.11.2.4.2.

#### **7.11.2.4.2 *ERCOT Responsibilities in an Acquisition Transfer***

- (1) When feasible, ERCOT shall adhere to the timelines defined within this Section, unless ERCOT Legal authorizes the execution of an Acquisition Transfer on an expedited timeline. ERCOT reserves the right to initiate the Acquisition Transfer process as directed by ERCOT Legal. All efforts shall be made by ERCOT to provide the greatest possible lead time for the notification e-mail, ESI ID lists, initial conference call and transaction processing.
- (2) ERCOT will perform the following actions prior to the initial Acquisition Transfer event conference call, as scheduled by ERCOT in paragraph (3) below:
  - (a) Prepare a list of the current Transition/Acquisition contact information as designated on the Market Participant's ERCOT NCI form for all Market Participants involved in the Acquisition Transfer event (e.g., TDSPs, Gaining CR, and Losing CR);
  - (b) On the same date that ERCOT receives the Losing CR's file providing the list of ESI IDs involved in the transfer, ERCOT shall forward this same file to the applicable TDSP(s) contacts as soon as possible;
  - (c) Once ERCOT has communicated the Acquisition Transfer file to the TDSP(s) and prior to ERCOT scheduling the Acquisition Transfer conference call, ERCOT shall allow TDSP(s), at a minimum, one Retail Business Day evaluation period to review the Losing CR's list of ESI IDs, unless ERCOT Legal authorizes the execution of an Acquisition Transfer on an expedited timeline;
  - (d) Upon receipt of the TDSP(s) confirmation of switch hold removals to ERCOT, as described in paragraph (2)(b) of Section 7.11.2.4.3, Transmission and/or Distribution Service Provider Responsibilities in an Acquisition Transfer, ERCOT shall schedule the initial Acquisition Transfer event conference call between ERCOT, PUCT, Losing CR, Gaining CR, and applicable TDSP(s) to coordinate the details of the Acquisition Transfer event.
- (3) Host the initial Acquisition Transfer event conference call. During the initial Acquisition Transfer event conference call, the following items will be addressed:
  - (a) Number of ESI IDs involved in Acquisition Transfer (if available), per TDSP:
    - (i) Number ESI IDs to be transferred using standard 814\_03, Enrollment Notification Request, timelines; and/or

- (ii) Number of ESI IDs to be transferred using self-selected 814\_03 transaction timelines.
- (b) Estimated time ERCOT will begin submitting the 814\_03 transactions to affected TDSP(s);
- (c) Determine the process to be used to resolve exception ESI IDs (i.e. clean up out-of-sync REP of record associations, pending transaction questions, and any exceptions that may not have been included in the list of ESI IDs provided by the Losing CR in the Acquisition Transfer file);
- (d) Confirm the accuracy of the Transition/Acquisition contacts (technical, business, and regulatory) for the Market Participants involved in the Acquisition Transfer event; and
- (e) Determine schedule and frequency of additional conference calls;
- (4) Following the initial Acquisition Transfer event conference call if possible:
  - (a) Perform a final verification of pending TX SETs immediately prior to submission of the 814\_03 transaction as described in Section 7.11.2.2, Handling Pending Texas Standard Electronic Transactions During an Acquisition Transfer Event;
  - (b) Create and submit the 814\_03 transaction with the Acquisition Transfer indicator for the affected ESI IDs;
  - (c) Send the applicable TDSP(s) a list of their ESI IDs for all 814\_03 transactions sent by ERCOT;
  - (d) Work with involved parties to determine the process to be used for exception ESI IDs, (i.e. clean up out-of-sync REP of record associations, pending transaction questions, and any exceptions that may not have been included in the list of ESI IDs provided in the Acquisition Transfer file described in paragraph (2)(f) of Section 7.11.2.4.1, Losing Competitive Retailer Responsibilities in an Acquisition Transfer event the Losing CR);
  - (e) Once ERCOT has received the 814\_04, Enrollment Notification Response, from TDSP(s) on the affected ESI IDs, ERCOT will forward the 814\_14, Drop Enrollment Request, to the Gaining CR(s) and the 814\_11, Drop Response, to the Losing CR within one Retail Business Day;
  - (f) Process final and initial meter reads received from the TDSP(s) and forward to the appropriate CR(s); and
  - (g) Monitor the progress of the Acquisition Transfer event and recommend conclusion of the Acquisition Transfer event based upon successful completion of required activities.

- (5) Schedule and host all Acquisition Transfer event conference calls as needed throughout the specific Acquisition transfer event.

**7.11.2.4.3 *Transmission and/or Distribution Service Provider Responsibilities in an Acquisition Transfer***

- (1) The TDSP(s) 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 TDSP's list of Transition/Acquisition contacts on file with ERCOT (as designated on the TDSP's ERCOT NCI form). It is the responsibility of the TDSP 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) Remove switch hold(s) based upon the 650\_01, Service Order Request, received from the Losing CR;
- If the Losing CR has not provided the 650\_01 transaction(s) to the TDSP(s) requesting switch hold removal(s) no later than one Retail Business Day prior to the Acquisition Transfer conference call, the TDSP(s) will remove all switch hold(s) that are associated to the list of ESI IDs that the TDSP(s) receives from ERCOT as soon as possible in an effort to prevent ERCOT's generated 814\_03, Enrollment Notification Request, from being rejected due to switch hold;
- (3) Participate in the initial Acquisition Transfer event conference call between ERCOT, PUCT, Gaining CR, and Losing CR as described in paragraph (3) of Section 7.11.2.4.2 to make sure all parties are aware of the transfer;
- (4) Following the initial Acquisition Transfer event conference call:
- (a) Provide the SMRDs using the 814\_04, Enrollment Notification Response, to ERCOT for each affected ESI ID;
- (b) Work with involved parties to determine the process to be used for exception ESI IDs (i.e. clean up out-of-sync REP of record associations, pending transaction questions, and any exceptions that may not have been included in the list of ESI IDs provided by the Losing CR in the Acquisition Transfer file described in paragraph (2)(f) of Section 7.11.2.4.1, Losing Competitive Retailer Responsibilities in an Acquisition Transfer event the Losing CR);
- (c) Work with affected parties to close any MarkeTrak issues associated with ESI IDs to be transferred;

- (d) Provide ERCOT with initial and final meter reads in accordance with Section 9, Appendix D1, Transaction Timing Matrix;
  - (e) Work with ERCOT to ensure all affected ESI IDs have been transferred according to the Acquisition Transfer file; and
- (5) Participate in any additional conference calls concerning the Acquisition Transfer event scheduled by ERCOT, including the final Acquisition Transfer event conference call, as scheduled by ERCOT in paragraph (5) of Section 7.11.2.4.2.

#### **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/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;

***[RMGRR172: Replace paragraph (c) above with the following upon implementation of PR409-01, TX SET 5\_0 and SCR817:]***

- (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;
- (3) Participate in the initial Acquisition Transfer event conference call between ERCOT, PUCT, Losing CR, and applicable TDSP as described in paragraph (3) of Section 7.11.2.4.2, to make sure all parties are aware of the transfer;
- (a) Following the initial Acquisition Transfer event conference call:
    - (i) Receive the 814\_14, Drop Enrollment Request;

- (ii) Work with involved parties to determine the process to be used for exception ESI IDs (i.e. clean up out-of-sync REP of record associations, pending transaction questions, and any exceptions that may not have been included in the list of ESI IDs provided by the Losing CR in the Acquisition Transfer file described in paragraph (2)(f) of Section 7.11.2.4.1, Losing Competitive Retailer Responsibilities in an Acquisition Transfer Event);
  - (iii) Work with ERCOT to ensure all affected ESI IDs have been transferred according to the Acquisition Transfer file; and
  - (iv) Send updated Customer information as received from the Losing CR in the Customer Billing Contact Information File 1, MTCRCustomerInformation.csv, in Section 9, Appendix F6, Customer Billing Contact Information, to the TDSP using the 814\_PC, Maintain Customer Information Request.
- (4) Participate in any additional conference calls concerning the Acquisition Transfer event scheduled by ERCOT, including the final Acquisition Transfer event conference call confirming closure of Acquisition Transfer event, as scheduled by ERCOT in paragraph (5) of Section 7.11.2.4.2.

### **7.11.3 Customer Billing Contact Information File**

#### **7.11.3.1 Flight Testing Submission of Customer Billing Contact Information**

- (1) All CRs participating in flight testing as new Market Participants shall submit, via North American Energy Standards Board (NAESB), a Customer Billing Contact Information File containing mock data in order to verify their ability to send a Customer Billing Contact Information File. ERCOT will send a response to the submitting CR via NAESB. See Section 9, Appendices, Appendix F6, Customer Billing Contact Information, for information on file formats for transmittal of Customer billing contact information and ERCOT responses.

#### **7.11.3.2 Monthly Submission of Customer Billing Contact Information**

- (1) All CRs shall submit monthly, timely and complete Customer Billing Contact Information Files. Files shall be created and submitted to ERCOT between the 1st and the 15th of each month. The recommended file naming convention is <DUNS><Reportname><datetime><counter>.csv in addition to any application file naming conventions used in transmitting the file. For example, “999999999MTCRCustomerInformation20070427113001999.csv” where:

|               |                  |                          |
|---------------|------------------|--------------------------|
| <b>DUNS #</b> | <b>CR DUNS #</b> | <b>Numeric (9 or 13)</b> |
|---------------|------------------|--------------------------|

|                   |                                      |                                     |
|-------------------|--------------------------------------|-------------------------------------|
| <b>Reportname</b> | “MTCRCustomerInformation”            | Alphanumeric (23)                   |
| <b>datetime</b>   | File transmission date/time stamp    | Datetime format =<br>ccyymmddhhmmss |
| <b>counter</b>    | Counter with no specified value      | Numeric (3)                         |
| <b>.csv</b>       | Value of .csv mandatory in file name |                                     |

***RMGRR168: Replace paragraph (1) above with the following upon system implementation and renumber accordingly:]***

- (1) ERCOT has created a single standard file format that provides Customer billing contact information, also known as the Customer billing contact information file. These Customer billing contact information files are critical in the event of a Mass Transition since their only use is the means of communicating Customer billing contact information for the exiting REP to the impacted POLRs. All CRs shall submit monthly, timely and complete Customer billing contact information files in accordance with subsection (p)(6) of P.U.C. SUBST. R. 25.43, Provider of Last Resort (POLR). Files shall be created and submitted to ERCOT between the 1st and the 15th of each month. Additional REP and ERCOT requirements that are included in this rule are:
- (a) Each REP must submit timely, accurate and complete files, as required by ERCOT in a Mass Transition event, as well as for periodic testing; and
  - (b) ERCOT must notify the PUCT if any REP fails to comply with the reporting requirements as identified in subsection (p)(6) of P.U.C. SUBST. R. 25.43.
- (2) The recommended file naming convention is <DUNS><Reportname><datetime><counter>.csv in addition to any application file naming conventions used in transmitting the file. For example, “999999999MTCRCustomerInformation20070427113001999.csv” where:

|                   |                                      |                                     |
|-------------------|--------------------------------------|-------------------------------------|
| <b>DUNS #</b>     | CR DUNS #                            | Numeric (9 or 13)                   |
| <b>Reportname</b> | “MTCRCustomerInformation”            | Alphanumeric (23)                   |
| <b>datetime</b>   | File transmission date/time stamp    | Datetime format =<br>ccyymmddhhmmss |
| <b>counter</b>    | Counter with no specified value      | Numeric (3)                         |
| <b>.csv</b>       | Value of .csv mandatory in file name |                                     |

- (2) At a minimum the filename must contain .csv after decryption otherwise the file will be rejected by ERCOT. Files will be sent with a NAESB input-format of “FF.” Any file extension other than .csv, such as .xml or .x12 will fail at ERCOT.
- (3) CRs will not split their Customer billing contact information for a single DUNS # into multiple files. An additional file for the same DUNS # will overwrite the previously sent file, resulting in only partial information being saved. For any DUNS #s that do not have active ESI IDs, the CR will not be required to submit a file for Customer billing contact information.
- (4) ERCOT will validate that all mandatory data elements are present and meet formatting requirements.
  - (a) ERCOT will verify that the ESI IDs are valid in the ERCOT registration system.
- (5) ERCOT will send two response files to the submitting CR via NAESB.
  - (a) File 2A - MTCRCustomerInformationERCOTResponse.csv is an acknowledgement sent by ERCOT to the CR with information as to the status of the data.
    - (i) ERCOT will inform the submitting CR of any data fields that did not meet formatting requirements.
    - (ii) ERCOT will inform the submitting CR of any required data fields that were not provided.
  - (b) File 2B – MTCRDataValidationERCOTResponse.csv is a response to business level validation.
    - (i) ERCOT will inform the CR of any ESI IDs that are not valid in the ERCOT registration system.

See Section 9, Appendices, Appendix F6, Customer Billing Contact Information, for information on the formats for transmittal of Customer billing contact information and ERCOT response.

- (6) CRs shall correct any errors noted in the impacted month’s response file(s) and resubmit to ERCOT the corrected file in its entirety no later than the end of that month.

#### **7.11.3.2.1      *Retention Monthly Customer Billing Contact Information***

- (1) ERCOT will retain the data from the last monthly submission, to be used in lieu of data from the exiting CR, in instances where the exiting CR does not provide such data. ERCOT will safeguard the Customer billing contact information in accordance with Protocol Section 1.3, Confidentiality.

#### **7.11.3.3      *Submission of Customer Billing Contact Information During a Mass***



### **Transition Event**

- (1) Upon the initiation of a Mass Transition event, ERCOT will request that the exiting CR provide Customer billing contact information for all ESI IDs which the exiting CR serves. CRs shall submit timely and complete files, as required by ERCOT in a Mass Transition event. All information must be sent in a pipe delimited Comma Separated Values (CSV) file format via NAESB and must contain all required Customer billing contact information.
- (2) ERCOT will validate that all mandatory data elements are present and meet formatting requirements as described in paragraph (4) of Section 7.11.3.2, Monthly Submission of Customer Billing Contact Information. ERCOT will also validate that information is provided for all ESI IDs involved in the Mass Transition and will contact the exiting CR with any discrepancies. All ERCOT response files will be transmitted back to the exiting CR via NAESB. See Section 9, Appendices, Appendix F6, Customer Billing Contact Information, for information on the formats for transmittal of Customer billing contact information and ERCOT responses.
- (3) The submission of Customer billing contact information described in this Section 7.11.3.3 is not applicable to an Acquisition Transfer.

#### **7.11.3.3.1 *Sending Customer Billing Contact Information During a Mass Transition Event***

##### **7.11.3.3.1.1 Provision of Data to the Gaining Competitive Retailer**

- (1) Upon receipt of the Customer billing contact information from the exiting CR during a Mass Transition event, ERCOT shall provide each Gaining CR with available Customer billing contact information for the ESI IDs each Gaining CR will be receiving through the Mass Transition event. ERCOT will include all ESI IDs on the list that is sent to the Gaining CR, even if no Customer information is available. ERCOT will transmit files in CSV file format via NAESB.

##### **7.11.3.3.1.2 Provision of Data to the Transmission and/or Distribution Service Providers**

- (1) Upon receipt of the Customer billing contact information from the exiting CR during a Mass Transition event, ERCOT shall provide each TDSP affected by the Mass Transition with available Customer contact information for the ESI IDs involved in the Mass Transition event. Prior to transmitting the files to the TDSPs, ERCOT shall first remove all billing data leaving only ESI ID, Customer name and contact number. ERCOT will transmit files in CSV file format via NAESB. See Section 9, Appendices, Appendix F6, Customer Billing Contact Information.

**7.11.3.3.2      *Sending Monthly Customer Billing Contact Information to Gaining Competitive Retailers and Transmission and/or Distribution Service Providers When No File is Received from the Exiting Competitive Retailer***

- (1) Should the exiting CR fail to send current Customer billing contact information, ERCOT will distribute information received in the last monthly report submission no later than three Retail Business Days after the Mass Transition Notification. In instances where information is not provided through either a current or stored file, the Gaining CR shall request that the TDSP provide any relevant information in its possession.

**7.11.3.4      *Reporting by ERCOT to the Public Utility Commission of Texas***

- (1) ERCOT will provide a confidential report to the PUCT by the first of each month; the following information will be included in the report:
- (a) Name and DUNS # of CRs who submitted monthly Customer Billing Contact Information Files:
    - (i) Date of file submission;
    - (ii) Number of rows provided by CR;
    - (iii) Count of ESI IDs ERCOT has as the active REP of record with CR;
    - (iv) Total number of mandatory fields expected from CR;
    - (v) Number of mandatory fields provided by CR; and
    - (vi) Number of mandatory fields not provided by CR; and
  - (b) Name and DUNS # of CRs that did not submit reports: Count of ESI IDs ERCOT has associated with CR.

**7.11.4      *Mass Transition Process of Transmission and/or Distribution Service Provider Electric Service Identifier***

- (1) For information on PUCT communication requirements when transitions occur between TDSPs, please refer to P.U.C. SUBST. R. 25.74, Report on Change in Control, Sale of Property, Purchase of Stock, or Loan.

**7.11.5      *Transmission and/or Distribution Service Provider Electric Service Identifier Transition Roles and Responsibilities***

- (1) The following are the various roles and responsibilities of parties involved in a transition event and may need to be revised based on the specific circumstances associated with any particular event:

- (a) PUCT
  - (i) Establish or approve transition event Decision parameters including designation of the losing TDSP, gaining TDSP, general population of transitioning ESI IDs and Target Effective Date(s);
  - (ii) Authorize ERCOT to initiate transition process in the market;
  - (iii) Designate lead individual from PUCT Staff to work with ERCOT project lead and Market Participant team for project coordination purposes;
  - (iv) Review and approve, as needed, market communications with Customers associated with transition of ESI IDs;
  - (v) Approve as necessary, exceptions to the application of the recommended market process for completing the transition; and
  - (vi) Monitor progress of involved parties in completing the transition in accordance with targeted schedules.
  
- (b) ERCOT
  - (i) Upon PUCT approval, initiate TDSP to TDSP ESI ID transition process;
  - (ii) Identify parties involved in the transition event, including losing TDSP, gaining TDSP, and all affected CRs, including CSA CRs and CRs with Pending Transactions;
  - (iii) Designate ERCOT transition project lead;
  - (iv) Schedule and facilitate initial and ongoing transition coordination meetings and conference calls through completion of the transition event;
  - (v) Coordinate market Notification of transition event to parties not involved in the transition;
  - (vi) Review initial list of transitioning ESI IDs for synchronization issues and work with Market Participants to resolve discrepancies and distribute to Market Participants;
  - (vii) Maintain and distribute the official list of transitioning ESI IDs;
  - (viii) Work with the TDSPs and CRs to determine the specific transactions and processes to be used to resolve issues surrounding Pending Transactions; and
  - (ix) Continually monitor the progress of the transition project and recommend conclusion of project based upon successful completion of all transition activities.

- (c) TDSPs
  - (i) Confirm accuracy of the TDSP's list of Transition/Acquisition contacts (technical, business and regulatory) on file with ERCOT (as designated on the TDSP's ERCOT registration form or as updated via the NCI form). It is the responsibility of the TDSP 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;
  - (ii) Work with ERCOT and CRs to resolve all discrepancies of transitioning ESI IDs;
  - (iii) Provide SMRDs for transitioning of ESI IDs;
  - (iv) Work with involved parties to determine the specific transactions and process to be used to complete the transition plan;
  - (v) Provide Market Participants with a tentative schedule and ongoing progress reports throughout transition for completion of transition; and
  - (vi) Participate in initial and ongoing transition project coordination meetings and/or conference calls through completion of the transition event.
- (d) Designated CR, includes CSA CR
  - (i) Confirm accuracy of the Designated CR's list of Transition/Acquisition contacts (technical, business and regulatory) on file with ERCOT (as designated on the Designated CR's ERCOT registration form or as updated via the NCI form). It is the responsibility of the Designated 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;
  - (ii) Review initial list of transition ESI IDs for accuracy and work with TDSP and ERCOT to resolve discrepancies;
  - (iii) Notify Customers involved of transition;
  - (iv) Work with involved parties to resolve issues with Pending Transactions;
  - (v) Submit transactions associated with transitioning ESI IDs in accordance with ERCOT directives, Protocols, and PUCT regulatory requirements;
  - (vi) Participate in initial and ongoing transition project coordination meetings and/or conference calls through completion of the transition event; and

- (vii) If the gaining TDSP is an MOU/EC TDSP, designated CR must supply Customer billing information to the MOU/EC TDSP, unless otherwise indicated in Section 8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market.
- (e) New CR
  - (i) Submit transactions associated with transitioning ESI IDs in accordance with ERCOT directives, Protocols, and PUCT regulatory requirements; and
  - (ii) Work with involved parties to resolve issues with Pending Transactions.

#### **7.11.6 *Transmission and/or Distribution Service Provider Transition Process Narrative***

- (1) Decision
  - (a) The processes described in this Section presume that a Decision to transition the ESI IDs has already been made. The Launch decision provides assurance to the participants that transition actions and resources are required and will be a collaborative effort among representatives from the PUCT Staff, ERCOT and Market Participants involved in the transition;
  - (b) The parameters for the Mass Transition process will include:
    - (i) Identification of the losing TDSP;
    - (ii) Designation of the gaining TDSP;
    - (iii) A list of the affected ESI IDs;
    - (iv) Identification of all of the affected CRs (Current, CSA, and pending New CR);
    - (v) Assessment of wholesale market impacts; and
    - (vi) Effective Date(s) of the transition.
  - (c) The transition of the designated ESI ID population may encompass more than one Effective Date. However, individual ESI IDs will have only one effective date. If conditions permit, then the individual Effective Date should be aligned with a regular SMRD.
- (2) Launch
  - (a) After the PUCT has approved the transition of ESI IDs, ERCOT will issue periodic Notifications to the affected CRs:

- (i) Indicating that they are affected by an approved TDSP territory transition;
  - (ii) Stating that they are certified according to ERCOT processes to serve in the gaining TDSP territory;
  - (iii) Indicating that the gaining TDSP may have additional requirements before the CR can continue to serve the Load in the gaining TDSP's certified territory;
  - (iv) Describing what transactions are required; and
  - (v) Describing when the CR is required to submit transactions;
- (b) The losing TDSP will provide a file capable of being converted to a CSV file with a final set of ESI IDs that are targeted for the transition to the gaining TDSP and all affected CRs;
  - (c) ERCOT will confirm that its record of ESI ID ownership is consistent with the losing TDSP's and identify any ESI IDs for which there are Pending Transactions; and
  - (d) When discrepancies exist, ERCOT, the TDSP, and the appropriate CR(s) will resolve the discrepancies to ensure that the correct population of ESI IDs is transitioned.
- (3) Requirements
- (a) Gaining TDSP will change the ESI IDs for the Premises acquired. When a partial TDSP transition event takes place, such partial TDSP transition requires the gaining TDSP to create new and unique ESI IDs for all ESI IDs involved in the transition;
  - (b) Transition of equipment and Customers will occur by the transition date agreed upon by both the losing and gaining TDSP;
  - (c) Issues with transferring equipment may delay the transition. The subsequent dates will be a part of the PUCT final approval;
  - (d) When applicable, the 814\_20, ESI ID Maintenance Request, will be sent by the gaining TDSP and must process prior to any relationship activity taking place on the ESI ID to account for the one day difference between ERCOT's Siebel and Lodestar systems;
  - (e) When creating a new ESI ID(s), the process is:
    - (i) Upon completion of the move out for the existing CR, the losing TDSP is responsible for deactivation and retirement of the old ESI ID; and

- (ii) The Gaining TDSP is responsible for new ESI ID setup and activation. All actions are performed utilizing the appropriate transactions. Note: Transition of CR within ERCOT's system must occur simultaneously to prevent the old and new ESI IDs from being active or de-energized at the same time for the same Premise.
- (f) Out-of-sync conditions between ERCOT and the TDSP will be resolved through current market synchronization processes;
- (g) Losing TDSP will maintain the historical information for the time period it owned the ESI ID according to present record retention rules for TDSPs;
- (h) Losing TDSP will maintain ability to perform cancel/rebills for the time period it owned the ESI ID;
- (i) Throughout the transition period, the gaining MOU/EC TDSP must identify those affected ESI IDs involved in the transition between competitive and non-competitive Load in its certificated service territory for the purpose of Settlement at ERCOT;
- (j) The gaining MOU/EC TDSP must confirm that the Service Address is also the billing address, utilizing current CR-provided information on each affected ESI ID, unless otherwise indicated in Section 8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market;
- (k) The gaining TDSP and CR will determine how to communicate any fees to the retail Customer;
- (l) All Pending Transactions with effective dates before the transition date will be completed by the losing TDSP before the transition date; and
- (m) Move out date for the losing TDSP's ESI ID will have the same effective date as the move in effective date for the gaining TDSP when creating a new ESI ID.

**7.11.7 *Transmission and/or Distribution Service Provider Electric Service Identifier Transition Detailed Process Steps***

- (1) Any partial or full TDSP transition of ESI IDs that occurs shall follow current processing at ERCOT.
  - (a) PUCT notification and notice of intent to CRs;
  - (b) ERCOT receives updated CR listing from losing TDSP;
  - (c) ERCOT forwards list of ESI IDs to gaining TDSP and all applicable CRs;

- (d) The losing TDSP will complete all Pending orders that are effective before the Effective Date of the transition with an 867\_03, Monthly or Final Usage, or 867\_04, Initial Meter Read, also including 650\_01, Service Order Requests, if applicable;
- (e) The gaining TDSP or MOU/EC receives historical data from losing TDSP for profile validation. The gaining TDSP must successfully complete the Load Profile Type validation process with ERCOT no later than 90 days prior to the actual transfer of the ESI IDs. The losing TDSP shall provide historical usage information to the gaining TDSP in a manner that helps to expedite this process;
- (f) When ESI IDs are being transitioned between competitive service territories, the gaining TDSP shall evaluate the number of ESI IDs that are transitioning into its service area to determine if the additional Premises substantially change its distribution system. If the additional Premises constitute a substantial change in its distribution system, then the gaining TDSP will be required to submit an update to its annual Distribution Loss Factor (DLF) methodology it previously submitted to ERCOT. If the gaining TDSP determines that the additional ESI IDs are not a substantial change to its distribution systems, no DLF submittal will be required from the gaining TDSP, but ERCOT reserves the right to request a copy of the TDSP's analysis for review and approval. In either case, the gaining TDSP is responsible for making the DLF assignment for each ESI ID via the 814\_20, ESI ID Maintenance Request. If the gaining TDSP requires modeling information from the losing TDSP to complete this requirement, then the losing TDSP shall provide that information in a timely manner;
- (g) ERCOT notifies REP of record of certification status in the gaining TDSP's territory;
- (h) The gaining TDSP (if previously a MOU/EC) will provide information to the Steady State Working Group (SSWG) and ERCOT, via the Annual Load Data Request and ongoing Base Case updates, regarding any substations to be added, if and where applicable. Gaining TDSP establishes eligibility date for the new ESI IDs;
- (i) The gaining TDSP sends transition plan to losing TDSP and ERCOT. This transition plan will include:
  - (i) Losing TDSP's ESI IDs;
  - (ii) Gaining TDSPs new ESI IDs;
  - (iii) Eligibility date;
  - (iv) REP of record;
  - (v) Service Address;



- (vi) Membership number (if available); and
- (vii) Transition date for each ESI ID affected;
- (j) ERCOT validates for REP of record and forwards transition plan to current REP of record and CSA CR;
- (k) In an MOU/EC TDSP transition where the MOU/EC TDSP is the gaining TDSP, CRs will forward billing information in a file that is capable of being converted to a CSV file to the MOU/EC TDSP after PUCT approval of the transition filing;
- (l) ERCOT uses transition plan for subsequent and final REP of record validation;
- (m) Current CR, New CR, or CSA CR will communicate to their retail Customers the TDSP's' transition as outlined by P.U.C. SUBST. R. 25.74, Report on Change in Control, Sale of Property, Purchase of Stock, or Loan;
- (n) Gaining TDSP sends an 814\_20 transaction with the create ESI ID request, with an eligibility date that is at least ten Business Days prior to the transition date and receives a response;
- (o) ERCOT receives the 814\_20 transaction with the create ESI ID request, validates and sends the accept or reject in the 814\_21, ESI ID Maintenance Response. If the 814\_20 transaction is rejected by ERCOT, then the TDSP will make the necessary corrections and resend the 814\_20 transaction to ERCOT;
- (p) CRs can send the 814\_16, Move-In Request, to ERCOT as of the eligibility date on the 814\_20 transaction; however, the effective date of the move in must be equal to or greater than the eligibility date. The current REP of record will initiate the 814\_16 transaction of the gaining TDSP's ESI ID with the transition date as the move in effective date;
- (q) When the gaining TDSP is a MOU/EC, the REP of record will send Customer billing address information updates via the 814\_PC, Maintain Customer Information Request, on any ESI ID where the Customer billing information has changed prior to the transition date;
- (r) Current CSA CR must establish CSAs on new ESI IDs and dissolve CSA relationships on losing TDSP ESI IDs through appropriate market transactions;
- (s) Current REP of record initiates the 814\_24, Move Out Request, process on old ESI IDs with the transition date as the effective move out date. To prevent move in(s) for CSA CR, ERCOT should have already removed CSAs on all the transitioning ESI IDs, where applicable; and
- (t) Following the transition date:

- (i) Losing TDSP will send an 867\_03 transaction, final, upon completion of the move out; and
- (ii) Gaining TDSP will send an 867\_04 transaction upon completion of the move in. The effective date of the move out for the losing TDSP and the effective date of the move in for the gaining TDSP will be the same.

## 7.12 Estimated Meter Readings

### 7.12.1 Texas Standard Electronic Transaction 867\_03, Monthly or Final Usage

- (1) Meter read estimates are identified within the 867\_03, Monthly or Final Usage, in the MEA 01 (Meter Reads) segment and also in greater detail in the REF (Reason for Estimate) segment to identify the reason and number of consecutive monthly estimates.

### 7.12.2 Estimations Due to Safety and/or Meter Removal

- (1) In the event the Transmission and/or Distribution Service Provider (TDSP) removes an active meter due to safety or violation of electrical code issues (e.g., meter pulled due to fire at Premise), the TDSP may provide estimated meter reads after the meter has been removed.
- (2) A TDSP will send the 650\_04, Planned or Unplanned Outage Notification, with the ‘R8’ reason code to communicate permanent meter removal to the Competitive Retailer (CR). Upon receipt of the TDSP notification, the CR should send an 814\_24, Move Out Request, to the TDSP within ten Business Days. If the TDSP sends a service suspension date in the 650\_04 transaction, the CR has the option to use this date in the CR’s 814\_24 transaction; otherwise the CR will use a future date in the CR’s 814\_24 transaction.
- (3) CRs will contact the TDSP Retail Electric Provider (REP) relations groups for all communications regarding CR contact information. The following TDSP REP relations groups may be contacted at the e-mail addresses indicated in Table 27, TDSP REP Relations E-mail Addresses, below.

**Table 27. TDSP REP Relations E-mail Addresses**

| <b>TDSP</b> | <b>Contact Information for Emergency Reconnect</b> |
|-------------|--|
| <b>AEP</b>  | crrtx@aep.com                                      |
| <b>CNP</b>  | CR.Support@CenterPointEnergy.com                   |
| <b>NEC</b>  | cduncan@nueceselectric.org                         |

| TDSP         | Contact Information for Emergency Reconnect |
|--------------|---|
| <b>Oncor</b> | REPreations@Oncor.com                       |
| <b>TNMP</b>  | mprelations@tnmp.com                        |

### 7.12.3 *Estimation Based on Denial of Access*

- (1) CRs will be responsible for Customer contact to resolve accessibility issues to allow the TDSP access to the meter. If resolution to the accessibility issue requires TDSP assistance, the CR should contact the TDSP REP relations group to discuss additional options to access the meter.
- (2) If the TDSP encounters a Premise where access to the meter has been denied, a door hanger requesting permanent access in the future will be left at the Premise (see Section 9, Appendices, Appendix I, Door Hanger – Sample of Transmission and/or Distribution Service Provider’s Minimum Standard Language for Notification of Denial of Access). The door hanger will include, but is not limited to, the following information:
  - (a) A request for access to the meter;
  - (b) An explanation of the consequences (includes disconnection language) for failure to provide access; and
  - (c) A description of who to contact for options and resolution.
- (3) The TDSP will provide notification to the CR, via the 867\_03, Monthly or Final Usage, identifying:
  - (a) The reason that the meter read was estimated and the number of sequential estimates without an actual read;
  - (b) Sufficient detail to communicate to the retail Customer why access was unavailable; and
  - (c) Notification of whether a door hanger was left at the Premise.
- (4) Upon notification by the TDSP that a meter was estimated for denial of access, the CR shall contact the Customer to request ongoing access for the TDSP and inform the retail Customer of the consequences for continuing to fail to provide ongoing access. The CR will contact the Customer by phone, mail or door to door contact. The options available to the Customer are:
  - (a) Provide access to the existing meter and company owned facilities;
  - (b) Disconnection of service after three monthly denials of access estimates;

- (c) TDSP installation of a remote read capable meter at the Customer's expense and billed directly to the CR. (This option will require Customer coordination); or
  - (d) Customer's relocation of the Customer owned meter base, at Customer's expense. (This option requires coordination with the Customer and TDSP.)
- (5) If the Customer or CR has not selected one of the options identified in paragraph (4) above, within ten Retail Business Days following the three consecutive estimates, the TDSP will select one of the available options.
  - (6) If a CR is notifying the TDSP of the Customer's choice or the CR's choice for the Customer, the CR will send the TDSP a 650\_01, Service Order Request, including pertinent information the Customer has provided. Otherwise the CR will contact the TDSP or ask the Customer to contact the TDSP directly to resolve the access issue.
  - (7) The TDSP may continue to estimate residential or non-critical Load for an additional 60 days from the three consecutive estimates in order to implement one of the options identified in paragraph (4) above.

#### **7.12.4 Disconnection and Reconnection for Denial of Access**

- (1) A request for disconnection by the CR, regardless of the service order option chosen, will use the appropriate code for denial of access on the 650\_01, Service Order Request. CRs requesting reconnection after resolution of the access issue will use the appropriate 650\_01 transaction with an explanation of what has been done to resolve the denial of access issue. If the Customer was disconnected at the request of the CR via a 650\_01 transaction, the TDSP will not reconnect the Premise without a reconnect request from a CR.
- (2) If the TDSP initiates the disconnection for denial of access, the TDSP will send a 650\_04, Planned or Unplanned Outage Notification, with the appropriate code, to the CR when the TDSP has disconnected service. The TDSP will reconnect at the Customer's request or by request of the CR when the access issue is resolved. When the request comes to the TDSP via the Customer, the TDSP will reconnect service upon resolution of the denial of access issue and submit a 650\_04 transaction to the CR to communicate reconnection of service.

#### **7.12.5 Estimation for Denial of Access by Non-residential Critical Load Customers**

- (1) Denial of Access by a critical Load Customer will follow the same process as identified in Section 7.12.3, Estimation Based on Denial of Access, excluding disconnection of service and with the provision that after five consecutive meter estimates, if access has not been provided, the TDSP may charge a denial of access fee each month until the access issue is resolved.

### **7.12.6 *Estimations for Reasons Other than Denial of Access by the Customer***

- (1) TDSPs may not estimate a meter read for more than three consecutive months where denial of access is not the issue.
- (2) TDSPs may estimate a meter read for tampering or Mass Transition of Customer's Premise. These estimates will not be counted as an estimate by the TDSP.
- (3) If the TDSP estimates a meter read for any reason other than denial of access, the estimate will not be considered a break in a series of consecutive months of denial of access and shall not be considered a month in which the retail Customer has denied access.

### **7.13 *[RESERVED]***

### **7.14 *Out-flow Energy from Distributed Generation Facilities***

- (1) Retail Electric Providers (REPs) or Resource Entities, via their Qualified Scheduling Entities (QSEs), can receive wholesale Settlement for out-flow energy, according to the processes and requirements outlined below. This section details the requirements and processes for ERCOT to provide wholesale Settlement for out-flow energy submitted by a Transmission and/or Distribution Service Provider (TDSP).

#### **7.14.1 *TDSP Interconnection Agreement***

- (1) A current and valid Interconnection Agreement must be in place with the TDSP, as described in P.U.C. SUBST. R. 25.211, Interconnection of On-Site Distributed Generation (DG), and P.U.C. SUBST. R. 25.212, Technical Requirements for Interconnection and Parallel Operation Of On-Site Distributed Generation.

#### **7.14.2 *TDSP Communication of Technical Information from Distributed Generation Interconnection Agreements for Unregistered Distributed Generation***

- (1) In order to assign a DG Load Profile, the TDSP is required to submit information as specified in the Load Profiling Guide, Appendix D, Profile Decision Tree, to ERCOT, within ten Retail Business Days of the effective date of the Interconnection Agreement.

#### **7.14.3 *Metering Required for Measurement and Settlement of Out-flow Energy***

- (1) The Premise must have metering installed at the point of common coupling that separately measures and reports consumption from the distribution network and out-flow energy from the Customer's side of the meter to the distribution network.

- (2) A Premise with an Interval Data Recorder (IDR) must have both the Load and out-flow energy measured and settled with IDR data.
  - (a) For a Premise with a BUSIDRRQ Load Profile, the DG must be registered with ERCOT and be assigned a Resource ID (RID). Out-flow energy associated with the RID will be settled to the QSE associated with the Resource Entity representing the DG.
- (3) Customers choosing to have their out-flow energy measured shall contact their TDSP to request the necessary metering if they have not already done so in conjunction with their interconnection activities. TDSP charges may apply for the cost of the metering. See P.U.C. SUBST. R. 25.213, Metering for Distributed Renewable Generation and Certain Qualifying Facilities, for further details.

#### **7.14.4 Transmittal of Out-flow Energy Data for Unregistered Distributed Generation**

- (1) The requirements of a Premise are:
  - (a) The Electric Service Identifier (ESI ID) must be assigned to a DG Load Profile as per the Load Profiling Guide, Appendix D, Profile Decision Tree; and
  - (b) The total out-flow energy value (kWh) will be supplied in the QTY~QD of the PTD~PL loop having a REF~MT of “KHMON” with the REF~JH~I segment on the 867\_03, Monthly or Final Usage, and the 867\_02, Historical Usage. For instances where there has been no out-flow energy, the segment should either be omitted or included and populated with zero. In the absence of a meter that measures out-flow energy, the REF~JH~I shall not be included on the 867\_02 or 867\_03 transactions.
- (2) For IDR metering, interval out-flow energy values must be provided in the ERCOT specified file format in accordance with Section 7.15, Advanced Meter Interval Data File Format and Submission.

#### **7.14.5 Transmittal of Out-flow Energy Data for Settlement Only Distribution Generators**

- (1) All Settlement Only Distribution Generators (SODGs) must have IDR metering and an RID assigned. RID data submittal method shall be designated in the document titled “TDSP Read Generation Registration Form” as 867 or .lse.
  - (a) If the RID data submittal method is 867, the interval out-flow energy values provided for Settlement will have data submitted via the 867\_03 transaction as described in the Texas Standard Electronic Transaction Implementation Guides.
  - (b) If the RID data submittal method is .lse, the interval out-flow energy values provided for Settlement will have data submitted via the ERCOT specified file

format as described in Section 7.15, Advanced Meter Interval Data File Format and Submission, below.

**7.14.6 *ERCOT Processing of Meter Data for Unregistered Distributed Generation Out-flow Energy***

- (1) ERCOT will process out-flow energy values for Settlement when data is submitted to ERCOT in accordance with Section 7.14.4, Transmittal of Out-flow Energy Data for Unregistered Distributed Generation, provided the DG is not registered as an SODG.
- (2) For a detailed description of the wholesale Settlement impact of Load reductions for out-flow energy values, see Protocol Sections 11.4.4.2, Load Reduction for Excess PhotoVoltaic and Wind Distributed Renewable Generation, and 11.4.4.3, Load Reduction for Excess from Other Distributed Generation.

**7.14.7 *ERCOT Processing of Meter Data for Settlement Only Distribution Generator Out-flow Energy***

- (1) ERCOT will process out-flow energy values for Settlement of generation when data is submitted to ERCOT in accordance with Section 7.14.5, Transmittal of Out-flow Energy Data for Settlement Only Distribution Generators, above, provided the ERCOT registration process has been completed for the Resource Entity and the SODG. For more detailed information about the Resource registration process, Market Participants should contact their designated ERCOT Retail Account Manager.

**7.15 *Advanced Meter Interval Data File Format and Submission***

**7.15.1 *Ad Hoc Connectivity Test of Advanced Metering System Interval Data***

- (1) Transmission and/or Distribution Service Providers (TDSPs) will contact the ERCOT Flight Test Administrator to perform an ad hoc connectivity test with ERCOT to ensure that they can successfully send and ERCOT receive the ERCOT Specified File Format in Section 9, Appendices, Appendix G, ERCOT Specified File Format for Submission of Interval Data for Advanced Metering Systems. ERCOT will send a response to the submitting TDSP via North American Energy Standards Board (NAESB).

**7.15.2 *Submission of Interval Data on Electric Service Identifier(s) with Advanced Metering Systems***

- (1) All TDSPs shall submit 15 minute Settlement Quality Meter Data to ERCOT daily for provisioned Advanced Metering System (AMS) meters. Each file shall contain up to, but not to exceed, 50,000 data records. For optimum processing at ERCOT, it is suggested that the file contain a minimum of 10,000 data records. Files shall be zipped prior to

Pretty Good Privacy (PGP) encryption and compression. See Section 9, Appendices, Appendix G, ERCOT Specified File Format for Submission of Interval Data for Advanced Metering Systems.

- (2) The recommended file naming convention is <DUNS><ReportName><DateTime><Counter>.lse<.optional data> in addition to any application file naming conventions used in transmitting the file. For example, “999999999IntervalData20081227113001123.lse<.optional data>” where:

| Element          | Explanation  | Format                            |
|------------------|--|-----------------------------------|
| DUNS             | TDSP Data Universal Numbering System (DUNS) Number | Numeric (9 or 13)                 |
| ReportName       | “IntervalData”                                     | Alphanumeric (12)                 |
| DateTime         | File transmission date/time stamp                  | Datetime format = ccyyymmddhhmmss |
| Counter          | Counter with no specified value                    | Numeric (3)                       |
| .lse             | Value of .lse in file extension                    |                                   |
| <.optional data> | Any optional data, if necessary                    | Cannot contain csv                |

- (3) At a minimum the filename must contain .lse after decryption otherwise the file will be rejected by ERCOT. The filename cannot contain .csv after decryption. Files will be sent with a NAESB input-format of “FF.” ERCOT will send a response to the submitting TDSP via NAESB indicating receipt of the file.
- (4) After receipt, ERCOT will validate that all mandatory data elements are present and meet formatting requirements. ERCOT will inform the submitting TDSP of the success or failure of its file via the “Interval Data LSE Activity Report”. The layout of this report can be found on the ERCOT website.

#### 7.15.2.1 Missing Data or Gaps in Data

- (1) TDSPs will provide estimated data for any missing data or gaps in the interval data on a provisioned AMS meter prior to posting the file to the TDSP’s File Transfer Protocol (FTP) site or sending the file to ERCOT.



### **7.15.3 *Posting Data to Transmission and/or Distribution Service Provider File Transfer Protocol Site***

- (1) TDSPs will provide on their FTP site, 15 minute Settlement Quality Meter Data no later than 2300 of the next day using the ERCOT specified file format in Section 9, Appendices, Appendix G, ERCOT Specified File Format for Submission of Interval Data for Advanced Metering Systems, for each Electric Service Identifier (ESI ID) with a provisioned AMS meter. The TDSPs will attempt to provide the data earlier than 2300 and, in all cases, will provide the data as soon as it is available. Competitive Retailers (CRs) will access the TDSP's FTP site to retrieve the daily 15 minute interval data associated with a provisioned AMS meter for the CRs' ESI IDs.
- (2) TDSPs will discontinue posting interval data to their FTP sites after this functionality is available on the common web portal for CRs to retrieve.

### **7.15.4 *Availability of Interval Data for Provisioned Advanced Metering Systems***

- (1) CRs will access ERCOT's Market Information System (MIS) for interval data for their ESI IDs to allow them to shadow settle. CR disputes or disagreements of interval data obtained from the AMS provisioned meter should be based on the data used by ERCOT in Settlement and not the data provided to CRs on the TDSP's FTP Site.
- (2) TDSPs will retain the daily interval data on their FTP site for ESI ID(s) with a provisioned AMS meter for ten days from the date that the file was initially posted to the FTP site.

## **7.16 Business Processes and Communications Related to Meter Tampering**

- (1) This Section provides Market Participants with market approved guidelines to support the business processes as allowed or prescribed in P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been Introduced.

### **7.16.1 *Transmission and/or Distribution Service Provider Discovery of Meter Tampering During Field Service Activities***

- (1) A Field Service Representative (FSR) may discover tampering at the meter while performing field service activities.
  - (a) A move in order may be completed unexecutable utilizing reason code "T019" in the 814\_28, Complete Unexecutable or Permit Required, if tampering is discovered by an FSR while attempting to complete a move in.

- (b) A move out order without a reason code of “2MR” shall be completed unexecutable utilizing reason code “T019” in the 814\_28 transaction if tampering is discovered by an FSR while attempting to complete a move out.
- An 814\_24, Move-Out Request, with a reason code of “2MR” shall have the move out completed as requested.
- (c) If the meter tampering has created a hazardous condition, the Transmission and/or Distribution Service Provider (TDSP) may disconnect service and will notify the Retail Electric Provider (REP) of record by sending the 650\_04, Planned or Unplanned Outage Notification, to the REP of record utilizing the “TM001” reason code.
- (2) Once tampering has been determined to have occurred, a switch hold will be placed on the Electric Service Identifier (ESI ID) in accordance with P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been Introduced. If a move in or move out is already scheduled in the TDSP’s system prior to a switch hold being placed on the ESI ID, the move in or move out may be completed unexecutable due to tampering utilizing reason code “T019” in the 814\_28 transaction provided by the TDSP.
- (3) Charges may be assessed by the TDSP and billed to the REP of record as appropriate under P.U.C. SUBST. R. 25.126. Refer to the TDSP tariffs for specific charges.

#### **7.16.1.1 Disconnection and Reconnection for Non-Payment Field Service Activities**

- (1) An FSR may discover tampering at the meter while performing Disconnect for Non-Pay (DNP) and Reconnect for Non-Pay (RNP) field service activities.
- (a) If the FSR discovers meter tampering while performing a DNP request and the FSR determines that the degree of tampering does not present a hazardous condition, the DNP request will be completed.
- (i) If the meter tampering has created an unsafe condition, the DNP request may be referred to specialized field personnel to attempt to complete the DNP request at an alternate location as outlined in Section 7.6.3.5, Disconnection at Premium Disconnect Location.
- (ii) If the DNP request cannot be completed as a result of the tampering incident, the DNP request will be Completed Unexecutable by the TDSP utilizing “T019” reason code in the 650\_02, Service Order Response, response transaction.
- (iii) The TDSP may notify the Competitive Retailer (CR) of the hazardous conditions and, if applicable, suspension of service and meter removal by sending the 650\_04, Planned or Unplanned Outage Notification, utilizing the “TM001” reason code.

- (b) If the FSR discovers meter tampering while performing an RNP request and can safely restore normal meter registration, the RNP will be completed.
- (i) If the meter tampering has created an unsafe condition, the 650\_01, Service Order Request, will be Completed Unexecutable by the TDSP utilizing the “T019” reason code in the 650\_02 response transaction.
  - (ii) The TDSP may notify the CR of the hazardous conditions and, if applicable, suspension of service and meter removal by sending the 650\_04 transaction utilizing the “TM001” reason code.
- (2) Once tampering has been determined to have occurred, a switch hold will be placed on the ESI ID in accordance with P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been Introduced.
- (3) All existing DNP and RNP rules and processes remain in effect. Receipt of a DNP or RNP request by the TDSP for an ESI ID in which a switch hold has been placed will not remove the switch hold.

#### **7.16.2 Notification to Transmission and/or Distribution Service Provider of Potential Meter Tampering**

- (1) The CR may notify the TDSP of potential meter tampering at a Premise by sending the 650\_01, Service Order Request, with the “MM006” reason code for tampering if the CR is currently the REP of record and is an Option 1 REP. Any CR may report suspected tampering at any time by contacting the TDSP at its designated tampering telephone number, website or e-mail address.
- (2) Suspected tampering activity reports should be communicated as follows:

|              | <b>Website or E-mail</b>  | <b>Telephone</b>                             |
|--------------|---|--|
| <b>AEP</b>   | www.ReportPowerTheft.com  | 1-877-373-4858                               |
| <b>CNP</b>   | www.centerpointenergy.com/services/electricity/residential/metertheft | 713-207-7225<br>or toll free<br>877-570-5770 |
| <b>Oncor</b> | www.oncor.com   | 888-313-6862                                 |
| <b>TNMP</b>  | MPRelations@tnmp.com  | 800-738-5579                                 |

#### **7.16.3 Transmission and/or Distribution Service Provider Switch Hold Notification for Meter Tampering**

- (1) In accordance with subsection (g) of P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been

Introduced, the TDSP shall create and maintain a list of all ESI IDs with switch holds that REPs may access through a secure means (web portal or File Transfer Protocol (FTP) site). The list shall not include any Customer information other than the ESI ID and date the switch hold was placed. The list shall be updated daily and posted no later than 0500 Central Prevailing Time (CPT) each day representing switch hold revisions of the prior Business Day.

- (2) The TDSP shall send an 814\_20, ESI ID Maintenance Request, to ERCOT indicating the addition of a switch hold. The switch hold status will be posted by ERCOT to the Find ESI ID function on the Market Information System (MIS) Secure Area.
- (3) The CR can request to remove the switch hold indicator for payment plan or tampering by submitting the 650\_01, Service Order Request, with the specific removal code to the TDSP. If applicable, the TDSP shall send an 814\_20 transaction to ERCOT indicating the removal of the appropriate switch hold as requested by the REP of record in the 650\_01 transaction.

#### **7.16.4 *Switch Hold Process for Meter Tampering***

- (1) Market Participants shall use good-faith and commercially reasonable efforts to informally resolve all disputes arising out of the processes described in this Section 7.16.4. If needed, ERCOT Client Services is available to help facilitate or assist with issue resolution as described in Section 5.1, ERCOT Retail Client Services.

##### **7.16.4.1 Switch Rejected Due to a Switch Hold for Meter Tampering**

- (1) Upon receipt of an 814\_03, Enrollment Notification Request, for an ESI ID that is under a switch hold, the TDSP shall reject the request by sending the 814\_04, Enrollment Notification Response, with the reason code “SHF.”
- (2) The requesting REP will receive notification of the reject in the 814\_05, CR Enrollment Notification Response, with the reason code “SHF” from ERCOT.

##### **7.16.4.2 Move in Rejected Due to a Switch-Hold for Meter Tampering**

- (1) Upon receipt of an 814\_03, Enrollment Notification Request, for a move in for an ESI ID that is under a switch hold, the TDSP shall reject the request by sending the 814\_04, Enrollment Notification Response, with the reason code “SHF.”
- (2) The requesting REP will receive notification of the reject in the 814\_05, CR Enrollment Notification Response, with the reason code “SHF” from ERCOT.

### 7.16.4.3 Removal of a Switch Hold for Meter Tampering for Purposes of a Move in

#### 7.16.4.3.1 *Timelines Associated with Removal of a Switch Hold for Meter Tampering for Purposes of a Move in*

- (1) P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been Introduced, mandates that within four Business Hours of the request to remove the switch hold, the TDSP determines whether or not the switch hold should be removed and this determination is accomplished by utilizing MarkeTrak.
- (2) During processing of the MarkeTrak issue, the issue will be assigned and reassigned to all parties at specific points within the workflow.
- (3) Each Market Participant involved, gaining CR (requesting CR), losing CR (REP of record) and TDSP is responsible for monitoring the MarkeTrak issue throughout the process, removal of the switch hold if applicable, and completing the steps within the timelines described in Section 7.16.4.3.2, Steps for Removal of a Switch Hold for Meter Tampering for Purposes of a Move in.
- (4) Removal of a switch hold by the TDSP, as referred to within Section 7.16.4.4, Removal of Switch Hold for Meter Tampering by Retail Electric Provider of Record Request During Emergency Events, shall be interpreted to mean the removal of all switch holds (CR and/or TDSP-initiated) which may be applied to the ESI ID.
- (5) For adding or removing switch holds during an extended unplanned system outage, refer to Section 7.10.4, Addition or Removal of Switch Hold by Retail Electric Provider of Record Request for 650 Transactions During Extended Unplanned System Outage Affecting the CR and/or TDSP.

#### 7.16.4.3.2 *Steps for Removal of a Switch Hold for Meter Tampering for Purposes of a Move in*

- (1) Switch Hold Removal Step 1 – Gaining CR
  - (a) Once the gaining CR determines that the Customer requesting the move in is neither the Customer nor associated with the Customer subject to the switch hold, the gaining CR shall obtain the documentation listed in items (i) and (ii) below from the Customer to remove the switch hold. For move ins associated with a Continuous Service Agreement (CSA), only documentation in item (iii) below is required.
    - (i) A signed statement as set forth in Section 9, Appendices, Appendix J2, New Occupant Statement, or Appendix J3, Declaración De Nuevo Ocupante (New Occupant Statement – Spanish), from the applicant stating that the applicant is a new occupant of the Premise(s) and is not associated

with the preceding occupant. All fields must be completed to be considered a valid submission; and

- (ii) The name(s) on the New Occupant Statement shall appear at least one time on any of the following document(s), and may be rejected if the name(s) cannot be reconciled:
  - (A) One of the following bills, in the new occupant's name, dated within the last two months from a different Premise address (cell phone invoices are not accepted):
    - (1) Natural Gas/Propane;
    - (2) Water/Sewer;
    - (3) Electricity; or
    - (4) Cable/Internet.
  - (B) Copy of a current lease signed by all parties subsequent to the date the switch hold was applied to the Premise for the new occupant requesting move in (any expired lease agreements, or any lease agreement not signed by all parties shall be rejected);
  - (C) Notarized affidavit of landlord (see Section 9, Appendices, Appendix J6, Sample – Affidavit of Landlord);
  - (D) Closing documents indicating transfer of ownership occurred subsequent to the date the switch hold applied to Premise:
    - (1) Closing Statement with buyer/seller signatures; or
    - (2) Deed that has been filed with the county clerk, indicating street name and house number;
  - (E) Certificate of occupancy indicating new occupant being subsequent to the date of the switch hold applied to the Premise;
  - (F) Other comparable documentation in the name of the new retail applicant for electric service.
- (iii) A CSA Statement as set forth in Section 9, Appendices, Appendix J4, Continuous Service Agreement (English), or Appendix J5, Declaración de Acuerdo de Servicio Continuo (Continuous Service Agreement Statement – Spanish), from the current CSA REP of record stating that the Premise is vacant and has an active CSA.

- 
- (b) Gaining CR shall create a MarkeTrak issue using the subtype of *Switch Hold Removal*, attach all required documentation and assign the issue to the TDSP.
- (2) Switch Hold Removal Step 2 – TDSP
- (a) The TDSP shall reply within one Business Hour of becoming the responsible Market Participant of the MarkeTrak issue with one of the responses below:
- (i) The TDSP may reject the issue. If the issue is rejected, any further request to have the switch hold removed must be submitted in the form of a new MarkeTrak issue. All timelines will be reset upon submittal of a new MarkeTrak issue as outlined starting with Switch Hold Removal Step 1 in paragraph (1) above. Reasons for which the TDSP may reject the issue are as follows:
- (A) Inadequate documentation upon submission of the MarkeTrak issue;
- (1) Name(s) on New Occupant Statement does not appear on any documentation submitted under paragraph (1)(a)(ii) above;
- (B) Reasonable determination that the gaining CR’s Customer is associated with the Customer who resided at the location when meter tampering occurred, including the reason for this determination and all relevant internal documentation;
- (C) Current REP of record is the submitter of the MarkeTrak issue; or
- (D) No switch hold is currently applied to the ESI ID.
- (ii) The TDSP may accept the issue and shall:
- (A) Transition the MarkeTrak issue to the current REP of record; or
- (B) Proceed to Switch Hold Removal Step 4 in paragraph (4) below if there is no REP of record; and
- (C) Assign the issue back to the gaining CR.
- (3) Switch Hold Removal Step 3 – Losing CR
- (a) The losing CR shall take the following action within one and a half Business Hours of having been assigned the issue by the TDSP:
- (i) Review all documentation provided by the gaining CR; and
- (ii) Transition the issue as indicated below:

- (A) If the losing CR agrees that gaining CR's Customer is not associated with the losing CR's Customer, the losing CR shall select the "Agree" transition within MarkeTrak; or
  - (B) If the losing CR has information that indicates that the gaining CR's Customer and the losing CR's Customer are associated, the losing CR shall choose the "Disagree" transition within MarkeTrak. Additionally, the losing CR must state reasons for disagreement and attach documents that support the losing CR's position.
- (b) If the losing CR has not chosen the "Agree" or "Disagree" transition within one and a half Business Hours of receipt, therefore remaining responsible Market Participant within the MarkeTrak issue, the losing CR is considered to agree with the gaining CR's removal of the switch hold request.
- (i) The gaining CR may use the "Time Limit Exceeded" transition to request a final decision from the TDSP if there is no response from the losing CR by the end of the allotted time. The gaining CR shall only use this transition when the losing CR has been responsible Market Participant of the MarkeTrak issue in excess of their allotted time. The TDSP will become responsible Market Participant if this transition is used by the gaining CR.
- (4) Switch Hold Removal Step 4 – TDSP
- (a) The TDSP shall have the remaining time between the assignment of the issue and the end of the four Business Hours timeframe to respond with a decision, but no less than one and a half Business Hours.
  - (b) The TDSP shall review all comments and documentation received, but retains the discretion to determine the final status of the switch hold. Upon completion of the review, the TDSP shall take the following action:
    - (i) Disapprove the removal of the switch hold during the final review period if the TDSP has internal information that indicates the requesting CR's Customer is associated with the losing CR's Customer regardless of documentation provided. TDSP shall place comments in the issue notifying parties of the reason for disapproval and attach all relevant internal documentation;
    - (ii) Approve the removal of the switch hold upon verification that the losing CR failed to respond within one and a half Business Hours of receipt using the "State Change History" as the sole indicator if the gaining CR transitions the MarkeTrak issue to the TDSP requesting a final decision due to the losing CR's failure to respond to the issue within the allotted timeframe. The TDSP shall remove the switch hold to allow completion



of a move in request and place comments in the issue notifying parties of the decision to remove the switch hold;

- (iii) Review the MarkeTrak issue received with comments from both CRs and if it is determined that the TDSP has no internal information that indicates the gaining CR's Customer is associated with the losing CR's Customer, the TDSP shall:
  - (A) If there is agreement among both CRs that the switch hold should be removed, the TDSP will remove the switch hold and assign the issue back to the gaining CR, notifying parties of the removal of the switch hold, through comments; or
  - (B) If there is disagreement, the TDSP will evaluate all information provided by both CRs and assign the issue back to the gaining CR with the final decision to approve or deny the request to remove the switch hold, through comments. If the decision is to approve the request to remove the switch hold, the TDSP shall remove the switch hold prior to assigning the issue back to the gaining CR.
- (iv) Disapprove the removal of the switch hold and notify parties, through comments, of the reason for disapproval if the TDSP receives the MarkeTrak issue from the gaining CR for a final decision and the "State Change History" indicates that the losing CR was not provided the full one and a half Business Hours allocated under Switch Hold Removal Step 3 in paragraph (3) above; or
- (v) Disapprove the removal of the switch hold and notify parties, through comments, of the reason for disapproval if the TDSP does not receive the full Business Hour for review and the allotted time was inadequate for a final decision to be made.

(5) Switch Hold Removal Step 5 – All Market Participants Involved

- (a) If at any time, the TDSP becomes aware that the MarkeTrak issue was not resolved within the four Business Hour timeframe, the TDSP shall make a decision on whether or not to remove the switch hold based upon the existing activity within the MarkeTrak issue. The TDSP shall place comments in the MarkeTrak issue containing the final decision and transition the issue if possible.
- (b) If at any time, the gaining CR becomes aware that the MarkeTrak issue was not resolved within the four Business Hour timeframe, the gaining CR shall notify the TDSP, via the MarkeTrak e-mail function and request a final decision.
- (c) If at any time, the losing CR becomes aware that the MarkeTrak issue was not resolved within the four Business Hour timeframe, the losing CR shall notify the TDSP, via the MarkeTrak e-mail function and request a final decision.

### 7.16.4.3.3 *Release of Switch Hold for Meter Tampering Due to Exceeding Specified Timelines*

- (1) In accordance with P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been Introduced, the TDSP must make a determination on the request to remove the switch hold within four Business Hours of submission of the MarkeTrak issue, regardless of the progression of the MarkeTrak issue.
- (2) In the event that the switch hold is released and a Move-In Request is submitted by the gaining CR, the losing CR may file a MarkeTrak issue to have the ESI ID returned if the loss was due to the expiration of the four Business Hour time frame in which the losing CR and TDSP were not each allotted their full Business Hour to review the information due to the gaining CR's failure to transition the MarkeTrak issue within its specified time frame. The losing CR has until the end of the following Retail Business Day after the gaining CR's submission of a Move-In Request to file an issue seeking reinstatement or retention of the ESI ID due to a prematurely removed switch hold. If an *Inadvertent Losing* MarkeTrak issue is not filed within this time frame, the losing CR is considered to have forfeited any claim to the ESI ID, and/or switch hold. The process to have the ESI ID reinstated or retained is as follows:
  - (a) The losing CR creates a MarkeTrak issue using the *Inadvertent Losing* subtype.
    - (i) Create a link in the current issue to the original MarkeTrak issue by using "Item Link"; and
    - (ii) Populate the issue with the following comment, verbatim: "TDSP return ESI ID per RMG Section 7.16.4.3.3 and restore switch hold upon reinstatement."
  - (b) The gaining CR shall make all attempts to cancel the pending move in if it has not yet effectuated, or if unable to cancel, shall agree to the return of the ESI ID if it has effectuated.
  - (c) The TDSP shall restore the switch hold on the ESI ID upon successful reinstatement or retention of the ESI ID by the losing CR.
- (3) The losing CR shall not use the switch hold removal process to regain an ESI ID in which the losing CR either failed to transition the original MarkeTrak issue within the one Business Hour allotted or used an incorrect transition to reassign the issue to the gaining CR.
- (4) If during the period in which the switch hold was removed, a third CR, not involved in the original MarkeTrak issue, submits an 814\_01, Switch Request, or 814\_16, Move In Request, for the ESI ID, the third CR is permitted to keep the ESI ID and the MarkeTrak issue shall be closed by the submitter of the "Inadvertent Losing" MarkeTrak issue.

**7.16.4.4 Removal of a Switch Hold for Meter Tampering Due to a Move out**

- (1) The TDSP will remove a switch hold from an ESI ID upon completion of a Move-Out Request.

**7.16.4.5 Removal of Switch Hold for Meter Tampering for a Continuous Service Agreement**

- (1) Upon receipt of a move out to CSA for an ESI ID under a switch hold, the TDSP shall remove the switch hold upon completion of the move out and then complete the CSA move in.
- (2) In the event that a CSA CR needs to initiate an 814\_16, Move In Request, for a vacant Premise and the Premise has an active switch hold, the CSA CR shall obtain a signed Continuous Service Agreement Statement as set forth in Section 9, Appendices, Appendix J4, Continuous Service Agreement Statement (English), or Appendix J5, Declaración de Acuerdo de Servicio Continuo (Continuous Service Agreement Statement – Spanish). The signed Continuous Service Agreement Statement is required to complete the switch hold removal process as described in Section 7.16.4.3.2, Steps for Removal of a Switch Hold for Meter Tampering for Purposes of a Move in.

**7.16.4.6 Electronic Availability of Transmission and/or Distribution Service Provider Meter Tampering Investigation Information**

- (1) TDSPs shall make all required investigation information per P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been Introduced, available to the REP of record via the TDSP's secure web portal.

**7.16.5 *Transmission and/or Distribution Service Provider Application of Charges Related to Meter Tampering*****7.16.5.1 Meter Tampering No Change in Consumption**

- (1) If tampering related discretionary charges apply with no consumption impact:
  - (a) The TDSP may generate cancel/rebill transactions that have no consumption impact but add the tampering related discretionary charges to the prior billing period immediately preceding the tampering determination; or
  - (b) The TDSP may generate a stand-alone 810\_02, TDSP Invoice, with a transaction type code of A5, Meter Tampering Discretionary Invoice. This invoice type is not to be used with a monthly invoice, and a corresponding 867\_03, Monthly

Usage, will not be sent for this invoice type.

#### 7.16.5.2 Meter Tampering Cancel/Rebill Consumption Changes

- (1) If tampering related discretionary charges apply and a rebill is required due to a change in consumption as a result of tampering, a consumption cancel/rebill will be invoiced concurrently with the tampering related discretionary charges. Discretionary charges will be applied to a prior billing period.

Example: Tampering identified by TDSP and placed on switch hold in April. TDSP investigation determined that the tampering affected consumption in the January, February and March timeframe. In this example, January would be considered the oldest month and March would be considered the most recent month. TDSPs will apply discretionary charges with the appropriate Texas Standard Electronic Transaction (TX SET) charge code consistent with the timing in the table below.

|              | <b>Discretionary Tampering Charges Will Appear on the Most Recent Cancel/Rebill Invoice:</b> | <b>Discretionary Tampering Charges Will Appear on the Oldest Cancel/Rebill Invoice:</b> |
|--------------|--|---|
| <b>AEP</b>   | March  |   |
| <b>CNP</b>   |  | January   |
| <b>Oncor</b> | March  |   |
| <b>TNMP</b>  | March  |   |

#### 7.17 Business Processes and Communications for Switch Holds Related to Deferred Payment Plans

- (1) This Section provides Market Participants with market approved guidelines to support the business processes as allowed or prescribed in P.U.C. SUBST. R. 25.480, Bill Payment and Adjustments.

##### 7.17.1 *Addition and Removal of Switch Hold by Retail Electric Provider of Record Request for Deferred Payment Plans*

- (1) For adding or removing switch holds during an extended unplanned system outage, refer to Section 7.10.4, Addition or Removal of Switch Hold by Retail Electric Provider of Record Request for 650 Transactions During Extended Unplanned System Outage Affecting the CR and/or TDSP.

### **7.17.2 *Transmission and/or Distribution Service Provider Switch Hold Notification for Payment Plans***

- (1) In accordance with subsection (1)(1) of P.U.C. SUBST. R. 25.480, Bill Payment and Adjustments, the Transmission and/or Distribution Provider (TDSP) shall create and maintain a list of all Electric Service Identifiers (ESI IDs) with switch holds due to payment plans that Retail Electric Providers (REPs) may access through a secure means (web portal or File Transfer Protocol (FTP) site). The list shall not include any Customer information other than the ESI ID and date the switch hold was placed. The list shall be updated daily, and posted no later than 0500 Central Prevailing Time (CPT) each day representing switch hold revisions of the prior Business Day.
- (2) The TDSP shall send an 814\_20, ESI ID Maintenance Request, to ERCOT indicating the addition of a switch hold. The switch hold status will be posted by ERCOT to the Find ESI ID function on the Market Information System (MIS) Secure Area.
- (3) The Competitive Retailer (CR) can request to remove the switch hold indicator for payment plan or tampering by submitting the 650\_01, Service Order Request, with the specific removal code to the TDSP. If applicable, the TDSP shall send an 814\_20 transaction to ERCOT indicating the removal of the appropriate switch hold as requested by the REP of record in the 650\_01 transaction.

### **7.17.3 *Switch Hold Process for Deferred Payment Plans***

- (1) Market Participants shall use good-faith and commercially reasonable efforts to informally resolve all disputes arising out of the processes described in this Section 7.17.3. If needed, ERCOT Client Services is available to help facilitate or assist with issue resolution as described in Section 5.1, ERCOT Retail Client Services.

#### **7.17.3.1 *Switch Rejected Due to a Switch Hold for Payment Plans***

- (1) Upon receipt of an 814\_03, Enrollment Notification Request, for a switch for an ESI ID that is under a switch hold, the TDSP shall reject the request by sending the 814\_04, Enrollment Notification Response, with the reason code “SHF.”
- (2) The requesting REP will receive notification of the reject in the 814\_05, CR Enrollment Notification Response, with the reason code “SHF” from ERCOT.

#### **7.17.3.2 *Move in Rejected Due to a Switch-Hold for Payment Plans***

- (1) Upon receipt of an 814\_03, Enrollment Notification Request, for a move in for an ESI ID that is under a switch hold, the TDSP shall reject the request by sending the 814\_04, Enrollment Notification Response, with the reason code “SHF.”

- (2) The requesting REP will receive notification of the reject in the 814\_05, CR Enrollment Notification Response, with the reason code “SHF” from ERCOT.

### **7.17.3.3 Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move In**

#### **7.17.3.3.1 *Timelines Associated with Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move in***

- (1) P.U.C. SUBST. R. 25.480, Bill Payment and Adjustments, mandates that within four Business Hours of the request to remove the switch hold, the TDSP determines whether or not the switch hold should be removed and this determination is accomplished by utilizing MarkeTrak. During processing of the MarkeTrak issue, the issue will be assigned and reassigned to all parties at specific points within the workflow. Each Market Participant involved, gaining CR (requesting CR), losing CR (REP of record) and TDSP is responsible for monitoring the MarkeTrak issue throughout the process, removal of the switch hold if applicable, and completing the steps within the timelines described in Section 7.17.3.3.2, Steps for Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move in. Removal of a switch hold by the TDSP, as referred to within Section 7.17.3.3, Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move in, shall be interpreted to mean the removal of all switch holds (CR and/or TDSP-initiated) which may be applied to the ESI ID.

#### **7.17.3.3.2 *Steps for Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move in***

- (1) Switch Hold Removal Step 1 – Gaining CR
- (a) Once the gaining CR determines that the Customer requesting the move in is neither the Customer nor associated with the Customer subject to the switch hold, the gaining CR shall obtain the documentation listed in items (i) and (ii) below from the Customer to remove the switch hold. For move ins associated with a Continuous Service Agreement (CSA), only documentation in item (iii) below is required.
- (i) A signed statement as set forth in Section 9, Appendices, Appendix J2, New Occupant Statement, or Appendix J3, Declaración De Nuevo Ocupante (New Occupant Statement – Spanish), from the applicant stating that the applicant is a new occupant of the Premise(s) and is not associated with the preceding occupant. All fields must be completed to be considered a valid submission; and
- (ii) The name(s) on the New Occupant Statement shall appear at least one time on any of the following document(s) and may be rejected if the name(s) cannot be reconciled:

- 
- (A) One of the following bills, in the new occupant’s name, dated within the last two months from a different Premise address (cell phone invoices are not accepted):
    - (1) Natural Gas/Propane;
    - (2) Water/Sewer;
    - (3) Electricity; or
    - (4) Cable/Internet.
  - (B) Copy of a current lease signed by all parties subsequent to the date the switch hold was applied to the Premise for the new occupant requesting the move in (any expired lease agreements, or any lease agreement not signed by all parties shall be rejected);
  - (C) Notarized affidavit of landlord (see Section 9, Appendices, Appendix J6, Sample – Affidavit of Landlord);
  - (D) Closing documents indicating transfer of ownership occurred subsequent to the date the switch hold applied to Premise:
    - (1) Closing Statement with buyer/seller signatures; or
    - (2) Deed that has been filed with the county clerk, indicating street name and house number;
  - (E) Certificate of occupancy indicating new occupant being subsequent to the date of the switch hold applied to the Premise;
  - (F) Other comparable documentation in the name of the new retail applicant for electric service.
- (iii) A CSA Statement as set forth in Section 9, Appendices, Appendix J4, Continuous Service Agreement (English), or Appendix J5, Declaración de Acuerdo de Servicio Continuo (Continuous Service Agreement Statement – Spanish), from the current CSA REP of record stating that the Premise is vacant and has an active CSA.
- (b) Gaining CR shall create a MarkeTrak issue using the subtype of *Switch Hold Removal*, attach all required documentation and assign the issue to the TDSP.
- (2) Switch Hold Removal Step 2 – TDSP
    - (a) The TDSP shall reply within one Business Hour of becoming the responsible Market Participant of the MarkeTrak issue with one of the responses below:

- 
- (i) The TDSP may reject the issue. If the issue is rejected, any further request to have the switch hold removed must be submitted in the form of a new MarkeTrak issue. All timelines will be reset upon submittal of a new MarkeTrak issue as outlined starting with Switch Hold Removal Step 1 in paragraph (1) above. Reasons for which the TDSP may reject the issue are as follows:
    - (A) Inadequate documentation upon submission of the MarkeTrak issue;
      - (1) Name(s) on New Occupant Statement does not appear on any documentation submitted under paragraph (1)(a)(ii) above;
    - (B) Reasonable determination that the gaining CR's Customer is associated with the Customer who resided at the location when placement of the switch hold occurred, including the reason for this determination and all relevant internal documentation;
    - (C) Current REP of record is the submitter of the MarkeTrak issue; or
    - (D) No switch hold is currently applied to the ESI ID.
  - (ii) The TDSP may accept the issue and shall:
    - (A) Transition the MarkeTrak issue to the current REP of record; or
    - (B) Proceed to Switch Hold Removal Step 4 in paragraph (4) below if there is no REP of record; and
    - (C) Assign the issue back to the gaining CR.
- (3) Switch Hold Removal Step 3 – Losing CR
- (a) The losing CR shall take the following action within one and a half Business Hours of having been assigned the issue by the TDSP:
    - (i) Review all documentation provided by the gaining CR; and
    - (ii) Transition the issue as indicated below:
      - (A) If the losing CR agrees that gaining CR's Customer is not associated with the losing CR's Customer, the losing CR shall select the "Agree" transition within MarkeTrak; or
      - (B) If the losing CR has information that indicates that the gaining CR's Customer and the losing CR's Customer are associated, the losing CR shall choose the "Disagree" transition within



MarkeTrak. Additionally, the losing CR must state reasons for disagreement and attach documents that support the losing CR's position.

- (b) If the losing CR has not chosen the “Agree” or “Disagree” transition within one and a half Business Hours of receipt, therefore remaining responsible Market Participant within the MarkeTrak issue, the losing CR is considered to agree with the gaining CR's removal of the switch hold request.
    - (i) The gaining CR may use the “Time Limit Exceeded” transition to request a final decision from the TDSP if there was no response from the losing CR by the end of their allotted time. The gaining CR shall only use this transition when the losing CR has been responsible Market Participant of the MarkeTrak issue in excess of their allotted time. The TDSP will become responsible Market Participant if this transition is used by the gaining CR.
- (4) Switch Hold Removal Step 4 – TDSP
- (a) The TDSP shall have the remaining time between the assignment of the issue and the end of the four Business Hours timeframe to respond with a decision, but no less than one and a half Business Hours.
  - (b) The TDSP shall review all comments and documentation received, but retains the discretion to determine the final status of the switch hold. Upon completion of the review, the TDSP shall take the following action:
    - (i) Disapprove the removal of the switch hold during the final review period if the TDSP has internal information that indicates the requesting CR's Customer is associated with the losing CR's Customer regardless of documentation provided. TDSP shall place comments in the issue notifying parties of the reason for disapproval and attach all relevant internal documentation;
    - (ii) Approve the removal of the switch hold upon verification that the losing CR failed to respond within one and a half Business Hours of receipt using the “State Change History” as the sole indicator if the gaining CR transitions the MarkeTrak issue to the TDSP requesting a final decision due to the losing CR's failure to respond to the issue within the allotted time frame. The TDSP shall remove the switch hold to allow completion of a move in request and place comments in the issue notifying parties of the decision to remove the switch hold;
    - (iii) Review the MarkeTrak issue received with comments from both CRs and if it is determined that the TDSP has no internal information that indicates the gaining CR's Customer is associated with the losing CR's Customer, the TDSP shall:

- (A) If there is agreement among both CRs that the switch hold should be removed, the TDSP will remove the switch hold and assign the issue back to the gaining CR, notifying parties of the removal of the switch hold, through comments; or
  - (B) If there is disagreement, the TDSP will evaluate all information provided by both CRs and assign the issue back to the gaining CR with the final decision to approve or deny the request to remove the switch hold through comments. If the decision is to approve the request to remove the switch hold, the TDSP shall remove the switch hold prior to assigning the issue back to the gaining CR.
- (iv) Disapprove the removal of the switch hold and notify parties, through comments, of the reason for disapproval if the TDSP receives the MarkeTrak issue from the gaining CR for a final decision and the “State Change History” indicates that the losing CR was not provided the full one and a half Business Hours allocated under Switch Hold Removal Step 3 in paragraph (3) above; or
  - (v) Disapprove the removal of the switch hold and notify parties, through comments, of the reason for disapproval if the TDSP does not receive the full Business Hour for review and the allotted time was inadequate for a final decision to be made.
- (5) Switch Hold Removal Step 5 – All Market Participants Involved
- (a) If at any time, the TDSP becomes aware that the MarkeTrak issue was not resolved within the four Business Hour time frame, the TDSP shall make a decision on whether or not to remove the switch hold based upon the existing activity within the MarkeTrak issue. The TDSP shall place comments in the MarkeTrak issue containing the final decision and transition the issue if possible.
  - (b) If at any time, the gaining CR becomes aware that the MarkeTrak issue was not resolved within the four Business Hour time frame, the gaining CR shall notify the TDSP, via the MarkeTrak e-mail function and request a final decision.
  - (c) If at any time, the losing CR becomes aware that the MarkeTrak issue was not resolved within the four Business Hour time frame, the losing CR shall notify the TDSP, via the MarkeTrak e-mail function and request a final decision.

#### **7.17.3.3.3 Release of Switch Hold for Payment Plans Due to Exceeding Specified Timelines**

- (1) In accordance with P.U.C. SUBST. R. 25.480, Bill Payment and Adjustments, the TDSP must make a determination on the request to remove the switch hold within four Business Hours of submission of the MarkeTrak issue, regardless of the progression of the MarkeTrak issue.

- (2) In the event that the switch hold is released and a Move-In Request is submitted by the gaining CR, the losing CR may file a MarkeTrak issue to have the ESI ID returned if the loss was due to the expiration of the four Business Hour time frame in which the losing CR and TDSP were not each allotted their full Business Hour to review the information due to the gaining CR's failure to transition the MarkeTrak issue within its specified time frame. The losing CR has until the end of the following Retail Business Day after the gaining CR's submission of a Move-In Request to file an issue seeking reinstatement or retention of the ESI ID due to a prematurely removed switch hold. If an *Inadvertent Losing* MarkeTrak issue is not filed within this time frame, the losing CR is considered to have forfeited any claim to the ESI ID, and/or switch hold. The process to have the ESI ID reinstated or retained is as follows:
- (a) The losing CR creates a MarkeTrak issue using the *Inadvertent Losing* subtype.
    - (i) Create a link in the current issue to the original MarkeTrak issue by using "Item Link"; and
    - (ii) Populate the issue with the following comment, verbatim: "TDSP return ESI ID per RMG Section 7.17.3.3.3 and restore switch hold upon reinstatement."
  - (b) The gaining CR shall make all attempts to cancel the pending move in if it has not yet effectuated, or if unable to cancel, shall agree to the return of the ESI ID if it has effectuated.
  - (c) The TDSP shall restore the switch hold on the ESI ID upon successful reinstatement or retention of the ESI ID by the losing CR.
- (3) The losing CR shall not use the switch hold removal process to regain an ESI ID in which the losing CR either failed to transition the original MarkeTrak issue within the one Business Hour allotted or used an incorrect transition to reassign the issue to the gaining CR.
- (4) If during the period in which the switch hold was removed, a third CR, not involved in the original MarkeTrak issue, submits an 814\_01, Switch Request, or 814\_16, Move In Request, for the ESI ID, the third CR is permitted to keep the ESI ID and the MarkeTrak issue shall be closed by the submitter of the "Inadvertent Losing" MarkeTrak issue.

#### **7.17.3.4 Removal of a Switch Hold for Deferred Payment Plans Due to a Move out**

- (1) The TDSP will remove a switch hold from an ESI ID upon completion of a Move-Out Request.

#### **7.17.3.5 Removal of Switch Hold for Deferred Payment Plans for a Continuous Service**

### Agreement

- (1) Upon receipt of a move out to CSA for an ESI ID under a switch hold, the TDSP shall remove the switch hold upon completion of the move out and then complete the CSA move in.
- (2) In the event that a CSA CR needs to initiate an 814\_16, Move In Request, for a vacant Premise and the Premise has an active switch hold, the CSA CR shall obtain a signed Continuous Service Agreement Statement as set forth in Section 9, Appendices, Appendix J4, Continuous Service Agreement Statement (English) or Appendix J5, Declaración de Acuerdo de Servicio Continuo (Continuous Service Agreement Statement – Spanish). The signed Continuous Service Agreement Statement is required to complete the switch hold removal process as described in Section 7.17.3.3.2, Steps for Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move in.

### 7.18 Business Process for When a Customer Elects to Receive Non-Standard Metering Services

- (1) This Section provides Market Participants with market-approved guidelines to support the business processes as allowed or prescribed in P.U.C. SUBST. R. 25.133, Non-Standard Metering Service, for instances in which a Customer elects to receive electric service through a Non-Standard Meter. Retail Electric Providers (REPs) should direct Customers inquiring about Non-Standard Metering services to contact their Transmission and/or Distribution Service Provider (TDSP) for information.

#### 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 indicate that the Customer has elected Non-Standard Metering service. The TDSP may elect to enter the initiation date in the MarkeTrak issue at this time to fulfill the 30-day notification requirement in paragraph (b) below.
    - (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 required acknowledgement form and fee, the TDSP will notify the current REP of record of the initiation date via MarkeTrak if the initiation date was not previously provided with the three-day notification requirement as described in paragraph (a) above.
    - (i) The TDSP will create a *Day-to-Day* MarkeTrak issue, selecting the *Market Rule* subtype and entering "NSMSRVC" in the required field and the initiation date in the comments to indicate that the Customer has elected to retain their 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.
- (3) In addition to the MarkeTrak notification process as described in paragraphs (1) and (2) above, initiation of Non-Standard Metering service may result in changes to the ESI ID attributes as listed below, which will be communicated via 814\_20 transactions:
- (a) Meter exchange;

- (b) Remove the AMS indicator (AMSR/AMSM); and/or
- (c) Change the Load Profile Type.

***[RMGRR172: Insert Sections 7.19, 7.19.1, and 7.19.2 upon implementation of PR409-01, TX SET 5\_0 and SCR817:]***

## **7.19 Business Processes Related to Continuous Service Agreements**

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

### ***7.19.1 Removal of a Pending Continuous Service Agreement – IOU Territory***

- (1) The Competitive Retailer (CR) will create a Day-to-Day *Market Rule* subtype issue, 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* subtype issue, 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 Municipally Owned Utility (MOU) Transmission and/or Distribution Service Provider (TDSP) for approval unless otherwise indicated in Section 8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market. 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.

**ERCOT Retail Market Guide**  
**Section 8: Municipally Owned Utilities and Electric Cooperatives**

November 1, 2023

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|----------|---|-------------------|
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## 8 MUNICIPALLY OWNED UTILITIES AND ELECTRIC COOPERATIVES

### 8.1 Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market

- (1) In the ERCOT Region, there are Transmission and/or Distribution Service Providers (TDSPs) which are categorized as Municipally Owned Utilities (MOUs) and/or Electric Cooperatives (ECs). General information and processing elections for the MOU/ECs can be found in Table 1, MOU/EC General Information and Retail Processing Specifications.
- (2) Differences between the MOU/EC TDSP market and the Investor Owned Utility (IOU) TDSP market are identified in their respective tariffs.
- (3) For current tariff information, refer to P.U.C. SUBST. R. 25.215, Terms and Conditions of Access by a Competitive Retailer to the Delivery System of a Municipally Owned Utility or Electric Cooperative that has Implemented Customer Choice, for Nueces Electric Cooperative (NEC)/EC or P.U.C. SUBST. R. 25.219, Terms and Conditions of Access by a Competitive Retailer to the Delivery System of a Municipally Owned Utility or Electric Cooperative that Implements Customer Choice after May 1, 2023, for Lubbock Power & Light (LP&L)/MOU and P.U.C. SUBST. R. 25.214(d), Figure: 16, on the Public Utility Commission of Texas (PUCT) website or the TDSP.
- (4) Notable differences between the IOU TDSP market and the MOU/EC TDSP market include, but are not limited to the following:
  - (a) Billing may be consolidated billing or separate billing (based on Customer Choice) in an MOU/EC TDSP territory versus consolidated billing only by the Competitive Retailer (CR) in an IOU TDSP territory. The MOU/EC TDSP could choose to delegate the consolidated billing to the CR or contract with a third party;
  - (b) Differences in who the Customer calls to report an outage or make a service request;
  - (c) In an IOU TDSP territory, the PUCT Customer protection rules apply. However, in an MOU/EC territory, the specific MOU/EC utility service rules apply, which in many cases are different from the PUCT Customer protection rules such as the due date of the bill;
  - (d) Continuous Service Agreement (CSA) transactions may be processed differently at ERCOT depending on the Retail Processing Specifications of the MOU/EC as indicated in Table 1 below; and
  - (e) Allocation of Electric Service Identifiers (ESI IDs) during a Mass Transition may follow different processes based on the Retail Processing Specifications of the MOU/EC as noted in Section 7.11.2, Acquisition and Transfer of Customers from one Retail Electric Provider to Another.

**Table 1. MOU/EC General Information and Retail Processing Specifications**

| MOU/EC  | NEC  | LP&L   |
|---|--|--|
| General Call Center                                   | 361-387-2581   | 1-866-949-5862 (Retail Electric Providers (REPs) Only)<br>1-806-775-2509 (Customers)   |
| Website   | <a href="http://www.nueceselectric.org">www.nueceselectric.org</a>   | <a href="http://www.lpandl.com">www.lpandl.com</a>   |
| Continuous Service Agreement (814_18/814_19)          | Protocol Section(s)<br>15.1.10, Continuous Service Agreement Competitive Retailer Processing in Municipally Owned Utility/Electric Cooperative Service Territory<br><br>19.3.1, Defined Texas Standard Electronic Transactions <ul style="list-style-type: none"> <li>• Paragraphs (26)(d)-(e)</li> <li>• Paragraph (27)(d)</li> </ul> | Protocol Section(s)<br>15.1.9, Continuous Service Agreement CR Processing<br><br>19.3.1 <ul style="list-style-type: none"> <li>• Paragraphs (26)(a)-(c)</li> <li>• Paragraphs (27)(a)-(b)</li> </ul> |
| Planned or Unplanned Outage Notification (650_04)     | Protocol Section(s)<br>19.3.1 <ul style="list-style-type: none"> <li>• Paragraph (3)(b)</li> </ul>   | Protocol Section(s)<br>19.3.1 <ul style="list-style-type: none"> <li>• Paragraph (3)(a)</li> </ul>   |
| TDSP Invoice (810_03/810_02)                          | 810_03<br><br>Protocol Section(s)<br>19.3.1 <ul style="list-style-type: none"> <li>• Paragraph (6)</li> </ul>  | 810_02<br><br>Protocol Section(s)<br>19.3.1 <ul style="list-style-type: none"> <li>• Paragraph (5)</li> </ul>  |
| Maintain Customer Information Request (814_PC/814_PD) | Protocol Section(s)<br>19.3.1 <ul style="list-style-type: none"> <li>• Paragraph (7)(c)</li> <li>• Paragraph (8)</li> </ul>  | Protocol Section(s)<br>19.3.1 <ul style="list-style-type: none"> <li>• Paragraphs (7)(a)-(b)</li> <li>• Paragraph (8)</li> </ul>   |
| Remittance Advice (820_03/820_02)                     | 820_03<br><br>Protocol Section(s)<br>19.3.1  | 820_02<br><br>Protocol Section(s)<br>19.3.1  |

| MOU/EC   | NEC   | LP&L  |
|--|---|---|
|  | <ul style="list-style-type: none"> <li>Paragraph (39)</li> </ul>                                  | <ul style="list-style-type: none"> <li>Paragraph (38)</li> </ul>                                  |
| Invoice or Usage Reject Notification (824)                   | Protocol Section(s)<br>19.3.1 <ul style="list-style-type: none"> <li>Paragraph (40)(d)</li> </ul> | Protocol Section(s)<br>19.3.1 <ul style="list-style-type: none"> <li>Paragraph (40)(a)</li> </ul> |
| <b>Texas Standard Electronic Transaction (TX SET) Guides</b> |   |   |
| Membership ID Segment  | Required  | Not Used  |
| Dual or Consolidated Billing Process                         | Required - CR to obtain member's preference   | Not Used  |
| Responsible for Maintaining Customer Billing Name/Address    | Required  | No  |

## 8.2 Municipally Owned Utilities and Electric Cooperatives Tariff Requirements

- (1) P.U.C. SUBST. R. 25, Appendix V, Tariff for Competitive Retailer Access of a Municipally Owned Utility or Electric Cooperative, governs the terms and conditions of the Access Tariff of a Municipally Owned Utility (MOU) or Electric Cooperative (EC).
- (2) Each MOU and EC is required to register with ERCOT and sign the applicable agreements that apply to the functions it performs in the ERCOT Region, regardless of whether it plans to be a Non-Opt-In Entity (NOIE) or a Retail Electric Provider (REP). Each MOU and EC with an affiliate registered as a Competitive Retailer (CR) in the ERCOT Region must notify ERCOT six months prior to opting into retail competition and the affiliate must register with ERCOT as a REP.

## 8.3 Municipally Owned Utilities and Electric Cooperatives Disconnect and Reconnect for Non-Payment Process

- (1) The Disconnect for Non-Pay (DNP) and Reconnect for Non-Pay (RNP) process for Municipally Owned Utilities (MOUs) and Electric Cooperatives (ECs) provides Market Participants with market approved guidelines to support disconnect and reconnect transactions and business processes as allowed or prescribed by the MOU/EC Customer protection rules.
- (2) The purpose of the DNP and RNP process is to provide Market Participants with a document that defines market processing for DNP and RNP requests and for managing emergency and contingency procedures in support of DNP and RNP activities.

- (3) Prior to issuing the 650\_01, Service Order Request, for DNP or RNP, certified Competitive Retailers (CRs) shall have successfully completed market certification testing and have received disconnection authority from the Public Utility Commission of Texas (PUCT).
- (4) Transactions will be completed according to the Texas Standard Electronic Transaction (TX SET) guidelines.

### **8.3.1 Assumptions and Market Processes**

#### **8.3.1.1 Service Order Dispatching**

- (1) In order to efficiently manage all types of service requests, field service orders are dispatched in accordance to their respective priority by geographic area.
- (2) Below are the field execution priorities associated with MOUs or ECs:
  - (a) Priority One:
    - (i) Priority and routine move ins;
    - (ii) Priority and routine reconnects;
    - (iii) Out-of-cycle reads for switches; and
    - (iv) Move outs.
  - (b) Priority Two:
    - (i) Move outs;
    - (ii) DNPs;
    - (iii) Investigation orders;
    - (iv) Re-reads; and
    - (v) Maintenance requests.

#### **8.3.1.2 Safety-Nets**

- (1) DNP requests received prior to safety-nets will be completed as will the subsequent safety-net requests.

- (2) If a safety-net move in has been received and completed for a new CR of Record, but the supporting Electronic Data Interchange (EDI) transaction has not been received, any subsequent DNP or Move-Out Requests received by the MOU/EC will be completed.
- (3) Upon notification from the CR of an inadvertent DNP or move out that has been completed by the MOU/EC, the MOU/EC will restore service following the procedures outlined in Section 8.3.5.1, Emergency Reconnects.
- (4) Any MOU/EC charges associated with re-energizing the Customer's Premise will be billed to the CR initiating the safety-net move in. Charges associated with re-energizing a Customer's Premise while completing an emergency RNP as a result of an inadvertent DNP or move out will be billed to CR of Record. The CR of Record may use the dispute process to remedy resulting billing issues.

### **8.3.2 Process Overview**

#### **8.3.2.1 Disconnect for Non-Payment Process Overview**

- (1) The CR credit cycle reveals the Electric Service Identifier (ESI ID) population subject to DNP.
- (2) The CR performs internal validations prior to issuing DNP requests.
- (3) The CR submits the 650\_01, Service Order Request, for DNP no later than one day prior to the requested completion date.
- (4) MOU/EC receives the 650\_01 transaction and performs validations.
  - (a) For orders that do not pass validations, a 650\_02, Service Order Response, reject response with the appropriate code and reason sent to the CR.
  - (b) If the transaction does not pass American National Standards Institute (ANSI) validation, the 997, Functional Acknowledgement, reject is sent.
- (5) Upon successfully validating the 650\_01 transaction, the MOU/EC creates an internal service order which is then routed and scheduled geographically to the appropriate Field Service Representative (FSR).
  - (a) For orders that cannot be completed, the 650\_02 transaction, Completed Unexecutable, with the appropriate code and reason sent to the CR.
  - (b) For orders that cannot be completed on the requested date due to time constraints in the field, the MOU/EC will pend the order and schedule on the next available Field Operational Day.
- (6) MOU/EC completes the order and responds to CR with a 650\_02 transaction within one Retail Business Day of completion.

**8.3.2.2 Disconnect for Non-Payment Process Overview When Disconnect for Non-Payment was Initiated by Municipally Owned Utility or Electric Cooperative**

- (1) The MOU/EC credit cycle reveals ESI ID population subject to DNP.
- (2) The MOU/EC submits 650\_04, Planned or Unplanned Outage Notification, for DNP within one Retail Business Day of completion in the field.

**8.3.2.3 Reconnect for Non-Payment Process Overview**

- (1) The CR confirms Customer's satisfactory correction of reasons for DNP.
- (2) The CR performs internal validations prior to issuing RNP request.
- (3) The CR submits the 650\_01, Service Order Request, for RNP according to timelines outlined in the MOU/EC Customer protection rules.
- (4) The MOU/EC receives the 650\_01 transaction and performs validations.
  - (a) For orders that do not pass validations, the 650\_02, Service Order Response, reject response with the appropriate code and reason sent to the CR.
  - (b) If the transaction does not pass ANSI validation, the 997, Functional Acknowledgement, reject is sent.
- (5) Upon successfully validating the 650\_01 transaction, the MOU or EC creates an internal service order that is then geographically routed and scheduled to the appropriate FSR to be completed according to the timelines outlined in the MOU/EC Customer protection rules.
  - (a) For orders that cannot be completed, the 650\_02 transaction, Completed Unexecutable with the appropriate code and reason sent to the CR.
- (6) The MOU/EC completes the order and responds to the CR with a 650\_02 transaction within one Retail Business Day of completion.

**8.3.2.4 Reconnect for Non-Payment Process Overview When Disconnect for Non-Payment was Initiated by Municipally Owned Utility or Electric Cooperative**

- (1) The MOU/EC confirms Customer's satisfactory correction of reasons for DNP.
- (2) The MOU/EC releases RNP, which is either scheduled to be executed by their Advanced Metering System (AMS) or routed and scheduled geographically to the appropriate FSR according to the timelines outlined in the MOU/EC Customer protection rules.
- (3) The MOU/EC submits a 650\_04, Planned or Unplanned Outage Notification, for RNP within one Retail Business Day of completion in the field.

### 8.3.3 Transaction Processing

#### 8.3.3.1 Timelines for Transaction Delivery

- (1) Timelines for receipt of DNP and RNP 650\_01, Service Order Requests:
- (a) For DNP requests to be scheduled on the requested date, transactions must be received by MOU/EC according to the timelines listed in Table 2, Timelines for Receipt of DNP 650\_01 Service Order Requests, below. Any valid TX SET approved EDI 650\_01 transaction DNP requests received according to the timelines below will be accepted and scheduled for the requested date.

**Table 2. Timelines for Receipt of DNP 650\_01 Service Order Requests**

|  | <b>Nueces Electric Cooperative (NEC)</b> | <b>Lubbock Power &amp; Light (LP&amp;L)</b> |
|--|--|---|
| <b>At Meter Future Date (Standard Meter)</b>     | 1700 on date preceding                   | 2359 on date preceding                      |
| <b>At Meter Future Date (Non-Standard Meter)</b> | 1200 on date preceding                   | 1700 - two Business Days prior              |
| <b>At Meter Same Day (Standard Meter)</b>        | 0900 on same day                         | 1500 on requested date                      |
| <b>At Meter Same Day (Non-Standard Meter)</b>    | 1200 on date preceding                   | N/A   |
| <b>Premium Location</b>                          | 1200 on date preceding                   | 1700 - two Business Days prior              |

- (b) For RNP requests to be scheduled on the requested date, transactions must be received by MOU/EC according to the timelines listed in Table 3, Timelines for Receipt of RNP 650\_01 Service Order Requests, below. Any valid TX SET-approved EDI 650\_01 transaction RNP requests received according to the timelines below will be accepted and scheduled for the requested date.

**Table 3. Timelines for Receipt of RNP 650\_01 Service Order Requests**

|                                  | <b>NEC</b>  | <b>LP&amp;L</b>        |
|----------------------------------|---|------------------------|
| <b>At Meter (Standard Meter)</b> | Only if NEC's past due balance is also paid in full | On date requested      |
| <b>At Meter Standard</b>         | Only if NEC's past due                              | 1400 on requested date |

|   |   |                        |
|---|---|------------------------|
| <b>Reconnect<br/>(Non-Standard Meter)</b>                       | balance is also paid in full                        |                        |
| <b>At Meter Same-Day<br/>Reconnect<br/>(Non-Standard Meter)</b> | Only if NEC's past due balance is also paid in full | 1700 on requested date |
| <b>Premium Location<br/>Standard Reconnect</b>                  | Only if NEC's past due balance is also paid in full | 1400 on requested date |
| <b>Premium Location<br/>Priority Reconnect</b>                  | Only if NEC's past due balance is also paid in full | 1700 on requested date |

### 8.3.3.2 Transaction Validations

- (1) CRs shall perform the following validations prior to initiating the 650\_01, Service Order Request, for DNP:
  - (a) Verify that they are still the CR of Record;
  - (b) Verify that a Pending DNP request or Move-Out Request does not exist to prevent the 650\_01 transaction from being rejected; and
  - (c) Verify the critical care status of residential Customers prior to issuing initial DNP request.
- (2) The MOU/EC may perform the following validations upon receipt of 650\_01 transaction for a DNP or RNP request:
  - (a) Verify that the CR is certified for DNP transaction processing;
  - (b) Verify that the CR submitting the DNP request is the CR of Record;
  - (c) Perform ANSI validations on the 650\_01 transaction;
  - (d) Perform TX SET validations on the 650\_01 transaction;
  - (e) Review meter indicators for ESI ID for critical Load, critical care, and master metered Premise;
  - (f) Verify if a DNP request is a duplicate;
  - (g) Verify if a RNP request is a duplicate;
  - (h) Verify if a move in or switch has been scheduled on the requested date;



- (i) Verify if a move out has been received from the requesting CR;
  - (j) Verify if the requesting CR is available for RNP the following day if requested date for DNP is Friday;
  - (k) Identify if RNP request is a same day reconnect; and
  - (l) Verify if a weather moratorium is in effect.
- (3) The MOU/ECs shall perform the validations listed below prior to issuing a service order to the FSR for a DNP request. If the MOU/EC initiated the DNP, the 650\_04, Planned or Unplanned Outage Notification, shall be forwarded to the CR after the completion of the DNP request.
- (a) Verify that a move in for a new Customer does not exist; and
  - (b) Verify that a critical care status does not exist.

#### 8.3.3.3 Competing Orders

- (1) The MOU/EC will Complete Unexecutable a DNP request when the requested date is greater than or equal to the scheduled date of a Pending switch or move in. When a DNP request is received with a requested date that is prior to the scheduled date of a switch or move in, the DNP requests will be scheduled. DNP requests carried over to the next Retail Business Day may not be worked due to competing order and will be Complete Unexecutable. See Table 4, Competing Orders – Move In, below.
- (a) Move in - In order to re-energize a Premise that has been disconnected, the new CR of Record's move in will energize the Customer's Premise and will be subject to applicable fees per MOU/EC tariffs. A move in submitted on a Premise that has been de-energized for non-payment may still require a permit for completion in certain MOU's/EC's service territories.

**Table 4. Competing Orders - Move In**

| MOU/EC | 650_01 DNP Requested Date One Day Prior to Move in or Switch | 650_01 DNP Requested Date Greater Than or Equal to Move in or Switch | Fee           |
|--------|--|--|---------------|
| NEC    | Will work 650_01   | Reject 650_01  | Reconnect fee |
| LP&L   | Will work 650_01   | Reject 650_01  | Reconnect fee |

- (b) Self-selected switch - If the new CR of Record has submitted a self-selected switch, the MOU/EC will re-energize the Premise and bill applicable charges to

the new CR of Record. See Table 5, Competing Orders – Self-selected Switch, below.

- (i) If an MOU/EC initiated the 650\_04, Planned or Unplanned Outage Notification, the Premise will not be reconnected until the MOU/EC confirms Customer’s satisfactory correction of reasons for DNP request. Self-selected switch requests for a Premise that has been disconnected for non-payment by the MOU/EC will be rejected to the CR with an 814\_04, Enrollment Notification Response, with the A13 reject code and a reason description of “Disconnected for Non-Pay.”

**Table 5. Competing Orders - Self-selected Switch**

| MOU/EC | MOU/EC Action       | MOU/EC Fee       |
|--------|---------------------|------------------|
| NEC    | Re-energize Premise | Reconnect charge |
| LP&L   | Re-energize Premise | Reconnect charge |

- (c) Standard switch - If the new CR of Record has submitted a standard switch at a Premise that has been previously de-energized, the MOU/EC will perform the actions identified in Table 6, Competing Orders – Standard Switch, below.
  - (i) If an MOU/EC initiated the 650\_04 transaction, the Premise will not be reconnected until the MOU/EC confirms Customer’s satisfactory correction of reasons for DNP request. Standard switch requests for a Premise that has been disconnected for non-payment by the MOU/EC will be rejected to the CR with an 814\_04 transaction, with the A13 reject code and a reason description of “Disconnected for Non-Pay.”

**Table 6. Competing Orders - Standard Switch**

| MOU/EC | MOU/EC Action      | Energize | Fee           |
|--------|--------------------|----------|---------------|
| NEC    | Perform meter read | Yes      | Reconnect fee |
| LP&L   | Perform meter read | Yes      | Reconnect fee |

#### 8.3.3.4 Reconnect for Non-Pay and Disconnect for Non-Pay Processing Order

- (1) If an RNP request is received before a DNP request, the MOU/EC will reject the RNP request using the timelines below with reason code “RWD.” See Table 7, Transaction Processing Order, below. Any DNP requests received after an associated RNP request has been rejected will be worked by the MOU/EC. If an inadvertent DNP occurs, then emergency RNP provisions will be followed.

**Table 7. Transaction Processing Order**

| MOU/EC | MOU/EC Action                                   | Code |
|--------|---|------|
| NEC    | Reject 650_01, Service Order Request, reconnect | RWD  |
| LP&L   | Hold for two hours, then reject 650_01 RNP      | RWD  |

**8.3.3.5 Disconnection at Premium Disconnect Location**

- (1) When necessary, service orders without a premium disconnect location indicator (i.e. pole, substation) that cannot be completed by the FSR at the meter may be referred within one Retail Business Day to a specialized field group that will disconnect service at the pole or transformer. Service orders with premium disconnect location indicator will be immediately referred to specialized field personnel.
- (2) When service is disconnected at premium disconnect location, the MOU/EC will notify the CR on the 650\_02, Service Order Response, with a code of “O” for “Disconnected Other than at Meter.” For any DNP request performed, the appropriate MOU/EC tariff charges will be applied. When service cannot be disconnected at a premium disconnect location, the MOU/EC will respond with a 650\_02 transaction Complete Unexecutable and the CR will need to contact the MOU/EC for special consideration.

**8.3.3.6 Completed Unexecutable and Rejected Orders**

- (1) The MOU/EC will issue the 650\_02, Service Order Response, within one Retail Business Day for the rejected 650\_01, Service Order Request, or service orders that cannot be completed in the field.
- (2) No charges will be applied to service orders that are rejected.
- (3) No charges will be applied to service orders that are Completed Unexecutable prior to dispatch.

**8.3.3.7 Same Day/Priority or Weekend Non Holiday Reconnect or Disconnect for Non-Payment**

- (1) When issuing a 650\_01, Service Order Request, for RNP requests, CRs may request priority service where available. The TX SET codes indicated in Table 8, MOU/EC Priority Codes, should be used to indicate priority status on RNP requests.
- (2) Any service order received by an MOU/EC with a priority code other than those listed below in Table 8 will be processed as a standard service order.

- (3) If a CR issues a same day RNP requests after issuing a standard RNP request and the standard RNP request has not been completed, the same day request will trump the routine RNP request provided that a follow up call is placed to the MOU/EC dispatch.

**Table 8. MOU/EC Priority Codes**

| MOU/EC | Same Day Reconnect | Outside Normal Business Hours | Holiday | Prepay for ESI ID's Provisioned AMS Meter |
|--------|--------------------|-------------------------------|---------|---|
| NEC    | N/A                | 02                            | 02      | N/A                                       |
| LP&L   | 02                 | 03                            | 04      | 05  |

**8.3.3.8 Service Order cancellations**

- (1) In order to cancel a DNP request that has not been completed, a CR must send a 650\_01, Service Order Request, RNP request referencing the BGN02 of the DNP request to the MOU/EC. No charges will apply if the RNP request is received prior to dispatching the DNP request.
- (2) In order to cancel a RNP request because the CR may have sent the RNP request in error or for the wrong ESI ID, a CR must send a 650\_01 transaction "C" Cancel, referencing the BGN02 of the initiating 650\_01 transaction requesting reconnection.
- (3) Service requests that are dispatched and then cancelled by the CR prior to completion will be Completed Unexecutable and be subject to a cancellation charge by the MOU/EC. Refer to the MOU/EC tariff for applicable charges.

**8.3.3.9 Response Transactions**

- (1) The 650\_02, Service Order Response, will be issued by the MOU/EC for every 650\_01, Service Order Request, within one Retail Business Day upon the following:
- Rejection of service order after performing initial transaction validations;
  - Completion of the requested field service activity;
  - Determination by FSR of unexecutable status; and
  - Cancellations of a requested RNP request.
- (2) The MOU/EC will populate the field completion date and time in the 650\_02 transaction for successfully completed service order requests.

- (3) Due to the exceptional conditions outlined in Section 8.3.5, Exceptions, CRs will need to follow up with the MOU/EC if the 650\_02 transaction for a DNP request is not received within three to five Retail Business Days following the requested disconnect date. Inquiries should be submitted via e-mail as indicated in Table 9, MOU/EC Contact for 650\_02s not Received.

**Table 9. MOU/EC Contact for 650\_02s not Received**

| MOU/EC | E-mail Address               |
|--------|------------------------------|
| NEC    | necedlops@nueceselectric.org |
| LP&L   | MarketOps@mylubbock.us       |

### 8.3.4 *Field Service Activities*

#### 8.3.4.1 **Disconnection Service Orders**

- (1) Table 10, Field Service Hours for DNP Requests, below outlines the availability of FSRs for performing DNP requests.
- (2) Disconnect orders requesting dates beyond the next Field Operational Day will be scheduled and performed by the MOU/EC according to availability of FSRs on the requested date.
- (3) The MOU/EC will not disconnect a Customer's electric service for non-payment on a day preceding a weekend or holiday or after-hours unless:
- LP&L disconnects on a day preceding a weekend if the CR has personnel available to take payments, make payment arrangements with the Customer, and request reconnection of service as noted on the 650\_01, Service Order Request, Texas SET transaction; otherwise
  - LP&L will not disconnect for non-payment on a day preceding a holiday, including Fridays prior to a Monday holiday.

**Table 10. Field Service Hours for DNP Requests**

| MOU/EC | DNP Start Time | Standard | Same Day      | Weekend       | Holiday       |
|--------|----------------|----------|---------------|---------------|---------------|
| NEC    | 0800           | 1600     | Not available | Not available | Not available |
| LP&L   | 0700           | 1700     | 1700          | Not available | Not available |

**8.3.4.1.1 Disconnection Order Overflow**

If a DNP request cannot be completed on the requested day and the next available Field Operational Day immediately precedes a weekend or holiday, the MOU/EC will pend the order and reschedule the DNP request on the next available Field Operational Day.

**8.3.4.2 Reconnection Service Orders**

- (1) Table 11, CR Timelines for Submitting RNP Requests, and Table 12, Field Service Hours for RNP Requests, below, outline the availability of FSR for performing RNP requests:
- (a) Standard RNP request - per the MOU/EC Customer protection rules, any RNP request, including those for a premium disconnect location (i.e. pole, substation), issued by a CR must be completed by the MOU/EC no later than the next Field Operational Day.

**Table 11. CR Timelines for Submitting RNP Requests**

| <b>Payments Made on a Retail Business Day:</b>   | <b>RNP Request Must be Sent by:</b>                          |
|--|--|
| <b>Between 0800 and 1200</b>                     | 1400 that Retail Business Day                                |
| <b>Between 1200 and 1700</b>                     | 1900 that Retail Business Day                                |
| <b>Between 1700 and 1900</b>                     | 2100 that Retail Business Day                                |
| <b>Between 1900 and 0800</b>                     | 1400 the next Retail Business Day                            |
| <b>Payments made on a weekend day or holiday</b> | 1400 the first Retail Business Day after the payment is made |

- (b) For emergency RNP requests, refer to Section 8.3.5.1, Emergency Reconnects, for the 24 hours per day, seven days per week emergency reconnection process and appropriate contacts.
- (c) The MOU/EC offers after-hours RNP for an additional charge. The RNP request should be used when submitting a RNP request to be worked outside normal Business Hours. For a CR to initiate an after-hours RNP request, a 650\_01, Service Order Request, should be sent, as well as contacting the MOU/EC's 24 hours per day, seven days per week support center according to Table 12, Field Service Hours for RNP Requests, below. See Section 8.3.5.1 for contact information.
- (d) Currently, the CR's contact with the MOU/EC support center is the only trigger that will initiate the after-hours RNP request. The MOU/EC also requires any RNP request to be supported by a phone call as well on RNP requests submitted after 1400 for NEC and 1500 for LP&L.

**Table 12. Field Service Hours for RNP Requests**

| MOU/EC | Standard and Friday | Priority, Weekend, Holiday and After-Hours  | Emergency                                      |
|--------|---------------------|---|--|
| NEC    | 1630                | 24 hours per day, seven days per week Priority Code Required and a phone call with CR pass code       | See Section 8.3.5.1.<br>Priority Code Required |
| LP&L   | 1700                | 24 hours per day, seven days per week Priority Code Required and an email to LPLDispatch@mylubbock.us | See Section 8.3.5.1.<br>Priority Code Required |

**8.3.4.3 Requirements for Reconnecting Service**

- (1) Safe access to the meter or premium disconnect location is required to restore service. Evidence of tampering or damage to the meter equipment may result in delayed or Completed Unexecutable orders when reconnecting service.
- (2) The MOU/EC will require inside or outside breakers to be off when performing an RNP request. CRs are advised to inform Customers whose service has been disconnected for non-pay to take appropriate safety measures such as placing all breakers in the “OFF” position and to disconnect any extension cords from a neighboring facility.

**8.3.4.4 Customer Receipting Issue**

- (1) The MOU/EC’s FSR will wait according to Table 13, Receipting Issue Process, below for the Customer to contact the CR in regards to payment for the Customer to call the CR and have the CR advise the MOU/EC’s office if receipt is valid and to cancel the DNP request. Cancellation and trip fees will apply.

**Table 13. Receipting Issue Process**

| MOU/EC | Wait Period               | Fee for DNP              |
|--------|---------------------------|--------------------------|
| NEC    | Wait 15 Mins and Validate | Cancellation & Trip Fees |
| LP&L   | None                      | Disconnect Fee           |

**8.3.4.5 Premise Access Issues**

- (1) The MOU/EC will make every reasonable attempt to gain access to the Customer’s Premise to complete the service order. These measures may include notifying law

enforcement agencies to request assistance or referring the service order to specialized field personnel for DNP at a premium disconnect location. Based upon determinations made in the field at the time the FSR is attempting to DNP or RNP, these measures are applied by the MOU/EC on a case by case basis. The CR may also be requested to assist and participate with this request, as a means to successfully completing the service order.

- (2) If access is denied, no additional denial of access fees are applied to a DNP or RNP request. These types of orders will be Completed Unexecutable and the MOU/EC will charge the CR a disconnect or reconnect charge based on initiating service order request. The CR will be charged a routine dispatch fee for every time the FSR attempts to complete the service order that was initiated by the CR.

#### 8.3.4.6 Door Hanger Policies

- (1) MOU/ECs will offer door hangers as indicated in Table 14, Door Hanger Use by MOU/EC, below.

**Table 14. Door Hanger Use by MOU/EC**

| MOU/EC | Door Hanger Use  |
|--------|--|
| NEC    | Does not provide door hangers.   |
| LP&L   | Yes, door hangers used for No Retail Electric Provider (REP) of Record, Access Issues & Tampering. |

#### 8.3.4.7 Meter Seal Policies for Disconnection

- (1) MOU/ECs will tag meters as indicated in Table 15, Meter Seal Use by MOU/EC, below.

**Table 15. Meter Seal Use by MOU/EC**

| MOU/EC | Meter Seal Use   |
|--------|--|
| NEC    | No meter seal used. Meters will be removed in unsafe conditions or if tampering occurs.  |
| LP&L   | Meter seals will be used if FSR responds to perform work at the meter. Meters will be removed in unsafe conditions or if tampering occurs.<br><br>Red – DNP and Tampering<br>Yellow – Move out |



### 8.3.5 Exceptions

#### 8.3.5.1 Emergency Reconnects

- (1) There may be times when a Customer has been disconnected for non-payment in error. For completed DNP request that result in a life threatening situation, PUCT request or are completed inadvertently, CRs will need to contact the MOU/EC to arrange for an emergency RNP and identify the reason for the emergency RNP request. Life threatening situations should be immediately reported to the MOU/EC 24 hours per day, seven days per week support center in order to expedite the RNP request.
- (2) After initiating an emergency RNP request with the MOU/EC's 24 hours per day, seven days per week support center, CRs should submit a follow up e-mail, attaching the completed Section 9, Appendices, Appendix C2, Emergency Reconnect Request Data Requirements, spreadsheet to the MOU/EC's e-mail address indicated in Table 16, Contact Information for Emergency RNP Requests, below.

**Table 16. Contact Information for Emergency RNP Requests**

| MOU/EC | Contact Information for Emergency RNP Requests   | E-mail Address   | Require 650_01, Service Order Request, to Reconnect |
|--------|--|--|---|
| NEC    | 361-387-2581 – 24 hours per day, seven days per week support center, CR pass code required.                                | dnp@nueceselectric.org   | Yes, RC001  |
| LP&L   | <p><b>During Business Hours</b><br/>866-949-5862</p> <p><b>After Business Hours</b><br/>806-775-2509 – Dispatch Office</p> | <p><b>During Business Hours</b><br/><a href="mailto:MarketOps@mylubbock.us">MarketOps@mylubbock.us</a></p> <p><b>After Business Hours</b><br/>LPLDispatch@mylubbock.us</p> | Yes, RC001  |

#### 8.3.5.2 Critical Load/Critical Care

- (1) In the interest of public safety, DNP requests for non-residential Customers that have been identified by the MOU/EC as critical or critical Load will be either rejected with an A13 code with remarks that will reflect life support/critical care or Completed Unexecutable by the MOU/EC with the appropriate TX SET reason code.
- (2) In the event that a life threatening situation is discovered or the FSR determines that the Premise qualifies as a critical Load although currently not indicated as such, the DNP request will be Completed Unexecutable with the appropriate TX SET reason code. There will be no charges billed to the CR for service orders Completed Unexecutable.

- (3) Upon discovery of red lights or equipment associated with supporting air traffic control or other associated Federal Aviation Administration (FAA) activities, FSR will Complete Unexecutable the DNP request. In the MOU/EC territory, CRs requesting DNP for FAA related Premises must contact the MOU/EC to arrange for disconnection. To complete DNP request for critical care Premise, CRs will need to contact the MOU/EC according to Table 17, Contacts to Complete DNP for FAA Critical Care Premise, below.

**Table 17. Contacts to Complete DNP for FAA Critical Care Premise**

|                 |   |
|-----------------|---|
| <b>NEC</b>      | Contact the CR Relations Manager  |
| <b>LP&amp;L</b> | Email <a href="mailto:LPLCustomerCare@mylubbock.us">LPLCustomerCare@mylubbock.us</a><br><br>Use email subject:<br><br>Market – DNP Critical Designation |

- (4) DNP requests received by the MOU/EC for residential Customers that the MOU/EC has identified as chronic or critical care will be handled according to Table 18, Contacts to Complete DNP for Residential Chronic Condition/Critical Care Premise, below.

**Table 18. Contacts to Complete DNP for Residential Chronic Condition/Critical Care Premise**

|                 | <b>Critical Care</b>  | <b>Chronic Condition</b>  |
|-----------------|---|---|
| <b>NEC</b>      | Completed Unexecutable with the appropriate TX SET reason code  | Completed Unexecutable with the appropriate TX SET reason code  |
| <b>LP&amp;L</b> | Five Business Days prior to CR sending DNP:<br><br>Email:<br><br><a href="mailto:LPLCustomerCare@mylubbock.us">LPLCustomerCare@mylubbock.us</a><br><br>Use email subject:<br><br>DNP Critical Designation | Five Business Days prior to CR sending DNP:<br><br>Email:<br><br><a href="mailto:LPLCustomerCare@mylubbock.us">LPLCustomerCare@mylubbock.us</a><br><br>Use email subject:<br><br>DNP Critical Designation |

### 8.3.5.3 Field Service Exceptions

- (1) In the event that a life threatening or hazardous situation is discovered or the FSR determines that the Premise qualifies as either a critical Load or critical care although currently not indicated as such, the DNP request will be Completed Unexecutable with the appropriate TX SET reason code.

- (2) MOU/EC will process these types of field exceptions as follows:
- (a) MOU/EC shall not suspend or disconnect a retail Customer when such disconnection will cause a dangerous or life-threatening condition on that retail Customer's Premise, without prior notice of reasonable length such that retail Customer can ameliorate the condition. The retail Customer is responsible for notifying its designated CR if DNP to its facility will result in such a condition.
  - (b) Per NEC Customer Protection Rule:  
*If, in the normal performance of its duties, NEC obtains information that a member scheduled for disconnection may qualify for delay of disconnection pursuant to this subsection, and NEC reasonably believes that the information may be unknown to the CR, NEC shall delay the disconnection and promptly communicate the information to the CR. NEC shall disconnect such customer if it subsequently receives a confirmation of the disconnect notice from the CR. Nothing herein should be interpreted as requiring NEC to assess or to inquire as to the member's status before performing a disconnection, or to provide prior notice of the disconnection, when not otherwise required. NEC will also provide documentation to member to register and/or renew critical care status.*
  - (c) LP&L shall not suspend or disconnect a retail Customer when such disconnection will cause a dangerous or life-threatening condition on that retail Customer's Premise, without prior notice of reasonable length such that retail Customer can ameliorate the condition. The retail Customer is responsible for notifying its designated CR if DNP to its facility will result in such a condition. For additional rules and processes please refer to the Customer Protection Rules.

#### 8.3.5.4 Weather Moratoriums

- (1) All Market Participants should monitor [www.nws.noaa.gov](http://www.nws.noaa.gov) for the conditions in Table 19, Extreme Weather Emergency Due to Cold, and Table 20, Extreme Weather Emergency Due to Heat, below that would establish a weather moratorium. A weather moratorium may be invoked in a service territory at any time during the day when one of the following conditions exists in a county as outlined in the MOU/EC Customer protection rule.

#### Table 19. Extreme Weather Emergency Due to Cold

| The previous day's highest temperature did not exceed 32°F and the predicted temperature for the next 24 hours is at or below 32°F. (Both conditions must be met before disconnection activity is suspended in a service territory). | Saturday | Sunday | Monday        | Tuesday       | Wednesday  | Thursday   | Friday        |
|--|----------|--------|---------------|---------------|------------|------------|---------------|
| <b>Example I</b>   | 28°F     | 28°F   | 32°F          | 34°F          | 34°F       | 32°F       | 32°F          |
|  |          |        | No Disconnect | Disconnect    | Disconnect | Disconnect | No Disconnect |
| <b>Example II</b>  | 28°F     | 28°F   | 32°F          | 32°F          | 34°F       | 32°F       | 45°F          |
|  |          |        | No Disconnect | No Disconnect | Disconnect | Disconnect | Disconnect    |
| <b>Example III</b>   | 28°F     | 28°F   | 32°F          | 30°F          | 34°F       | 32°F       | 25°F          |
|  |          |        | No Disconnect | No Disconnect | Disconnect | Disconnect | No Disconnect |

**Table 20. Extreme Weather Emergency Due to Heat**

| The National Weather Service issues a heat advisory for that day or on any one of the preceding two calendar days. | Saturday                | Sunday                  | Monday                  | Tuesday          | Wednesday               | Thursday         | Friday                  |
|--|-------------------------|-------------------------|-------------------------|------------------|-------------------------|------------------|-------------------------|
| <b>Example I</b>   | Heat Advisory in Effect | Heat Advisory in Effect | Heat Advisory in Effect | No Heat Advisory | No Heat Advisory        | No Heat Advisory | Heat Advisory in Effect |
|  |                         |                         | No Disconnect           | No Disconnect    | No Disconnect           | Disconnect       | No Disconnect           |
| <b>Example II</b>  | Heat Advisory in Effect | No Heat Advisory        | No Heat Advisory        | No Heat Advisory | Heat Advisory in Effect | No Heat Advisory | No Heat Advisory        |
|  |                         |                         | No Disconnect           | Disconnect       | No Disconnect           | No Disconnect    | No Disconnect           |

**(2) Disconnection Activity During Extreme Weather**

- (a) In the event that one of the above conditions exists in an MOU/EC's service territory, the PUCT and CRs will be notified via e-mail or Listserv that a weather moratorium has been invoked and that DNP activity has been suspended as

indicated in Table 21, MOU/EC Disconnection Activity During Weather Moratorium.

- (b) CRs will need to provide their company contact to their CR relations manager at each MOU/EC in order to receive the weather moratorium notifications.
  - (c) For the duration of the weather moratorium, CRs shall not issue DNP request for affected areas. DNP requests issued for Premises in counties or service territories that are experiencing a weather moratorium will be processed as indicated in Table 16 below.
  - (d) DNP requests that are Pending completion by the MOU/EC at the time a weather moratorium is established will be processed as indicated in Table 21 below.
  - (e) DNP requests that are Completed Unexecutable by the MOU/EC during a weather moratorium should be resubmitted by the CR at the time the weather moratorium is lifted.
  - (f) In the event of a PUCT mandated weather moratorium for an extended length of time, seven days or more, the CR will cancel all Pending DNP requests with the 650\_01, Service Order Request, reconnect requests until the PUCT has declared that the weather moratorium has been lifted. This would prevent any outstanding and/or Pending DNP requests from being completed after the weather moratorium is lifted where Customers may have made payments during that time period, also the MOU/EC would now be working with and scheduling more up to date DNP transactions.
- (3) Reconnection Activity During Extreme Weather
- (a) All types of RNP request will be processed by the MOU/EC during a weather moratorium.
  - (b) RNP requests received for Pending DNP requests will be processed in order to cancel the DNP request. RNP requests received for DNP completed prior to an extreme weather event are processed and dispatched according to applicable timeframes during a weather moratorium.

**Table 21. MOU/EC Disconnection Activity During Weather Moratorium**

| <b>MOU/EC</b> | <b>MOU/EC E-Mail Notification - Disconnection Activity Suspended Due to Weather Moratorium</b> | <b>MOU/EC Processing of New DNP Requests Issued During Weather Moratorium</b> | <b>MOU/EC Processing of Pending DNP Requests During Weather Moratorium</b> |
|---------------|--|---|--|
| <b>NEC</b>    | By service territory.  | Completed Unexecutable  | Completed Unexecutable   |

| <b>MOU/EC</b>   | <b>MOU/EC E-Mail Notification - Disconnection Activity Suspended Due to Weather Moratorium</b> | <b>MOU/EC Processing of New DNP Requests Issued During Weather Moratorium</b> | <b>MOU/EC Processing of Pending DNP Requests During Weather Moratorium</b> |
|-----------------|--|---|--|
| <b>LP&amp;L</b> | By county  | Rejected  | Completed Unexecutable   |

### 8.3.5.5 Force Majeure Event

- (1) During a Force Majeure Event, the MOU/EC will process service requests as indicated in Table 22, MOU/EC Activity During Force Majeure Event.
- (2) Once a Force Majeure Event has concluded and the MOU/EC has re-established routine operations, CRs should submit any service requests for ESI IDs that still qualify for DNP or RNP.
- (3) The MOU/EC will notify the market of the establishment and conclusion of a Force Majeure Event via their CR relations or account management teams.

**Table 22. MOU/EC Activity During Force Majeure Event**

| <b>MOU/EC</b>   | <b>MOU/EC Processing of RNP Requests During Force Majeure Event</b> | <b>MOU/EC Processing of DNP Requests During Force Majeure Event</b> |
|-----------------|---|---|
| <b>NEC</b>      | Completed Unexecutable  | Completed Unexecutable  |
| <b>LP&amp;L</b> | Completed Unexecutable  | Completed Unexecutable  |

### 8.3.5.6 Master Metered Premises

- (1) Prior to issuing a DNP request for a master metered Premise, the CR or the MOU/EC initiating the DNP request must fulfill the tenant notification requirements outlined in the MOU/EC Customer protection rule.
- (2) DNP requests received for a master metered Premise will be Completed Unexecutable by the MOU/EC. The requesting CR will need to contact the MOU/EC to coordinate the DNP request of the master metered Premise as indicated in Table 23, DNP/RNP Request for Mastered Metered Premises and Unmetered Services, below mail to:

**Table 23. DNP/RNP Request for Mastered Metered Premises and Unmetered Services**

| MOU/EC | MOU/EC Contact to Coordinate DNP Request |
|--------|--|
| NEC    | dnp@nueceselectric.org                   |
| LP&L   | MarketOps@mylubbock.us                   |

**8.3.5.7 Unmetered Service**

- (1) An unmetered service that is not a critical load Premise or that does not present a hazardous condition if disconnected will be subject to the same processing as metered services for DNP and RNP requests.
- (2) For all other unmetered services, DNP requests will be Completed Unexecutable upon receipt or following field investigation. The requesting CR will need to contact the MOU/EC to coordinate the DNP request as indicated in Table 23, DNP/RNP Request for Mastered Metered Premises and Unmetered Services, above.

**8.3.5.8 Multiple Metered Service (not Master Metered)**

- (1) For MOU/ECs that have multiple meters associated with an ESI ID, any 650\_01, Service Order Request, whether for DNP or RNP, will be executed for all meters associated with that Premise. CRs will need to submit the 650\_01 transactions for multiple meters as indicated in Table 24, Multiple Metered Service, below.

**Table 24. Multiple Metered Service**

| MOU/EC | 650_01 Submittal by CR for Multiple Meters                                  | MOU/EC Discretionary Charges Billed   |
|--------|---|---|
| NEC    | N/A, no multiple metered Premises in service territory as of 10/1/2023.     | N/A, no multiple metered Premises in service territory as of 10/1/2023.     |
| LP&L   | N/A, no multiple metered Premises in the service territory as of 10/1/2023. | N/A, no multiple metered Premises in the service territory as of 10/1/2023. |

**8.3.5.9 Meter Tampering Issues**

- (1) An FSR may discover tampering at the meter while performing a DNP requests. If the FSR determines that the degree of tampering does not present a hazardous condition, the DNP will be completed. If the meter tampering has created an unsafe condition, the DNP request may be referred to specialized field personnel to attempt to complete the DNP request at a premium disconnect location as described in Section 8.3.3.5, Disconnection at Premium Disconnect Location. If the DNP request cannot be completed as a result of the tampering incident, the DNP request will be Completed Unexecutable and the

MOU/EC may notify the CR of the hazardous condition and, if applicable, meter removal by issuing a 650\_04, Planned or Unplanned Outage Notification.

- (2) An FSR may discover tampering at the meter while performing an RNP request or when reenergizing a DNP Premise while performing a switch or move in. The MOU/EC's FSR will contact the MOU/EC's offices and advise the supervisor of the detected tampering. At the discretion of the supervisor, the MOU/EC will not RNP service and will likely notify local law enforcement of the possible tampering. Only after all facts and any applicable monies owed by the Customer as a result of the tampering have been paid to the MOU/EC (e.g. deposits, reconnect, tampering fees, etc.) will the service be reenergized regardless of the initiating party. If the meter tampering has created an unsafe condition, the 650\_01, Service Order Request, reconnect request will be Completed Unexecutable and the MOU/EC may notify the CR of the hazardous condition and, if applicable, meter removal by issuing either a 650\_02, Service Order Response, or the 650\_04 transaction.
- (3) Refer to the MOU/EC tariffs for specific charges regarding meter tampering.
- (4) If the CR is notified of potential meter tampering at a Premise, the CR may notify the MOU/EC via a 650\_01 transaction utilizing the MM006 reason code for tampering suspected if they are currently the CR of Record and are an Option 1 CR. Any CR may report suspected tampering at any time by contacting the MOU/EC general call center phone number.

#### **8.3.5.10 Customer Threatens Municipally Owned Utility or Electric Cooperative Field Service Representative**

- (1) If threatened by the Customer, the FSR will not disconnect service. However, the FSR may refer the DNP request to another group specialized in disconnecting service at the pole, transformer (overhead and pad mounted), or weather head. Similar to resolving access issues, the MOU/EC will exhaust all means available, which may include communicating with the CR to request their assistance and participation, as a means to successfully complete the DNP request. The CR will be charged a routine dispatch fee for every time the FSR attempts to complete the DNP request initiated by the CR.

#### **8.3.6 Municipally Owned Utility or Electric Cooperative Charges for Reconnect and Disconnect Services**

##### **8.3.6.1 Discretionary Charges**

- (1) MOU/EC will use SAC04 codes for discretionary charges resulting for DNP or RNP requests as outlined in Table 25, SAC04 Codes-Discretionary Charges, below:

**Table 25. SAC04 Codes-Discretionary Charges**



## SECTION 8: MUNICIPALLY OWNED UTILITIES AND ELECTRIC COOPERATIVES

| Charge Description                       | NEC    | LP&L   |
|--|--------|--------|
| <b>Disconnection</b>                     |        |        |
| Routine Disconnect at Meter              | N/A    | SER024 |
| Routine Disconnect at Pole               | N/A    | SER026 |
| Priority Disconnect at Meter             | N/A    | N/A    |
| Priority Disconnect at Pole              | N/A    | N/A    |
| Priority Disconnect at Subsurface Box    | N/A    | N/A    |
| <b>Reconnection</b>                      |        |        |
| Routine Reconnect at Meter               | SER030 | SER028 |
| Routine Reconnect at Meter Special Route | SER031 | N/A    |
| Routine Reconnect at Pole                | SER030 | SER034 |
| Routine Reconnect at Subsurface Box      | SER030 | N/A    |
| Routine Reconnect at CT Meter            | SER034 | N/A    |
| Priority Reconnect at Meter              | SER029 | SER029 |
| Priority Reconnect at Pole               | SER035 | SER035 |
| Priority Reconnect at Subsurface Box     | SER035 | N/A    |
| Priority Reconnect at CT Meter           | SER035 | N/A    |
| Weekend Reconnect at Meter               | SER032 | SER032 |
| Weekend Reconnect at Pole                | SER035 | SER035 |
| Weekend Reconnect at Subsurface Box      | SER035 | N/A    |
| Weekend Reconnect at CT Meter            | SER035 | N/A    |
| Holiday Reconnect at Meter               | SER032 | SER033 |
| Holiday Reconnect at Pole                | SER035 | SER036 |
| Holiday Reconnect at Subsurface Box      | SER035 | N/A    |
| Holiday Reconnect at CT Meter            | SER035 | N/A    |
| After-hours Reconnect at Meter           | SER032 | SER029 |
| After-hours Reconnect at Pole            | SER035 | SER035 |
| After-hours Reconnect at Subsurface Box  | SER035 | N/A    |
| After-hours Reconnect at CT Meter        | SER035 | N/A    |
| <b>Denial of Access to Meter</b>         |        |        |
| For Disconnection Orders                 | SER133 | SER133 |
| For Reconstructions Orders               | SER133 | SER133 |
| <b>Order Cancellation Fees</b>           |        |        |
| Disconnect Administration Fee            | N/A    | N/A    |
| Dispatched Order Fee                     | N/A    | N/A    |

| <b>Charge Description</b>                                     | <b>NEC</b> | <b>LP&amp;L</b> |
|---|------------|-----------------|
| Routine Dispatch  | SER132     | SER132          |
| <b>Tampering Charges</b>                                      |            |                 |
| Broken Meter Seal Fee   | SER130     | SER130          |
| Meter Tampering Fee   | SER072     | SER072          |
| <b>Connection Fees</b>  |            |                 |
| Connect Fee/Connection Charge at Meter/Account Activation Fee | SER019     | SER019          |

### 8.3.6.2 Other Charges

- (1) Non-usage based charges will continue to be assessed by the Municipal or Cooperative and may be billed to the CR of Record until service at the disconnected Premise has been terminated upon completion of a Move-Out Request.
  - (a) Customer Charge: NEC: bills Customer directly for these charges
  - (b) Customer Metering Charge: NEC: not applicable
  - (c) LP&L – Delivery Service Availability Charge: LP&L: \$30.00 per meter per month
- (2) In order to avoid ongoing liability, a CR must submit a Move-Out Request to terminate service no earlier than five days after receipt of a 650\_04, Planned or Unplanned Outage Notification, or 650\_02, Service Order Response, indicating successful completion of the DNP request. CRs receiving reliable information indicating a Premise is vacant may submit move out earlier. Upon completion of the move out order the MOU/EC will discontinue billing the CR for non-usage based charges as outlined above. A CR's financial liability for a disconnected Premise is removed upon the completion of a move out. Until a move out is effectuated, the REP will remain the REP of record and will re-energize the Customer's Premise upon remedy of the reason for DNP request if necessary. Whether prior to or after the completion of the Move-Out Request, the CR will re-establish service to the extent required under the MOU/EC Customer protection rules.

### 8.3.7 Emergency System Outage

- (1) In the event of a system outage during Business Hours and a CR cannot submit EDI transactions, the CR should contact their CR relations manager at the MOU/EC to arrange for a workaround in order to submit RNP requests. For system outages that occur

outside Business Hours, CRs should contact the MOU/EC as indicated in Table 26, Emergency System Outage After-hours Contact, below.

**Table 26. Emergency System Outage After-hours Contact**

| <b>MOU/EC</b>   | <b>Emergency System Outage After-hours Contact</b> |
|-----------------|--|
| <b>NEC</b>      | 361-387-2581, CR relations manager                 |
| <b>LP&amp;L</b> | 806-775-2509, Dispatch Office                      |

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix A1: Intentionally Left Blank**

**April 1, 2018**

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# Appendix A1

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# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix A2: Intentionally Left Blank**

**December 1, 2019**

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# Appendix A2

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# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix B1: Letter of Authorization for the Request of Historical Usage Information Form (English)**

**February 1, 2019**

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## Appendix B1

### Letter of Authorization for the Request of Historical Usage Information Form (English)

Reference: Section 7.5.1, Overview of the Letter of Authorization for Historical Usage

Date: \_\_\_\_\_  Unlimited  Expiration Date \_\_\_\_\_

---

#### Select Transmission and/or Distribution Service Provider (TDSP) (Required: Select the TDSP the request applies to.)

Oncor

CenterPoint Energy

Nueces

AEP

TNMP

---

Please accept this letter as a formal request and authorization for the above referenced TDSP to release energy usage data, including kWh, kVA or kW, and interval data (if applicable) at the following location(s) to <<(NAME OF Competitive Retailer (CR)/representative)>>. This information request shall be limited to no more than the most recent 12-month period of service. If the Electric Service Identifiers (ESI ID(s)) are metered using an Interval Data Recorder (IDR), please indicate whether summary level and/or interval data is required.

Summary Billing Data Only

Interval Data Only

Both Summary and Interval Data

Please forward usage and Load information in electronic (Microsoft Excel) format using Retail Market Guide Section 9, Appendices, Appendix B4, Transmission and/or Distribution Service Provider Response to Request for Historical Usage, to:

E-mail: <<(EMAIL ADDRESS OF CR/REPRESENTATIVE)>>

If an attachment is used, please use a separate attachment per TDSP with the ESI IDs that are specific to a TDSP. The TDSP will reject submitted ESI IDs that are not located within the TDSP's territory.

Service Address

ESI ID Number (found on bill)

---

---

---

## AUTHORIZATION

I affirm that I have the authority to make and sign this request on behalf of my company for all ESI IDs that are associated with this request.

---

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Company)

**By checking this box, (requesting party) \_\_\_\_\_ affirms that they have authorization from the Customer identified below to obtain Customer's historical usage information and holds the TDSP harmless for providing the historical data to requested party as identified on this form.**

\_\_\_\_\_  
(Name, printed)

\_\_\_\_\_  
(Billing Street Address)

\_\_\_\_\_  
(Title)

\_\_\_\_\_  
(City, State, Zip Code)

\_\_\_\_\_  
(Telephone Number)

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix B2: Formulario Carta De Autorización Para Solicitar Información De Consumo Histórico (Letter of Authorization for the Request of Historical Usage Information Form – Spanish)**

February 1, 2019

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## Appendix B2

### Formulario Carta De Autorización Para Solicitar Información De Consumo Histórico (Letter of Authorization for the Request of Historical Usage Information Form – Spanish)

Reference: Section 7.5.1, Overview of the Letter of Authorization for Historical Usage

Fecha: \_\_\_\_\_  Sin limite  Fecha de vencimiento \_\_\_\_\_

**Seleccione las empresas de transmisión y/o distribución (TDSP), (Requerido: Seleccione el TDSP a la que la petición se refiera)**

Oncor

CenterPoint Energy

Nueces

AEP

TNMP

Tenga la amabilidad de aceptar esta carta como una solicitud y autorización formal para que el TDSP mencionado anteriormente dé a conocer datos sobre su uso de energía, eléctrica lo que incluye kWh, kVA o kW, así como datos de intervalos (en caso de que corresponda) de los siguientes sitios a <<(NAME OF Competitive Retailer (CR)/representative)>>. La presente solicitud de información se limitará al último período de servicio de 12 meses. Si el/los Identificador(es) de Servicio Eléctrico (ESI ID (s)) son medidos usando un Registrador de Datos de Intervalo (IDR), por favor indican si los datos de intervalo y/o nivel sumarios son requeridos.

Sólo Resumen de Factura

Sólo información de intervalos

Información resumida y de intervalos

Por favor envíe la información de consumo y carga en formato electrónico (Microsoft Excel) usando la Guía de Mercado Minorista Sección 9, Apéndices, Apéndice B4, Transmisión y/o Distribución de Proveedor de Servicio Respuesta a la Petición de Uso Historial a: Correo electrónico: <<(EMAIL ADDRESS OF CR REPRESENTATIVE)>>

En caso de incluir un anexo, por favor utilice una hoja separada para cada TDSP con el ESI(s). El TDSP rechazará el/los ESI ID(s) sometidos que no esté(n) localizado(s) dentro del territorio del TDSP.

Domicilio del servicio

Número del Identificador de Servicio Eléctrico(en la factura)

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## AUTORIZACIÓN

Afirmo que tengo la autoridad para presentar y firmar esta solicitud en nombre de mi compañía, para todos los ESI IDs que estén relacionados con esta solicitud.

---

\_\_\_\_\_  
(Firma)

\_\_\_\_\_  
(Compañía)

**Al tildar esta casilla (la parte solicitante) \_\_\_\_\_ afirma que ellos tienen la autorización del Cliente identificado abajo para obtener la información de uso histórica del Cliente y sostener el TDSP inocuo para proporcionar los datos históricos al partido solicitado como identificado en esta forma.**

\_\_\_\_\_  
(Nombre, en letra de imprenta)

\_\_\_\_\_  
(Domicilio de facturación)

\_\_\_\_\_  
(Cargo)

\_\_\_\_\_  
(Ciudad, Estado, Código Postal)

\_\_\_\_\_  
(Número de teléfono)

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix B3: Requesting Historical Usage from Multiple Transmission and/or Distribution Service Providers**

**November 1, 2010**

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## Appendix B3

### Requesting Historical Usage from Multiple Transmission and/or Distribution Service Providers

*Reference: Section 7.5.1, Overview of the Letter of Authorization for Historical Usage*

|  |  |                                   |  |
|--|--|-----------------------------------|--|
| <b>Requestor Name:</b>   |  |                                   |  |
| <b>Transmission and/or Distribution Service Provider (TDSP):</b> |  |                                   |  |
| <b>Customer Name:</b>  |  |                                   |  |
| <b>Electric Service Identifier (ESI ID)</b>                      |  | <b>Service Address (optional)</b> |  |
| 1  |  | 1                                 |  |
| 2  |  | 2                                 |  |
| 3  |  | 3                                 |  |
| 4  |  | 4                                 |  |
| 5  |  | 5                                 |  |
| 6  |  | 6                                 |  |
| 7  |  | 7                                 |  |
| 8  |  | 8                                 |  |
| 9  |  | 9                                 |  |
| 10   |  | 10                                |  |
| 11   |  | 11                                |  |
| 12   |  | 12                                |  |
| 13   |  | 13                                |  |

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix B4: Transmission and/or Distribution Service Provider Response to Request for Historical Usage**

**November 1, 2010**

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## Appendix B4

### Transmission and/or Distribution Service Provider Response to Request for Historical Usage

Reference: Section 7.5.1, Overview of the Letter of Authorization for Historical Usage

ESI ID = Electric Service Identifier

TDSP = Transmission and/or Distribution Service Provider

| ESI ID               | Customer Name | Rate Class/Code | Zip Code | Metered kW | Actual kWh | Billed kW | TDSP Charges | Start Date | End Date   | Meter Read Cycle | Service Address 1 | Service Address 2 | Service Address 3 | Load Profile | Power Factor | ERCOT Region | Metered kVA | Billed kVA |
|----------------------|---------------|-----------------|----------|------------|------------|-----------|--------------|------------|------------|------------------|-------------------|-------------------|-------------------|--------------|--------------|--------------|-------------|------------|
| 10089010003333333333 | *             | 111             | 77067    | 0          | 489        | 0         | 0            | 11/26/2002 | 12/26/2002 | 6                | 103 MAIN ST       |                   | HOUSTON, TX 77777 |              | 0            | Y            | 0           | 0          |
| 10089010003333333333 | *             | 111             | 77067    | 0          | 538        | 0         | 0            | 12/24/2002 | 1/24/2003  | 6                | 103 MAIN ST       |                   | HOUSTON, TX 77777 |              | 0            | Y            | 0           | 0          |
| 10089010003333333333 | *             | 111             | 77067    | 0          | 23         | 0         | 0            | 1/26/2003  | 2/26/2003  | 6                | 103 MAIN ST       |                   | HOUSTON, TX 77777 |              | 0            | Y            | 0           | 0          |
| 10089010003333333333 | *             | 111             | 77067    | 0          | 0          | 0         | 0            | 2/6/2003   | 3/6/2003   | 6                | 103 MAIN ST       |                   | HOUSTON, TX 77777 |              | 0            | Y            | 0           | 0          |
| 10089010003333333333 | JOE DOE       | 111             | 77067    | 0          | 499        | 0         | 0            | 4/27/2003  | 5/27/2003  | 6                | 103 MAIN ST       |                   | HOUSTON, TX 77777 |              | 0            | Y            | 0           | 0          |
| 10089010003333333333 | JOE DOE       | 111             | 77067    | 0          | 510        | 0         | 0            | 5/25/2003  | 6/25/2003  | 6                | 103 MAIN ST       |                   | HOUSTON, TX 77777 |              | 0            | Y            | 0           | 0          |
| 10089010003333333333 | JOE DOE       | 111             | 77067    | 0          | 444        | 0         | 0            | 6/24/2003  | 7/24/2003  | 6                | 103 MAIN ST       |                   | HOUSTON, TX 77777 |              | 0            | Y            | 0           | 0          |
| 10089010003333333333 | JOE DOE       | 111             | 77067    | 0          | 616        | 0         | 0            | 7/25/2003  | 8/25/2003  | 6                | 103 MAIN ST       |                   | HOUSTON, TX 77777 |              | 0            | Y            | 0           | 0          |
| 10089010003333333333 | JOE DOE       | 111             | 77067    | 0          | 494        | 0         | 0            | 8/24/2003  | 9/24/2003  | 6                | 103 MAIN ST       |                   | HOUSTON, TX 77777 |              | 0            | Y            | 0           | 0          |
| 10089010003333333333 | JOE DOE       | 111             | 77067    | 0          | 267        | 0         | 0            | 9/23/2003  | 10/23/2003 | 6                | 103 MAIN ST       |                   | HOUSTON, TX 77777 |              | 0            | Y            | 0           | 0          |
| 10089010003333333333 | JOE DOE       | 111             | 77067    | 0          | 354        | 0         | 0            | 10/20/2003 | 11/20/2003 | 6                | 103 MAIN ST       |                   | HOUSTON, TX 77777 |              | 0            | Y            | 0           | 0          |
| 10089010003333333333 | JOE DOE       | 111             | 77067    | 0          | 830        | 0         | 0            | 11/26/2003 | 12/26/2003 | 6                | 103 MAIN ST       |                   | HOUSTON, TX 77777 |              | 0            | Y            | 0           | 0          |

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix C1: Intentionally Left Blank**

**June 11, 2012**

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# Appendix C1

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# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix C2: Emergency Reconnect Request Data Requirements**

**November 1, 2010**

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## Appendix C2

### Emergency Reconnect Request Data Requirements

Reference: Sections 7.6.5.1, Emergency Reconnects, and 8.3.5.1 Emergency Reconnects

|                     | Electric Service Identifier (ESI ID) | Customer Contact Name | Customer Contact Phone   | Street Address   | Apartment Number | Zip              | City             | Competitive Retailer (CR) Data Universal Numbering System (DUNS) | CR Name                          | Request Date    | Critical Care Flag | BGN02            | Notes/ Directions | Retail Electric Provider (REP) Reason |
|---------------------|--------------------------------------|-----------------------|--------------------------|------------------|------------------|------------------|------------------|--|----------------------------------|-----------------|--------------------|------------------|-------------------|---------------------------------------|
| <b>Requirements</b> | (required)                           | (required)            | (required, if available) | (required)       | (if applicable)  | (required)       | (required)       | (required)   | (prefer D/B/A to Corporate name) | (required)      | (required)         | (required)       | optional          | Optional - Free form                  |
| <b>Type</b>         | AN                                   | AN                    | AN                       | AN               | AN               | ID               | AN               | ID   | AN                               | DT              | AN                 | AN               | AN                | AN                                    |
| <b>Length</b>       | 1 Min. / 80 Max.                     | 1 Min. / 60 Max.      | 1 Min. / 80 Max.         | 1 Min. / 55 Max. | 1 Min. / 55 Max. | 3 Min. / 15 Max. | 2 Min. / 30 Max. | 2 Min. / 80 Max.   | 1 Min. / 60 Max.                 | 8 Min. / 8 Max. | 1 Min. / 30 Max.   | 1 Min. / 30 Max. | 1 Min. / 80 Max.  | 1 Min. / 80 Max.                      |
|                     |                                      |                       |                          |                  |                  |                  |                  |  |                                  |                 |                    |                  |                   |                                       |
|                     |                                      |                       |                          |                  |                  |                  |                  |  |                                  |                 |                    |                  |                   |                                       |
|                     |                                      |                       |                          |                  |                  |                  |                  |  |                                  |                 |                    |                  |                   |                                       |
|                     |                                      |                       |                          |                  |                  |                  |                  |  |                                  |                 |                    |                  |                   |                                       |
|                     |                                      |                       |                          |                  |                  |                  |                  |  |                                  |                 |                    |                  |                   |                                       |
|                     |                                      |                       |                          |                  |                  |                  |                  |  |                                  |                 |                    |                  |                   |                                       |

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix D1: Transaction Timing Matrix**

August 1, 2023

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# 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/<br>Business Rules | Example  | Protocol Reference Section  |
|---|--------------------------|-------|-------|---------------------------|--|---|
| 814_01, Switch Request                  |                          | CR    | ERCOT | N/A                       |  | 15.1.1, Submission of a Switch Request  |
| 814_02, Switch Reject Response          |                          | ERCOT | CR    | One Retail Business Hour  | 814_01 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_02 sent to CR by Monday @ 1600 = <b>Hour 1</b>  | 15.1.1.8, Rejection of Switch Request   |
| 814_03, Enrollment Notification Request | Switch                   | ERCOT | TDSP  | One Retail Business Hour  | 814_01 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_03 sent to TDSP by Monday @ 1600 = <b>Hour 1</b>  | 15.1.1.3, Switch Enrollment Notification Request to TDSP  |
| 814_03, Enrollment Notification Request | Same Day move out to CSA | ERCOT | TDSP  | One Retail Business Hour  | 814_24 processed by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_03 sent to TDSP by Monday @ 1600 = <b>Hour 1</b>   | 15.1.5.3, Notification to Transmission and/or Distribution Service Provider of Move Out   |
| 814_03, Enrollment Notification Request | Standard move out CSA    | ERCOT | TDSP  | Two Retail Business Hours | 814_24 processed by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_03 sent to TDSP by Monday @ 1700 = <b>Hour 2</b>   | 15.1.5.3, Notification to Transmission and/or Distribution Service Provider of Move Out   |
| 814_03, Enrollment Notification Request | Same Day move in         | ERCOT | TDSP  | One Retail Business Hour  | Priority 814_16 processed by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_03 sent to TDSP by Monday @ 1600 = <b>Hour 1</b><br><br><b>(EXCEPTION: “Invalid ESI ID” requires 48 hours for ERCOT to reject.)</b> | 15.1.4.1, Move-In Request to Begin Electric Service<br><br>15.1.4.3, Notification to Transmission and/or Distribution Service Provider of Move In |

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

| Transaction                                 | Business Process | From  | To    | Timing/<br>Business Rules | Example  | Protocol Reference Section   |
|---|------------------|-------|-------|---------------------------|--|--|
| 814_03, Enrollment Notification Request     | Standard move in | ERCOT | TDSP  | One Retail Business Hour  | Standard 814_16 processed by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_03 sent to TDSP by Monday @ 1600 = <b>Hour 1</b><br><br><b>(EXCEPTION: “Invalid ESI ID” requires 48 hours for ERCOT to reject.)</b> | 15.1.4.1, Move-In Request to Begin Electric Service<br><br>15.1.4.3, Notification to Transmission and/or Distribution Service Provider of Move In  |
| 814_04, Enrollment Notification Response    |                  | TDSP  | ERCOT | Two Retail Business Days  | 814_03 received by TDSP on Monday @ 1500 = <b>Day 0</b><br>814_04 sent to ERCOT by Wednesday @ 1700 = <b>Day 2</b>   | <b><u>Move In</u></b><br>15.1.4.4, Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)<br><br><b><u>Move Out CSA</u></b><br>15.1.5.4, Response to Enrollment Notification Request/Service Termination from Transmission and/or Distribution Service Provider<br><br><b><u>Switch</u></b><br>15.1.1.4, Response from TDSP to Registration Notification Request<br><br><b><u>Mass Transition</u></b><br>15.1.3.1, Mass Transition Process<br><br><b><u>Acquisition Transfer</u></b><br>15.1.3.2, Acquisition Transfer Process |
| 814_05, CR Enrollment Notification Response | Same Day move in | ERCOT | CR    | One Retail Business Hour  | 814_04 received by ERCOT on Monday @1500 = <b>Hour 0</b><br>814_05 sent to CR by Monday @ 1600 = <b>Hour 1</b>   | 15.1.4.5, Response to Valid Move-In Request  |
| 814_05, CR Enrollment Notification Response | Standard move in | ERCOT | CR    | One Retail Business Hour  | 814_04 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_05 sent to CR by Monday @ 1600 = <b>Hour 1</b>  | 15.1.4.5, Response to Valid Move-In Request  |



## SECTION 9 (D1): TRANSACTION TIMING MATRIX

| Transaction                                 | Business Process | From  | To         | Timing/<br>Business Rules                           | Example   | Protocol Reference Section   |
|---|------------------|-------|------------|---|---|--|
| 814_05, CR Enrollment Notification Response | Switch           | ERCOT | CR         | One Retail Business Day                             | 814_04 received by ERCOT on Monday @ 1500 = <b>Day 0</b><br>814_05 sent to CR by Tuesday @ 1700 = <b>Day 1</b>  | 15.1.1.5, Response to Valid Enrollment Request   |
| 814_06, Loss Notification                   | Move in          | ERCOT | CR         | Two Retail Business Days PRIOR to effectuating date | <u>EXAMPLE 1:</u> Move in effectuating date is Wednesday, 6/10. 814_06 sent by <b>0800 on Monday, 6/8.</b><br><u>EXAMPLE 2:</u> Move in effectuating date is Monday, 7/10. 814_06 sent by <b>0800 on Thursday 7/5</b> (NOTE: Exclude Saturday & Sunday) | 15.1.4.6, Notification to Current Competitive Retailer   |
| 814_06, Loss Notification                   | Switch           | ERCOT | CR         | Two Retail Business Days PRIOR to effectuating date | <u>EXAMPLE 1:</u> Switch effectuating date is Friday, 8/10. 814_06 sent by <b>0800 on Wednesday, 8/8.</b><br><u>EXAMPLE 2:</u> Switch effectuating date is Tuesday, 9/9. 814_06 sent by <b>0800 on Friday, 9/3</b> (NOTE: Exclude Saturday & Sunday)    | 15.1.1.6, Loss Notification to Current Competitive Retailer (with date)  |
| 814_08, Cancel Request                      | CR initiated     | CR    | ERCOT      | N/A   | CR must send the Cancel on or before the day preceding the scheduled switch, move in, or move out date.   | 15.1.8, Cancellation of Registration Transactions  |
| 814_08, Cancel Request                      | CR initiated     | ERCOT | TDSP       | Two Retail Business Hours                           | 814_08 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_08 sent to TDSP by Monday @ 1700 = <b>Hour 2</b>   | 15.1.8, Cancellation of Registration Transactions  |
| 814_08, Cancel Request                      | ERCOT initiated  | ERCOT | CR<br>TDSP | N/A   | <b>AFTER</b> the 20 Business Day expiration <b>OR</b> the effectuating date of the switch/move in – TDSP has NOT sent the 814_04  | <b>Switch</b><br>15.1.1.4, Response from TDSP to Registration Notification Request<br><br><b>Move In</b><br>15.1.4.4, Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)<br><br><b>Customer Objection</b><br>15.1.1.4, Response from TDSP to Registration Notification Request |

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

| Transaction                 | Business Process   | From  | To    | Timing/<br>Business Rules | Example   | Protocol Reference Section   |
|-----------------------------|--------------------|-------|-------|---------------------------|---|--|
| 814_09, Cancel Response     |                    | TDSP  | ERCOT | One Retail Business Day   | 814_08 received by TDSP on Monday @ 1500 = <b>Day 0</b><br>814_09 sent to ERCOT by Tuesday @ 1700 = <b>Day 1</b>      | <b><u>Switch</u></b><br>15.1.1.4, Response from TDSP to Registration Notification Request<br><br><b><u>Move In</u></b><br>15.1.4.4, Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)<br><br><b><u>Move Out</u></b><br>15.1.5.4, Response to Enrollment Notification Request/Service Termination from Transmission and/or Distribution Service Provider |
| 814_09, Cancel Response     |                    | ERCOT | CR    | Two Retail Business Hours | 814_09 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_09 sent to CR by Monday @ 1700 = <b>Hour 2</b>       | 15.1.8, Cancellation of Registration Transactions  |
| 814_11, Drop Response       | ERCOT reject       | ERCOT | CR    | One Retail Business Day   | 814_10 received by ERCOT on Monday @ 1500 = <b>Day 0</b><br>814_11 reject sent to CR by Tuesday @ 1700 = <b>Day 1</b> | 15.1.2, Response from ERCOT to Drop to Affiliate Retail Electric Provider Request  |
| 814_11, Drop Response       | Transition Process | ERCOT | CR    | One Retail Business Day   | 814_04 received by ERCOT on Monday @ 1500 = <b>Day 0</b><br>814_11 sent to CR by Tuesday @ 1700 = <b>Day 1</b>        | <b><u>Mass Transition</u></b><br>15.1.3.1, Mass Transition Process<br><br><b><u>Acquisition Transfer</u></b><br>15.1.3.2, Acquisition Transfer Process   |
| 814_12, Date Change Request | CR initiated       | CR    | ERCOT | N/A                       | CR must send the Date Change on or before the day preceding the scheduled move in or move out date.                   | 15.1.7, Move In or Move Out Date Change  |
| 814_12, Date Change Request | CR initiated       | ERCOT | TDSP  | Two Retail Business Hours | 814_12 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_12 sent to TDSP by Monday @ 1700 = <b>Hour 2</b>     | 15.1.7, Move In or Move Out Date Change  |

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

| Transaction                          | Business Process   | From  | To    | Timing/<br>Business Rules | Example   | Protocol Reference Section   |
|--------------------------------------|--------------------|-------|-------|---------------------------|---|--|
| 814_13, Date Change Response         |                    | TDSP  | ERCOT | Two Retail Business Days  | 814_12 received by TDSP on Monday @ 1500 = <b>Day 0</b><br>814_13 sent to ERCOT by Wednesday @ 1700 = <b>Day 2</b>  | 15.1.7, Move In or Move Out Date Change  |
| 814_13, Date Change Response         |                    | ERCOT | CR    | Two Retail Business Hours | 814_12 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_13 sent to CR by Monday @ 1700 = <b>Hour 2</b>   | 15.1.7, Move In or Move Out Date Change  |
| 814_14, Drop Enrollment Request      | Transition Process | ERCOT | CR    | One Retail Business Day   | 814_04 received from TDSP on Monday @ 1500= <b>Day 0</b><br>814_14 sent to POLR by Tuesday @1700 = <b>Day 1</b>   | <b>Mass Transition</b><br>15.1.3.1, Mass Transition Process<br><br><b>Acquisition Transfer</b><br>15.1.3.2, Acquisition Transfer Process |
| 814_16, Move In Request              | Same Day move in   | CR    | ERCOT | N/A                       |   | 15.1.4.1, Move-In Request to Begin Electric Service  |
| 814_16, Move In Request              | Standard move in   | CR    | ERCOT | N/A                       |   | 15.1.4.1, Move-In Request to Begin Electric Service  |
| 814_17, Move In Reject Response      | Same Day move in   | ERCOT | CR    | One Retail Business Hour  | 814_16 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_17 sent to CR by Monday @ 1600 = <b>Hour 1</b><br><br><b>EXCEPTION: Move in that is invalid because of “Invalid ESI ID” requires 48 hours for ERCOT to reject.</b> | 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 = <b>Hour 0</b><br>814_17 sent to CR by Monday @ 1600 = <b>Hour 1</b><br><br><b>EXCEPTION: Move in that is invalid because of “Invalid ESI ID” requires 48 hours for ERCOT to reject.</b> | 15.1.4.2, Response to Invalid Move-In Request  |
| 814_18, Establish/Delete CSA Request |                    | CR    | ERCOT | N/A                       |   | 15.1.9.1, Request to Initiate Continuous Service Agreement in an Investor Owned Utility Service Territory                                |

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

| Transaction   | Business Process | From  | To    | Timing/<br>Business Rules                                       | Example  | Protocol Reference Section   |
|---|------------------|-------|-------|---|--|--|
| <b><i>[RMGRR172: Replace "814_18, Establish/Delete CSA Request" row above with the following upon implementation of PR409-01, TX SET 5_0 and SCR817:]</i></b> |                  |       |       |   |  |  |
| 814_18, Establish/Change/Delete CSA Request   |                  | CR    | ERCOT | N/A   |  | 15.1.9.1, Request to Initiate Continuous Service Agreement in an Investor Owned Utility Service Territory<br><br>15.1.10.1, Request to Initiate Continuous Service Agreement |
| 814_18, Establish/Delete CSA Request  |                  | ERCOT | CR    | One Retail Business Day   | 814_18 received by ERCOT on Monday @ 1500 = <b>Day 0</b><br>814_18 sent to CR by Tuesday @ 1700 = <b>Day 1</b> | 15.1.9.1, Request to Initiate Continuous Service Agreement in an Investor Owned Utility Service Territory  |
| <b><i>[RMGRR172: Replace "814_18, Establish/Delete CSA Request" row above with the following upon implementation of PR409-01, TX SET 5_0 and SCR817:]</i></b> |                  |       |       |   |  |  |
| 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 in an Investor Owned Utility Service Territory<br><br>15.1.10.1, Request to Initiate Continuous Service Agreement |
| 814_18, Establish/Delete CSA Request (MOU/EC)   |                  | ERCOT | TDSP  | One Retail Business Day   | 814_18 received by ERCOT on Monday @ 1500 = <b>Day 0</b><br>814_18 sent to CR by Tuesday @ 1700 = <b>Day 1</b> | 15.1.10.1, Request to Initiate Continuous Service Agreement  |

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

| Transaction   | Business Process | From  | To    | Timing/<br>Business Rules  | Example   | Protocol Reference Section   |   |
|---|------------------|-------|-------|----------------------------|---|--|---|
| <b>[RMGRR172: Replace “814_18, Establish/Delete CSA Request (MOU/EC)” row above with the following upon implementation of PR409-01, TX SET 5_0 and SCR817:]</b> |                  |       |       |                            |   |  |   |
| 814_18, Establish/Change/Delete CSA Request (MOU/EC)  |                  | ERCOT |       | TDSP                       | One Retail Business Day   | 814_18 received by ERCOT on Monday @ 1500 = <b>Day 0</b><br>814_18 sent to CR by Tuesday @ 1700 = <b>Day 1</b>   | 15.1.10.1, Request to Initiate Continuous Service Agreement |
| 814_19, Establish/Delete CSA Response   |                  | ERCOT | CR    | One Retail Business Day    | 814_18 received by ERCOT on Monday @ 1500 = <b>Day 0</b><br>814_19 sent to CR by Tuesday @ 1700 = <b>Day 1</b>  | 15.1.9.1, Request to Initiate Continuous Service Agreement in an Investor Owned Utility Service Territory  |   |
| <b>[RMGRR172: Replace “814_19, Establish/Delete CSA Response” row above with the following upon implementation of PR409-01, TX SET 5_0 and SCR817:]</b>         |                  |       |       |                            |   |  |   |
| 814_19, Establish/Change/Delete CSA Response  |                  | ERCOT | CR    | One Retail Business Day    | 814_18 received by ERCOT on Monday @ 1500 = <b>Day 0</b><br>814_19 sent to CR by Tuesday @ 1700 = <b>Day 1</b>  | 15.1.9.1, Request to Initiate Continuous Service Agreement in an Investor Owned Utility Service Territory<br><br>15.1.10.1, Request to Initiate Continuous Service Agreement |   |
| 814_20, ESI ID Maintenance Request  |                  | TDSP  | ERCOT | N/A                        |   | <b>Create</b><br>15.4.1.4, New Electric Service Identifier Creation<br><br><b>Maintain/Retire</b><br>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 = <b>Hour 0</b><br>814_20 sent to CR by Monday @ 1200 = <b>Hour 4</b> | 15.4.1.5, Electric Service Identifier Maintenance  |   |

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

| Transaction                                    | Business Process                   | From  | To     | Timing/<br>Business Rules                           | Example  | Protocol Reference Section   |
|--|------------------------------------|-------|--------|---|--|--|
| 814_21, ESI ID Create/Maintain/Retire Response | Maintain or retire                 | ERCOT | TDSP   | Four Retail Business Hours                          | 814_20 received by ERCOT on Monday @ 0800 = <b>Hour 0</b><br>814_20 sent to TDSP by Monday @ 1200 = <b>Hour 4</b>  | 15.4.1.5, Electric Service Identifier Maintenance  |
| 814_21, ESI ID Create/Maintain/Retire Response | Create                             | ERCOT | TDSP   | One Retail Business Hour                            | 814_20 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_21 sent to TDSP by Monday @ 1600 = <b>Hour 1</b>  | <b>Create</b><br>15.4.1.4, New Electric Service Identifier Creation<br><br><b>Maintain/Retire</b><br>15.4.1.5, Electric Service Identifier Maintenance |
| 814_22, CSA CR Move In Request                 |                                    | ERCOT | CSA CR | Two Retail Business Days PRIOR to effectuating date | <b>EXAMPLE 1:</b> Move out effectuating date is Wednesday, 6/10. 814_22 sent by <b>0800 on Monday, 6/8</b><br><b>EXAMPLE 2:</b> Move out effectuating date is Monday, 7/10. 814_22 sent by <b>0800 on Thursday 7/5</b> (NOTE: Exclude Saturday & Sunday) | 15.1.9.3, Notice to Continuous Service Agreement Competitive Retailer of Enrollment Due to a Move Out  |
| 814_24, Move Out Request                       | Move Out                           | CR    | ERCOT  | N/A   |  | 15.1.5.1, Request to Terminate Service   |
| 814_24, Move Out Request                       | Same Day Move Out                  | ERCOT | TDSP   | One Retail Business Hour                            | 814_24 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_24 sent to TDSP by Monday @ 1600 = <b>Hour 1</b>  | 15.1.5.3, Notification to Transmission and/or Distribution Service Provider of Move Out  |
| 814_24, Move Out Request                       | Standard Move Out                  | ERCOT | TDSP   | Two Retail Business Hours                           | 814_24 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_24 sent to TDSP by Monday @ 1700 = <b>Hour 2</b>  | 15.1.5.3, Notification to Transmission and/or Distribution Service Provider of Move Out  |
| 814_25, Move Out Response                      | ERCOT reject for Same Day Move Out | ERCOT | CR     | One Retail Business Hour                            | 814_24 processed by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_25 reject sent to CR by Monday @ 1600 = <b>Hour 1</b><br><br><b>(EXCEPTION: “De-Energized ESI ID” requires 48 hours for ERCOT to reject.)</b>  | 15.1.5.2, Response to Invalid Move-Out Request   |

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

| Transaction                       | Business Process                   | From  | To    | Timing/<br>Business Rules | Example   | Protocol Reference Section   |
|-----------------------------------|------------------------------------|-------|-------|---------------------------|---|--|
| 814_25, Move Out Response         | ERCOT reject for Standard Move Out | ERCOT | CR    | One Retail Business Hour  | 814_24 processed by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_25 reject sent to CR by Monday @ 1600 = <b>Hour 1</b><br><br><b>(EXCEPTION: “De-Energized ESI ID” requires 48 hours for ERCOT to reject.)</b> | 15.1.5.2, Response to Invalid Move-Out Request   |
| 814_25, Move Out Response         |                                    | TDSP  | ERCOT | Two Retail Business Days  | 814_24 received by TDSP on Monday @ 1500 = <b>Day 0</b><br>814_25 sent to ERCOT by Wednesday @ 1700 = <b>Day 2</b>  | 15.1.5.4, Response to Enrollment Notification Request/Service Termination from Transmission and/or Distribution Service Provider |
| 814_25, Move Out Response         |                                    | ERCOT | CR    | Two Retail Business Hours | 814_25 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_25 sent to CR by Monday @ 1700 = <b>Hour 2</b>   | 15.1.5.4, Response to Enrollment Notification Request/Service Termination from Transmission and/or Distribution Service Provider |
| 814_26, Historical Usage Request  |                                    | CR    | ERCOT | N/A                       |   | 15.1.1.2.2, Ad Hoc Requests for Historical Usage   |
| 814_26, Historical Usage Request  |                                    | ERCOT | TDSP  | One Retail Business Day   | 814_26 received by ERCOT on Monday @ 1500 = <b>Day 0</b><br>814_26 sent to TDSP by Tuesday @ 1700 = <b>Day 1</b>  | 15.1.1.2.2, Ad Hoc Requests for Historical Usage   |
| 814_27, Historical Usage Response |                                    | TDSP  | ERCOT | Two Retail Business Days  | 814_26 received by TDSP on Monday @ 1500 = <b>Day 0</b><br>814_27 sent to ERCOT by Wednesday @ 1700 = <b>Day 2</b>  | 15.1.1.2.2, Ad Hoc Requests for Historical Usage   |
| 814_27, Historical Usage Response |                                    | ERCOT | CR    | One Retail Business Day   | 814_27 received by ERCOT on Monday @ 1500 = <b>Day 0</b><br>814_27 sent to CR by Tuesday @ 1700 = <b>Day 1</b>  | 15.1.1.2.2, Ad Hoc Requests for Historical Usage   |

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

| Transaction                                      | Business Process | From  | To    | Timing/<br>Business Rules | Example   | Protocol Reference Section   |
|--|------------------|-------|-------|---------------------------|---|--|
| 814_28, Complete Unexecutable or Permit Required | Unexecutable     | TDSP  | ERCOT | N/A                       |   | <p><b><u>Switch</u></b><br/>15.1.1.4, Response from TDSP to Registration Notification Request</p> <p><b><u>Move In</u></b><br/>15.1.4.4, Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)</p> <p><b><u>Move Out</u></b><br/>15.1.5.4, Response to Enrollment Notification Request/Service Termination from Transmission and/or Distribution Service Provider</p> <p><b><u>Completed Unexecutable</u></b><br/>15.1.4.6.1, Complete Unexecutable</p> |
| 814_28, Complete Unexecutable or Permit Required | Unexecutable     | ERCOT | CR    | Two Retail Business Hours | 814_28 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_28 sent to CR by Monday @ 1700 = <b>Hour 2</b> | <p><b><u>Switch</u></b><br/>15.1.1.4, Response from TDSP to Registration Notification Request</p> <p><b><u>Move In</u></b><br/>15.1.4.4, Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)</p> <p><b><u>Move Out</u></b><br/>15.1.5.4, Response to Enrollment Notification Request/Service Termination from Transmission and/or Distribution Service Provider</p>   |



## SECTION 9 (D1): TRANSACTION TIMING MATRIX

| Transaction   | Business Process | From  | To    | Timing/<br>Business Rules  | Example  | Protocol Reference Section   |
|---|------------------|-------|-------|--|--|--|
| 814_28, Complete Unexecutable or Permit Required          | Permit           | TDSP  | ERCOT | Two Retail Business Days   | 814_03 received by TDSP on Monday @ 1500 = <b>Day 0</b><br>814_28 sent to ERCOT by Wednesday @ 1700 = <b>Day 2</b> | 15.1.4.4, Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)   |
| 814_28, Complete Unexecutable or Permit Required          | Permit           | ERCOT | CR    | Two Retail Business Hours  | 814_28 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_28 sent to CR by Monday @ 1700 = <b>Hour 2</b>    | 15.1.4.4, Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)   |
| 814_29, Complete Unexecutable or Permit Required Response |                  | ERCOT | TDSP  | Two Retail Business Hours  | 814_29 received by ERCOT on Monday @ 1500 = <b>Hour 0</b><br>814_29 sent to TDSP by Monday @ 1700 = <b>Hour 2</b>  | 15.1.4.6.1, Complete Unexecutable  |
| 867_02, Historical Usage                                  |                  | TDSP  | ERCOT | Two Retail Business Days   | 814_03 received by TDSP on Monday @ 1500 = <b>Day 0</b><br>867_02 sent to ERCOT by Wednesday @ 1700 = <b>Day 2</b> | <b>Switch</b><br>15.1.1.2.1, Provision of Historical Usage with a Switch Request<br><br><b>Ad Hoc</b><br>15.1.1.2.2, Ad Hoc Requests for Historical Usage<br><br><b>Move In</b><br>15.1.4.1, Move-In Request to Begin Electric Service |
| 867_02, Historical Usage                                  |                  | ERCOT | CR    | Four Retail Business Hours                                       | 867_02 received by ERCOT on Monday @ 0800 = <b>Hour 0</b><br>867_02 sent to CR by Monday @ 1200 = <b>Hour 4</b>    | <b>Switch</b><br>15.1.1.2.1, Provision of Historical Usage with a Switch Request<br><br><b>Ad Hoc</b><br>15.1.1.2.2, Ad Hoc Requests for Historical Usage<br><br><b>Move In</b><br>15.1.4.1, Move-In Request to Begin Electric Service |
| 867_03, Monthly or Final Usage                            | Final            | TDSP  | ERCOT | Within three Retail Business Days of the effectuating meter read |  | 15.1.1.7, Completion of Switch Request and Effective Switch Date   |

## SECTION 9 (D1): TRANSACTION TIMING MATRIX

| Transaction                    | Business Process | From  | To    | Timing/<br>Business Rules  | Example   | Protocol Reference Section   |
|--------------------------------|------------------|-------|-------|--|---|--|
| 867_03, Monthly or Final Usage | Final – switch   | ERCOT | CR    | 12 Hours   | 867_03F received by ERCOT on Monday @ 1800 = <b>Hour 0</b><br>867_03F sent to CR by Tuesday @ 0600 = <b>Hour 12</b> | 15.1.1.7, Completion of Switch Request and Effective Switch Date     |
| 867_03, Monthly or Final Usage | Final – move out | ERCOT | CR    | Four Retail Business Hours   | 867_03 received by ERCOT on Monday @ 0800 = <b>Hour 0</b><br>867_03 sent to CR by Monday @ 1200 = <b>Hour 4</b>     | 15.1.5.6, Completion of Move-Out Request and Effective Move Out Date |
| 867_03, Monthly or Final Usage | Monthly          | TDSP  | ERCOT | No 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 |   | 15.3, Monthly Meter Reads  |
| 867_03, Monthly or Final Usage | Monthly          | ERCOT | CR    | 12 Hours   | 867_03 received by ERCOT on Monday @ 1800 = <b>Day 0</b><br>867_03 sent to CR by Tuesday @ 0600 = <b>Hour 12</b>    | 15.3, Monthly Meter Reads  |
| 867_04, Initial Meter Read     |                  | TDSP  | ERCOT | Within three Retail Business Days of the effectuating meter read   |   | 15.1.1.7, Completion of Switch Request and Effective Switch Date     |
| 867_04, Initial Meter Read     | Switch           | ERCOT | CR    | 12 Hours   | 867_04 received by ERCOT on Monday @ 1800 = <b>Hour 0</b><br>867_04 sent to CR by Tuesday @ 0600 = <b>Hour 12</b>   | 15.1.1.7, Completion of Switch Request and Effective Switch Date     |
| 867_04, Initial Meter Read     | Move in          | ERCOT | CR    | Four Retail Business Hours   | 867_04 received by ERCOT on Monday @ 0800 = <b>Hour 0</b><br>867_04 sent to CR by Monday @ 1200 = <b>Hour 4</b>     | 15.1.4.7.1. Standard Move-In Requests                                |
| 867_04, Initial Meter Read     | Move out CSA     | ERCOT | CR    | Four Retail Business Hours   | 867_04 received by ERCOT on Monday @ 0800 = <b>Hour 0</b><br>867_04 sent to CR by Monday @ 1200 = <b>Hour 4</b>     | 15.1.5.6, Completion of Move-Out Request and Effective Move Out Date |

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix D2: 824, Invoice or Usage Reject Notification, Reject Transaction Timing**

**June 11, 2012**

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## Appendix D2

### 824, Invoice or Usage Reject Notification, Reject Transaction Timing

*Reference: Section 7.7.1, 824, Invoice or Usage Reject Notifications, Reject Transaction Timing*

| Reject Code | Description   | Reject Timing  |
|-------------|---|--|
| 008         | Electric Service Identifier (ESI ID) exists but is not active.  | ERCOT only.<br>Within one Retail Business Day.   |
| A13         | Other.  | Reject upon verification not to exceed five Retail Business Days.                                    |
| A76         | ESI ID is not found.  | Reject upon receipt if the ESI ID is invalid.  |
| A83         | Information provided was not supported in the Texas Standard Electronic Transaction (TX SET) Standards. This reject code is only used when a transaction fails TX SET validation.   | Reject upon verification not to exceed five Retail Business Days.                                    |
| A84         | Receiver obtained a document from an Entity that has not established a relationship with the sender.  | Reject upon verification not to exceed five Retail Business Days.                                    |
| ABN         | Duplicate request received.   | Reject upon verification not to exceed five Retail Business Days.                                    |
| ABO         | Corrected transaction received prior to cancellation or rejection transaction.  | Reject upon verification not to exceed five Retail Business Days.                                    |
| API         | Required information missing. Explanation required in NTE~ADD. May not be used in place of other, more specific error codes. For ERCOT Use only.  | Reject upon verification not to exceed five Retail Business Days.                                    |
| ASP         | Service period start date is after service period end date within the transaction.  | Upon validation of the dates within the transaction not to exceed five Retail Business Days.         |
| CAO         | 810 transaction cancel total amount does not equal original 810 transaction total amount.   | Upon validation of the values in the 810 not to exceed five Retail Business Days.                    |
| CRI         | The cross reference number on the 810 transaction does not match the cross reference number on an open 867 transaction, or the cross reference number provided on the 810 or 867 transaction cancel does not match the cross reference number on an open 867 transaction. | Upon validation of the cross references numbers in the file not to exceed five Retail Business Days. |
| D76         | DUNS Number (DUNS #) invalid or not found.  | Reject upon verification not to exceed five Retail Business Days.                                    |

| <b>Reject Code</b> | <b>Description</b>   | <b>Reject Timing</b>   |
|--------------------|--|--|
| DDM                | Valid for 810 and 867 transactions.<br>810 transaction: The service period begin and end dates do not match the same dates on an open 867 transaction.<br>867 transaction: The service period dates do not match. The service period end date from the previous period does not match with the beginning date of current service period. There is a gap in service periods. For example, last read was August 27, and the first read was August 30.<br>Additional Example - an invoice is received for the billing period of 8/1/2004 to 9/1/2004, but the corresponding 867_03, Monthly or Final Usage, consumption start and end dates are 6/1/2004 to 9/1/2004. | Reject upon verification not to exceed five Retail Business Days.  |
| DIV                | Date invalid. Valid date format: YYYYMMDD  | Upon validation of the date format of the transaction not to exceed five Retail Business Days.                               |
| DNM                | Dates not matched.   | Upon validation of the dates within the transaction not to exceed five Retail Business Days.                                 |
| I76                | Invoice number invalid or missing.   | Reject upon verification not to exceed five Retail Business Days.  |
| IMI                | Membership ID or an account number used by the Municipally Owned Utility (MOU) or Electric Cooperative (EC) does not exist, is inactive, or is otherwise invalid. For use by Market Participants operating in the MOU or EC territory only.  | Reject upon verification not to exceed five Retail Business Days.  |
| IMN                | Meter number on 867_03 transaction does not match transactions (814_05, CR Enrollment Notification Response, or 814_20, ESI ID Maintenance Request).   | Reject upon verification not to exceed five Retail Business Days   |
| INT                | Interval data invalid or not found. Valid for 867 transactions.  | Reject upon verification not to exceed five Retail Business Days.  |
| MBW                | Missed bill window. Used by the MOU or EC for consolidated billing.  | Reject upon verification not to exceed five Retail Business Days.  |
| MQM                | Meter quantity mismatch. Meter information, unmetered device, or unmetered device quantity does not match maintenance transaction. 814_20 transaction does not match 867_03 or 810 transactions.   | Reject upon verification not to exceed five Retail Business Days.  |
| MRI                | Incorrect meter role for ID type.  | Reject upon verification not to exceed five Retail Business Days.  |
| NLP                | No late payment original invoice. Late payment charge does not reference an original 810 transaction received.   | Upon determination that the late payment invoice does not match an existing invoice not to exceed five Retail Business Days. |
| PCO                | Previously cancelled original. Original transaction reference number on a cancel references a previously cancelled 810 or 867 transaction.   | Reject upon verification not to exceed five Retail Business Days.  |
| PMC                | Prior monthly charge. Invoice contains monies that were accrued from previous billing periods.   | Reject upon verification not to exceed five Retail Business Days.  |
| RDF                | Read dates in future. Read dates on 867 transaction are in the future.   | Upon receipt of the 867 not to exceed five Retail Business Days.   |

| <b>Reject Code</b> | <b>Description</b>  | <b>Reject Timing</b>   |
|--------------------|---|--|
| SSS                | Service, Promotion, Allowance, or Charge Information (SAC) does not balance. SAC08, Rate, multiplied by SAC10, Quantity, does not equal SAC05, Amount.  | Reject upon verification not to exceed five Retail Business Days.                                      |
| SUM                | Sum of details does not equal total. Valid for both the 810 and 867 transactions.   | Five Retail Business Days.   |
| TOU                | Incorrect Time of Use (TOU) Period.   | Reject upon verification not to exceed five Retail Business Days.                                      |
| TRC                | Tariff rate code mismatch. The SAC04, Agency Service, Promotion, Allowance, or Charge Code, does not correspond with the correct amount of the tariff that relates to that code. Used on an 810 transaction only. | Upon determination that the tariff dollar amount is incorrect not to exceed five Retail Business Days. |

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix D3: TDSF's Discretionary Service Timelines Matrix**

**August 1, 2015**

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**See electronic Microsoft Office Excel© file on the ERCOT Website posted with the Retail Market Guide**



# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix E: Formal Transmission and/or Distribution Service Provider Invoice Dispute Process Communication**

**November 1, 2010**

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## Appendix E

### Formal Transmission and/or Distribution Service Provider Invoice Dispute Process Communication

*Reference: Section 7.8.2, Guidelines for Notification of Invoice Dispute*

ESI ID = Electric Service Identifier

CR = Competitive Retailer

TDSP = Transmission and/or Distribution Service Provider

| Date Dispute Submitted | Type of Dispute             | ESI ID | Invoice Number | Invoice Date | Original Invoice Due Date | Amount Disputed | Reason for Dispute | Supporting Detail | Proposed Resolution | Paid (Y/N) | Contact Name | Contact Telephone Number | Contact E-mail Address | Date E-mail Received | TDSP Resolution | Date of TDSP Response | Comments | CR Response (accept /deny resolution) |
|------------------------|-----------------------------|--------|----------------|--------------|---------------------------|-----------------|--------------------|-------------------|---------------------|------------|--------------|--------------------------|------------------------|----------------------|-----------------|-----------------------|----------|---------------------------------------|
|                        |                             |        |                |              |                           |                 |                    |                   |                     |            |              |                          |                        |                      |                 |                       |          |                                       |
|                        |                             |        |                |              |                           |                 |                    |                   |                     |            |              |                          |                        |                      |                 |                       |          |                                       |
|                        |                             |        |                |              |                           |                 |                    |                   |                     |            |              |                          |                        |                      |                 |                       |          |                                       |
|                        |                             |        |                |              |                           |                 |                    |                   |                     |            |              |                          |                        |                      |                 |                       |          |                                       |
|                        |                             |        |                |              |                           |                 |                    |                   |                     |            |              |                          |                        |                      |                 |                       |          |                                       |
|                        |                             |        |                |              |                           |                 |                    |                   |                     |            |              |                          |                        |                      |                 |                       |          |                                       |
|                        | <b>CR Required Elements</b> |        |                |              |                           |                 |                    |                   |                     |            |              |                          |                        |                      |                 |                       |          |                                       |
|                        | <b>TDSP Response Fields</b> |        |                |              |                           |                 |                    |                   |                     |            |              |                          |                        |                      |                 |                       |          |                                       |

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix F1: Mass Customer List (MCL)**

**June 1, 2017**

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# Appendix F1

## Mass Customer List (MCL)

### MASS CUSTOMER LIST

**The Mass Customer List (MCL) shall be used by a Transmission and/or Distribution Service Provider (TDSP) / Municipally Owned Utility (MOU)/Electric Cooperative (EC) TDSP to inform Market Participants of all customers in its service territories when entering competition or expanding its service territory. The contents of the MCL shall adhere to requirements as defined in the P.U.C.T. SUBST. R. 25.472, Privacy of Customer Information.**

The MCL is an electronic file that shall comply with the following formatting requirements:

1. The file will be a comma-separated value (csv) file.
2. Any data element composed of numbers must exclude punctuation (e.g., spaces, dashes).
3. Any data element composed of characters shall only contain upper case letters (A to Z) and digits (0 to 9). Punctuation (e.g., spaces, dashes) must be excluded and leading and trailing zeros that are part of the Account Number must be present.
4. The TDSP or MOU/EC TDSP Account Number or Electric Service Identifier (ESI ID) shall only contain uppercase letters (A to Z) and digits (0 to 9).
5. The file should begin with a header line that identifies the fields in all caps and must be in the order and style as shown in MCL-CSV: Example #1: Summary File using Account Number below:

The monthly usage should be in descending order, from most current to least current (e.g., USAGE MONTH 1 = July 2001, USAGE MONTH 2 = June 2001, ....USAGE MONTH 12 = August 2000)

6. First Name field will be used for Residential ESI IDs, null for non-residential ESI IDs.
7. Last Name field will be used for Residential, or will contain the Company Name. Punctuation is acceptable in the Last Name Field, all data strings that include commas are enclosed in quotation marks (“ ”).
8. Punctuation is acceptable in the Billing Address fields, all data strings that include commas are enclosed in quotation marks (“ ”).

The address will be the “mailing address” – “billing address” is required by rule. If no mailing address is available, then provide the service address in this field.

9. Premise Type is defined in the REF~PTC Segment of the 814\_20, ESI ID Maintenance Request, Texas SET Implementation Guide.

10. Meter Type is defined in the REF~MT Segment of the 814\_20, ESI ID Maintenance Request, Texas SET Implementation Guide.
11. Unmetered Service Type is defined in the REF~PRT Segment of the 814\_20, ESI ID Maintenance Request, Texas SET Implementation Guide.
12. All usage is assumed to be reported in kWh.
13. The last line in the file shall contain the number of records being sent in that file. (ex. TOT, 4567). The value should not contain commas or other punctuation.
14. For an element that is not listed, it shall be represented by a null value.
15. All data elements should be separated by commas. All data strings that include a comma will be enclosed in quotes. (ex. ..., "123 MAIN ST., APT. 44", ....)
16. Each customer's record shall be separated by a control line break.
17. The data elements shall be in the order shown in the header line.

### MCL-CSV: Example #1: Summary File using Account Number

File Name Format: COMPANYNAME\_ MASS\_ CUSTOMER\_ LIST.CSV

| HDR,DUNS(+4) # of SENDER  |
|---|
| ESIID(ACCOUNTNUMBER),FIRSTNAME,LASTNAME,BILLINGADDRESSLINE1,BILLINGADDRESSLINE2,BILLINGADDRESSLINE3,CITY,STATE,POSTALCODE,COUNTRY,RATE,METERTYPE,USAGEMONTH1,USAGEMONTH2,USAGEMONTH3,USAGEMONTH4,USAGEMONTH5,USAGEMONTH6,USAGEMONTH7,USAGEMONTH8,USAGEMONTH9,USAGEMONTH10,USAGEMONTH11,USAGEMONTH12 |
| 104423711234567890, JOHN, "DOE, III", "123 MAIN ST., APT 12",,,DALLAS,TX,75205,,RS,K1,622,714,778,843,890,850,782,620,587,566,545,578   |
| 104423711234567891,JANE,SMITH,12321 OAKLAWN ST.,,,,DALLAS,TX,75205,,RS,K1,602,784,772,743,899,870,762,680,547,596,555,578   |
| 104423711234567892,BILL, "JOHNSON, JR.",2323 CRESCENT ST.,,,,DALLAS,TX,75205,,RS,K1,902,1084,1072,1043,1199,1170,1062,980,847,896,855,878   |
| 104423711234567893,SUZY,FOXHALL,43 LAKESIDE ST.,,,,DALLAS,TX,75205,,RS,K1,642,784,712,783,839,810,702,620,587,536,595,518   |
| TOT,4   |

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix F2: Timeline for Initiation of a Mass Transition**

**May 1, 2019**

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## APPENDIX F2

### Timeline for Initiation of a Mass Transition

*Reference: Section 7.11.1.1.1, Mass Transition Initiation*

CR = Competitive Retailer

TDSP = Transmission and/or Distribution Service Provider

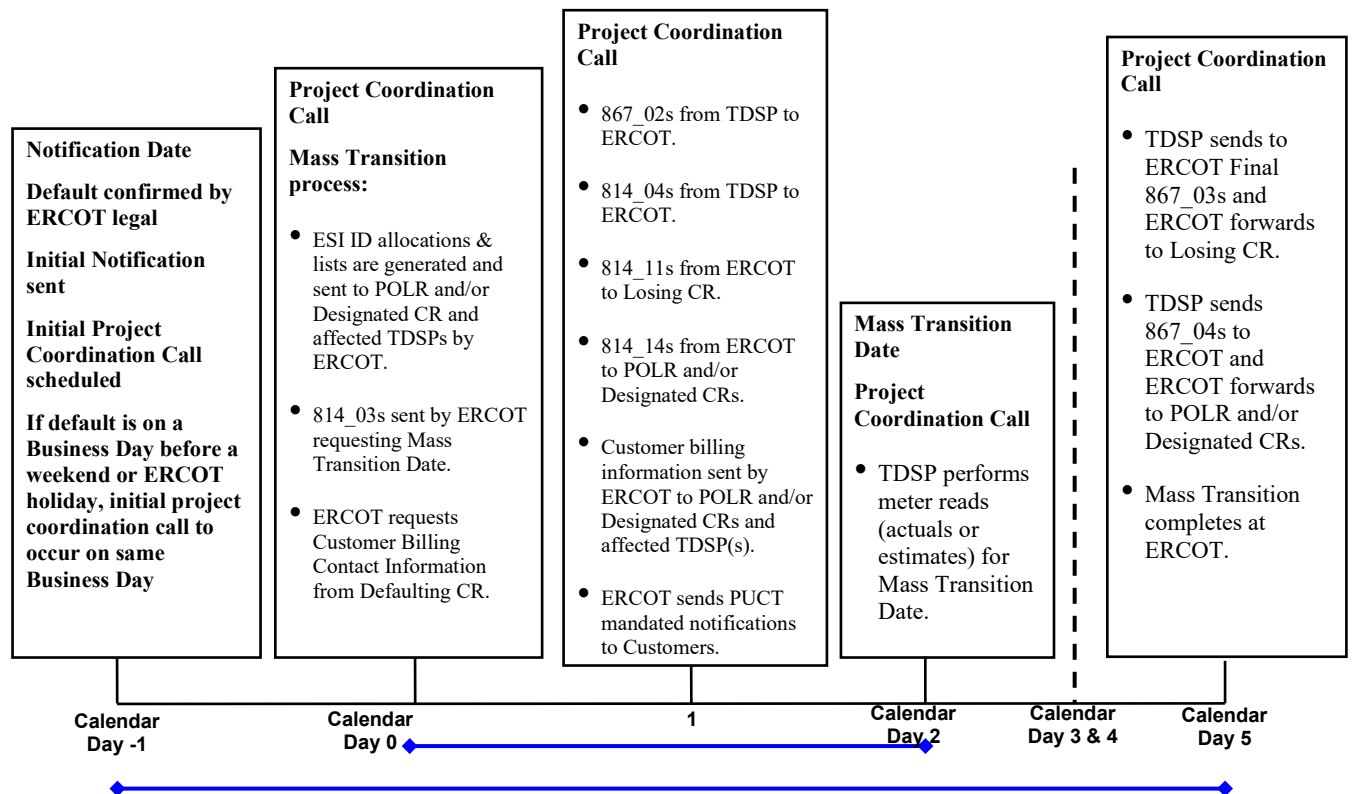
POLR = Provider of Last Resort

ESI ID = Electric Service Identifier

When feasible, ERCOT shall adhere to the timelines outlined below. However, ERCOT reserves the right to initiate the Mass Transition process as directed by Applicable Legal Authority (ALA) or ERCOT Legal. All efforts shall be made by ERCOT to provide the greatest possible lead time for the notification, ESI ID lists, initial project coordination call and transaction processing.

Refer to Protocol Section 19, Texas Standard Electronic Transaction, for complete transaction names.

Refer to Section 11, Solution to Stacking, for processes and guidelines for Market Participants and ERCOT to handle multiple non-sequential Texas SETs on a single ESI ID.



# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix F3: Intentionally Left Blank**

**May 1, 2019**

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# **Appendix F3**

## **Intentionally Left Blank**

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix F4: ERCOT Template – Electric Service Identifiers for Gaining Competitive Retailer/Transmission and/or Distribution Service Provider Use**

**June 11, 2012**

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## Appendix F4

### ERCOT Template – Electric Service Identifiers for Gaining Competitive Retailer/Transmission and/or Distribution Service Provider Use

*Reference: Section 7.11.1.4.1.2, ERCOT Pre-Launch Responsibilities in a Mass Transition*

#### **Detailed Electric Service Identifier (ESI ID) List**

ERCOT e-mails this spreadsheet to the Gaining Competitive Retailers (CRs) and Transmission and/or Distribution Service Providers (TDSPs) containing the information below for each Electric Service Identifier affected. In addition, the e-mail will note the Losing CR Name and DUNS Number (DUNS #).

| <b>Data Element</b>   | <b>Definition</b>   |
|---|---|
| Exiting CR DUNS   | DUNS # of the CR Losing the ESI ID.   |
| POLR CR DUNS  | DUNS # of the Provider of Last Resort (POLR) CR Gaining the ESI ID.   |
| TDSP DUNS   | DUNS # of the TDSP associated with the ESI ID.  |
| ESI ID  | The basic identifier assigned to each Service Delivery Point (SDP).   |
| Service Address Line 1  | Service Address line 1 associated with the ESI ID in ERCOT system.  |
| Service Address Line 2  | Service Address line 2 associated with the ESI ID in ERCOT system.  |
| Service City  | Service city associated with the ESI ID in ERCOT system.  |
| Service State   | Service state associated with the ESI ID in ERCOT system.   |
| Service Zip   | Service zip associated with the ESI ID in ERCOT system.   |
| 814_03 or 814_16 Designation  | Designates whether ERCOT will generate an 814_03, Enrollment Notification Request or the POLR should submit an 814_16, Move In Request. |
| Requested Date of Cancelled 814_16  | If POLR needs to submit an 814_16 transaction, this is the requested date that should be populated on the 814_16 transaction.           |
| POLR Customer Class   | POLR Customer class associated with the ESI ID in ERCOT system.   |
| Volunteer Retail Electric Provider (VREP) or Large Service Provider (LSP) Designation | Designates whether the POLR is being assigned the ESI ID as a VREP or LSP.  |



# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix F5: ERCOT Template – Electric Service Identifiers for New Competitive Retailer with Pending Transactions**

**June 11, 2012**

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# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix F6: Customer Billing Contact Information**

July 23, 2016

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## Appendix F6

### Customer Billing Contact Information

*Reference: Sections 7.11.3.1, Flight Testing Submission of Customer Billing Contact Information, 7.11.3.2, Monthly Submission of Customer Billing Contact Information, 7.11.3.3, Submission of Customer Billing Contact Information During Mass Transition Event, and 7.11.3.3.1.2, Provision of Data to the Transmission and/or Distribution Service Providers*

There are five files within this process.

- (1) **File 1** – MTCRCustomerInformation.csv – This file is sent by the Competitive Retailer (CR) to populate the file system at ERCOT, or in the event of an Acquisition Transfer, the Losing CR sends to the Gaining CR as described in paragraph (2)(f) of Section 7.11.2.4.1, Losing Competitive Retailer Responsibilities in an Acquisition Transfer event the Losing CR.
- (2) **File 2A** – MTCRCustomerInformationERCOTResponse.csv – This file is an acknowledgement sent by ERCOT to the CR with information as to the status of the data.
- (3) **File 2B** – MTCRDataValidationERCOTResponse.csv – This file is sent by ERCOT to the CR in response to business level validation.
- (4) **File 3** – MTERCOT2CRCustomerInformation.csv – This file is sent by ERCOT to the Gaining CR upon a Mass Transition event.
- (5) **File 4** – MTERCOT2TDSPCustomerInformation.csv – This file is sent by ERCOT to the appropriate Transmission and/or Distribution Service Providers (TDSPs) upon a Mass Transition event.

File 1 and 3 use the same format with one additional record for each Electric Service Identifier (ESI ID) without Customer information.

All information must be sent in a pipe delimited Comma Separated Values (CSV) file format via North American Energy Standards Board (NAESB) and must contain all required Customer billing contact information. All records sent in the file must be terminated by a Carriage Return Line Feed (CRLF).

#### **File 1 – Record Layout for the MTCRCustomerInformation.csv file (CR to ERCOT or Losing CR to Gaining CR in an Acquisition Transfer event)**

Header record – Use this template to identify the data provided, a unique tracking number and the sender or receiver.



## SECTION 9 (F6): CUSTOMER BILLING CONTACT INFORMATION

| <b>Data Element</b>                              | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>  | <b>Format</b>      |
|--|---------------------------------------|--|--------------------|
| Record Type                                      | Mandatory                             | Record Tag “HDR.”  | Alpha numeric (3)  |
| Report Name                                      | Mandatory                             | Mutually defined report definition. Hard Code “MTCRCustomerInformation.”   | Alpha numeric (80) |
| Report ID  | Mandatory                             | The unique report number designated by the Sender to be used in the MTCRCustomerInformationERCOTResponse.  | Alpha numeric      |
| CR Data Universal Numbering System (DUNS) Number | Mandatory                             | Retail Electric Provider (REP) of record DUNS Number. This is the DUNS Number for the CR submitting Customer information file or used as the receiver when ERCOT is sending the Customer information during a Mass Transition event. | Numeric (9 or 13)  |

Detail record - The DET record contains the Customer contact information sent by the CR and represents the positively validated data sent by ERCOT to the Gaining CR upon a Mass Transition event.

| <b>Data Element</b>     | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>  | <b>Format</b>      |
|-------------------------|---------------------------------------|--|--------------------|
| Record Type             | Mandatory                             | Record Tag “DET.”  | Alpha numeric (3)  |
| Record Number           | Mandatory                             | The unique sequential record number starting with “1.”   | Numeric (8)        |
| CR DUNS Number          | Mandatory                             | REP of record DUNS Number. This is the DUNS Number for the CR submitting information during either file submission or the exiting CR in a Mass Transition event. | Numeric (9 or 13)  |
| ESI ID Number           | Mandatory                             | The basic identifier assigned to each Service Delivery Point (SDP) in the ERCOT registration and Settlement systems.   | Alpha numeric (36) |
| Customer Account Number | Optional                              | Recommended to help with communication.  | Alpha numeric (80) |
| Customer First Name     | Conditional                           | Must be provided (along with Customer last name) if Customer Company Name is not provided.   | Alpha numeric (30) |
| Customer Last Name      | Conditional                           | Must be provided (along with Customer First Name) if Customer Company Name is not provided.  | Alpha numeric (30) |
| Customer Company Name   | Conditional                           | Must be provided if Customer First Name and Customer Last Name are not provided.   | Alpha numeric (60) |

## SECTION 9 (F6): CUSTOMER BILLING CONTACT INFORMATION

| <b>Data Element</b>              | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>   | <b>Format</b>      |
|----------------------------------|---------------------------------------|---|--------------------|
| Customer Company Contact Name    | Optional                              | Used in conjunction with Company Name if the company has designated a specific contact.   | Alpha numeric (60) |
| Billing Care Of Name             | Optional                              |   | Alpha numeric (60) |
| Billing Address Line 1           | Mandatory                             | If billing address is the same as the Service Address, populate with Service Address.   | Alpha numeric (55) |
| Billing Address Line 2           | Optional                              | Use for address overflow. If billing address is not different than the Service Address, populate with Service Address.  | Alpha numeric (55) |
| Billing City                     | Mandatory                             | If billing address is the same as the Service Address, populate with Service Address.   | Alpha numeric (30) |
| Billing State                    | Mandatory                             | If billing address is the same as the Service Address, populate with Service Address.   | Alpha numeric (2)  |
| Billing Postal Code              | Mandatory                             | If billing address is the same as the Service Address, populate with Service Address. Note that punctuation (spaces, dashes, etc.) must be excluded. Postal codes will only contain uppercase letters (A to Z) and digits (0 to 9). | Alpha numeric (15) |
| Billing Country Code             | Optional                              | Required when billing address is outside the United States, use valid X-12 Country Code.  | Alpha numeric (3)  |
| Primary Phone Number             | Mandatory                             | Needed for Gaining CR to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.  | Alpha numeric (10) |
| Primary Phone Number Extension   | Optional                              | Needed for Gaining CR to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.  | Alpha numeric (10) |
| Secondary Phone Number           | Optional                              | Needed for Gaining CR to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.  | Alpha numeric (10) |
| Secondary Phone Number Extension | Optional                              | Needed for Gaining CR to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.  | Alpha numeric (10) |
| E-mail Address                   | Optional                              | Needed for ERCOT to contact Customers.  | VarChar (80)       |

Summary record – This template is used to convey record totals of the number of DET records from the file being sent from the sender or receiver.

| <b>Data Element</b> | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>   | <b>Format</b>     |
|---------------------|---------------------------------------|-------------------|-------------------|
| Record Type         | Mandatory                             | Record Tag “SUM.” | Alpha numeric (3) |

| <b>Data Element</b>         | <b>Texas SET<br/>Mandatory<br/>/ Optional</b> | <b>Comments</b>   | <b>Format</b> |
|-----------------------------|---|---|---------------|
| Total Number of DET Records | Mandatory                                     | Total number of DET records, should be equal to the Record Counter in the last DET record. Use Zero if no records sent. | Numeric (8)   |

**File 2A – Record Layout for the MTCRCustomerInformationERCOTResponse.csv file(ERCOT to submitting CR)**

Header record – First row of CSV - Used to designate the data to be presented, with a unique tracking number and an indication of the sender to ERCOT or receiver of the data set from ERCOT response.

| <b>Data Element</b> | <b>Mandatory<br/>/ Optional</b> | <b>Comments</b>   | <b>Format</b>      |
|---------------------|---------------------------------|---|--------------------|
| Record Type         | Mandatory                       | Record Tag “HDR.”   | Alpha numeric (3)  |
| Report Name         | Mandatory                       | Mutually defined report definition. Hard Code “MTCRCustomerInformationERCOTResponse.”   | Alpha numeric (80) |
| Original Report ID  | Mandatory                       | Report ID as sent in the “MTCRCustomerInformation file.”  | Alpha numeric (80) |
| CR DUNS Number      | Mandatory                       | REP of record DUNS Number. This is the DUNS Number for the CR receiving this response report information based on the original file submission. If this is not your CR DUNS Number, end processing. | Numeric (9 or 13)  |

ER1 record – Used to designate a record with an invalid value or format, with a reference to the original record in error.

| <b>Data Element</b>  | <b>Mandatory<br/>/ Optional</b> | <b>Comments</b>  | <b>Format</b>      |
|----------------------|---------------------------------|--|--------------------|
| Record Type          | Mandatory                       | Record Tag “ER1.”  | Alpha numeric (3)  |
| Record Number        | Mandatory                       | The unique sequential record number starting with “1.”           | Numeric (8)        |
| ESI ID Number        | Mandatory                       | The basic identifier assigned to each SDP.                       | Alpha numeric (36) |
| Original Record Type | Mandatory                       | The type of record in error. Valid values are DET, HDR, and SUM. | Alpha numeric (3)  |

| <b>Data Element</b>    | <b>Mandatory / Optional</b> | <b>Comments</b>  | <b>Format</b>      |
|------------------------|-----------------------------|--|--------------------|
| Original Record Number | Conditional                 | Original DET Record Number sent from MTCRCustomerInformation report that is in error. Required if Original Record Type is DET. | Numeric (8)        |
| Field Name             | Mandatory                   | Field name of record that is in error.   | Alpha numeric (80) |
| Error Description      | Mandatory                   | Description of error.  | Alpha numeric (80) |

ER2 record – used to designate a record with a missing mandatory field, with a reference to the original record in error.

| <b>Data Element</b>    | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>   | <b>Format</b>      |
|------------------------|---------------------------------------|---|--------------------|
| Record Type            | Mandatory                             | Record Tag “ER2.”   | Alpha numeric (3)  |
| Record Number          | Mandatory                             | The unique sequential record number starting with “1.”  | Numeric (8)        |
| ESI ID Number          | Mandatory                             | The basic identifier assigned to each SDP.  | Alpha numeric (36) |
| Original Record Type   | Mandatory                             | The type of record in error. Valid values are DET, HDR, and SUM.  | Alpha numeric (3)  |
| Original Record Number | Conditional                           | Original DET Record Number sent from MTCRCustomerInformation report that is in error.<br>Required if Original Record Type is DET. | Numeric (8)        |
| Field Name             | Mandatory                             | Field name of record that is in error.  | Alpha numeric (80) |
| Error Description      | Mandatory                             | Description of error.   | Alpha numeric (80) |

Sum record – provides the sum of all records received in the original file, the number of records processed, and the number of DET records in error.

| <b>Data Element</b>         | <b>Mandatory / Optional</b> | <b>Comments</b>   | <b>Format</b>     |
|-----------------------------|-----------------------------|---|-------------------|
| Record Type                 | Mandatory                   | Record Tag “SUM.”   | Alpha numeric (3) |
| Total Number of DET Records | Mandatory                   | Total number of DET records in the original MTCRCustomerInformation report. | Numeric (8)       |

| <b>Data Element</b>                   | <b>Mandatory / Optional</b> | <b>Comments</b>  | <b>Format</b> |
|---------------------------------------|-----------------------------|--|---------------|
| Total Number of processed DET Records | Mandatory                   | Total number of DET records processed without error from the MTCRCustomerInformation report. | Numeric (8)   |
| Total Number of Error Records         | Conditional                 | Total number of DET records in error.  | Numeric (8)   |

**File 2B – Record Layout for the MTCRDataValidationERCOTResponse.csv file (ERCOT to submitting CR)**

Header record – First row of CSV - Used to designate the data to be presented, with a unique tracking number and an indication of the sender to ERCOT or receiver of the data set from ERCOT response.

| <b>Data Element</b> | <b>Mandatory / Optional</b> | <b>Comments</b>   | <b>Format</b>      |
|---------------------|-----------------------------|---|--------------------|
| Record Type         | Mandatory                   | Record Tag “HDR.”   | Alpha numeric (3)  |
| Report Name         | Mandatory                   | Mutually defined report definition. Hard Code “MTCRDataValidationERCOTResponse.”  | Alpha numeric (80) |
| Original Report ID  | Mandatory                   | Report ID as sent in the “MTCRCustomerInformation file.”  | Alpha numeric (80) |
| CR DUNS Number      | Mandatory                   | REP of record DUNS Number. This is the DUNS Number for the CR receiving this response report information based on the original file submission. If this is not your CR DUNS Number, end processing. | Numeric (9 or 13)  |

ER3 record – Used to designate a record that failed business level validation, with a reference to the original record in error.

| <b>Data Element</b>  | <b>Mandatory / Optional</b> | <b>Comments</b>  | <b>Format</b>      |
|----------------------|-----------------------------|--|--------------------|
| Record Type          | Mandatory                   | Record Tag “ER3.”  | Alpha numeric (3)  |
| Record Number        | Mandatory                   | The unique sequential record number starting with “1.”           | Numeric (8)        |
| ESI ID Number        | Mandatory                   | The basic identifier assigned to each SDP.                       | Alpha numeric (36) |
| Original Record Type | Mandatory                   | The type of record in error. Valid values are DET, HDR, and SUM. | Alpha numeric (3)  |

| <b>Data Element</b>    | <b>Mandatory / Optional</b> | <b>Comments</b>   | <b>Format</b>      |
|------------------------|-----------------------------|---|--------------------|
| Original Record Number | Conditional                 | Original DET Record Number sent from MTCRCustomerInformation report that is in error. | Numeric (8)        |
| Field Name             | Mandatory                   | Field name of record that is in error.  | Alpha numeric (80) |
| Error Description      | Mandatory                   | Description of error.   | Alpha numeric (80) |

Sum record – provides the sum of all records received in the original file, the number of records processed, and the number of DET records in error.

| <b>Data Element</b>                   | <b>Mandatory / Optional</b> | <b>Comments</b>  | <b>Format</b>     |
|---------------------------------------|-----------------------------|--|-------------------|
| Record Type                           | Mandatory                   | Record Tag “SUM.”  | Alpha numeric (3) |
| Total Number of DET Records           | Mandatory                   | Total number of DET records in the original MTCRCustomerInformation report.                  | Numeric (8)       |
| Total Number of processed DET Records | Mandatory                   | Total number of DET records processed without error from the MTCRCustomerInformation report. | Numeric (8)       |
| Total Number of Error Records         | Conditional                 | Total number of ER3 records contained in the response file.                                  | Numeric (8)       |

### **File 3 – MTERCOT2CRCustomerInformation.csv file (ERCOT to Gaining CR)**

Header record – First row of delimited file - Used to designate the data to be presented, with a unique tracking number and an indication of the sender to ERCOT or receiver of the data set from ERCOT response.

| <b>Data Element</b> | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>  | <b>Format</b>      |
|---------------------|---------------------------------------|--|--------------------|
| Record Type         | Mandatory                             | Record Tag “HDR.”  | Alpha numeric (3)  |
| Report Name         | Mandatory                             | Mutually defined report definition. Hard Code “MTERCOT2CRCustomerInformation.”                     | Alpha numeric (80) |
| Report ID           | Mandatory                             | The unique report number designated by the sender to be used in the MTERCOT2CRCustomerInformation. | Alpha numeric      |

## SECTION 9 (F6): CUSTOMER BILLING CONTACT INFORMATION

| <b>Data Element</b> | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>   | <b>Format</b>     |
|---------------------|---------------------------------------|---|-------------------|
| CR DUNS Number      | Mandatory                             | REP of record DUNS Number. This is the DUNS Number for the CR submitting Customer information file or used as the receiver when ERCOT is sending the Customer information during a Mass Transition event. | Numeric (9 or 13) |

Detail record - The DET record contains the Customer contact information sent by the CR. Also represents the validated data sent by ERCOT to the Gaining CR upon a Mass Transition event.

| <b>Data Element</b>           | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>  | <b>Format</b>      |
|-------------------------------|---------------------------------------|--|--------------------|
| Record Type                   | Mandatory                             | Record Tag "DET."  | Alpha numeric (3)  |
| Record Number                 | Mandatory                             | The unique sequential record number starting with "1."   | Numeric (8)        |
| CR DUNS Number                | Mandatory                             | REP of record DUNS Number. This is the DUNS Number for the CR submitting information during either file submission or the exiting CR in a Mass Transition event. | Numeric (9 or 13)  |
| ESI ID Number                 | Mandatory                             | The basic identifier assigned to each SDP.   | Alpha numeric (36) |
| Customer Account Number       | Optional                              | Recommended to help with communication.  | Alpha numeric (80) |
| Customer First Name           | Conditional                           | Must be provided (along with Customer last name) if Customer Company Name is not provided.   | Alpha numeric (30) |
| Customer Last Name            | Conditional                           | Must be provided (along with Customer first name) if Customer Company Name is not provided.  | Alpha numeric (30) |
| Customer Company Name         | Conditional                           | Must be provided if Customer first name and Customer last name are not provided.   | Alpha numeric (60) |
| Customer Company Contact Name | Optional                              | Used in conjunction with Company Name if the company has designated a specific contact.  | Alpha numeric (60) |
| Billing Care Of Name          | Optional                              |  | Alpha numeric (60) |
| Billing Address Line 1        | Mandatory                             | If billing address is the same as the Service Address, populate with Service Address.  | Alpha numeric (55) |
| Billing Address Line 2        | Optional                              | Use for address Overflow. If billing address is not different than the Service Address, populate with Service Address.   | Alpha numeric (55) |

| <b>Data Element</b>              | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>   | <b>Format</b>      |
|----------------------------------|---------------------------------------|---|--------------------|
| Billing City                     | Mandatory                             | If billing address is the same as the Service Address, populate with Service Address.   | Alpha numeric (30) |
| Billing State                    | Mandatory                             | If billing address is the same as the Service Address, populate with Service Address.   | Alpha numeric (2)  |
| Billing Postal Code              | Mandatory                             | If billing address is the same as the Service Address, populate with Service Address. Note that punctuation (spaces, dashes, etc.) must be excluded. Postal codes will only contain uppercase letters (A to Z) and digits (0 to 9). | Alpha numeric (15) |
| Billing Country Code             | Optional                              | Required when billing address is outside the United States, use valid X-12 Country Code.  | Alpha numeric (3)  |
| Primary Phone Number             | Mandatory                             | Needed for Gaining CR to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.  | Alpha numeric (10) |
| Primary Phone Number Extension   | Optional                              | Needed for Gaining CR to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.  | Alpha numeric (10) |
| Secondary Phone Number           | Optional                              | Needed for Gaining CR to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.  | Alpha numeric (10) |
| Secondary Phone Number Extension | Optional                              | Needed for Gaining CR to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.  | Alpha numeric (10) |
| E-mail Address                   | Optional                              | Needed for ERCOT to contact Customers.  | VarChar (80)       |

IDT (Invalid) record - contains data that failed the data format or condition validation once received at ERCOT. Since it is deemed necessary to forward the data even after failing validation, this record is an indicator that the receiver will have to review the content. To be sent by ERCOT to the Gaining CR upon a Mass Transition event.

| <b>Data Element</b> | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>  | <b>Format</b>     |
|---------------------|---------------------------------------|--|-------------------|
| Record Type         | Mandatory                             | Record Tag "IDT."                                      | Alpha numeric (3) |
| Record Number       | Mandatory                             | The unique sequential record number starting with "1." | Numeric (8)       |

NDT (Missing) record - used when there is missing Customer information for that ESI ID possibly due to completion of service orders since file was submitted. To be sent by ERCOT to the Gaining CR upon a Mass Transition event.



| <b>Data Element</b> | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>  | <b>Format</b>      |
|---------------------|---------------------------------------|--|--------------------|
| Record Type         | Mandatory                             | Record Tag “NDT.”                                      | Alpha numeric (3)  |
| Record Number       | Mandatory                             | The unique sequential record number starting with “1.” | Numeric (8)        |
| CR DUNS Number      | Mandatory                             | REP of record DUNS Number.                             | Numeric (9 or 13)  |
| ESI ID Number       | Mandatory                             | The basic identifier assigned to each SDP.             | Alpha numeric (36) |
| Contact Message     | Mandatory                             | “No Information Provided.”                             | Alpha numeric (30) |

Sum record – provides sum of all DET, IDT, and NDT records that should be represented in the file. To be sent by ERCOT to the Gaining CR upon a Mass Transition event.

| <b>Data Element</b>         | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>  | <b>Format</b>     |
|-----------------------------|---------------------------------------|--|-------------------|
| Record Type                 | Mandatory                             | Record Tag “SUM.”  | Alpha numeric (3) |
| Total Number of DET Records | Mandatory                             | Total number of DET records, should be equal to the Record Counter in the last DET record. Use Zero if no records sent.  | Numeric (8)       |
| Total Number of IDT Records | Mandatory                             | Total number of DET records, should be equal to the Record Counter in the last IDT record. Conditional upon the use of IDT records. Use Zero if no records sent. | Numeric (8)       |
| Total Number of NDT Records | Mandatory                             | Total number of DET records, should be equal to the Record Counter in the last NDT record. Conditional upon the use of NDT records. Use Zero if no records sent. | Numeric (8)       |

#### **File 4 – MTERCOT2TDSPCustomerInformation.csv file (ERCOT to TDSP)**

Header record – First row of delimited file - Used to designate the data to be presented, with a unique tracking number and an indication of the sender to ERCOT or receiver of the data set from ERCOT response.

| <b>Data Element</b> | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b> | <b>Format</b> |
|---------------------|---------------------------------------|-----------------|---------------|
|---------------------|---------------------------------------|-----------------|---------------|

## SECTION 9 (F6): CUSTOMER BILLING CONTACT INFORMATION

| <b>Data Element</b> | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>  | <b>Format</b>      |
|---------------------|---------------------------------------|--|--------------------|
| Record Type         | Mandatory                             | Record Tag "HDR."  | Alpha numeric (3)  |
| Report Type         | Mandatory                             | Mutually defined report definition. Hard Code "MTERCOT2TDSPCustomerInformation."                     | Alpha numeric (80) |
| Report ID           | Mandatory                             | The unique report number designated by the Sender to be used in the MTERCOT2TDSPCustomerInformation. | Alpha numeric      |
| TDSPDUNS Number     | Mandatory                             | TDSP DUNS Number. This is the DUNS Number for the TDSP receiving the Customer information file.      | Numeric (9 or 13)  |

Detail record - The DET record contains the Customer contact information sent by the CR. Also represents the validated data sent by ERCOT to the TDSP upon a Mass Transition event.

| <b>Data Element</b>            | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>   | <b>Format</b>      |
|--------------------------------|---------------------------------------|---|--------------------|
| Record Type                    | Mandatory                             | Record Tag "DET."   | Alpha numeric (3)  |
| Record Number                  | Mandatory                             | The unique sequential record number starting with "1."  | Numeric (8)        |
| CR DUNS Number                 | Mandatory                             | REP of record DUNS Number. This is the DUNS Number for the exiting CR in a Mass Transition event. | Numeric (9 or 13)  |
| ESI ID Number                  | Mandatory                             | The basic identifier assigned to each SDP.  | Alpha numeric (36) |
| Customer First Name            | Conditional                           | Must be provided (along with Customer last name) if Customer Company Name is not provided.        | Alpha numeric (30) |
| Customer Last Name             | Conditional                           | Must be provided (along with Customer first name) if Customer Company Name is not provided.       | Alpha numeric (30) |
| Customer Company Name          | Conditional                           | Must be provided if Customer first name and Customer last name are not provided.                  | Alpha numeric (60) |
| Customer Company Contact Name  | Optional                              | Used in conjunction with Company Name if the company has designated a specific contact.           | Alpha numeric (60) |
| Primary Phone Number           | Mandatory                             | Needed for TDSP to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.        | Alpha numeric (10) |
| Primary Phone Number Extension | Optional                              | Needed for TDSP to contact Customers. Punctuation (dashes, symbols etc.) must be excluded.        | Alpha numeric (10) |

IDT (Invalid) record - Contains data that failed the data format or condition validation once received at ERCOT. Since it is deemed necessary to forward the data even after failing validation, this record is an indicator that the receiver will have to review the content. To be sent by ERCOT to the Gaining CR upon a Mass Transition event.

| <b>Data Element</b> | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>  | <b>Format</b>     |
|---------------------|---------------------------------------|--|-------------------|
| Record Type         | Mandatory                             | Record Tag "IDT."                                      | Alpha numeric (3) |
| Record Number       | Mandatory                             | The unique sequential record number starting with "1." | Numeric (8)       |

NDT (Missing) record - Used when there is missing Customer information for that ESI ID possibly due to completion of service orders since file was submitted. To be sent by ERCOT to the TDSP upon a Mass Transition event.

| <b>Data Element</b> | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>  | <b>Format</b>      |
|---------------------|---------------------------------------|--|--------------------|
| Record Type         | Mandatory                             | Record Tag "NDT."                                      | Alpha numeric (3)  |
| Record Number       | Mandatory                             | The unique sequential record number starting with "1." | Numeric (8)        |
| CR DUNS Number      | Mandatory                             | REP of record DUNS Number.                             | Numeric (9 or 13)  |
| ESI ID Number       | Mandatory                             | The basic identifier assigned to each SDP.             | Alpha numeric (36) |
| Contact Message     | Mandatory                             | "No Information Provided."                             | Alpha numeric (30) |

Sum record – Provides sum of all DET, IDT, and NDT records that should be represented in the file. To be sent by ERCOT to the TDSP upon a Mass Transition event.

| <b>Data Element</b>         | <b>Texas SET Mandatory / Optional</b> | <b>Comments</b>   | <b>Format</b>     |
|-----------------------------|---------------------------------------|---|-------------------|
| Record Type                 | Mandatory                             | Record Tag "SUM."   | Alpha numeric (3) |
| Total Number of DET Records | Mandatory                             | Total number of DET records, should be equal to the Record Counter in the last DET record. Use Zero if no records sent. | Numeric (8)       |

| Data Element                | Texas SET Mandatory / Optional | Comments   | Format      |
|-----------------------------|--------------------------------|--|-------------|
| Total Number of IDT Records | Mandatory                      | Total number of DET records, should be equal to the Record Counter in the last IDT record. Conditional upon the use of IDT records. Use Zero if no records sent. | Numeric (8) |
| Total Number of NDT Records | Mandatory                      | Total number of DET records, should be equal to the Record Counter in the last NDT record. Conditional upon the use of NDT records. Use Zero if no records sent. | Numeric (8) |

## Sample Data:

(1) **File 1** – MTCRCustomerInformation.csv

HDR|MTCRCustomerInformation|200608300001|123456789

DET|1|123456789|1001001001001||JOHN|SMITH|IRWIN TRAVEL|||123 MAIN STREET||ANYTOWN|TX|78125||7775552222|||

DET|2|123456789|1001001001002||SMITH|||||111 ELM STREET|||TEXAS|78125||5554443333|||

DET|3|123456789|1001001001003||ELMER|SMITH|||||1007 ERNHART ROAD||ANYTOWN|TX|78125||888331111|||

DET|4|123456789|1111001001004||HEATHER|DAVIS|||345 PARK AVENUE||ANYTOWN|TX|78125||7785552233|||

DET|5|123456789|1111001001005||JOE|SNOW|||521 MAPLE DRIVE||ANYTOWN|TX|78125||7785552456|||

DET|6|123456789|1001001001006||MARY|JOHNSON|||345 WASHINGTON AVENUE||ANYTOWN|TX|78125||7785552233|||

DET|7|123456788|1001001001007||THOMAS|CLARK|||1202 FIFTH STREET||ANYTOWN|TX|78125||7785552456|||

DET|8|123456789|1001001001008||||RUTH MILLER||4507 OAK AVENUE||ANYTOWN|TX|78125||7785552233|||

DET|9|123456788|1001001001009||GEORGE|TAYLOR|||10107 SECOND STREET||ANYTOWN|TX|78125||7785552456|||

DET|10|123456788|1001001001010||LISA|ANDERSON|||1704 FOURTH STREET||  
 ANYTOWNANYTOWNANYTOWNANYTOWNANYTOWN  
 |TX|78125||7785552456|||

SUM|10|0|0

(2) **File 2A** – MTCRCustomerInformationERCOTResponse.csv

HDR|MTCRCustomerInformationERCOTResponse|200608300001|123456789

ER2|1|1001001001002|DET|2|Billing Address|Missing Value

ER2|2|1001001001002|DET|2|Billing City|Missing Value

ER2|3|1001001001002|DET|2|Billing State|Missing Value

ER1|4|1001001001003|DET|3|Billing State|Invalid Value

ER2|5|1001001001003|DET|3|Billing Address|Missing Value

ER2|6|1001001001003|DET|3|Billing City|Missing Value

ER2|7|1001001001008|DET|8|Company Name|Missing Value

ER1|8|1001001001010|DET|10|Billing City|Invalid Value

SUM|10|6|4

(3) **File 2B** – MTCRDataValidationERCOTResponse.csv

HDR|MTCRDataValidationERCOTResponse2|200608300001|123456789

ER3|1|1111001001004|DET|4|ESI ID Number|Invalid Value

ER3|2|1111001001005|DET|5|ESI ID Number|Invalid Value

SUM|10|6|2

(4) **File 3** – MTERCOT2CRCustomerInformation.csv

HDR|MTERCOT2CRCustomerInformation |200608300001|987654321

DET|1|123456789|1001001001001||JOHN|SMITH|IRWIN TRAVEL|||123 MAIN  
 STREET||ANYTOWN|TX|78125||7775552222|||

IDT|1|123456789|1001001001002||SMITH|||111 ELM  
 STREET|||TEXAS|78125||5554443333|||

IDT|2|123456789|1001001001003||ELMER|SMITH|||1007 ERNHART  
 ROAD||ANYTOWN|TX|78125||888331111|||

NDT|1|123456789|1001001001005|No Information Provided

SUM|1|2|1

(5) **File 4** – MTERCOT2TDSPCustomerInformation.csv

HDR|MTERCOT2TDSPCustomerInformation |200608300001|666666666

DET|1|123456789|1001001001001||JOHN|SMITH|IRWIN TRAVEL|||123 MAIN  
STREET||ANYTOWN|TX|78125||7775552222|||

NDT|1|123456789|1001001001005|No Information Provided

SUM|1|2|1

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix F7: File Layout for Acquisition Transfer**

**February 1, 2014**

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## Appendix F7

### File Layout for Acquisition Transfer

*Reference: Sections 7.11.2.4.1, Losing Competitive Retailer Responsibilities in an Acquisition Transfer Event, and 7.11.2.4.2, ERCOT Responsibilities in an Acquisition Transfer*

In the event of an Acquisition Transfer event, the Losing Competitive Retailer (CR) shall create and submit to the Gaining CR, ERCOT and applicable TDSP(s) a Comma Separated Values (CSV) (comma delimited) file via e-mail in coordination with ERCOT Client Services. Files must contain all required acquisition information identified below. All records sent in the file must be terminated by a Carriage Return Line Feed (CRLF). The file should be named "AQCRTransitionInformation."

| Data Element             | Texas SET Mandatory / Optional | Comments   | Format                  |
|--------------------------|--------------------------------|--|-------------------------|
| ESI ID Number            | Mandatory                      | The basic identifier assigned to each Service Delivery Point (SDP).  | Alpha numeric (36)      |
| Losing CR DUNS Number    | Mandatory                      | Retail Electric Provider (REP) of record DUNS Number (DUNS #). This is the DUNS # for the CR losing their Electric Service Identifiers (ESI IDs) in an Acquisition Transfer event. | Numeric (9 or 13)       |
| Acquiring CR DUNS Number | Mandatory                      | REP of record DUNS #. This is the DUNS # for the CR obtaining the ESI IDs in an Acquisition Transfer event.  | Numeric (9 or 13)       |
| Acquisition Date         | Optional                       | Required for self-selected transfers, which is required to be at least three Retail Business Days out and no more than 90 days in the future.)                                     | Numeric (8)<br>yyyymmdd |



# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix G: ERCOT Specified File Format for Submission of Interval Data for Advanced Metering Systems**

**November 1, 2010**

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## Appendix G

### ERCOT Specified File Format for Submission of Interval Data for Advanced Metering Systems

*Reference: Sections 7.15.1, Ad Hoc Connectivity Test of Advanced Metering System Interval Data, 7.15.2, Submission of Interval Data on Electric Service Identifier(s) with Advanced Metering Systems, and 7.15.3, Posting Data to Transmission and/or Distribution Service Provider File Transfer Protocol Site*

(Same file layout used for Transmission and/or Distribution Service Providers (TDSP's) File Transfer Protocol (FTP) site.)

**Note:** The correct number of commas must be included even if optional elements are not provided.

| Element        | Description         | Mandatory / Optional | Valid Values | Comment  | Format                        |
|----------------|---------------------|----------------------|--------------|--|-------------------------------|
| Header Row One |                     |                      |              |  |                               |
| 1              | Sort code           | Mandatory            | 00000001     | Must be 00000001   | Numeric (8)                   |
| 2              | ESI ID              | Mandatory            |              |  | Alphanumeric (64)             |
| 3              | Channel             | Mandatory            | 1<br>4       | Indicates type of data contained in the detailed rows.<br>1 = generation<br>4 = Load   | Numeric (1)                   |
| 4              | Start Time          | Mandatory            |              |  | YYYYMMDDHHMMSS (24-hour) (14) |
| 5              | Stop Time           | Mandatory            |              |  | YYYYMMDDHHMMSS (24-hour) (14) |
| 6              | DST Participation   | Mandatory            | Y            | Y = DST Participant<br>Data must be DST adjusted and must be in local prevailing time. | Alphanumeric (1)              |
| 7              | Invalid Record Flag | Mandatory            | N            | N indicates that the data is VEE and does not need to be pre-validated.                | Alphanumeric (1)              |

**Note:** The correct number of commas must be included even if optional elements are not provided.

SECTION 9 (G): ERCOT SPECIFIED FILE FORMAT FOR SUBMISSION OF INTERVAL DATA FOR ADVANCED METERING SYSTEMS

| Element        | Description                                    | Mandatory / Optional | Valid Values      | Comment   | Format   |
|----------------|--|----------------------|-------------------|---|--|
| Header Row Two |  |                      |                   |   |  |
| 1              | Sort code                                      | Mandatory            | 00000002          | Must be 00000002  | Numeric (8)  |
| 2              | Meter Start Reading                            | Optional             |                   | Meter Start Reading<br>Not used by ERCOT<br>Default = 0   | Non-negative numeric<br>Max =<br>99999999999999.9999<br>00:00:00 |
| 3              | Meter Stop Reading – Register Read for the day | Optional             |                   | Meter Stop Reading<br>Not used by ERCOT<br>Default = 0  | Non-negative numeric<br>Max =<br>99999999999999.9999<br>23:59:59 |
| 4              | Meter Multiplier                               | Conditional          |                   | Must be included if meter start and meter stop is included.<br>Not used by ERCOT<br>Default = 0 | Non-negative numeric<br>Max =<br>99999999999999.9999             |
| 5              | Empty value                                    | Mandatory            | No value provided | Must be Null.<br>See example.   | The correct number of commas must be included.                   |
| 6              | Pulse multiplier                               | Optional             |                   | Not used by ERCOT<br>Default = 0  | Non-negative numeric<br>Max =<br>99999999999999.9999             |
| 7              | Empty value                                    | Mandatory            | No value provided | Must be Null.<br>See example.   | The correct number of commas must be included.                   |
| 8              | Seconds Per Interval                           | Mandatory            | 900               | 900 = 15 minute intervals   | Numeric (3)  |
| 9              | Lodestar Unit of Measure                       | Mandatory            | 01                | 01 = kWh  | Numeric (2)  |
| 10             | Basic Unit Code                                | Optional             |                   | Not used by ERCOT<br>Default = 1  | Positive numeric. Max 9999.                                      |
| 11             | Time Zones West of GMT                         | Optional             |                   | Not used by ERCOT<br>Default = -1   | Numeric.<br>Min = -1<br>Max = 47                                 |
| 12             | Population                                     | Optional             |                   | Not used by ERCOT<br>Default = 0.0  | Positive numeric.<br>Max =<br>99999999999999.9999                |

SECTION 9 (G): ERCOT SPECIFIED FILE FORMAT FOR SUBMISSION OF INTERVAL DATA FOR ADVANCED METERING SYSTEMS

| Element | Description             | Mandatory / Optional | Valid Values | Comment                            | Format                         |
|---------|-------------------------|----------------------|--------------|------------------------------------|--------------------------------|
| 13      | Weight                  | Optional             |              | Not used by ERCOT<br>Default = 0.0 | Max =<br>9999999999999999.9999 |
| 14      | Time Zone Standard Name | Mandatory            | CST          | Not used by ERCOT                  | Alphanumeric (3)               |

| Element          | Description | Mandatory / Optional | Valid Values | Comment          | Format            |
|------------------|-------------|----------------------|--------------|------------------|-------------------|
| Header Row Three |             |                      |              |                  |                   |
| 1                | Sort code   | Mandatory            | 00000003     | Must be 00000003 | Numeric (8)       |
| 2                | Descriptor  | Mandatory            |              | Unique tran id   | Alphanumeric (80) |

| Element         | Description | Mandatory / Optional | Valid Values | Comment   | Format           |
|-----------------|-------------|----------------------|--------------|---|------------------|
| Header Row Four |             |                      |              |   |                  |
| 1               | Sort code   | Mandatory            | 00000004     | Must be 00000004  | Numeric (8)      |
| 2               | Timestamp   | Mandatory            |              | Timestamp of read. This value will determine which read will 'win' for a day if there are multiple reads. | YYYYMMDDHHMMSS   |
| 3               | Origin      | Mandatory            | M            | M=Metered   | Alphanumeric (1) |

| Element           | Description      | Mandatory / Optional | Valid Values            | Comment                       | Format                      |
|-------------------|------------------|----------------------|-------------------------|-------------------------------|-----------------------------|
| Header Row Thirty |                  |                      |                         |                               |                             |
| 1                 | Sort code        | Mandatory            | 00000030                | Must be 00000030              | Numeric (8)                 |
| 2                 | Name Value Pairs | Mandatory            | ATTRIBUTE_VALUE_PAIRS   | Must be ATTRIBUTE_VALUE_PAIRS | Alphanumeric (21)           |
| 3                 | MRE DUNS Number  | Mandatory            | MRE=<required MRE DUNS> | Insert MRE DUNS Number        | MRE= +<br>Numeric (9 or 13) |

SECTION 9 (G): ERCOT SPECIFIED FILE FORMAT FOR SUBMISSION OF INTERVAL DATA FOR ADVANCED METERING SYSTEMS

| Element | Description       | Mandatory / Optional                        | Valid Values                  | Comment   | Format                         |
|---------|-------------------|---|-------------------------------|---|--------------------------------|
| 4       | TDSP DUNS Number  | Mandatory                                   | Sender=<required Sender DUNS> | Insert Sender DUNS Number   | Sender= +<br>Numeric (9 or 13) |
| 5       | ERCOT DUNS Number | Mandatory                                   | Receiver=183529049            | Must contain ERCOT's DUNS Number.   | Receiver= +<br>Numeric (9)     |
| 6       | CR DUNS Number    | Attribute is Mandatory<br>Value is optional | REP=<optional CR DUNS>        | Insert CR DUNS Number<br><br>The attribute (REP=) is required. The value (the CR DUNS Number) is optional.<br><br>Not Used by ERCOT | REP= +<br>Numeric (9 or 13)    |

**Note:** The correct number of commas must be included even if optional elements are not provided.

| Element         | Description    | Mandatory / Optional | Valid Values              | Comment   | Format   |
|-----------------|----------------|----------------------|---------------------------|---|--|
| Detailed Record |                |                      |                           |   |  |
| 1               | Sort code      | Mandatory            | 10000000 through 10000024 | Each row must contain four 15 minute interval sets.<br><br>For a 92 interval day, the data records will go through row 22 (10000022).<br><br>For a 96 interval day the data records will go through row 23 (10000023).<br><br>For a 100 interval day will go through row 24 (10000024). | Numeric (8)  |
| 2               | Interval value | Mandatory            |                           |   | Numeric<br>Maximum of 3 significant digits to the right of the decimal.<br><br>Must be a positive value. |

SECTION 9 (G): ERCOT SPECIFIED FILE FORMAT FOR SUBMISSION OF INTERVAL DATA FOR ADVANCED METERING SYSTEMS

| <b>Element</b> | <b>Description</b>   | <b>Mandatory / Optional</b> | <b>Valid Values</b>        | <b>Comment</b>   | <b>Format</b>                                  |
|----------------|----------------------|-----------------------------|----------------------------|--|--|
| 3              | Lodestar Status Code | Mandatory                   | A = actual<br>E = estimate | Indicates whether the interval is an actual or estimate. | Alphanumeric (1)                               |
| 4              | Empty value          | Mandatory                   | No value provided          | Must be Null.<br>See example.                            | The correct number of commas must be included. |

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix H1: Intentionally Left Blank**

July 23, 2021

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# **Appendix H1**

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# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix H2: Intentionally Left Blank**

July 23, 2021

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# **Appendix H2**

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# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix I: Door Hanger - Sample of Transmission and/or Distribution Service Provider's Minimum Standard Language for Notification of Denial of Access**

**November 1, 2010**

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## Appendix I

### Door Hanger - Sample of Transmission and/or Distribution Service Provider's Minimum Standard Language for Notification of Denial of Access

*Reference: Section 7.12.3, Estimation Based on Denial of Access*

### Transmission and/or Distribution Service Providers (TDSP) Logo

#### **NOTICE TO ELECTRIC CUSTOMER**

**We are unable to gain access to your electric meter.**

**YOU MUST ACT NOW  
to Stop Your Electric Service From Being Turned Off.**

Please do not delay. Call your Retail Electric Provider (REP) for additional information and to select one of the three options below.

- (1) Provide permanent access to the meter
- (2) Request automated reading (you may be charged for the equipment and installation cost of a meter that can be remotely read – requires coordination with (“TDSP name”) >>
- (3) Relocate the meter base and service point at your expense (requires coordination with your electrician and << (“TDSP name”)>>

**Failure to select one of the three options above  
may result in disconnection of your electric service and  
subject you to disconnection and reconnection fees.**

**The Public Utility Commission of Texas (PUCT) requires an actual meter reading for billing, and prohibits estimating a meter reading for more than three consecutive months.**

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix J1: Transmission and/or Distribution Service Provider Daily Switch Hold List**

**April 1, 2017**

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## Appendix J1

### Transmission and/or Distribution Service Provider Daily Switch Hold List

*Reference: Section 7.16.3, Transmission and/or Distribution Service Provider Switch Hold Notification for Meter Tampering, and 7.17.2, Transmission and/or Distribution Service Provider Switch Hold Notification for Payment Plans*

#### File Content

The switch hold files shall include the required Electric Service Identifiers (ESI IDs) of any appropriate account currently on switch hold for either meter tampering or payment plan reason.

#### File Naming Conventions

| List                                | Naming Convention<br>(Example)  |
|-------------------------------------|---|
| TDSP Switch Hold<br>(All Inclusive) | <TDSPDUNS><“SWITCHHOLD”><MMDDYYYY>.txt<br>999999999SWITCHHOLD07022010.txt |

#### File Format

| Element        | Description               | Mandatory /<br>Optional | Valid<br>Values | Comment | Format            |
|----------------|---------------------------|-------------------------|-----------------|---------|-------------------|
| Header Row One |                           |                         |                 |         |                   |
| 1              | ESI ID                    | Mandatory               |                 |         | Alphanumeric (64) |
| 2              | Switch Hold<br>Start Date | Mandatory               |                 |         | YYYYMMDD (8)      |

#### Examples:

11257785415097776,20100727  
 11257785423493599,20100701  
 11257785468711075,20100709  
 11257785476930287,20100727  
 11257785485934343,20100727  
 11257785492738952,20100728  
 11257785493185368,20100729

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix J2: New Occupant Statement**

**October 8, 2021**

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## Appendix J2

### New Occupant Statement

**Note:** New Occupant Statement must be accompanied by at least one of the following documents:

- Bill for natural gas/propane, water/sewer, electric, or cable/internet in Customer's name dated within last two months from a different Premise (cell phone invoices are not accepted);
- Copy of current signed lease by all parties;
- Notarized affidavit of landlord;
- Closing documents (Closing Statement signed by buyer and seller; Deed filed by county clerk noting street name and house number); or
- Certificate of occupancy indicating new occupant.

---

**All fields must be completed for valid submission.**

Electric Service Identifier (ESI ID) Number\* \_\_\_\_\_

\*To be completed by submitting Retail Electric Provider (REP)

Service Address \_\_\_\_\_

City, State, Zip Code \_\_\_\_\_

Occupancy Date \_\_\_\_\_

New Occupant Name \_\_\_\_\_

Mailing Address \_\_\_\_\_

City, State, Zip Code \_\_\_\_\_

Telephone Number \_\_\_\_\_

---

### AUTHORIZATION

I affirm that I am a new occupant to the above Service Address and I am not associated with the preceding occupant.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Name)



# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix J3: Declaración De Nuevo Ocupante (New Occupant Statement – Spanish)**

**October 8, 2021**

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## Appendix J3

### Declaración De Nuevo Ocupante (New Occupant Statement – Spanish)

ESI ID = Identificador de Servicio Eléctrico

**Nota:** Declaración de un nuevo ocupante debe ir acompañada de al menos uno de los siguientes documentos:

- La factura de utilidades (electricidad, gas natural/propano, agua/alcantarillado, o cable/internet) a nombre del Cliente, con fecha dentro de los últimos dos meses de una dirección diferente (no se aceptan facturas de celular telefónica);
- Copia del contrato de arrendamiento firmado por ambas partes;
- Declaración jurada de propietario;
- Los documentos de cierre (Declaración de cierre firmado por el comprador y el vendedor, Escritura de Garantía presentado por el secretario del condado mostrando el nombre de la calle y el numero de casa); o
- Certificado de ocupación indicando nuevo ocupante.

---

**Toda la información debe completarse para una presentación válida.**

ESI ID (Completado por la compañía eléctrica minorista) \_\_\_\_\_

Dirección del Servicio \_\_\_\_\_

Ciudad, Estado, Código Postal \_\_\_\_\_

Fecha de Ocupación \_\_\_\_\_

Nombre del Nuevo Ocupante \_\_\_\_\_

Dirección Postal \_\_\_\_\_

Ciudad, Estado, Código Postal \_\_\_\_\_

Número Telefónico \_\_\_\_\_

---

### AUTORIZACIÓN

Yo afirmo que soy un nuevo ocupante de la dirección de servicio de arriba y no estoy asociado con el ocupante anterior.

\_\_\_\_\_  
(Firma)

\_\_\_\_\_  
(Fecha)

\_\_\_\_\_  
(Nombre)

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix J4: Continuous Service Agreement (English)**

**June 1, 2016**

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## Appendix J4

### Continuous Service Agreement Statement (English)

*Reference: Sections 7.16.4.3.2, Steps for Removal of a Switch Hold for Meter Tampering for Purposes of a Move in, 7.16.4.6, Removal of Switch Hold for Meter Tampering for a Continuous Service Agreement, 7.17.3.3.2, Steps for Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move in, and 7.17.3.5, Removal of Switch Hold for Deferred Payment Plans for a Continuous Service Agreement*

**Note:** This Continuous Service Agreement Statement is an attestation that the Service Address below is currently vacant and that the Premise has an active Continuous Service Agreement (CSA) with the Retail Electric Provider (REP) indicated below.

---

Electric Service Identifier (ESI ID) Number \_\_\_\_\_

Service Address \_\_\_\_\_

City, State, Zip Code \_\_\_\_\_

---

#### REP AUTHORIZATION

I affirm that I am an authorized representative of \_\_\_\_\_ (REP name) and the Service Address above has an active CSA.

\_\_\_\_\_  
(Employee Name)

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix J5: Declaración de Acuerdo de Servicio Continuo (Continuous Service Agreement Statement - Spanish)**

**June 1, 2016**

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## Appendix J5

### Declaración de Acuerdo de Servicio Continuo (Continuous Service Agreement Statement - Spanish)

*Reference: Sections 7.16.4.3.2, Steps for Removal of a Switch Hold for Meter Tampering for Purposes of a Move in, 7.16.4.6, Removal of Switch Hold for Meter Tampering for a Continuous Service Agreement, 7.17.3.3.2, Steps for Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move in, and 7.17.3.5, Removal of Switch Hold for Deferred Payment Plans for a Continuous Service Agreement*

**Nota:** Esta declaración de Acuerdo de Servicio Continuo es una afirmación de que la dirección del servicio se encuentra actualmente vacante y que la propiedad tiene un Acuerdo de Servicio Continuo activo (CSA) con el Proveedor de Electricidad (REP).

Número de Identificador de Servicio Eléctrico (ESI ID) \_\_\_\_\_

Dirección de Servicio \_\_\_\_\_

Ciudad, Estado, Código Postal \_\_\_\_\_

#### REP AUTHORIZATION

I affirm that I am an authorized representative of \_\_\_\_\_ (REP name) and the Service Address above has an active CSA.

\_\_\_\_\_  
(Employee Name)

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix J6: Sample – Affidavit of Landlord**

**July 1, 2012**

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## Appendix J6

### Sample – Affidavit of Landlord

*Reference: Sections 7.16.4.3.2, Steps for Removal of a Switch Hold for Meter Tampering for Purposes of a Move in, and 7.17.3.3.2, Steps for Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move in*

Electric Service Identifier (ESI ID): \_\_\_\_\_

Premise/Service Address: \_\_\_\_\_

Premise City, State, Zip Code: \_\_\_\_\_

Premise Occupancy Date: \_\_\_\_\_

Landlord Name/Title: \_\_\_\_\_

Landlord Mailing Address: \_\_\_\_\_

Landlord City, State, Zip Code: \_\_\_\_\_

Landlord Telephone Number (daytime): \_\_\_\_\_

New Occupant Full Name\*: \_\_\_\_\_

New Occupant Mailing Address\*: \_\_\_\_\_

New Occupant City, State, Zip Code\*: \_\_\_\_\_

New Occupant Telephone Number\*: \_\_\_\_\_

\*Populate with VACANT if property is vacant and the landlord is establishing service in their name.

---

#### AUTHORIZATION

I affirm that I am the landlord to the above Service Address and I am not associated with the previous occupant. I am confirming that the occupant listed above is not associated with the previous occupant for which the switch hold was applied.

\_\_\_\_\_  
(Landlord Signature)

\_\_\_\_\_  
(Name, printed)

\_\_\_\_\_  
(Date signed)

State of Texas County of \_\_\_\_\_

Date Notarized \_\_\_\_\_



This instrument was acknowledged before me on \_\_\_\_\_ by (name or names of persons) \_\_\_\_\_ appearing before me.

(Personalized Seal)

Notary Public's Signature

\_\_\_\_\_

My commission expires: \_\_\_\_\_

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix J7: Mass Transition Allocation Methodology**

**April 1, 2023**

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## Appendix J7

### Mass Transition Allocation Methodology

*Reference: Paragraph (2) of Section 7.11.1, Transition Process of Competitive Retailer's Electric Service Identifiers to Provider of Last Resort or Designated Competitive Retailer Pursuant to P.U.C. SUBST. R. 25.43, Provider of Last Resort (POLR), or CR Voluntarily Leaving the Market*

**Note:** This Mass Transition Allocation Methodology must be provided by each opt-in Municipally Owned Utility (MOU) or opt-in Electric Cooperative (EC) without an affiliated Provider of Last Resort (POLR) that has not delegated authority to designate POLRs to the Public Utility Commission of Texas (PUCT).

---

Name of MOU/EC \_\_\_\_\_

Effective Date \_\_\_\_\_

Methodology (or specify that it is included as an attachment) \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

---

#### MOU/EC AUTHORIZATION

I affirm that I am an authorized representative of \_\_\_\_\_ (MOU/EC Name) and that the specified methodology should be used by ERCOT in accordance with Retail Market Guide Section 7.11.1.

\_\_\_\_\_  
(Employee Name)

# **ERCOT Retail Market Guide**

## **Section 9: Appendices**

### **Appendix J8: Attestation to Confirm Mass Transition Allocation Methodology**

April 1, 2023

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## Appendix J8

### Attestation to Confirm Mass Transition Allocation Methodology

*Reference: Paragraph (2) of Section 7.11.1, Transition Process of Competitive Retailer's Electric Service Identifiers to Provider of Last Resort or Designated Competitive Retailer Pursuant to P.U.C. SUBST. R. 25.43, Provider of Last Resort (POLR), or CR Voluntarily Leaving the Market*

**Note:** Confirmation of the Mass Transition Allocation Methodology provided to ERCOT must be provided annually by each opt-in Municipally Owned Utility (MOU) or opt-in Electric Cooperative (EC) in areas of ERCOT in which Customer Choice is in effect, who do not have an affiliated Provider of Last Resort (POLR), and who have not delegated authority to designate POLRs to the Public Utility Commission of Texas (PUCT). If the Methodology currently on file has changes, please submit the form in Section 9, Appendices, Appendix J7, Mass Transition Allocation Methodology, specifying the new effective date.

#### MOU/EC ATTESTATION

I affirm that I am an authorized representative of \_\_\_\_\_ (MOU/EC Name) and that the Mass Transition Allocation Methodology previously filed with ERCOT and effective on \_\_\_\_\_ (Effective Date of Methodology) should continue to be used by ERCOT in accordance with Retail Market Guide Section 7.11.1.

\_\_\_\_\_  
(Employee Name)

\_\_\_\_\_  
(Attestation Date)

**ERCOT Retail Market Guide**  
**Section 10: Competitive Metering**

February 1, 2012

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## 10 COMPETITIVE METERING

### 10.1 Overview of Competitive Metering

- (1) This Section 10, Competitive Metering, defines the standards, specifications, procedures and practices for competitively owned meters.
- (2) This Section 10 provides details required to clarify the language in the ERCOT Protocols that affect competitive metering.

### 10.2 Roles and Responsibilities of Market Participants

The roles and responsibilities of Market Participants as they relate to competitive meter ownership are described in this Section.

#### 10.2.1 *Customer*

Customer roles and responsibilities include but are not limited to:

- (a) Choosing whether to own or authorize a third party (Customer's agent) to own a competitive meter for the Customer's Electric Service Identifier (ESI ID);
- (b) Entering into an Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the Transmission and/or Distribution Service Provider (TDSP) for a competitively owned meter or executing the Competitive Metering Letter of Agency with a third party to act on the Customer's behalf;
- (c) Initiating the process to have meters added to the Qualified Competitive Meter List posted on the ERCOT website;
- (d) Providing a meter to the TDSP that meets the desired functionality and is on the Qualified Competitive Meter List;
- (e) Submitting the Texas Meter Information (TMI) Form requesting meter information for the ESI ID that qualifies for competitive meter ownership;
- (f) Requesting installation and/or removal of a competitively owned meter; and
- (g) Charges for construction services that the Customer or Customer's agent requests in accordance with the TDSP approved tariffs.

#### 10.2.2 *Competitive Retailer Associated with an Electric Service Identifier*

Competitive Retailer (CR) roles and responsibilities include but are not limited to:

- (a) Initiating a meter test request to the TDSP on behalf of the Customer;

- (b) Charges for services provided in accordance with the TDSP approved tariffs; and
- (c) Upon agreement with the Customer or Customer's agent, requesting installation and/or removal of a competitively owned meter.

### **10.2.3 Competitive Meter Owner**

Competitive meter owner roles and responsibilities include but are not limited to:

- (a) Perform competitive meter ownership duties authorized by the Customer;
- (b) Provide meter owner information required by the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters; and
- (c) Sign the acknowledgement portion of the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.

### **10.2.4 Transmission and/or Distribution Service Provider**

TDSP roles and responsibilities include but are not limited to:

- (a) Providing metering services relating to installation and removal, maintenance, testing and calibration, data collection and data management as required for TDSP billing and Settlement, including the transfer of meter data to the Settlement agent;
- (b) Securing the data used for Settlement and TDSP billing and maintaining the meter programming password capable of altering such billing parameters;
- (c) Making recommendations for approval or removal of meters on the Qualified Competitive Meter List;
- (d) Completing the TDSP sections of the Texas Meter Information (TMI) and the Texas Meter Access (TMA) forms in response to inquiries;
- (e) Providing a competitive metering service credit to the CR of a Customer that selects a meter owner other than the TDSP per Public Utility Commission of Texas (PUCT) approved tariffs;
- (f) Safeguarding a competitively owned meter; and
- (g) Entering into an Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the Customer or Customer's agent for a competitively owned meter.

### **10.2.5 *Electric Reliability Council of Texas***

ERCOT roles and responsibilities include but are not limited to:

- (a) Processing the required forms;
- (b) Maintaining the Qualified Competitive Meter List posted on the ERCOT website; and
- (c) Maintaining the ERCOT Competitive Metering web page.

### **10.2.6 *Public Utility Commission of Texas***

PUCT roles and responsibilities include but are not limited to:

- (a) Providing general oversight of the competitive metering market; and
- (b) Ultimately handling dispute resolution for competitive metering.

## **10.3 Competitively Owned Meter Installation Overview**

The following is a checklist for installation of a competitively owned meter:

- (a) Request meter information for an existing Electric Service Identifier (ESI ID) or new Premise (see Section 10.4, Meter Information Requests);
- (b) Select a meter (see Section 10.5, Meter Selection);
- (c) Execute the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the Transmission and/or Distribution Service Provider (TDSP) (see Section 10.7.3, Notification Requirements);
- (d) Provide the meter and programming specifications to the TDSP (see Section 10.6, Programming Specifications for Solid State Devices); and
- (e) TDSP installs competitively owned meter (see Section 10.7, Installation of a Competitively Owned Meter).

## **10.4 Meter Information Requests**

The purpose of the meter information request is to provide the Customer or Customer's agent with the minimum requirements that competitively owned meter(s) must satisfy for each specific metering point at an existing Electric Service Identifier (ESI ID) or new Premise. This is a manual process using a market approved standardized form known as the Texas Meter Information (TMI) Form.

### **10.4.1 Initial Inquiry**

- (1) The Customer or Customer's agent completes the "Contact Information" section of the Texas Meter Information (TMI) Form and submits the form, via e-mail, to the Transmission and/or Distribution Service Provider (TDSP) contact. The Texas Meter Information (TMI) Form and a link to each TDSP's competitive metering contact are located on the ERCOT website.
- (2) A signed Competitive Metering Letter of Agency must accompany the e-mailed Texas Meter Information (TMI) Form, if the request is submitted by anyone other than the Customer.

### **10.4.2 Transmission and/or Distribution Service Provider Response**

Upon receipt of the Texas Meter Information (TMI) Form (and Competitive Metering Letter of Agency if applicable), the TDSP is responsible for the following:

- (a) Completing the "TDSP Information" and "Minimum Meter Replacement Requirements" sections of the form; and
- (b) Returning the form, via e-mail, to the Customer or Customer's agent within ten Business Days of the date/time stamp on the sender's e-mail.

## **10.5 Meter Selection**

- (1) The Customer or Customer's agent is responsible for selecting and purchasing a meter from the Qualified Competitive Meter List that meets the "Minimum Meter Replacement Requirements" section of the Texas Meter Information (TMI) Form as completed by the Transmission and/or Distribution Service Provider (TDSP). A meter must be on the Qualified Competitive Meter List to be installed as a competitively owned meter.
- (2) If a Customer would like to select a meter that is not on the current Qualified Competitive Meter List, see Section 10.13, Meter Approval Process.
- (3) The Qualified Competitive Meter List is available on the ERCOT website.

## **10.6 Programming Specifications for Solid State Devices**

### **10.6.1 Customer Programming Specifications**

- (1) The Customer or Customer's agent shall provide data requirements to the Transmission and/or Distribution Service Provider (TDSP) for programming a competitively owned meter. The Customer or Customer's agent has the responsibility to ensure that the meter functionality supports the requested data requirements.

- (2) The TDSP will program any competitively owned meter to obtain the appropriate TDSP billing and settlement determinants (TDSP standard program).
- (3) The TDSP will customize the meter program to support additional functions as requested by the Customer or Customer's agent. If the meter functionality does not allow these items to be programmed separately from TDSP billing determinants, the Customer or Customer's agent will specify the data and functionality requirements by providing one of the following to the TDSP:
  - (a) Check off sheet listing detailed information for functionality requested, including channel designation (manufacturer program printout); or
  - (b) Electronic file generated from the manufacturer's software.
- (4) The TDSP will proceed with the meter installation request unless the Customer or Customer's agent requests to verify the meter program prior to installation.
- (5) If the Customer or Customer's agent requests to verify the meter program, the request shall be submitted along with the data requirements to the TDSP. The TDSP will:
  - (a) Print out the meter program, if the manufacturer's software supports this functionality, and send the meter program to the Customer or Customer's agent; or
  - (b) Notify the Customer or Customer's agent, via e-mail, if the manufacturer's software does not support the functionality to print the meter program, as requested.
- (6) The TDSP will continue processing the meter installation request within seven Business Days unless notified by the Customer or Customer's agent, via e-mail, not to proceed with the meter installation request.

#### ***10.6.2 Number of Interval Data Recorder Channels to Program Into a Meter***

- (1) The maximum number of channels that can be programmed into the Interval Data Recorder (IDR) is 16, which includes TDSP billing and settlement channels.
- (2) The minimum number of channels required by the TDSP will be based on the TDSP billing and settlement determinants.
- (3) The remaining channels, up to the maximum allowable as specified in this Section 10, Competitive Metering, are available to the Customer.
- (4) The maximum allowable number of IDR channels for a meter may be limited by the requirement to maintain a data storage capacity of 45 days per channel.
- (5) The current TDSP billing intervals and Settlement Intervals are based on a 15 minute interval.

### **10.6.3 *Transmission and/or Distribution Service Provider Billing and Settlement Determinants***

- (1) TDSP billing and settlement determinants are determined by the applicable TDSP tariffs.
- (2) Only TDSP billing and Settlement data will be sent to ERCOT by the TDSP.

### **10.6.4 *Competitive Retailer Billing Requirements***

The Customer or Customer's agent must ensure that current Competitive Retailer (CR) billing requirements are maintained when requesting competitive meter ownership and supplying programming specifications to the TDSP.

### **10.6.5 *Other Programming Requirements***

- (1) TDSP additional requirements other than TDSP billing and settlement determinants for a specific meter will be communicated to the Customer or Customer's agent during the initial inquiry.
- (2) The Customer or Customer's agent shall, at a minimum, maintain the meter functionality presently installed and necessary to maintain meter reading requirements, safety and reliability of the TDSP's electrical system.

## **10.7 *Installation of a Competitively Owned Meter***

This Section covers the minimum required procedures that must be followed when installing a competitively owned meter, but is not intended to address all contingencies involved with this process.

### **10.7.1 *Existing Service with Meter Installed***

- (1) After receiving the completed Texas Meter Information (TMI) Form, via e-mail, from the Transmission and/or Distribution Service Provider (TDSP), the Customer or Customer's agent will have 60 days to execute a signed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the TDSP requesting meter ownership. If an Agreement for Meter Ownership and/or Access for Non-Company Owned Meters is not executed within 60 days, the Customer or Customer's agent will be required to restart the process by obtaining and submitting a new Texas Meter Information (TMI) Form.
- (2) The Agreement for Meter Ownership and/or Access for Non-Company Owned Meters is part of the TDSP tariffs and can be obtained from the ERCOT website.
- (3) The Customer or Customer's agent has the responsibility of shipping the following items together to the address specified in the executed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters:

- 
- (a) Meter(s) listed on the Qualified Competitive Meter List;
  - (b) Data requirements for TDSP programming of each meter; and
  - (c) Completed Texas Meter Information (TMI) Form for each Electric Service Identifier (ESI ID) where meter ownership is being requested. The Customer or Customer's agent shall specify which existing meter, by serial number, will be replaced by each competitively owned meter, by serial number.
- (4) The TDSP has the responsibility of performing acceptance testing for every meter received, unless the manufacturer's certified test results are provided and the TDSP accepts such manufacturer's certified test results.
- (a) If the meter test is acceptable (passed):
    - (i) The TDSP shall confirm, via e-mail, to the Customer or Customer's agent within five Business Days of test acceptance that the meter is ready for installation.
    - (ii) The Customer or Customer's agent will confirm site communication readiness with the TDSP via e-mail.
    - (iii) Once site readiness has been confirmed, the TDSP will replace the TDSP owned meter with the competitively owned meter.
    - (iv) If the Customer has executed the "Data Access" section of the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters, the TDSP will provide site specific information for the new meter via e-mail on the Texas Meter Access (TMA) Form, within ten Business Days after installation of the competitively owned meter.
  - (b) If the meter test is unacceptable (failed):
    - (i) The TDSP will e-mail a completed Meter Test Results/Removal (MTR) Form to the Customer or Customer's agent within five Business Days of the meter test.
    - (ii) The TDSP will return the meter to the meter owner in accordance with instructions provided in the executed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.
    - (iii) The Customer or Customer's agent will be responsible for providing a qualified replacement meter, with the appropriate documentation as described in paragraph (3) above, within 90 days of the TDSP returning the failed meter or any other agreed upon date between the TDSP and the Customer or Customer's agent.
    - (iv) If a qualified replacement meter has not been received by the TDSP within the 90 days, the Customer or Customer's agent shall reinitiate the process

as outlined in Section 10.3, Competitively Owned Meter Installation Overview.

### **10.7.2 New Service (Construction) with No Meter Installed**

The Customer or Customer's agent is responsible for coordinating the installation of a competitively owned meter with the Customer's request to energize service. If a competitively owned meter is not available to facilitate the Customer's request to energize the service the TDSP will install a TDSP owned meter.

- (a) After receiving the completed Texas Meter Information (TMI) Form via e-mail from the TDSP, the Customer or Customer's agent will have 60 days to execute a signed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the TDSP requesting meter ownership. If an Agreement for Meter Ownership and/or Access for Non-Company Owned Meters is not executed within 60 days, the Customer or Customer's agent will be required to restart the process by obtaining and submitting a new Texas Meter Information (TMI) Form.
- (b) The Agreement for Meter Ownership and/or Access for Non-Company Owned Meters is part of the TDSP tariffs and can be obtained from the ERCOT website.
- (c) The Customer or Customer's agent has the responsibility of shipping the following items together to the address specified in the executed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters:
  - (i) Meter(s) listed on the Qualified Competitive Meter List 45 days prior to the requested date for connection of electrical service to the ESI ID;
  - (ii) Data requirements for TDSP programming of each meter; and
  - (iii) Completed Texas Meter Information (TMI) Form for each ESI ID or Service Address where meter ownership is being requested. The Customer or Customer's agent shall specify the detailed physical location for each competitively owned meter by serial number.
- (d) The TDSP has the responsibility of performing acceptance testing for every meter received, unless the manufacturer's certified test results are provided and the TDSP accepts such manufacturer's certified test results.
  - (i) If the meter test is acceptable (passed):
    - (A) The TDSP shall confirm, via e-mail, to the Customer or Customer's agent within five Business Days of test acceptance that the meter is ready for installation.
    - (B) The Customer or Customer's agent will confirm site communication readiness with the TDSP, via e-mail.



- (C) The Customer or Customer’s agent shall notify the TDSP, via e-mail, of the Customer’s requested move in date.
  - (D) The TDSP will make all reasonable efforts to schedule the competitively owned meter installation according to the date requested.
  - (E) If the Customer has executed the “Data Access” section of the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters, the TDSP will provide site specific information for the new meter, via e-mail, on the Texas Meter Access (TMA) Form, within ten Business Days after installation of the competitively owned meter.
- (ii) If the meter test is unacceptable (failed):
- (A) The TDSP will e-mail a completed Meter Test Results/Removal (MTR) Form to the Customer or Customer’s agent within five Business Days of the meter test.
  - (B) The TDSP will return the meter to the meter owner in accordance with the instructions provided in the executed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.
  - (C) The Customer or Customer’s agent will be responsible for providing a qualified replacement meter, with the appropriate documentation as described in paragraph (c) above, within 90 days of the TDSP returning the failed meter or a mutually agreed upon date between the TDSP and the Customer or Customer’s agent.
  - (D) If a competitively owned meter is not available for the installation, the Customer may choose to cancel the request to energize service through the Customer’s chosen Competitive Retailer (CR) (move in request); otherwise the TDSP will install a TDSP owned meter to comply with the Move-In Request. If a TDSP owned meter is installed and the Customer still wants to have a competitively owned meter installed, follow the process beginning at paragraph (3) of Section 10.7.1, Existing Service with Meter Installed.

### **10.7.3 Notification Requirements**

The Notification requirements for a competitively owned meter installation are outlined below:

- (a) Texas Meter Information (TMI) Form
  - (i) The Texas Meter Information (TMI) Form is used to request site specific parameters and specifications for competitive meter ownership.

- (ii) The Customer or Customer's agent shall initiate the Texas Meter Information (TMI) Form. The Customer or Customer's agent is responsible for completing the "Contact Information" section of the Texas Meter Information (TMI) Form and sending the completed form to the TDSP via e-mail.
  - (iii) The TDSP shall return, via e-mail, the completed Texas Meter Information (TMI) Form to the initiating party within ten Business Days of the date/time stamp on the sender's e-mail.
- (b) Agreement for Meter Ownership and/or Access for Non-Company Owned Meters
  - (i) The Agreement for Meter Ownership and/or Access for Non-Company Owned Meters is between the Customer and the TDSP. The Agreement for Meter Ownership and/or Access for Non-Company Owned Meters is initiated by the Customer or Customer's agent and mailed to the TDSP. Upon execution by the TDSP, the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters will be returned to the Customer or Customer's agent for their records.
  - (ii) The Customer, Customer's agent and meter owner, as applicable, and the TDSP will be responsible for completing the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters and providing the appropriate signatures where required.
- (c) Meter Test Results/Removal (MTR) Form
  - (i) The Meter Test Results/Removal (MTR) Form is submitted, via e-mail, to the Customer or Customer's agent, in the event the initial meter test results are unacceptable (failed).
- (d) Texas Meter Access (TMA) Form
  - (i) The Texas Meter Access (TMA) Form is used to allow the Customer or Customer's agent meter access following installation of a competitively owned meter. Release of this information requires completion of the "Data Access" section of the executed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters between the Customer or Customer's agent and the TDSP.
  - (ii) The Texas Meter Access (TMA) Form is completed by the TDSP and e-mailed to the Customer or Customer's agent, if applicable, within ten Business Days following the successful installation of a competitively owned meter. The Texas Meter Access (TMA) Form provides site-specific parameters, which may include read-only passwords and communication information.

- (e) The TDSP is responsible for submitting the appropriate Texas Standard Electronic Transaction (TX SET) to notify the market.

#### ***10.7.4 One Electric Service Identifier with Multiple Meters***

If a Customer's ESI ID involves the use of multiple meters and the Customer chooses to have one or more meters competitively owned at that ESI ID, then the number of meters that must be competitively owned and the associated meter credit for the ESI ID shall be based on the TDSP tariffs.

### **10.8 Meter Testing and Calibration**

#### ***10.8.1 Accuracy Limits***

At a minimum, meters shall comply with the test calibration limits set by the American National Standards Institute (ANSI). In addition, where a Transmission and/or Distribution Service Provider (TDSP) has established more stringent accuracy limits within its service territory, all meters shall comply with these accuracy limits. Whenever a meter is tested and found to be outside these TDSP accuracy limits, it shall be adjusted or replaced.

#### ***10.8.2 Test Schedules***

The test schedule for all types of in-service meters shall conform to the latest edition of ANSI Standard C12, Code for Electricity Metering. Within each TDSP service territory, meter test schedules have been established to ensure that all meters adhere to these standards. All competitively owned meters will adhere to the test schedule for in-service meters of the TDSP service territory where they are installed.

#### ***10.8.3 Meter Records***

##### **10.8.3.1 Meter Equipment Record**

Each TDSP shall keep a record of all competitively owned meters in its service territory, maintaining the Customer and meter owner's contact information.

##### **10.8.3.2 Records of Meter Tests**

Test records for a competitively owned meter shall be maintained by the TDSP according to Public Utility Commission of Texas (PUCT) Substantive Rules.

**10.8.4 Transmission and/or Distribution Service Provider Calibration**

- (1) If a competitively owned meter is found to be outside the TDSP's accuracy limits, the TDSP will attempt to calibrate the meter.
- (2) If the TDSP calibrates the meter, it shall be adjusted as closely as practicable to the condition of zero error.
- (3) If the TDSP is unable to calibrate the meter within accuracy limits, the TDSP will remove the meter, replace it with a properly functioning TDSP meter, and return the competitively owned meter as detailed in the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.

**10.8.5 Notification Requirements**

Upon request of a meter test for an in-service competitively owned meter, the TDSP will send the meter test results to the requestor and the Competitive Retailer (CR).

**10.9 Removal of a Competitively Owned Meter****10.9.1 Removal Requests to the Transmission and/or Distribution Service Provider**

The Transmission and/or Distribution Service Provider (TDSP) will remove a competitively owned meter:

- (a) Upon request by the Customer or Customer's agent, via e-mail, for an energized service;
- (b) Upon request, via e-mail, by the meter owner for a de-energized service;
- (c) Upon request by a Competitive Retailer (CR) for the installation of an Interval Data Recorder (IDR) Meter to meet Protocol requirements;
  - (i) Such CR request shall include the Customer's intention to have a competitively owned meter or a TDSP owned meter installed.
  - (ii) If a competitively owned meter is to be installed, the Customer or Customer's agent shall submit a Texas Meter Information (TMI) Form to the TDSP within 15 days of the CR request and follow the process to have a competitively owned meter installed.
  - (iii) The TDSP shall install a TDSP owned meter if they have not received a competitively owned meter within 60 days of the CR's request; or

- (d) Upon TDSP Notification to the Customer that metering requirements have changed based on TDSP rate classifications and the current meter does not support the required functionality;
- (i) The Customer shall inform the TDSP of the Customer's intention to have the current meter reprogrammed to support the required functionality, a new competitively owned meter installed or a TDSP owned meter installed.
  - (ii) If a competitively owned meter is to be installed, the Customer or Customer's agent shall submit a Texas Meter Information (TMI) Form to the TDSP within 15 days of the TDSP Notification and follow the process to have a competitively owned meter installed or supply information that the current meter will support the required changes.
  - (iii) The TDSP shall install a TDSP owned meter if they have not received a competitively owned meter or programming information for the existing meter within 60 days of the Notification to the Customer.

#### **10.9.2 Removal Prior to Energization**

The TDSP shall remove a competitively owned meter when it receives a request to energize a service unless the TDSP has executed an Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the new Customer or Customer's agent for that specific meter.

#### **10.9.3 Replacing Defective Equipment**

- (1) TDSP will remove any meter found to be unsafe, defective, or damaged.
- (2) The TDSP will remove any meter that fails to meet TDSP accuracy limits and the TDSP is unable to calibrate.
- (3) The TDSP shall install a replacement TDSP owned meter capable of providing the data necessary for TDSP billing and for Settlement.
- (4) The defective or damaged competitively owned meter will be returned to the meter owner, according to the terms stated in the signed Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.

#### **10.9.4 Notification Requirements**

It is the responsibility of the TDSP to notify the Customer and meter owner of the reason for removal of a competitively owned meter.

- (a) The Meter Test Results/Removal (MTR) Form will be e-mailed to the Customer and meter owner providing meter removal information.
- (b) The TDSP is responsible for submitting the appropriate Texas Standard Electronic Transaction (TX SET) to notify the market.

#### **10.9.5 Customer Requests to Return to Transmission and/or Distribution Service Provider Owned Meter**

The Customer or Customer's agent may request to have a competitively owned meter removed and a TDSP owned meter installed.

#### **10.9.6 Safeguarding Meters**

- (1) Upon removal of a competitively owned meter, the TDSP shall take reasonable measures to safeguard the meter until the earlier of:
  - (a) The date the meter owner takes possession of the meter, or
  - (b) 60 days from the date of removal of the meter.
- (2) If the meter owner fails to take possession of the meter within 60 days or upon 30 days of the return of the meter that was shipped cash on delivery (COD), the TDSP is no longer responsible for safeguarding the meter and may dispose of it in any manner the TDSP deems appropriate.

#### **10.9.7 Returning Meters**

The TDSP will return the competitively owned meter according to the terms of the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.

### **10.10 Customer or Third Party Access to the Meter**

#### **10.10.1 Data Access**

The Customer or Customer's agent shall have the right to access meter data related to the Premise occupied by that Customer.

## **10.10.2 Passwords**

### **10.10.2.1 Programming Passwords for Transmission and/or Distribution Service Provider Billing and Settlement Determinants**

The Transmission and/or Distribution Service Provider (TDSP) has sole responsibility for maintaining the meter programming password that can be used to alter any TDSP billing and settlement determinants. No Entity other than the TDSP shall have the right, capability, or meter programming password to alter the data collected by the meter for the purpose of TDSP billing.

### **10.10.2.2 Programming Passwords for non-Transmission and/or Distribution Service Provider Billing and Settlement Determinants**

- (1) A Customer or Customer's agent owning a meter with security features that support multiple programming passwords is allowed access to programming passwords only if the Customer or Customer's agent does not allow alteration of TDSP billing and settlement determinants and/or data. Upon the execution of the "Access" section of the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the TDSP, the Customer or Customer's agent shall be provided the non-billing parameter password for access and programming of meter data.
- (2) If the existing meter at the Premise is programmed for Supervisory Control and Data Acquisition (SCADA) related non-billing determinants which are being used by the TDSP for the safety and reliability of the TDSP's transmission and/or distribution system, then the Customer or Customer's agent shall not be allowed programming access to those determinants.

### **10.10.2.3 Read-Only Passwords**

Upon execution of the "Access" section of the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the TDSP, the Customer or Customer's agent shall be provided read-only passwords for access to meter data.

## **10.10.3 Transmission and/or Distribution Service Provider Meter Reading Capability for Billing, Settlement and Reliability**

TDSP meter reading capabilities for billing, Settlement and reliability shall be as defined in the "Access to Non-Company Owned Meter by Company to Obtain Meter Data" section of the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.

#### **10.10.4 Physical Access**

- (1) The current Customer or the Customer's agent shall have the right to physical access to the meter to obtain meter data as long as the access is technically feasible and does not compromise the integrity of the metered data.
- (2) To facilitate safe physical access to the meter, the TDSP shall ensure that the requested physical connections to the meter are made available for external connections.
- (3) The TDSP shall terminate the physical connections to a point facilitating the Customer's physical interface.
- (4) The Customer or the Customer's agent shall be responsible for the installation and maintenance of all wiring and equipment on the Customer's side of the point of interconnection.
- (5) Meter connections through which meter information can be exchanged include but are not limited to the meter display, digital pulse outputs, serial port, optical port, modem, network interface, power-line carrier, wireless, or pager interface.

### **10.11 Transmission and/or Distribution Service Provider billing and Credits per Transmission and/or Distribution Service Provider Approved Tariff**

#### **10.11.1 Transmission and/or Distribution Service Provider Approved Credits**

The Transmission and/or Distribution Service Provider (TDSP) is required to provide a competitive metering service credit to the Competitive Retailer (CR) for the Electric Service Identifier (ESI ID) with a competitively owned meter installed. Information concerning the meter ownership credit can be found in each TDSP's tariff.

#### **10.11.2 Transmission and/or Distribution Service Provider Approved Metering Service Credits and Tariffs**

The approved discretionary service charges and competitive metering service credit information for each TDSP can be found on the Public Utility Commission of Texas (PUCT) website under electric rates and tariffs.

### **10.12 Technical Specifications for Competitively Owned Meters**

#### **10.12.1 Purpose**

The purpose of Section 10.12, Technical Specifications for Competitively Owned Meters, is to provide minimum acceptable requirements and guidelines for competitively owned meters



operating in areas where metering services are competitive. These specifications shall apply to the meter functionality requested for approval.

### **10.12.2 American National Standards Institute Standards**

- (1) All electromechanical meters shall comply with the latest revision of the following applicable standards: American National Standards Institute (ANSI) C12.1, Electric Meters Code for Electricity Metering, C12.4, Registers – Mechanical Demands, C12.5, Thermal Demand Meters, and C12.10, Physical Aspects of Watthour Meters – Safety Standard.
- (2) All solid-state meters shall comply with the latest revision of the following applicable standards: ANSI C12.1, C12.10 and C12.20, Electricity Meters 0.2 and 0.5 Accuracy Classes.
- (3) All meters approved prior to January 1, 2006 as to manufacturer's type are grandfathered from compliance with ANSI C12.18, Protocol Specification for ANSI Type 2 Optical Port, C12.19, Utility Industry End Device Data Tables, and C12.21, Protocol Specification for Telephone Modem Communication. In addition, a change in firmware does not require grandfathered meters to become compliant with these three standards. All meters, approved on or after January 1, 2006 shall comply with ANSI C12.18-2002, Protocol Specification for ANSI Type 2 Optical Port, C12.19-1997, Utility Industry End Device Data Tables, and C12.21-1999, Protocol Specification for Telephone Modem Communication, if applicable. ANSI C12.19 compliance includes accurate and complete documentation in Table 00. At a minimum, Table 00 shall include Table 23, 27, and 28 for all meters and Table 64 for Load Profile meters. The tables are defined as follows:
  - (a) Table 00 – General Configuration Table
  - (b) Table 23 – Current Register Data Table
  - (c) Table 27 – Present Register Selection Table
  - (d) Table 28 – Present Register Data Table
  - (e) Table 64 – Load Profile Data Set 1 Table

### **10.12.3 Transmission and/or Distribution Service Provider Billing Determinants**

The meter shall be capable of accurately measuring Transmission and/or Distribution Service Provider (TDSP) billing and Settlement determinants. For example, these determinants may include the following measurements: kW, kWh delivered and received, kVAr, kVArh delivered and received, power factor, Time of Use (TOU), and kVA–thermal (emulation arithmetic) as applicable. Meters may be approved based on manufacturer's stated functionality after all required testing and approval processes are complete.

**10.12.4 Transformer and Line Loss Compensation – Optional Functionality**

- (1) When transformer or line loss compensation is required, the meter shall perform this calculation in accordance with the latest revision of the “Handbook for Electricity Metering.” The meter shall be capable of accuracy testing both with and without loss compensation factors applied.
- (2) The meter shall be programmable to display and record compensated values such as kW, kWh, kVAr and kVArh.

**10.12.5 Display**

All meter displays shall meet the requirements of ANSI C12.10, Physical Aspects of Watthour Meters – Safety Standard. In addition, a solid state meter shall be capable of the following display functionality:

- (a) Annunciators for all displayable energy units by name and code;
- (b) Annunciators for all displayable non-energy units by code;
- (c) Programmable scroll rate for displayed quantities;
- (d) Disk emulator with load flow indication;
- (e) End of interval (EOI) indicator;
- (f) Mode indicator (normal, alternate and test);
- (g) A minimum of six digits, for energy units with a minimum resolution of 0.01; and
- (h) Active phase voltage indicators (applies to poly-phase meters only).

**10.12.6 Meter Diagnostics for Solid State Poly-phase Meters**

Meter shall have installation diagnostic tools capable of performing and reporting all system service tests, including but not limited to the following:

- (a) Per phase voltage;
- (b) Phase angle between voltage and current;
- (c) Per phase currents; and
- (d) Voltage phase angle for validation of service configuration.

### **10.12.7 Solid State Display Modes**

The following solid state display modes shall be selectable either by software or by an external switch.

#### **10.12.7.1 Normal Mode**

- (1) The normal mode shall be capable of scrolling through all quantities and displayable items.
- (2) The normal mode shall be the default mode unless switched to another mode via software or by external switch.

#### **10.12.7.2 Alternate Mode**

The alternate mode shall be capable of scrolling through all quantities and displayable items.

#### **10.12.7.3 Test Mode**

- (1) The meter shall have the capability of a test mode function that suspends normal metering operation during testing so that additional consumption and demand from tests are not added to the meter's normal mode display registers and the interval data.
- (2) Security shall be provided to prevent unauthorized access to the test mode.
- (3) Activation of the test mode shall cause all present critical TDSP billing data to be stored in non-volatile memory and restored at the time of exit from the test mode.
- (4) The meter shall be programmable to automatically exit the test mode and return to normal operation after one hour or less of operator inactivity.
- (5) The test mode shall have programmable displays.

### **10.12.8 Power-up Operation**

- (1) Upon power-up, the meter display shall operate in the normal mode and start to calculate consumption and demand quantities within ten seconds.
- (2) Meter shall be programmable to permit a delay in the measurement of demand after a power failure. The delay shall be programmable for a period of anywhere from 0 to 60 minutes.

### **10.12.9 Nameplate and Identifiers**

#### **10.12.9.1 Nameplate**

- (1) The meter shall be equipped with a nameplate as specified in the latest revision of ANSI C12.10, Physical Aspects of Watthour Meters – Safety Standard.
- (2) The label “competitive meter” shall be placed in the space provided for the “utility name.”

#### **10.12.9.2 Internal Identifier**

A solid state meter shall have the manufacturer’s serial number programmed internal to the meter.

### **10.12.10 Self-Test**

The meter shall be capable of performing a self-test to ensure that the meter is functioning properly and to verify data integrity. As a minimum, the self-test shall be performed at the following times:

- (a) After a power-up; and
- (b) Once per day.

### **10.12.11 Diagnostic Checks**

Upon failure of a diagnostic check, the meter shall store a status flag (indicator) that can be retrieved from the display or remotely, if applicable. As a minimum, the following diagnostic checks shall be performed during a self-test:

- (a) Check the backup battery usage or voltage;
- (b) Verify the program integrity; and
- (c) Verify the memory integrity.

### **10.12.12 Interval Data Recorder Pulse Overrun**

The meter shall be capable of detecting and flagging if the maximum pulses per interval for the Interval Data Recorder (IDR) have been exceeded for each interval.

### 10.12.13 Event Logging

- (1) When interrogated, meters shall be capable of flagging and reporting the following events:
  - (a) Hardware errors;
  - (b) Firmware errors;
  - (c) Random Access Memory (RAM) and Read Only Memory (ROM) errors;
  - (d) Pulse Overflow errors;
  - (e) Low battery condition;
  - (f) AC power up;
  - (g) AC power down;
  - (h) Configuration changed;
  - (i) Clock set/change;
  - (j) Test mode activation; and
  - (k) Inactive potential.
- (2) Definitions:
  - (a) **Hardware Errors:** Various hardware malfunctions (i.e. modem card/chip, measurement chip, Central Processing Unit (CPU), etc.), whether fatal or not.
  - (b) **Firmware Errors:** Firmware has a checksum error, watchdog time out error, or other problem with the firmware, whether fatal or not.
  - (c) **RAM and ROM Errors:** Bad spots in memory identified via checksum or other means.
  - (d) **Pulse Overflow Errors:** The maximum size value for the number of pulses per interval in load profile has been exceeded. This does not apply to meters that store/report data in engineering units.
  - (e) **Low Battery Condition:** Low battery has been sensed during initial power up, daily self checks, after power outages, or any other means to check for a low battery condition.
  - (f) **AC Power Up:** When the meter electronics are powered up either via auxiliary power or connected to system power.

- (g) **AC Power Down:** When the meter electronics loses power either by auxiliary power or connected to system power.
- (h) **Configuration Changed:** Meter has been reprogrammed, or any meter programming where a settlement metering parameter is changed.
- (i) **Clock Set/Change:** The meter real time clock has been set/changed by external sources.
- (j) **Test Mode Activation:** Meter going into and out of “test mode.”
- (k) **Inactive Potential:** System phase voltage has been lost on any phase.

#### ***10.12.14 Error Reset***

Fatal error or warning conditions shall only be reset upon an explicit command invoked via the meter programmer or upon some other explicit action.

#### ***10.12.15 Communication***

Communication requests from a single source or simultaneously from multiple sources shall not result in a meter malfunction, such as a measurement error, a meter lockup or loss of data.

##### **10.12.15.1 Local Communications Interface**

The meter shall be capable of communicating with a personal computer through a local port.

##### **10.12.15.2 Internal Modem**

- (1) Internal modems shall be capable of telephone communications at a minimum rate of 1,200 baud.
- (2) The modem shall include baud select, configurable answer time window and configurable answer ring counter.

#### ***10.12.16 Accuracy Standard***

##### **Full Load, Light Load, & Power Factor**

- (a) Poly-phase solid state meters shall fully comply with ANSI C12.20, Electricity Meters 0.2 and 0.5 Accuracy Classes, accuracy class 0.2. Form numbers not covered by this standard shall meet the accuracy requirements of ANSI C12.20, accuracy class 0.2.

- (b) Single-phase solid state meters shall fully comply with ANSI C12.20, accuracy class 0.5, at a minimum. Form numbers not covered by this standard shall meet the accuracy requirements of ANSI C12.20, accuracy class 0.5.
- (c) Upon receipt by the TDSP, the error for electromechanical meters shall be no greater than the following tolerances:
  - (i) Full Load: 0.4%;
  - (ii) Light Load: 0.5%;
  - (iii) Power Factor: 0.7%; or
  - (iv) Balance Test: 0.5%.

#### ***10.12.17 Interval Data Recorder Functionality***

Meters with an IDR shall have the following interval data recording functions:

- (a) Recording of interval data for a minimum of two channels;
- (b) Programmable intervals of five, 15, 30, and 60 minutes;
- (c) Storage of interval data for a minimum of 45 days per channel, 15 minute interval data, in addition to allowances for event recording (power outages, resets, time sets, etc.);
- (d) Capacity to count and store at least 4,000 counts for the programmed interval for meters that store pulse data;
- (e) “Wraparound” memory that stores new interval data by writing over the oldest interval data; and
- (f) Capability to continually record interval data while the meter is communicating via its communication ports.

#### ***10.12.18 Internal Clock***

- (1) The clock internal to the meter shall be accurate within two minutes per week (+/- 0.02%) when not synchronized to the line frequency and shall be re-settable through the communications interface utilizing the proper password security.
- (2) The meter shall be programmable to derive its time base from either the line frequency or the meter’s internal oscillator.
- (3) The meter shall be equipped with a software selectable Daylight Savings Time (DST) function.

### **10.12.19 Outage Carryover**

- (1) The meter data and time keeping functions shall have a minimum carry over time of 24 months without external power.
- (2) The meter configuration parameters as well as measured quantities for settlement determinants, excluding IDR data, shall be stored in non-volatile memory.

### **10.12.20 Meter Password**

The meter shall be programmable with a minimum of three unique levels of password protection. These levels are defined as follows:

- (a) A first level allowing read only access of the meter data (to prevent unauthorized tampering by use of the optical port or the modem);
- (b) A second level allowing read access with limited write access to meter functions (demand reset, time set, etc.); and
- (c) A third level allowing full programming access of all meter parameters.

### **10.12.21 Reliability**

Programming (except re-initialization), time synchronization, and reading shall not result in a meter malfunction, such as a measurement error, a meter lockup or loss of data.

### **10.12.22 Field Requirements**

#### **10.12.22.1 Field Testing**

The meter shall provide a method to perform field accuracy testing using either infrared, LED, KYZ, disk emulation, or other industry-accepted method(s).

#### **10.12.22.2 Field Load Checks**

The meter shall have the ability of displaying load rate, disk emulation or instantaneous values for measured quantities.

### **10.12.23 Shop Requirements**

Meters shall be compatible with existing commercial test boards that are available without modification for accuracy testing, using infrared, KYZ, LED, disk emulation, or other industry accepted method(s).



### 10.13 Meter Approval Process

The following process shall be used for approving new meters to be added to the Qualified Competitive Meter List.

- (a) A new meter is requested for a specific Customer's location.
- (b) An application is filed by the Customer and/or the Customer's agent to [competitivemetering@ercot.com](mailto:competitivemetering@ercot.com) that shall include:
  - (i) An ERCOT Meter Approval Application Form;
  - (ii) Certification of compliance with applicable American National Standards Institute (ANSI) standards and Section 10.12, Technical Specifications for Competitively Owned Meters;
  - (iii) Meter manufacturer's ANSI Standards Test and meter test requirements data as described in Section 10.12;
  - (iv) A letter from the meter manufacturer indicating that the manufacturer will supply programming software and adequate training to the Transmission and/or Distribution Service Provider (TDSP) at no charge, within 30 days of receipt of the meter(s). Adequate training may be supported via on-site visit, telephone call, software/video recording, web-based or other agreed upon means between the manufacturer and each TDSP. Software provided will be capable of retrieving TDSP billing and settlement data directly from the meter in a recognized industry standard readable format in case of communication failure; and
  - (v) Detailed meter information document including settlement functionality.
- (c) ERCOT reviews the application for completeness, and to determine if information to demonstrate ANSI compliance has been submitted.
  - (i) If needed ERCOT requests more information.
  - (ii) After receipt of all information, ERCOT shall accept or reject the application within 30 days or notify the applicant of the status of the application.
  - (iii) If the application is accepted, ERCOT forwards the application along with notification that the manufacturer's test data is available to each TDSP.
  - (iv) If the application is rejected, ERCOT returns the application to the Customer and/or Customer's agent with specific reason(s) for the rejection.
- (d) Upon acceptance of the application, ERCOT posts notice on the ERCOT website that the meter is under review for approval.

- (e) TDSPs will review the manufacturer's test data and may test the meter using applicable standards and share data with other TDSPs and ERCOT.
  - (i) Each TDSP will decide if they require additional tests.
  - (ii) TDSPs may request a meter, software and training from the manufacturer.
  - (iii) Any TDSP choosing to test the meter must do so within 30 days or notify the applicant of the status of the additional tests.
  - (iv) Any TDSP choosing to test the meter shall send the meter test results, data and conclusions to other TDSPs and ERCOT.
  - (v) The TDSPs and ERCOT shall jointly review the test results.
  - (vi) If requested, ERCOT will make information available to other Market Participants, to the extent that the information owner does not mark such information as Protected Information.
- (f) ERCOT approves the application based on a positive recommendation by a minimum of 80% of the TDSPs; otherwise the application is rejected and ERCOT removes the notice that the meter is under review for approval from the ERCOT website.
  - (i) If the application is approved, the meter is added to the Qualified Competitive Meter List.
    - (A) ERCOT informs the applicant of the approval.
    - (B) ERCOT updates the Qualified Competitive Meter List.
    - (C) ERCOT posts the new list with the effective date.
  - (ii) If the application is rejected, ERCOT will provide documentation to the applicant of the specific reason(s) for rejection, based on identifiable deviation from the applicable Technical Specifications for Competitively Owned Meters in Section 10.12.
  - (iii) Any subsequent application for approval of a rejected meter must include the manufacturer's documented resolution of the reason for the previous rejection.

#### **10.14 Meter Firmware/Functionality Changes for an Approved Meter**

The following process shall be used for approving changes to meter firmware or functionality for meters currently on the Qualified Competitive Meter List:

- 
- (a) Meter manufacturer, Customer and/or the Customer's agent requests the addition of a firmware number and/or an upgrade in functionality for a meter that is currently in approved status on the Qualified Competitive Meter List and the meter programming software previously provided by the manufacturer is still applicable.
  - (b) Application may be filed by the meter manufacturer, Customer and/or the Customer's agent to [competitivemetering@ercot.com](mailto:competitivemetering@ercot.com) that shall include:
    - (i) An ERCOT Meter Firmware/Functionality Upgrade Approval Application Form;
    - (ii) A detailed listing of the changes made and/or the reason for the upgrade;
    - (iii) Certification of compliance with applicable American National Standards Institute (ANSI) standards and the Technical Specifications for Competitively Owned Meters detailed in Section 10.12, Technical Specifications for Competitively Owned Meters, if applicable; and
    - (iv) Meter Manufacturer's ANSI Standards Test and meter test requirements data for the Technical Specifications for Competitively Owned Meters in Section 10.12, if applicable.
  - (c) ERCOT reviews the application for completeness, and to determine if information to demonstrate ANSI compliance has been submitted, if applicable.
    - (i) If needed, ERCOT requests more information.
    - (ii) After receipt of all information, ERCOT shall accept or reject the application within 20 days or notify the applicant of the status of the application.
    - (iii) If the application is accepted, ERCOT forwards the application along with notification that the manufacturer's test data is available to each Transmission and/or Distribution Service Provider (TDSP).
    - (iv) If the application is rejected, ERCOT returns the application to the applicant with specific reason(s) for the rejection.
  - (d) Upon acceptance of the application, ERCOT posts notice on the ERCOT website that the meter firmware number and/or functionality upgrade is under review for approval.
  - (e) TDSPs will review the manufacturer's test data and may test the meter firmware/functionality using applicable standards and share the data with other TDSPs and ERCOT.
    - (i) Each TDSP will decide if they require additional tests.

- (ii) TDSPs may request a sample meter from the manufacturer for testing the firmware/functionality upgrade.
  - (iii) Any TDSP choosing to test the meter firmware/functionality must do so within 20 days or notify the applicant of the status of the additional tests.
  - (iv) Any TDSP choosing to test the meter firmware/functionality shall send the test results, data and conclusions to the other TDSPs and ERCOT.
  - (v) The TDSPs and ERCOT shall jointly review the test results.
  - (vi) If requested, ERCOT will make information available to other Market Participants, to the extent that the information owner does not mark such information as Protected Information.
- (f) ERCOT approves the application based on a positive recommendation by a minimum of 80% of the TDSPs; otherwise the application is rejected and ERCOT removes the notice that the meter firmware number and/or functionality upgrade is under review for approval from the ERCOT website.
- (i) If the application is approved, the new meter firmware number and/or functionality is added to Qualified Competitive Meter List.
    - (A) ERCOT informs the applicant of the approval.
    - (B) ERCOT updates the Qualified Competitive Meter List.
    - (C) ERCOT posts the new list with the effective date.
  - (ii) If the application is rejected, ERCOT will provide documentation to the applicant of the specific reason(s) for rejection, based on identifiable deviation from the applicable Technical Specifications for Competitively Owned Meters in Section 10.12.
  - (iii) Any subsequent application for approval of a rejected firmware/functionality upgrade must include the manufacturer's documented resolution of the reason for the previous rejection.

### 10.15 Meter Issue Resolution Process

The following process shall be used to resolve issues involving non-compliance with ERCOT approved competitive meter standards, for meters on the Qualified Competitive Meter List:

- (a) The Transmission and/or Distribution Service Provider (TDSP) notifies the manufacturer of product issue and requests a written response.
- (b) The TDSP shall notify ERCOT, via e-mail, utilizing the Meter Issue Resolution Form, and include the manufacturer's written response to the issue.

- (c) ERCOT reviews the issue.
  - (i) ERCOT verifies that the TDSP meter issue is supported based on the documentation received.
  - (ii) ERCOT may request clarification from the TDSP and/or the manufacturer.
- (d) ERCOT confirms that there is a non-compliant product issue and enters the information on the Meter Issue Resolution Form.
- (e) ERCOT sends a Notification, including the supporting documentation, to each TDSP, and to the meter manufacturer, if issue is confirmed.
- (f) In order to remain on the Qualified Competitive Meter List, the manufacturer must resolve the issue with the TDSPs and ERCOT.
- (g) TDSPs and ERCOT unanimously determine if new installations must be placed on hold due to safety and/or impacts on TDSP billing and settlement determinants.
  - (i) If a meter is placed on hold, ERCOT will update the status of the meter on the Qualified Competitive Meter List.
  - (ii) If the manufacturer requests more time to resolve the issue, the TDSPs and ERCOT set the timeline for the issue resolution.
  - (iii) The manufacturer provides the resolution to ERCOT who then forwards the documentation to all TDSPs.
  - (iv) TDSPs and ERCOT unanimously determine if the issue is resolved, and the hold is removed, if applicable.
- (h) If the issue is not resolved, ERCOT updates the Meter Issue Resolution Form based on a unanimous recommendation by the TDSPs.
  - (i) ERCOT receives the documentation from the TDSPs and attaches the manufacturer's response.
  - (ii) ERCOT posts notification on the ERCOT website that the approved meter functionality/restrictions/firmware will be changed or the meter will be removed from the Qualified Competitive Meter List.
- (i) TDSPs send Notification to the Customer or the Customer's agent that the meter will be removed from service.
- (j) ERCOT updates the Qualified Competitive Meter List including an effective date.

## 10.16 Meter Ownership Transfer

### 10.16.1 Introduction

If a meter ownership transfer occurs, the Customer or Customer's agent must execute an amendment to the existing Agreement for Meter Ownership and/or Access for Non-Company Owned Meters with the Transmission and/or Distribution Service Provider (TDSP). The amendment shall provide the new meter owner's information and acknowledgement.

### 10.16.2 Communication Process

- (1) The Customer is responsible for providing the required contact and meter return information for the new meter owner, along with the appropriate authorized signatures to the TDSP.
- (2) TDSP responsibilities include:
  - (a) Processing the amendment to the Agreement for Meter Ownership and/or Access for Non-Company Owned Meters and returning the executed amendment to the Customer or Customer's agent within 15 Business Days;
  - (b) E-mailing confirmation to the previous and new meter owners within five Business Days of the ownership transfer completion, including the associated Electric Service Identifier(s) (ESI ID(s)); and
  - (c) Updating their internal records for ownership type and submitting the appropriate Texas Standard Electronic Transaction (TX SET), if applicable.

## 10.17 Metering Forms

### 10.17.1 Forms Posted on the ERCOT Website

The current version of the following forms should be downloaded from the ERCOT website before submitting per the instructions in this Section 10, Competitive Metering:

- (a) Texas Meter Information (TMI) Form;
- (b) Texas Meter Access (TMA) Form;
- (c) Meter Test Results/Meter Removal (MTR) Form;
- (d) Meter Approval Application Form;
- (e) Meter Firmware/Functionality Upgrade Approval Application Form;
- (f) Meter Issue Resolution Form;

- (g) Competitive Metering Letter of Agency; and
- (h) Agreement for Meter Ownership and/or Access for Non-Company Owned Meters.

### **10.17.2 Form Revision**

The Retail Market Subcommittee (RMS) is responsible for making revisions to existing forms or creating new forms to meet the requirements of competitive meter ownership.

**ERCOT Retail Market Guide**  
**Section 11: Solution to Stacking**

November 1, 2023

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## 11 SOLUTION TO STACKING

### 11.1 Overview of Solution to Stacking

- (1) This Section 11, Solution to Stacking, provides the processes and guidelines for Market Participants operating in the Texas retail market to handle multiple non-sequential Texas Standard Electronic Transactions (TX SETs) on a single Electric Service Identifier (ESI ID).
- (2) The operating rules outlined in this Section 11 provide additional detail to those processes described in Protocol Section 15, Customer Registration.
- (3) For an overview on the use of the TX SETs, refer to Protocol Section 19, Texas Standard Electronic Transaction.
- (4) The Texas Standard Electronic Transaction Implementation Guides located on the ERCOT website provide implementation guidelines for the transactions used in the Texas retail market as well as specific details contained within the transactions.

### 11.2 ERCOT Operating Rules

- (1) The ERCOT Operating Rules describe the process and guidelines utilized by ERCOT to process multiple, non-sequential transactions concurrently on a single Electric Service Identifier (ESI ID).

#### 11.2.1 *Rejection Rules*

- (1) The rejection rules detail the circumstances under which ERCOT will reject Texas Standard Electronic Transactions (TX SETs).

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

- (1) ERCOT may reject an initiating transaction if the transaction has a Requested Meter Read Date (RMRD) that is the same as the Scheduled Meter Read Date (SMRD) on another scheduled transaction.
- (2) Standard Switch Requests are not rejected for Not First In (NFI) because there is no Requested Date for ERCOT to use for comparison purposes, except 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 First Available Switch Date (FASD) on the second standard Switch Request.
- (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      | No                        |
| Move out             | Move in              | No                        |
| Move out             | Self-selected switch | Yes                       |
| Move out             | Move out             | Yes                       |
| Move out             | Standard switch      | No                        |
| Switch               | Move in              | No                        |
| Switch               | Self-selected switch | Yes                       |
| Switch               | Move out             | No                        |
| Switch               | Standard switch      | No                        |
| 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                        |

***[RMGRR169 and RMGRR172: Replace applicable portions of paragraphs (2) and (3) above with the following upon system implementation of NPRR1095 for RMGRR169; or upon implementation of PR409-01, TX SET 5\_0 and SCR817 for RMGRR172:]***

- (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  |

#### 11.2.1.2 ERCOT Operating Rule 2 for Rejection: Cancel / Date Change On or After Scheduled Meter Read Date

- (1) ERCOT will reject the 814\_08, Cancel Request, or the 814\_12, Date Change Request, received on or after the SMRD

#### 11.2.1.3 ERCOT Operating Rule 3 for Rejection: Second Initiating Transaction Within Two Retail Business Days of Scheduled Meter Read Date

- (1) This rule no longer applies as of Texas SET V4.0.

#### 11.2.1.4 ERCOT Operating Rule 4 for Rejection: Switch Rejections Due to De-energizing or Customer Change

- (1) ERCOT will reject a Switch Request if the ESI ID is scheduled to be De-energized at ERCOT on the Requested Date.
- (a) When ERCOT does the evaluation for “Scheduled to be de-energized,” ERCOT will not use any scheduled move outs submitted from a Retail Electric Provider (REP) other than the REP of record scheduled for the SMRD on the Move-Out Request.
- (2) The Switch Request will be rejected if there is a scheduled Move-In Request with an SMRD prior or equal to the Requested Date on the Switch Request, but for which the

SMRD is not in the past. (A Customer cannot initiate a Switch Request until after its move in date has passed.)

- (3) For a standard Switch Request, the FASD will be used for the evaluation. ERCOT will not cancel a Switch Request from the REP of record for “Already CR of Record” once it is scheduled.

#### **11.2.1.5 ERCOT Operating Rule 5 for Rejection: Move Out Retry**

- (1) When a REP requests a move out date that is “Scheduled to be De-energized” by ERCOT or the REP submitting the Move-Out Request is not scheduled to be the REP of record, ERCOT will hold and retry the Move-Out Request at regular intervals for 48 hours (only counting hours on Retail Business Days, but not only Retail Business Hours) with the expectation that ERCOT may receive an 814\_16, Move In Request, from the same REP during this time.
- (2) After the retry period has expired, if the move out is still in a reject status for “Scheduled to be De-energized” – “ESI ID exists but scheduled to be de-energized on date requested” or “A84,” “Submitting CR is not or is not scheduled to be the REP of record at date of request,” ERCOT will send an 814\_25, Move Out Response, reject, to the submitting REP.

#### **11.2.2 Cancellation Rules**

- (1) These rules detail the circumstances under which ERCOT will cancel existing orders.

##### **11.2.2.1 ERCOT Operating Rule 6 for Cancellation: Retail Electric Provider of Record on Move Out, Acquisition Transfer and Mass Transition Drops**

- (1) ERCOT will evaluate the REP of record for the affected ESI IDs at the beginning of the Evaluation Window prior to the SMRD of the move out, Acquisition Transfer or Mass Transition drop.
- (2) If the submitting REP of the 814\_24, Move-Out Request, is not scheduled to be the REP of record on the ESI ID on the date of the move out or if the ESI ID is scheduled to be De-energized at the time of the SMRD, ERCOT will cancel the Move-Out Request and send the 814\_08, Cancel Request, to the submitting REP and the TDSP.
- (3) If the defaulting REP of the Mass Transition drop or the Losing REP of the Acquisition Transfer is not scheduled to be the REP of record on the ESI ID on the date of the Mass Transition drop or Acquisition Transfer, ERCOT will cancel the Mass Transition drop or Acquisition Transfer and send the 814\_08 transaction to the defaulting REP, the Gaining REP (in the event the 814\_14, Drop Enrollment Request, has been sent) and the TDSP.
- (4) If there is more than one Move-Out Request scheduled for the same date and none of them have a Cancel Pending status, ERCOT will cancel all but the first move out

processed by ERCOT and will send cancel transactions to the submitting REP and the TDSP.

- (5) If there is more than one Move-Out Request scheduled for the same date and one or more of them has a Cancel Pending status, ERCOT will cancel any Cancel Pending Move-Out Request(s) without waiting for the response and will perform the evaluation for the remaining Move-Out Request(s) without considering the cancelled transaction.
- (6) If all Move-Out Requests scheduled for the same date have a Cancel Pending status, ERCOT will cancel all except the last Move-Out Request processed by ERCOT.

#### **11.2.2.2 ERCOT Operating Rule 7 for Cancellation: Move In and Move Out Trump Switch, Acquisition Transfer and Mass Transition Drop**

- (1) When a move in or move out is scheduled with an SMRD prior to or equal to a Switch Request, Acquisition Transfer or Mass Transition drop, regardless of which one is received first, both instances will be processed concurrently until the beginning of the Evaluation Window prior to the SMRD of the Move-In or Move-Out Request.
  - (a) If the Move-In or Move-Out Request is still scheduled, ERCOT will cancel the Switch Request and send the 814\_08, Cancel Request, to the following:
    - (i) The TDSP;
    - (ii) The submitting REP; and
    - (iii) The losing REP if the 814\_06, Loss Notification, has been sent.
  - (b) If the Move-In or Move-Out Request is still scheduled, ERCOT will cancel the Acquisition Transfer or Mass Transition drop and send the 814\_08, to the following:
    - (i) The TDSP;
    - (ii) The losing REP; and
    - (iii) The gaining REP if the 814\_14, Drop Enrollment Request, has been sent.
- (2) If the Switch Request, Acquisition Transfer or Mass Transition drop is In Review with a Requested Date (or FASD for standard Switch Requests) the same as or later than a “Scheduled” Move-In or Move-Out Request, the evaluation is the same. However, if the Move-In or Move-Out Request is In Review with a Requested Date (or FASD for standard Switch Requests) the same as or earlier than a “Scheduled” Switch Request, Acquisition Transfer or Mass Transition drop, neither are cancelled until the 814\_04, Enrollment Notification Response, or the 814\_25, Move-Out Response, is received for the Move-In or Move-Out Request.

### 11.2.2.3 ERCOT Operating Rule 8 for Cancellation: Move In Trumps Move Out with Same Date

- (1) ERCOT will evaluate move ins and move outs that are scheduled for the same day. If the scheduled date of both the move in and move out is not current day, ERCOT will cancel the Move-Out Request, send the 814\_08, Cancel Request, to the submitting REP and the TDSP, and send an 814\_06, Loss Notification, to the losing REP. The TDSP must use the BGN06 of the 814\_03, Enrollment Notification Request, to populate both the 867\_03, Monthly or Final Usage, and the 867\_04, Initial Meter Read.
- (2) In the event the move in and move out are both scheduled for the current date, ERCOT will leave the move out scheduled.
  - (a) If the TDSP chooses to complete the move out, the TDSP must use the BGN06 from the move out for the 867\_03 transaction.
  - (b) In the event the TDSP does not complete the move out, the TDSP must send an 814\_28, Complete Unexecutable or Permit Required, with the unexecutable indicator to unexecute the move out and must use the BGN06 from the move in for both the 867\_03 and 867\_04 transactions.
  - (c) If after four Retail Business Days of the move in being scheduled, ERCOT has not received the 867\_03 transaction to complete the move out, or the 814\_28 transaction with the unexecutable indicator to unexecute the move out, ERCOT will send an 814\_08, Cancel Request, to hard cancel the move out.
- (3) If there is more than one Move-In Request scheduled for the same date, and none of them have a Cancel Pending status, ERCOT will cancel all but the first Move-In Request processed by ERCOT and will send the 814\_08 transactions to the submitting REP and the TDSP.
- (4) If there is more than one Move-In Request scheduled for the same date and one or more of them has a Cancel Pending status, ERCOT will cancel the Cancel Pending Move-In Request(s) without waiting for the response.
- (5) If all Move-In Requests scheduled for the same date have a Cancel Pending status, all except for the first one processed by ERCOT are cancelled.
- (6) If the Move-Out Request is In Review with a Requested Date that is the same as a “Scheduled” move in, ERCOT will cancel the move out, send 814\_08 transactions to the submitting REP and the TDSP, and send an 814\_06 transaction to the losing REP.
- (7) If the Move-In Request is In Review with a Requested Date the same as a “Scheduled” move out, neither are cancelled. If the 814\_04, Enrollment Notification Response, is received for the move in with the same SMRD as the already scheduled move out, ERCOT will cancel the Move-Out Request, send 814\_08 transactions to the submitting REP and the TDSP, and send an 814\_06 transaction to the losing REP.



#### 11.2.2.4 **ERCOT Operating Rule 9 for Cancellation: Multiple Switches With Same Date and Switch Trumps Acquisition Transfer or Mass Transition Drop With Same Date**

- (1) ERCOT will evaluate a Switch Request and Acquisition Transfer or Mass Transition drop that are scheduled for the same day and at the beginning of the Evaluation Window prior to the Switch Request and Acquisition Transfer or Mass Transition drop.
  - (a) If both the Switch Request and Acquisition Transfer still exist, ERCOT will cancel the Acquisition Transfer and send the 814\_08, Cancel Request, to the Losing REP and the TDSP, and send the 814\_06 to the Losing REP for the Switch Request.
  - (b) If both the Switch Request and Mass Transition drop still exist, ERCOT will cancel the Mass Transition drop and send the 814\_08, Cancel Request, to the defaulting REP and the TDSP, and send the 814\_06 to the Losing REP for the Switch Request.
  - (c) If the Acquisition Transfer is In Review with a Requested Date that is the same as or later than a “Scheduled” Switch Request, ERCOT will cancel the Acquisition Transfer and send the 814\_08 transactions to the Losing REP and the TDSP, and send the 814\_06 to the Losing REP for the Switch Request.
  - (d) If the Mass Transition drop is In Review with a Requested Date that is the same as or later than a “Scheduled” Switch Request, ERCOT will cancel the Mass Transition drop and send the 814\_08 transactions to the defaulting REP and the TDSP, and send the 814\_06 to the Losing REP for the Switch Request.
  - (e) However, if the Switch Request is In Review with a Requested Date (or FASD for standard Switch Requests) the same as or earlier than a “Scheduled” Acquisition Transfer or Mass Transition drop, neither is cancelled. If the 814\_04, Enrollment Notification Response, is received for the Switch Request with the same or earlier SMRD as the already scheduled Mass Transition drop, ERCOT will cancel the Mass Transition drop, send 814\_08 transactions to the Losing/defaulting REP and the TDSP, and send an 814\_06 transaction to the Losing REP for the Switch Request.
  - (f) If there is more than one Switch Request scheduled for the same date, and none of them have a Cancel Pending status, ERCOT will cancel all but the first one processed and will send the 814\_08 transactions to the submitting REP and the TDSP.
  - (g) If more than one Switch Request exists for the same day and one or more of them has a Cancel Pending status, ERCOT will cancel the Switch Request with the Cancel Pending status without waiting for the response.
  - (h) If all Switch Requests scheduled for the same date have a Cancel Pending status, all except the first one processed by ERCOT is cancelled.

### 11.2.2.5 ERCOT Operating Rule 10 for Cancellation: Move In With Permit Pending

- (1) Any move in with a Permit Pending status at ERCOT and a requested date prior to a scheduled Move-In Request that is not in a Cancel Pending status will be cancelled by ERCOT on the later of the scheduled date of the Move-In Request or upon receipt of the 814\_04, Enrollment Notification Response, scheduling the Move-In Request. The 814\_08, Cancel Request, will be sent to the TDSP and the submitting REP.
  - (a) This evaluation is done on the SMRD of the Move-In Request, to allow for an 814\_04 transaction on the Permit Pending Move-In Request.
  - (b) The comparison of dates between the Move-In Requests is done using requested dates from both Move-In Requests. The SMRD is not used for the comparison.
- (2) If ERCOT receives a final or initial meter read associated with a Move-In Request that has a Permit Pending status, ERCOT will use the final or initial meter read to put the transaction back into a status of In Review as there is no longer a Permit Pending status.
  - (a) This will not stop the clock established in ERCOT Operating Rule 23: Cancel With Exception, that sends out a Cancel Pending transaction to the TDSP when the 814\_04 transaction is not received and if the receipt of the final or initial meter read without the 814\_04 transaction happens after the three day/20 day expiration for the Cancel With Exception process, the Cancel Pending will be sent out immediately.

### 11.2.3 Concurrent Processing Rules

- (1) The concurrent processing rules detail the circumstances in which transactions are allowed to complete after being processed concurrently.

#### 11.2.3.1 ERCOT Operation Rule 11: Acquisition Transfer, Mass Transition Drop or Switch Prior to Move In or Move Out

- (1) An Acquisition Transfer, Mass Transition drop or Switch Request is allowed in a Pending state with a Move-In or Move-Out Request at the same time if the Acquisition Transfer, Mass Transition drop or Switch Request has an SMRD prior to the Move-In or Move-Out Request.

#### 11.2.3.2 ERCOT Operating Rule 12: Multiple Move Ins

- (1) Multiple Move-In Requests are allowed in a Pending status at the same time and neither will cause the other to be cancelled provided they have different SMRDs.

**11.2.3.3 ERCOT Operating Rule 13: Multiple Switches**

- (1) Multiple Switch Requests are allowed in a Pending status at the same time, neither will cause the other to be cancelled provided they have different SMRDs.

**11.2.3.4 ERCOT Operating Rule 14: Acquisition Transfer or Mass Transition Drop Prior to a Switch**

- (1) If a Switch Request and an Acquisition Transfer or Mass Transition drop are in a Pending status at the same time and the Switch Request has a later SMRD, neither will cause the other to be cancelled.

**11.2.4 Pending Transaction Rules**

- (1) These rules detail the methods used for Pending REP Notification Transactions. These rules were developed to ensure that these transactions are sent only when the appropriate recipient can be positively identified.

**11.2.4.1 ERCOT Operating Rule 15: Pending 814\_06, Loss Notification**

- (1) ERCOT will generate an 814\_06, Loss Notification, at the beginning of the Evaluation Window two Retail Business Days prior to the SMRD.
- (2) When ERCOT performs the evaluation to determine the REP of record to send the 814\_06 transaction to, ERCOT must look for the REP that is scheduled to be the REP of record on the effective date.
- (3) However, if ERCOT is evaluating a Switch Request and there is a Pending Move-In or Move-Out Request with an earlier SMRD, ERCOT will send the 814\_06 transaction for the Switch Request to the REP of record prior to the Move-In or Move-Out Request, not to the REP who submitted the Move-In or Move-Out Request.
- (4) If a business process with a Cancel Pending status is being evaluated as part of the Pending 814\_06 transaction process for a business process with a later SMRD, ERCOT will cancel the business process without waiting for the response. ERCOT will perform the evaluation for the Switch Request without considering the cancelled business process.

**11.2.4.2 ERCOT Operating Rule 16: Pending 814\_14, Drop Enrollment Request**

- (1) ERCOT will generate an 814\_14, Drop Enrollment Request upon receipt of the 814\_04, Enrollment Notification Response, for either an Acquisition Transfer or a Mass Transition drop.

### 11.2.4.3 ERCOT Operating Rule 17: Pending 814\_22, CSA CR Move In Request

- (1) ERCOT will generate the 814\_22, CSA CR Move In Request, at the beginning of the Evaluation Window two Retail Business Days prior to the SMRD for a Move-Out Request where there is a Continuous Service Agreement (CSA) relationship established at the time the Move-Out Request was received by ERCOT. Refer to Section 11.4, Retail Electric Provider Operating Rules, for additional information on the treatment of CSAs.

## 11.2.5 Additional Operating Rules

### 11.2.5.1 ERCOT Operating Rule 18: Response and Notification Transactions Sent Two Days Prior to Scheduled Meter Read Date

- (1) Any scheduling transactions (814\_04, Enrollment Notification Responses, 814\_13, Date Change Responses, and 814\_25, Move Out Responses) that are processed by ERCOT after the Evaluation Window has begun will be evaluated upon receipt and the appropriate transactions (814\_08, Cancel Requests, 814\_06, Loss Notification, 814\_14, Drop Enrollment Requests, or 814\_22, CSA CR Move In Requests) will be sent.
- (2) The rules that will be executed upon receipt of a valid scheduling transaction (814\_04 transaction, 814\_13 transaction, or 814\_25 transaction) after the Evaluation Window has begun are:
  - (a) ERCOT Operating Rule 6 for Cancellation: Retail Electric Provider of Record on Move Out, Acquisition Transfer and Mass Transition Drops, (E6);
  - (b) ERCOT Operating Rule 7 for Cancellation: Move In and Move Out Trump Switch, Acquisition Transfer and Mass Transition Drops, (E7);
  - (c) ERCOT Operating Rule 8 for Cancellation: Move In Trumps Move Out with Same Date, (E8);
  - (d) ERCOT Operating Rule 9 for Cancellation: Multiple Switches with Same Date and Switch Trumps Acquisition Transfer or Mass Transition Drop with Same Date, (E9);
  - (e) ERCOT Operating Rule 10 for Cancellation: Move In With Permit Pending, (E10) (only if SMRD on transaction is prior to or equal to the date/time the transaction is received);
  - (f) ERCOT Operating Rule 15: Pending 814\_06, Loss Notification, (E15);
  - (g) ERCOT Operating Rule 16: Pending 814\_14, Drop Enrollment Request, (E16); and
  - (h) ERCOT Operating Rule 17: Pending 814\_22, CSA CR Move In Request, (E17).

**11.2.5.2 ERCOT Operating Rule 19: Processing Times**

- (1) ERCOT sends all 814\_06, Loss Notification, 814\_08, Cancel Requests, and 814\_22, CSA CR Move In Requests, two Retail Business Days prior to the SMRD.

**11.2.5.3 ERCOT Operating Rule 20: No Delay on Date Changes**

- (1) The CR will send a date change transaction using the 814\_12, Date Change Request.
- (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.
- (3) If the date change is accepted, ERCOT will notify the TDSP using the 814\_12 transaction. The TDSP will respond using the 814\_13 transaction. ERCOT will wait for an 814\_13 transaction from the TDSP before responding to the REP with an 814\_13 transaction.

**11.2.5.4 ERCOT Operating Rule 21: 814\_13, Date Change Response, Received Prior to 814\_04, Enrollment Notification Response**

- (1) If the date in the 814\_04, Enrollment Notification Response, or 814\_25, Move Out Response, is different from the date in the 814\_13, Date Change Response, accept, and there is not a Permit Pending status at the time the 814\_13, accept, is received by ERCOT, ERCOT and the TDSP will honor the date on the 814\_13 transaction and it will be used in any 814\_05, CR Enrollment Notification Response, 814\_06, Loss Notification, 814\_22, CSA CR Move In Request, and/or 814\_25 transaction that has not been sent.
- (2) If there is a Permit Pending status at the time the 814\_13, accept, is received by ERCOT, the date on the subsequent 814\_04 transaction will be used in the 814\_05 and 814\_06 transactions.

**11.2.5.5 ERCOT Operating Rule 22: 814\_12, Date Change Request, Iteration Counter**

- (1) To ensure the last request of the REP is recognized, the 814\_12, Date Change Request, will be tracked with an Iteration Counter in the form of a date timestamp.
  - (a) When ERCOT receives an 814\_12 transaction with an Iteration Counter that has a lower value than a previous Iteration Counter, ERCOT will reject the 814\_12 transaction.
  - (b) The Iteration Counter will be forwarded on the 814\_12 transaction to the TDSP and will be returned in the 814\_13, Date Change Response.
  - (c) ERCOT will use the Iteration Counter to determine which date to use in transactions (814\_06, Loss Notification, and 814\_22, CSA CR Move In Request) that are created after the receipt of the 814\_13 transaction.

- (d) ERCOT will send an 814\_12 transaction to the recipient of the 814\_06 or 814\_22 transaction if those transactions have already been sent and the Iteration Counter is greater than any 814\_13 transactions already received.

#### 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, Historical Usage Response, from the TDSP, ERCOT will move the business process to “Cancelled” and no 814\_08, Cancel 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, unless otherwise indicated in Section 8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market, 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/Delete CSA Response, from the TDSP, ERCOT will move the business process to “Cancelled” and no 814\_08 transaction will be sent out.

***[RMGRR172: Replace paragraph (a) above with the following upon implementation of PR409-01, TX SET 5\_0 and SCR817:]***

- (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 Competitive Retailer (CR) and MOU/EC TDSP.

#### **11.2.5.7 ERCOT Operating Rule 24: Backdating Transactions**

- (1) ERCOT will reject any backdated move in or move out that requests a date that is prior to another completed or scheduled order where the evaluation has already occurred.
  - (a) If the scheduled order has a Cancel Pending status, ERCOT will cancel the Cancel Pending order without waiting for the response from the TDSP and will do the

evaluation for the later order without considering the cancelled order. This is done to ensure that an order that is likely to never complete is not used to determine the rejection of another order.

- (b) Any other backdated move in will be processed normally by ERCOT, i.e., backdated move ins on ESI IDs, where there are no other orders completed or scheduled (where evaluation has occurred), that have later SMRDs, will be processed normally.
  - (c) ERCOT will reject any 814\_12, Date Change Request, requesting a date in the past.
- (2) Backdated switches are not allowed as described in Protocol Section 15.1.1.8, Rejection of Switch Request.

#### **11.2.5.8 ERCOT Operating Rule 25: Echo Reject Code**

- (1) When ERCOT receives an 814\_09, Cancel Response, from the TDSP, the reject code in the 814\_09 transaction must match the reject code in the 814\_08, Cancel Request, that ERCOT sent to the TDSP. This is to ensure that ERCOT matches the correct response to the correct notification in the case where multiple cancel transactions are sent to the TDSP on the same business process.

#### **11.2.5.9 ERCOT Operating Rule 26: Cancel Types**

- (1) TDSPs will receive three different types of 814\_08, Cancel Requests:
- (a) Cancels originating from the CR. These cancels can be rejected by the TDSP.
  - (b) Cancels generated from ERCOT Operating Rules. These cancels cannot be rejected by the TDSP, excluding Cancel With Exception and Permit Pending.
  - (c) Cancels generated from the Cancel With Exception and Permit Pending expiration processes. These cancels can be rejected by the TDSP with the 814\_09, Cancel Response, and require an associated transaction.
    - (i) Associated transactions for the Permit Pending process include:
      - (A) 814\_04, Enrollment Notification Response; and
      - (B) 814\_28, Complete Unexecutable or Permit Required, where BGN07 = 09.
    - (ii) Associated transactions for Cancel With Exception process include:
      - (A) 814\_04 transaction;



(B) 814\_25, Move Out Response; and

(C) 814\_28 transaction where BGN07 = PT or 09.

(2) The following cancellation codes are response driven:

| <b>Cancellation Code</b> | <b>Description</b>          | <b>Explanation</b>  | <b>Operating Rule(s) if Applicable</b>   |
|--------------------------|-----------------------------|---|--|
| A13                      | Other                       | Explanation required in REF03.  |  |
| A95                      | Past Cutoff Time            | <ul style="list-style-type: none"> <li>Review period expired.</li> <li>Not valid for CR cancellations.</li> </ul>   | <ul style="list-style-type: none"> <li>ERCOT Operating Rule 23: Cancel With Exception</li> <li>Transmission and/or Distribution Service Provider Operating Rule 3: 814_08, Cancel Request, Cancel Processing.</li> </ul> |
| B40                      | Dropped by Customer Request | Cancelled by Customer request.  |  |
| PNR                      | Permit Not Received         | <ul style="list-style-type: none"> <li>If a move in Permit Pending status is not scheduled within 20 days of the requested move in date, ERCOT can cancel the move in.</li> <li>Not valid for CR cancellations.</li> <li>For ERCOT use only.</li> </ul> |  |

(3) The following cancellation codes are not response driven and cannot be rejected by the TDSP:

| <b>Cancellation Code</b> | <b>Description</b> | <b>Explanation</b> | <b>Operating Rule(s) if Applicable</b> |
|--------------------------|--------------------|--------------------|--|
|                          |                    |                    |  |

| <b>Cancellation Code</b> | <b>Description</b>                              | <b>Explanation</b>  | <b>Operating Rule(s) if Applicable</b>  |
|--------------------------|---|---|---|
| A81                      | Item or Service Not Available on Requested Date | <ul style="list-style-type: none"> <li>Request cannot be performed within the scheduled window.</li> <li>Not valid for CR cancellations.</li> </ul>                             | <ul style="list-style-type: none"> <li>Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul>   |
| ANL                      | Agent Not Listed                                | <ul style="list-style-type: none"> <li>Submitting CR is not or is not scheduled to be the REP of record at date of request.</li> <li>Not valid for CR cancellations.</li> </ul> | <ul style="list-style-type: none"> <li>ERCOT Operating Rule 6 for Cancellation: Retail Electric Provider of Record on Move Out and Mass Transition Drops.</li> <li>Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul> |
| CCA                      | Competition                                     | <ul style="list-style-type: none"> <li>Cancelled due to move in.</li> <li>Not valid for CR cancellations.</li> </ul>  | <ul style="list-style-type: none"> <li>ERCOT Operating Rule 7 for Cancellation: Move In and Move Out Trump Switch and Mass Transition Drop.</li> <li>Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul>               |
| CCE                      | Contract Details                                | <ul style="list-style-type: none"> <li>Cancelled due to move out.</li> <li>Not valid for CR cancellations.</li> </ul>   | <ul style="list-style-type: none"> <li>ERCOT Operating Rule 7.</li> <li>Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul>  |

| <b>Cancellation Code</b> | <b>Description</b>         | <b>Explanation</b>   | <b>Operating Rule(s) if Applicable</b>  |
|--------------------------|----------------------------|--|---|
| CHA                      | Changed Agent              | <ul style="list-style-type: none"> <li>• Customer switched to new CR.</li> <li>• Not valid for CR cancellations.</li> </ul>              | <ul style="list-style-type: none"> <li>• ERCOT Operating Rule 9 for Cancellation: Multiple Switches with Same Date and Switch Trumps Mass Transition Drop with Same Date.</li> <li>• Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul> |
| CMO                      | Cancel Move Out            | <ul style="list-style-type: none"> <li>• Cancelled due to Move in.</li> <li>• For ERCOT use only.</li> </ul>                             | <ul style="list-style-type: none"> <li>• ERCOT Operating Rule 8 for Cancellation: Move In Trumps Move Out With Same Date.</li> </ul>  |
| COV                      | Conflicting Authorizations | <ul style="list-style-type: none"> <li>• Evaluation conflict while Cancel Pending.</li> <li>• Not valid for CR cancellations.</li> </ul> | <ul style="list-style-type: none"> <li>• ERCOT Operating Rule 15: Pending 814_06, Loss Notification.</li> <li>• Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul>  |
| EB3                      | Withdrawn                  | <ul style="list-style-type: none"> <li>• Customer rescinds enrollment request.</li> <li>• Not valid for CR cancellations.</li> </ul>     |   |
| EFR                      | Evaluate for Resubmission  | <ul style="list-style-type: none"> <li>• For ERCOT use only.</li> </ul>  |   |

| <b>Cancellation Code</b> | <b>Description</b>     | <b>Explanation</b>  | <b>Operating Rule(s) if Applicable</b>   |
|--------------------------|------------------------|---|--|
| MAN                      | Manual Cancel          | <ul style="list-style-type: none"> <li>• Cancellation received has been manually cancelled in ERCOT's system.</li> <li>• For ERCOT use only.</li> </ul>                             |  |
| MOX                      | Move In Same Day       | <ul style="list-style-type: none"> <li>• Same date as move in / force off.</li> <li>• Not valid for CR cancellations.</li> </ul>  | <ul style="list-style-type: none"> <li>• ERCOT Operating Rule 8.</li> <li>• Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul>   |
| MPC                      | Past Date Conflict     | <ul style="list-style-type: none"> <li>• Move in with later requested date completed while Permit Pending.</li> <li>• Not valid for CR cancellations.</li> </ul>                    | <ul style="list-style-type: none"> <li>• ERCOT Operating Rule 10 for Cancellation: Move In With Permit Pending.</li> <li>• Transmission and/or Distribution Service Provider Operating Rule 2: Handling Pending Permits.</li> <li>• Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul> |
| MTC                      | Mass Transition Cancel | <ul style="list-style-type: none"> <li>• For ERCOT use only.</li> </ul>   |  |
| TWO                      | Two Party              | <ul style="list-style-type: none"> <li>• Two move ins, two move outs, two switches, or two drops are requested for same date.</li> <li>• Not valid for CR cancellations.</li> </ul> | <ul style="list-style-type: none"> <li>• ERCOT Operating Rule 6.</li> <li>• Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul>   |

**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/Delete CSA Request, 814\_20, ESI ID Maintenance Request, 814\_24, Move Out Request, 814\_26, Historical Usage Request, and 814\_28, Complete Unexecutable or Permit Required.

***[RMGRR172: Replace paragraph (a) above with the following upon implementation of PR409-01, TX SET 5\_0 and SCR817:]***

- (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 Unexecutable 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.

***[RMGRR169 and RMGRR172: Insert applicable portions of Section 11.2.5.12 below upon system implementation of NPRR1095 for RMGRR169; or upon implementation of PR409-01, TX SET 5\_0 and SCR817 for RMGRR172:]***

#### **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”.

***[RMGRR169 and RMGRR172: Insert applicable portions of Section 11.2.5.13 below upon system implementation of NPRR1095 for RMGRR169; or upon implementation of PR409-01, TX SET 5\_0 and SCR817 for RMGRR172:]***

#### **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.

***[RMGRR169: Insert Section 11.2.5.14 below upon system implementation of NPRR1095:]***

#### **11.2.5.14 ERCOT Operating Rule 31: CSA Bypass Code**

- (1) Use of the “2W” CSA bypass code on an ESI ID where the CR is not the CSA will result in ERCOT rejecting the move out.

### **11.3 Transmission and/or Distribution Service Provider Operating Rules**

- (1) The business rules Transmission and/or Distribution Service Providers (TDSPs) will follow in order to process multiple, non-sequential transactions concurrently on a single Electric Service Identifier (ESI ID).

#### **11.3.1 Transmission and/or Distribution Service Provider Operating Rule 1: Different Meter Read Date on Response Transactions**

- (1) Transmission and/or Distribution Service Provider Operating Rule 1: Different Meter Read Date on Response Transactions keeps ERCOT and the Retail Electric Providers (REPs) in sync with the TDSP and in some instances may prevent a Customer from being disconnected in error when there are two processes Pending at the same time with different Scheduled Meter Read Dates (SMRDs). The dates cannot be reversed or read on the same day. The following are combinations that may be affected:
  - (a) Affected Pending processes;
    - (i) Move in – move in;
    - (ii) Move in – move out;
    - (iii) Move out – move in;
    - (iv) Switch – move in;
    - (v) Switch – switch;
    - (vi) Switch – move out;
    - (vii) Mass Transition drop – switch;
    - (viii) Mass Transition drop – move in;
    - (ix) Mass Transition drop – move out;
    - (x) Acquisition Transfer – switch;
    - (xii) Acquisition Transfer – move in; and

- (xii) Acquisition Transfer – move out.
- (b) Pending processes not affected due to operating rules canceling the second transaction:
  - (i) Move in – switch;
  - (ii) Move in – Mass Transition drop;
  - (iii) Move in – Acquisition Transfer;
  - (iv) Move out – switch;
  - (v) Move out – Mass Transition drop;
  - (vi) Move out – Acquisition Transfer;
  - (vii) Move out – move out;
  - (viii) Switch – Mass Transition drop; and
  - (ix) Switch – Acquisition Transfer.

### **11.3.2 Transmission and/or Distribution Service Provider Operating Rule 2: Handling Pending Permits**

- (1) Transmission and/or Distribution Service Provider Operating Rule 2: Handling Pending Permits addresses move ins and how they are affected by permit requirements for the following when there is not a meter installed at the Premise:
  - (a) The Premise is new construction;
  - (b) The Premise is in an area or rate class that requires a permit for a move in; or
  - (c) There is a Permit Pending on the ESI ID.
- (2) In all of instances in paragraph (1) above, the TDSP would respond to the move in with 814\_28, Complete Unexecutable or Permit Pending, with the Permit Required indicator, if the permit is required but not yet in hand, regardless of how many move ins are requested on an ESI ID. A move out to Continuous Service Agreement (CSA) will not require a permit on a residential Premise.
- (3) When the TDSP receives a Premise Based Permit (not a Tenant Based Permit), the TDSP will send the 814\_04, Enrollment Notification Response, with the accept code, for the move in with the latest date that is less than or equal to the earliest available SMRD and will send the 814\_04 transaction, for all move in with future Requested Dates. Any move ins with Requested Dates prior to the move in associated with the permit will be



cancelled by ERCOT on the later of the scheduled move in or upon receipt of the 814\_04 transaction scheduling the move in.

- (4) When the TDSP receives a Tenant Based Permit (not a Premise Based Permit), the TDSP will send an 814\_04 transaction, with the accept code, only for the move in that is associated with the tenant on the permit.
  - (a) Any move in with a Requested Date prior to the Requested Date on the move in associated with the permit will be cancelled by ERCOT on the later of the scheduled move in or upon receipt of the 814\_04 transaction, with the accept code, scheduling the move in.
  - (b) Any move in with a Requested Date later than the Requested Date on the scheduled move in will not be cancelled by ERCOT.
  - (c) In order to send the 814\_04 transaction on the correct move in, the TDSP must look for a match on the permit name to the name(s) on the 814\_03, transaction name. The TDSPs will not look for a match on permit name if the permit is received with a blank permit name. If the permit is received with a permit name, the TDSP will compare against the permit name, the contact name, and the Customer name in the 814\_03 transaction. If any one of these three fields is a reasonable match, the TDSP will apply the permit to the move in.
- (5) If a REP sends a date change transaction for an order that is in a Permit Pending status, ERCOT and the TDSP will use the date change transaction to change the Requested Date.
- (6) When a TDSP sends an 814\_28 transaction with the Permit Required indicator, the transaction shall indicate whether there is a Tenant Based Permit required.
- (7) Permit requirement information should be made available to the REPs on the TDSP website.

### **11.3.3 Transmission and/or Distribution Service Provider Operating Rule 3: 814\_08, Cancel Request, Cancel Processing, Cancel Processing**

- (1) TDSPs will receive three different types of 814\_08, Cancel Request:
  - (a) Cancels originating from the Competitive Retailer (CR). These cancels can be rejected by the TDSP.
  - (b) Cancels generated from ERCOT Operating Rules. These cancels cannot be rejected by the TDSP (excluding Cancel With Exception and Permit Pending).
  - (c) Cancels generated from the Cancel With Exception and Permit Pending expiration processes. These cancels can be rejected by the TDSP with the 814\_09, Cancel Response, with the reject code, and require an associated transaction.

- (i) Associated transactions for the Permit Pending process include:
- (A) 814\_04, Switch/Move-In CR Notification Response; and
  - (B) 814\_28, Complete Unexecutable or Permit Required, where BGN07 = 09.
- (ii) Associated transactions for Cancel With Exception process include:
- (A) 814\_04 transaction;
  - (B) 814\_25, Move-Out Response; and
  - (C) 814\_28 transaction where BGN07 = PT or 09.

(2) The following cancellation codes are response driven:

| <b>Cancellation Code</b> | <b>Description</b>          | <b>Explanation</b>  | <b>Operating Rule(s) if Applicable</b>  |
|--------------------------|-----------------------------|---|---|
| A13                      | Other                       | Explanation required in REF03.  |   |
| A95                      | Past Cutoff Time            | <ul style="list-style-type: none"> <li>• Review period expired.</li> <li>• Not valid for CR cancellations.</li> </ul> | <ul style="list-style-type: none"> <li>• ERCOT Operating Rule 23: Cancel With Exception.</li> <li>• Transmission and/or Distribution Service Provider Operating Rule 3: 814_08, Cancel Request, Cancel Processing.</li> </ul> |
| B40                      | Dropped by Customer Request | Cancelled by Customer request.  |   |

| <b>Cancellation Code</b> | <b>Description</b>  | <b>Explanation</b>  | <b>Operating Rule(s) if Applicable</b> |
|--------------------------|---------------------|---|--|
| PNR                      | Permit Not Received | <ul style="list-style-type: none"> <li>• If a move in Permit Pending status is not scheduled within 20 days of the requested move in date, ERCOT can cancel the move in.</li> <li>• Not valid for CR cancellations.</li> <li>• For ERCOT use only.</li> </ul> |  |

- (3) The following cancellation codes are not response driven and cannot be rejected by the TDSP:

| <b>Cancellation Code</b> | <b>Description</b>                              | <b>Explanation</b>  | <b>Operating Rule(s) if Applicable</b>  |
|--------------------------|---|---|---|
| A81                      | Item or Service Not Available on Requested Date | <ul style="list-style-type: none"> <li>• Request cannot be performed within the scheduled window.</li> <li>• Not valid for CR cancellations.</li> </ul>                             | <ul style="list-style-type: none"> <li>• Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul>   |
| ANL                      | Agent Not Listed                                | <ul style="list-style-type: none"> <li>• Submitting CR is not or is not scheduled to be the REP of record at date of request.</li> <li>• Not valid for CR cancellations.</li> </ul> | <ul style="list-style-type: none"> <li>• ERCOT Operating Rule 6 for Cancellation: Retail Electric Provider of Record on Move Out and Mass Transition Drops.</li> <li>• Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul> |

| <b>Cancellation Code</b> | <b>Description</b> | <b>Explanation</b>  | <b>Operating Rule(s) if Applicable</b>  |
|--------------------------|--------------------|---|---|
| CCA                      | Competition        | <ul style="list-style-type: none"> <li>Cancelled due to move in.</li> <li>Not valid for CR cancellations.</li> </ul>    | <ul style="list-style-type: none"> <li>ERCOT Operating Rule 7 for Cancellation: Move In and Move Out Trump Switch and Mass Transition Drop.</li> <li>Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul>                             |
| CCE                      | Contract Details   | <ul style="list-style-type: none"> <li>Cancelled due to move out.</li> <li>Not valid for CR cancellations.</li> </ul>   | <ul style="list-style-type: none"> <li>ERCOT Operating Rule 7.</li> <li>Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul>  |
| CHA                      | Changed Agent      | <ul style="list-style-type: none"> <li>Customer switched to new CR.</li> <li>Not valid for CR cancellations.</li> </ul> | <ul style="list-style-type: none"> <li>ERCOT Operating Rule 9 for Cancellation: Multiple Switches with Same Date and Switch Trumps Mass Transition Drop with Same Date.</li> <li>Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul> |
| CMO                      | Cancel Move Out    | <ul style="list-style-type: none"> <li>Cancelled due to move in.</li> <li>For ERCOT use only.</li> </ul>                | <ul style="list-style-type: none"> <li>ERCOT Operating Rule 8 for Cancellation: Move In Trumps Move Out With Same Date.</li> </ul>  |

| <b>Cancellation Code</b> | <b>Description</b>         | <b>Explanation</b>  | <b>Operating Rule(s) if Applicable</b>  |
|--------------------------|----------------------------|---|---|
| COV                      | Conflicting Authorizations | <ul style="list-style-type: none"> <li>• Evaluation conflict while Cancel Pending.</li> <li>• Not valid for CR cancellations.</li> </ul>                | <ul style="list-style-type: none"> <li>• ERCOT Operating Rule 15: Pending 814_06, Loss Notification.</li> <li>• Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul>                      |
| EB3                      | Withdrawn                  | <ul style="list-style-type: none"> <li>• Customer rescinds enrollment request.</li> <li>• Not valid for CR cancellations.</li> </ul>                    |   |
| EFR                      | Evaluate for Resubmission  | <ul style="list-style-type: none"> <li>• For ERCOT use only.</li> </ul>   |   |
| MAN                      | Manual Cancel              | <ul style="list-style-type: none"> <li>• Cancellation received has been manually cancelled in ERCOT's system.</li> <li>• For ERCOT use only.</li> </ul> |   |
| MOX                      | Move In Same Day           | <ul style="list-style-type: none"> <li>• Same date as move in / force off.</li> <li>• Not valid for CR cancellations.</li> </ul>                        | <ul style="list-style-type: none"> <li>• ERCOT Operating Rule 8 for Cancellation: Move In Trumps Move Out With Same Date.</li> <li>• Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul> |

| <b>Cancellation Code</b> | <b>Description</b>     | <b>Explanation</b>  | <b>Operating Rule(s) if Applicable</b>   |
|--------------------------|------------------------|---|--|
| MPC                      | Past Date Conflict     | <ul style="list-style-type: none"> <li>• Move in with later requested date completed while permit pending.</li> <li>• Not valid for CR cancellations.</li> </ul>                    | <ul style="list-style-type: none"> <li>• ERCOT Operating Rule 10 for Cancellation: Move In With Permit Pending.</li> <li>• Transmission and/or Distribution Service Provider Operating Rule 2: Handling Pending Permits.</li> <li>• Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul> |
| MTC                      | Mass Transition Cancel | <ul style="list-style-type: none"> <li>• For ERCOT use only.</li> </ul>   |  |
| TWO                      | Two Party              | <ul style="list-style-type: none"> <li>• Two move ins, two move outs, two switches, or two drops are requested for same date.</li> <li>• Not valid for CR cancellations.</li> </ul> | <ul style="list-style-type: none"> <li>• ERCOT Operating Rule 6.</li> <li>• Transmission and/or Distribution Service Provider Operating Rule 3.</li> </ul>   |

#### 11.3.4 Transmission and/or Distribution Service Provider Operating Rule 4: Standard Switch Scheduled Meter Read Date Validation

- (1) ERCOT does not have a scheduled date in which to evaluate potential conflicts with other transactions. Therefore, the TDSP will be the first Entity to identify such conflicts and will be the first to respond. The following chart assumes that the TDSP had a pending order scheduled in its system and then receives a new standard Switch Request in which the scheduled date will be the same as the pending order.

| <b>Scheduled</b> | <b>New Transaction</b> | <b>Rejected transaction</b> |
|------------------|------------------------|-----------------------------|
| Move in          | Standard switch        | Switch                      |
| Move out         | Standard switch        | Switch                      |
| Switch           | Standard switch        | Second switch               |

- (2) The TDSP will reject the transaction as detailed above. The 814\_05, CR Enrollment Notification Response, with the reject code, will be sent to the CR and the business process will be cancelled in ERCOT's system.

### **11.3.5 Transmission and/or Distribution Service Provider Operating Rule 5: 814\_12, Date Change Request, Iteration Counter**

- (1) The TDSP will store and use the Iteration Counter to determine which request to honor when executing the move in or move out.
- (2) TDSPs should reference ERCOT Operating Rule 22: 814\_12, Date Change Request, Iteration Counter, for TDSP responsibilities for processing 814\_12, Date Change Requests, that have an Iteration Counter populated by the initiating REP.

### **11.3.6 Transmission and/or Distribution Service Provider Operating Rule 6: Move Out to Continuous Service Agreement Does Not Supersede Move In**

- (1) To ensure that a move out to CSA does not supersede a move in, when a TDSP receives two 814\_03, Enrollment Notification Requests, requesting the same date and one of them has the move out code, the TDSP will accept both transactions.
- (2) If the move in and the move out to CSA are both scheduled for a day other than the current day, the TDSP will expect ERCOT to cancel the move out to CSA at the beginning of the Evaluation Window prior to the scheduled meter read date on the move in transaction based on ERCOT Operating Rule 8: Move In Trumps Move Out with Same Date.
  - (a) Prior to the move in SMRD, the TDSP will perform an evaluation based on ERCOT Operating Rule 8 and will work only the move in and wait for ERCOT to cancel the move out to CSA.
- (3) If the move in and move out to CSA are both scheduled for current day, ERCOT will not cancel the move out to CSA and will allow both to process.
  - (a) If the TDSP chooses to complete the move out to CSA, the TDSP must use the Original Transaction ID from the move out to CSA for the final meter read.
  - (b) In the event the TDSP does not complete the move out to CSA, the TDSP must send an 814\_28, Complete Unexecutable or Permit Required, with the unexecutable code to unexecute the move out to CSA and must use the Original Transaction ID from the move in for both the final and initial meter read.

### 11.3.7 Transmission and/or Distribution Service Provider Operating Rule 7: 814\_09, Cancel Response, Rejection Echo

- (1) When the TDSP returns an 814\_09, Cancel Response, after receiving an 814\_08, Cancel Request, the TDSP must “echo” back the cancel code from the 814\_08 transaction in the 814\_09 transaction.

### 11.3.8 Transmission and/or Distribution Service Provider Operating Rule 8: Non-coordinated Backdated Move Ins

- (1) The TDSP will reject Backdated Transactions with an 814\_04, Enrollment Notification Response, or 814\_25, Move Out Response, if it is not associated with a back-office clean up including safety-net move in.

## 11.4 Retail Electric Provider Operating Rules

- (1) Retail Electric Providers (REPs), like the Transmission and/or Distribution Service Providers (TDSPs) and ERCOT, will be required to handle multiple, non-sequential transactions on an Electric Service Identifier (ESI ID). The following rules are in addition to that requirement.

### 11.4.1 REP Operating Rule 1: Cancel Move Out

- (1) REPs who have a Pending move out and submit a move in (same REP) with an earlier Requested Date are responsible for canceling the Pending move out if that is what the Customer requires (REP manages Customer expectations). If the REP does not cancel the move out, the move out will be allowed to effectuate.

### 11.4.2 REP Operating Rule 2: Cancel Move In

- (1) If a REP wants to cancel a Pending move in, they must do so before the beginning of the Evaluation Window.

***[RMGRR169: Replace paragraph (1) above with the following upon system implementation of NPRR1095:]***

- (1) If a REP wants to cancel a Pending move in, they must send the 814\_08, Cancel Request, one day prior to the scheduled date.



#### 11.4.3 REP Operating Rule 3: 814\_13, Date Change Response, Notification of Date Change After Permit Pending

- (1) If a REP receives an 814\_13, Date Change Response, after requesting a date change on an ESI ID where they have received an 814\_28, Complete Unexecutable or Permit Required, transaction with Permit Required indicator, the REP will treat the 814\_13 transaction as an acknowledgement that ERCOT and the TDSP are aware of the new Requested Date. The REP will not use the 814\_13 transaction as notification of a scheduled transaction, understanding that there is still a Permit Pending.

#### 11.4.4 REP Operating Rule 4: Permit Name Matches Move In

- (1) REPs shall ensure that the Customer name sent on a move in matches the name on a Tenant Based Permit. REPs are responsible for obtaining requirement information from the TDSP website.

#### 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/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 and the Premise will be De-energized if there was no prior CSA relationship. If there was a prior CSA relationship, the prior CSA REP will be the REP of record after the move out.

***[RMGRR172: Replace paragraph (1) above with the following upon implementation of PR409-01, TX SET 5\_0 and SCR817:]***

- (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/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.

***[RMGRR172: Replace paragraph (1) above with the following upon implementation of***

***PR409-01, TX SET 5\_0 and SCR817:]***

- (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.

**11.4.7 REP Operating Rule 7: Cancel or Date Change after 814\_06, Loss Notification**

- (1) Losing REPs could receive an 814\_08, Cancel Response, or 814\_12, Date Change Request, after receiving their 814\_06, Loss Notification.

**11.4.8 REP Operating Rule 8: 814\_13, Date Change Response, Iteration Counter**

- (1) REPs must use the Iteration Counter on the 814\_13, Date Change Response, in combination with the date on the 814\_13 transaction and the accept/reject status to determine which date is being honored by the TDSP. The date on the 814\_13 transaction, with the accept code, with the highest Iteration Counter is the date that will be honored by all parties.

**11.4.9 REP Operating Rule 9: 814\_20, Create/Maintain/Retire ESI ID Request, to Complete Information**

- (1) REPs may receive the 814\_20, ESI ID Maintenance Request, with the maintain indicator, designed to complete information that was omitted on the 814\_04, Enrollment Notification Response, from the TDSP and forwarded on the 814\_05, CR Enrollment Notification Response, both before and after the associated 867\_04, Initial Meter Read.

**11.4.10 REP Operating Rule 10: No Duplicate Cancel Requests From Retail Electric Providers**

- (1) A REP can only send one type of 814\_08, Cancel Request, once without receiving a response. If the REP sends an 814\_08 transaction whose cancel reason matches that of another 814\_08 transaction cancel reason formerly sent by the same REP for the same transaction and for which a response has not been received by ERCOT from the TDSP, ERCOT will reject the second cancel.

**11.4.11 REP Operating Rule 11: Duplicates**

- (1) There are three types of rejects for duplicates: Duplicate, Duplicate Cancel Reason, and Duplicate Original Transaction ID (refer to ERCOT Operating Rule 27: Duplicates, for detailed explanation of each).

- (a) For the Duplicate, the original business process is still open and ERCOT has not cancelled it because of the duplicate. The REP should not use this reject to cancel the order in its system.
- (b) For Duplicate Cancel Reasons, the order is still Cancel Pending from the previous request to cancel that the REP made.
- (c) For the Duplicate Original Transaction ID, is a reject of an initiating transaction and a service order has not been established. The REP will be required to re-submit with a unique Original Transaction ID.

#### **11.4.12 REP Operating Rule 12: Same Day Move In**

- (1) This rule no longer applies as of Texas SET V4.0.

#### **11.4.13 REP Operating Rule 13: Continuous Service Agreement Bypass Code**

- (1) A REP shall not use the “2W” CSA bypass code on an 814\_24, Move Out Request, unless they have an active CSA for the ESI ID in the ERCOT system.

***[RMGRR169: Replace paragraph (1) above with the following upon system implementation of NPRR1095:]***

- (1) A REP shall not use the “2W” CSA bypass code on an 814\_24, Move Out Request, unless they have an active CSA for the ESI ID in the ERCOT system. Use of the “2W” CSA bypass code on an ESI ID where the Competitive Retailer (CR) is not the CSA will result in ERCOT rejecting the move out.

**ERCOT Retail Market Guide**  
**Section 12: Market Participant Communication Process**

March 5, 2019

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## 12 MARKET PARTICIPANT COMMUNICATION PROCESS

### 12.1 Market Participant Communication Process

- (1) Market Participants may communicate information to ERCOT and other Market Participants for planned maintenance, unplanned system outages or business processing failures, and shall communicate other general information to ERCOT and other relevant Market Participants as specified in this section.
- (2) In the event a Market Participant experiences an outage greater than two hours, the Market Participant shall communicate their outage as specified in paragraph (2) of Section 7.10, Emergency Operating Procedures for Extended Unplanned System Outages.

#### 12.1.1 *Phases of Market Communication*

- (1) Market Participants shall communicate information to ERCOT and other Market Participants with the goal of communicating available information as soon as possible with subsequent market communications, if necessary, to provide additional details as information becomes available. When a series of communications is required for the same subject, including but not limited to system issues and business process failures, Market Participants shall send an initial market communication followed by one or more follow-up market communications and a final market communication.
  - (a) Initial market communications may contain only minimal content describing the service that is impacted or not available, the issue, and the time the issue was identified, if either are known. Any subsequent market communication may include previous market communications associated with the initial market communication in a chronological order.
  - (b) Follow-up market communications may have multiple updates depending on the duration of the event and will contain progress reports and impacts.
  - (c) Final market communications will provide a timeline for the end of the event and actions taken to restore service.

#### 12.1.2 *Coding of Market Communications*

- (1) Market communications will be given unique tracking codes that identify the part of the ERCOT market impacted (retail or market-wide), an identifier for the sequence of market communications of the same type (retail or market-wide) sent on the same day, the date of the market communication, and the number of market communications in a series a particular market communication represents. This code will appear in the Communication Type section of the market communication (See Table 3, Market Communication Tracking Codes).

| <b>Table 3: Market Participant Market Communication Tracking Codes</b> |  |                            |                                    |
|--|--|----------------------------|------------------------------------|
|  | <b>Unique Identifier</b>                                     | <b>Communication Date</b>  | <b>Sequence Number</b>             |
| System Generated   | N/A  | N/A                        | N/A                                |
| R = Retail   | A = First topic market communication of the day              | February 27, 2007 = 022707 | 01 = Initial Communication         |
| M = Market-Wide  | B = Second topic market communication of the day             | March 15, 2007 = 031507    | 02 = Second Communication (update) |
|  | C = Third topic market communication of the day, <i>etc.</i> | April 3, 2007 = 040307     | 03 = Third Communication (update)  |

**(a) Tracking Code Example 1:**

- (i) R-A022707-01 (Retail, First topic market communication for February 27, 2007, initial communication)
- (ii) R-A022707-02 (Follow-up same day)
- (iii) R-A022707-03 (Follow-up next day)

**(b) Tracking Code Example 2:**

- (i) R-B022707-01 (Retail, Second topic market communication for February 27, 2007, initial communication)

**(c) Tracking Code Example 3:**

- (i) M-A022707-01 (Market-Wide, First topic market communication for February 27, 2007, initial communication)

**12.1.3 Sample Market Participant Market Communication**

Subject: [Market Participant name] [Subject matter [i.e., Planned Outage, Unplanned Outage, Informational]]

COMMUNICATION DATE: [Date communication sent]

COMMUNICATION TYPE: [Tracking Code] [Phase [i.e., Initial, Follow-Up, Final]]

SHORT DESCRIPTION: [Relevant to communication type, including any system or business process affected]

INTENDED AUDIENCE: [i.e., ERCOT and/or Competitive Retailers and/or Transmission and/or Distribution Service Providers (TDSPs)]

DAY AFFECTED: [Date and time of initial incident]

LONG DESCRIPTION: [Short description plus known relevant details plus affected system functionality]

SPECIFIC INSTRUCTIONS: [Optional] [i.e.: “Move In Processing affected, please use Retail Market Guide, Section 9, Appendices A1, Competitive Retailer Safety-Net Request, until further notice.”]

ADDITIONAL INFORMATION/COMMENTS: [Optional]

CONTACT: [i.e.: “If you have any questions, please contact [name and email address and/or phone number]”].

#### ***12.1.4 Market Communication E-mail Distribution Lists***

- (1) Market Participants shall send market communications to the appropriate ERCOT stakeholder group distribution lists.

#### ***12.1.5 ERCOT Market Notice Communication Process***

- (1) ERCOT’s Market Notices communication process is described in the ERCOT Market Notice Communication Process Business Practice.