**ERCOT Retail Market Guide**

**Section 7: Market Processes**

**February 1, 2024**

[7 Market Processes 7-1](#_Toc123036994)

[7.1 Overview and Assumptions 7-1](#_Toc123036995)

[7.2 Market Synchronization 7-1](#_Toc123036996)

[7.2.1 Transmission and/or Distribution Service Provider Cancel 7-2](#_Toc123036997)

[7.2.2 MarkeTrak Day-to-Day 7-2](#_Toc123036998)

[7.2.3 MarkeTrak Data Extract Variance Processes 7-3](#_Toc123036999)

[7.3 Inadvertent Gain/Loss Process 7-3](#_Toc123037000)

[7.3.1 Escalation Process 7-3](#_Toc123037001)

[7.3.2 Competitive Retailer’s IAG Process 7-4](#_Toc123037002)

[7.3.2.1 Invalid Use of the IAG Process 7-4](#_Toc123037003)

[7.3.2.2 Prevention of Inadvertent Gains 7-5](#_Toc123037004)

[7.3.2.3 Rescission Period 7-5](#_Toc123037005)

[7.3.2.4 Gaining CR System Processing Errors 7-5](#_Toc123037006)

[7.3.2.5 Resolution of IAGs 7-5](#_Toc123037007)

[7.3.2.6 Valid Reject/Unexecutable Reasons 7-7](#_Toc123037008)

[7.3.2.7 Invalid Reject/Unexecutable Reasons 7-8](#_Toc123037009)

[7.3.2.8 Out-of-Sync Condition 7-8](#_Toc123037010)

[7.3.2.9 No Losing Competitive Retailer of Record 7-9](#_Toc123037011)

[7.3.3 Charges Associated with Returning the Customer 7-9](#_Toc123037012)

[7.3.4 Transmission and/or Distribution Service Provider Inadvertent Gain Process 7-9](#_Toc123037013)

[7.3.4.1 Inadvertent Dates Greater than 150 Days 7-10](#_Toc123037014)

[7.3.4.2 Inadvertent Order is Pending 7-10](#_Toc123037015)

[7.3.4.3 Third Party has Gained Electric Service Identifier (Leapfrog Scenario) 7-10](#_Toc123037016)

[7.3.4.4 Transmission and/or Distribution Service Provider Billing 7-11](#_Toc123037018)

[7.3.5 Customer Rescission after Completion of a Switch Transaction 7-12](#_Toc123037020)

[7.3.5.1 Additional Valid Reasons for Rejection of a Rescission-based Issue 7-13](#_Toc123037021)

[7.4 Safety-Nets 7-13](#_Toc123037022)

[7.4.1 Purpose 7-13](#_Toc123037023)

[*7.4.2* *Safety-Net Submission Processes* 7-14](#_Toc123037024)

[*7.4.2.1*  *Standard and Priority Move-In Safety-Net E-mail Requirements* 7-15](#_Toc123037025)

[*7.4.3* *Move-In Spreadsheet Format* 7-16](#_Toc123037026)

[*7.4.4* *TDSP Safety-Net Response* 7-17](#_Toc123037027)

[*7.4.5* *Transactional Reconciliation* 7-18](#_Toc123037028)

[7.5 Standard Historical Usage Request 7-18](#_Toc123037029)

[7.5.1 Overview of the Letter of Authorization for Historical Usage 7-19](#_Toc123037030)

[7.6 Disconnect and Reconnect for Non-Payment Process 7-20](#_Toc123037031)

[7.6.1 Assumptions and Market Processes 7-20](#_Toc123037032)

[7.6.1.1 Safety-Nets 7-20](#_Toc123037033)

[7.6.2 Process Overview 7-21](#_Toc123037034)

[7.6.2.1 Disconnect for Non-Payment Process Overview 7-21](#_Toc123037035)

[7.6.2.2 Reconnect for Non-Payment Process Overview 7-22](#_Toc123037036)

[7.6.3 Transaction Processing 7-23](#_Toc123037037)

[7.6.3.1 Timelines for Transaction Delivery 7-23](#_Toc123037038)

[7.6.3.2 Transaction Validations 7-23](#_Toc123037039)

[7.6.3.3 Competing Orders 7-24](#_Toc123037040)

[7.6.3.4 Reconnect for Non-Pay and Disconnect for Non-Pay Processing Order 7-25](#_Toc123037041)

[7.6.3.5 Disconnection at Premium Disconnect Location 7-26](#_Toc123037042)

[7.6.3.6 Completed Unexecutable and Rejected Orders 7-26](#_Toc123037043)

[7.6.3.7 Same Day/Priority or Weekend / Holiday Reconnect or Disconnect for Non-Payment 7-27](#_Toc123037044)

[7.6.3.8 Service Order Cancellations 7-28](#_Toc123037045)

[7.6.3.9 Response Transactions 7-29](#_Toc123037046)

[7.6.4 Field Service Activities 7-30](#_Toc123037047)

[7.6.4.1 Reconnection Service Orders 7-30](#_Toc123037048)

[7.6.4.2 Requirements for Reconnecting Service 7-31](#_Toc123037049)

[7.6.4.3 Customer Receipting Issue 7-31](#_Toc123037050)

[7.6.4.4 Premise Access Issues 7-31](#_Toc123037051)

[7.6.4.5 Door Hanger Policies 7-32](#_Toc123037052)

[7.6.4.6 Meter Seal Policies for Disconnection at Premises Without Remote Disconnect/Reconnect Capability 7-33](#_Toc123037053)

[7.6.5 Exceptions 7-33](#_Toc123037054)

[7.6.5.1 Emergency Reconnects 7-33](#_Toc123037055)

[7.6.5.2 Critical Load/Critical Care 7-34](#_Toc123037056)

[7.6.5.3 Field Service Exceptions 7-34](#_Toc123037057)

[7.6.5.4 Weather Moratoriums 7-35](#_Toc123037058)

[7.6.5.5 Force Majeure Event 7-37](#_Toc123037059)

[7.6.5.6 Master Metered Premises 7-38](#_Toc123037060)

[7.6.5.7 Unmetered Service 7-38](#_Toc123037061)

[7.6.5.8 Multiple Metered Service (not Master Metered) 7-39](#_Toc123037062)

[7.6.5.9 Customer Threatens Transmission and/or Distribution Service Provider Field Service Representative 7-39](#_Toc123037063)

[7.6.6 Transmission and/or Distribution Service Provider Charges for Reconnect and Disconnect Services 7-40](#_Toc123037064)

[7.6.6.1 Discretionary Charges 7-40](#_Toc123037065)

[7.6.6.2 Other Charges 7-41](#_Toc123037066)

[7.6.7 Emergency System Outage 7-42](#_Toc123037067)

[7.7 Transaction Timing Matrix 7-42](#_Toc123037068)

[7.7.1 824, Invoice or Usage Reject Notification, Reject Transaction Timing 7-43](#_Toc123037069)

[7.8 Formal Invoice Dispute Process for Competitive Retailers and Transmission and/or Distribution Service Providers 7-43](#_Toc123037070)

[7.8.1 Overview of Formal Invoice Dispute Process 7-43](#_Toc123037071)

[7.8.2 Guidelines for Notification of Invoice Dispute 7-43](#_Toc123037072)

[7.9 No Retail Electric Provider of Record or Left in Hot 7-45](#_Toc123037073)

[7.10 Emergency Operating Procedures for Extended Unplanned System Outages 7-46](#_Toc123037074)

[7.10.1 Emergency Operating Procedure for Energizing a Premise During an Extended Unplanned System Outage 7-47](#_Toc123037075)

[7.10.1.1 Safety-Net Cancellation Process to Only Be Used During an Extended Unplanned Outage 7-48](#_Toc123037076)

[7.10.2 Emergency Operating Procedure for Move Outs During an Extended Unplanned System Outage 7-48](#_Toc123037077)

[7.10.2.1 Format of the Move Out Safety-Net Spreadsheet Used During an Extended Unplanned System Outage 7-49](#_Toc123037078)

[7.10.2.2 Safety-Net Move-Out Procedures During an Extended Unplanned System Outage 7-49](#_Toc123037079)

[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 7-52](#_Toc123037080)

[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 7-53](#_Toc123037081)

[7.10.4.1 Addition of Payment Plan Switch Hold by Retail Electric Provider of Record Request During Extended Unplanned System Outage 7-53](#_Toc123037082)

[7.10.4.2 Removal of Switch Holds by Retail Electric Provider of Record Request During Extended Unplanned System Outage 7-54](#_Toc123037083)

[7.11 Transition Process 7-54](#_Toc123037084)

[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 7-55](#_Toc123037085)

[7.11.1.1 Mass Transition Initiation 7-56](#_Toc123037086)

[7.11.1.2 Handling Pending Texas Standard Electronic Transactions During a Mass Transition 7-57](#_Toc123037087)

[7.11.1.3 Competitive Retailer Mass Transition Meter Reading 7-60](#_Toc123037088)

[7.11.1.4 Mass Transition Roles/Responsibilities 7-60](#_Toc123037089)

[7.11.2 Acquisition and Transfer of Customers from one Retail Electric Provider to Another 7-65](#_Toc123037090)

[7.11.2.1 Acquisition Transfer Initiation 7-66](#_Toc123037091)

[7.11.2.2 Handling Pending Texas Standard Electronic Transactions During an Acquisition Transfer Event 7-66](#_Toc123037092)

[7.11.2.3 Competitive Retailer Acquisition Transfer Meter Reading 7-69](#_Toc123037093)

[7.11.2.4 Acquisition Transfer Roles/Responsibilities 7-69](#_Toc123037094)

[7.11.3 Customer Billing Contact Information File 7-75](#_Toc123037095)

[7.11.3.1 Flight Testing Submission of Customer Billing Contact Information 7-75](#_Toc123037096)

[7.11.3.2 Monthly Submission of Customer Billing Contact Information 7-75](#_Toc123037097)

[7.11.3.3 Submission of Customer Billing Contact Information During a Mass Transition Event 7-77](#_Toc123037098)

[7.11.3.4 Reporting by ERCOT to the Public Utility Commission of Texas 7-79](#_Toc123037099)

[7.11.4 Mass Transition Process of Transmission and/or Distribution Service Provider Electric Service Identifier 7-79](#_Toc123037100)

[7.11.5 Transmission and/or Distribution Service Provider Electric Service Identifier Transition Roles and Responsibilities 7-79](#_Toc123037101)

[7.11.6 Transmission and/or Distribution Service Provider Transition Process Narrative 7-82](#_Toc123037102)

[7.11.7 Transmission and/or Distribution Service Provider Electric Service Identifier Transition Detailed Process Steps 7-84](#_Toc123037103)

[7.12 Estimated Meter Readings 7-87](#_Toc123037104)

[7.12.1 Texas Standard Electronic Transaction 867\_03, Monthly or Final Usage 7-87](#_Toc123037105)

[7.12.2 Estimations Due to Safety and/or Meter Removal 7-87](#_Toc123037106)

[7.12.3 Estimation Based on Denial of Access 7-88](#_Toc123037107)

[7.12.4 Disconnection and Reconnection for Denial of Access 7-89](#_Toc123037108)

[7.12.5 Estimation for Denial of Access by Non-residential Critical Load Customers 7-89](#_Toc123037109)

[7.12.6 Estimations for Reasons Other than Denial of Access by the Customer 7-90](#_Toc123037110)

[7.13 *[RESERVED]* 7-90](#_Toc123037111)

[7.14 Out-flow Energy from Distributed Generation Facilities 7-90](#_Toc123037112)

[7.14.1 TDSP Interconnection Agreement 7-90](#_Toc123037113)

[7.14.2 TDSP Communication of Technical Information from Distributed Generation Interconnection Agreements for Unregistered Distributed Generation 7-90](#_Toc123037114)

[7.14.3 Metering Required for Measurement and Settlement of Out-flow Energy 7-90](#_Toc123037115)

[7.14.4 Transmittal of Out-flow Energy Data for Unregistered Distributed Generation 7-91](#_Toc123037116)

[7.14.5 Transmittal of Out-flow Energy Data for Settlement Only Distribution Generators 7-91](#_Toc123037117)

[7.14.6 ERCOT Processing of Meter Data for Unregistered Distributed Generation Out-flow Energy 7-92](#_Toc123037118)

[7.14.7 ERCOT Processing of Meter Data for Settlement Only Distribution Generator Out-flow Energy 7-92](#_Toc123037119)

[7.15 Advanced Meter Interval Data File Format and Submission 7-92](#_Toc123037120)

[7.15.1 Ad Hoc Connectivity Test of Advanced Metering System Interval Data 7-92](#_Toc123037121)

[7.15.2 Submission of Interval Data on Electric Service Identifier(s) with Advanced Metering Systems 7-92](#_Toc123037122)

[7.15.2.1 Missing Data or Gaps in Data 7-93](#_Toc123037123)

[7.15.3 Posting Data to Transmission and/or Distribution Service Provider File Transfer Protocol Site 7-94](#_Toc123037124)

[7.15.4 Availability of Interval Data for Provisioned Advanced Metering Systems 7-94](#_Toc123037125)

[7.16 Business Processes and Communications Related to Meter Tampering 7-94](#_Toc123037126)

[7.16.1 Transmission and/or Distribution Service Provider Discovery of Meter Tampering During Field Service Activities 7-94](#_Toc123037127)

[7.16.1.1 Disconnection and Reconnection for Non-Payment Field Service Activities 7-95](#_Toc123037128)

[7.16.2 Notification to Transmission and/or Distribution Service Provider of Potential Meter Tampering 7-96](#_Toc123037129)

[7.16.3 Transmission and/or Distribution Service Provider Switch Hold Notification for Meter Tampering 7-96](#_Toc123037130)

[7.16.4 Switch Hold Process for Meter Tampering 7-97](#_Toc123037131)

[7.16.4.1 Switch Rejected Due to a Switch Hold for Meter Tampering 7-97](#_Toc123037132)

[7.16.4.2 Move in Rejected Due to a Switch-Hold for Meter Tampering 7-97](#_Toc123037133)

[7.16.4.3 Removal of a Switch Hold for Meter Tampering for Purposes of a Move in 7-98](#_Toc123037134)

[7.16.4.4 Removal of a Switch Hold for Meter Tampering Due to a Move out 7-104](#_Toc123037135)

[7.16.4.5 Removal of Switch Hold for Meter Tampering for a Continuous Service Agreement 7-104](#_Toc123037136)

[7.16.4.6 Electronic Availability of Transmission and/or Distribution Service Provider Meter Tampering Investigation Information 7-104](#_Toc123037137)

[7.16.5 Transmission and/or Distribution Service Provider Application of Charges Related to Meter Tampering 7-104](#_Toc123037138)

[7.16.5.1 Meter Tampering No Change in Consumption 7-104](#_Toc123037139)

[7.16.5.2 Meter Tampering Cancel/Rebill Consumption Changes 7-105](#_Toc123037140)

[7.17 Business Processes and Communications for Switch Holds Related to Deferred Payment Plans 7-105](#_Toc123037141)

[7.17.1 Addition and Removal of Switch Hold by Retail Electric Provider of Record Request for Deferred Payment Plans 7-105](#_Toc123037142)

[7.17.2 Transmission and/or Distribution Service Provider Switch Hold Notification for Payment Plans 7-106](#_Toc123037143)

[7.17.3 Switch Hold Process for Deferred Payment Plans 7-106](#_Toc123037144)

[7.17.3.1 Switch Rejected Due to a Switch Hold for Payment Plans 7-106](#_Toc123037145)

[7.17.3.2 Move in Rejected Due to a Switch-Hold for Payment Plans 7-106](#_Toc123037146)

[7.17.3.3 Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move In 7-107](#_Toc123037147)

[7.17.3.4 Removal of a Switch Hold for Deferred Payment Plans Due to a Move out 7-112](#_Toc123037148)

[7.17.3.5 Removal of Switch Hold for Deferred Payment Plans for a Continuous Service Agreement 7-112](#_Toc123037149)

[7.18 Business Process for When a Customer Elects to Receive Non-Standard Metering Services 7-113](#_Toc123037150)

[7.18.1 Transmission and/or Distribution Service Provider Notification Requirements to Retail Electric Provider 7-113](#_Toc123037151)

# 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**

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

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 anew issue under the *Customer Rescission* subtype.

7.3.5.1Additional 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.  Secondary method is to send safety-net emails to:  [aepbaoorders@aep.com](mailto:aepbaoorders@aep.com) |
| CNP | CNP.Priority@CenterPointEnergy.com |
| Oncor | Please utilize Oncor’s Competitive Retailer Information Portal (CRIP) as the primary method to submit safety-nets.  Secondary method is to send safety-net emails to:  [contactcenter@oncor.com](mailto:contactcenter@oncor.com) |
| TNMP | Please utilize TNMP’s Retail Electric Provider (REP) Portal as the primary method to submit safety-net requests.  [safetynet@tnmp.com](mailto:safetynet@tnmp.com) |

*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**

| **Subject Line** | **Used For** | **Submitted By** |
| --- | --- | --- |
| [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**

| **Subject Line** | **Used For** | **Submitted By** |
| --- | --- | --- |
| [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**  **(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**



*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 |
| (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 aDNP 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

| **TDSP** | **TDSP Action** | **TDSP Fee** |
| --- | --- | --- |
| **AEP** | Re-energize Premise | Reconnect charge |
| **CNP** | Re-energize Premise | Reconnect charge |
| **NEC** | Re-energize Premise | Reconnect charge |
| **Oncor** | Re-energize Premise | Reconnect charge |
| **TNMP** | 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

|  |  |  |  |
| --- | --- | --- | --- |
| **TDSP** | **TDSP Action** | **Energize** | **TDSP Fee** |
| **AEP** | Perform meter read | Yes | Reconnect fee |
| **CNP** | Perform meter read | No | None |
| **NEC** | Perform meter read | Yes | Reconnect fee |
| **Oncor** | Perform meter read | Yes | Reconnect fee |
| **TNMP** | 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**

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

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

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

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

| **TDSP** | **E-mail Address** |
| --- | --- |
| **AEP** | crrtx@aep.com |
| **CNP** | EMO-ServiceOrders@centerpointenergy.com |
| **Oncor** | utiltxn@Oncor.com |
| **TNMP** | 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**

| **Payments Made on a Retail Business Day:** | **RNP Request Must be Sent by:** |
| --- | --- |
| 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. |
| **Payments made on a weekend day or holiday** | 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**

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

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

| **TDSP** | **Indicator for No Service Due to a DNP** |
| --- | --- |
| **AEP** | 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. |
| **CNP** | The meter seal is red, and this is also the same seal used for completed Move-Out request. |
| **Oncor** | The meter seal is orange. |
| **TNMP** | 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

| **TDSP** | **Contact Information for Emergency RNP Requests** | **TDSP E-mail for Appendix C2, Emergency Reconnect Request Data Requirements, Spreadsheet** | **Require 650\_01, Service Order Request, to Reconnect** |
| --- | --- | --- | --- |
| **AEP** | Contact CR Relations team for process. | crrtx@aep.com | No |
| **CNP** | 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.) |
| **Oncor** | Contact 24 hours per day seven days per week support center  (888) 313-6934 | * contactcenter@Oncor.com * Include “Emergency Reconnect” in the subject line. | No |
| **TNMP** | 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, andTable21,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 |
|  |  | 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 |
| Example I | 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 |
| Example II | 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 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 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

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

| **TDSP** | **Notice Posting Availability for Master Metered Premises** | **Fee (if applicable)** | **TDSP Contact to Coordinate DNP Request** |
| --- | --- | --- | --- |
| **AEP** | Available | $42 | AEP CRR Account Manager |
| **CNP** | Unavailable |  | CR.Support@CenterPointEnergy.com |
| **Oncor** | Unavailable |  | Business Support at (888) 313-6934 or contactcenter@Oncor.com |
| **TNMP** | 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**

| **TDSP** | **650\_01 Submittal by CR for Multiple Meters** | **TDSP Discretionary Charges Billed** |
| --- | --- | --- |
| **AEP** | One 650\_01 per ESI ID | One service charge per ESI ID |
| **CNP** | One 650\_01 per ESI ID | One service charge per ESI ID |
| **Oncor** | One 650\_01 per ESI ID | One service charge per ESI ID |
| **TNMP** | 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** |
| --- | --- | --- | --- | --- |
| **Disconnection** |  |  |  |  |
| Standard Disconnect at Meter | SER024 | SER024 | SER024 | SER024 |
| Standard Disconnect at Pole | SER026 | SER024 | SER026 | SER026 |
|  |  |  |  |  |
| **Reconnection** |  |  |  |  |
| Standard Reconnect at Meter | SER030 | SER028 | SER030 | SER030 |
| Standard Reconnect at Meter Special Route | N/A | SER034 | SER031 | N/A |
| Standard Reconnect at Pole | SER034 | SER028 | SER034 | SER034 |
| Standard Reconnect at Subsurface 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 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 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 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 |
| 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 |
|  |  |  |  |  |
| **Denial of Access to Meter** |  |  |  |  |
| For Disconnection Orders | SER133 | SER026 | SER026 | SER133 |
| For Reconnections Orders | SER133 | SER026 | SER035 | SER133 |
|  |  |  |  |  |
| **Order Cancellation Fees** |  |  |  |  |
| Disconnect Administration Fee | N/A | N/A | N/A | N/A |
| Dispatched Order Fee | SER132 | N/A | N/A | N/A |
|  |  |  |  |  |
| **Tampering Charges** |  |  |  |  |
| 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 |
| **Connection Fees** |  |  |  |  |
| 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**

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



(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**

| **TDSP** | **TDSP E-mail Address for Extended MarkeTrak Outage** |
| --- | --- |
| AEP | [aepbaoorders@aep.com](mailto:aepbaoorders@aep.com) |
| CNP | [SWHRemovals@centerpointenergy.com](mailto:SWHRemovals@centerpointenergy.com) |
| Oncor | [marketrak@oncor.com](mailto:utiltxn@oncor.com) |
| TNMP | [MPRelations@tnmp.com](mailto:MPRelations@tnmp.com) |

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 1st 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:

|  |  |  |
| --- | --- | --- |
| **DUNS #** | CR DUNS # | Numeric (9 or 13) |
| **Reportname** | “MTCRCustomerInformation” | Alphanumeric (23) |
| **datetime** | File transmission date/time stamp | Datetime format = ccyymmddhhmmss |
| **counter** | Counter with no specified value | Numeric (3) |
| **.csv** | 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:   |  |  |  | | --- | --- | --- | | **DUNS #** | CR DUNS # | Numeric (9 or 13) | | **Reportname** | “MTCRCustomerInformation” | Alphanumeric (23) | | **datetime** | File transmission date/time stamp | Datetime format = ccyymmddhhmmss | | **counter** | Counter with no specified value | Numeric (3) | | **.csv** | 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

| **TDSP** | **Contact Information for Emergency Reconnect** |
| --- | --- |
| **AEP** | [crrtx@aep.com](mailto:crrtx@aep.com) |
| **CNP** | [CR.Support@CenterPointEnergy.com](mailto:CR.Support@CenterPointEnergy.com) |
| **NEC** | cduncan[@nueceselectric.org](mailto:dlowder@nueceselectric.org) |
| **Oncor** | [REPrelations@Oncor.com](mailto:REPrelations@Oncor.com) |
| **TNMP** | [mprelations@tnmp.com](mailto: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 = ccyymmddhhmmss |
| 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:

|  | **Website or E-mail** | **Telephone** |
| --- | --- | --- |
| **AEP** | www.ReportPowerTheft.com | 1-877-373-4858 |
| **CNP** | www.centerpointenergy.com/services/electricity/residential/metertheft | 713-207-7225  or toll free  877-570-5770 |
| **Oncor** | www.oncor.com | 888-313-6862 |
| **TNMP** | [MPRelations@tnmp.com](mailto: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:

1. 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 deServicio 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 deServicio 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.

|  | **Discretionary Tampering Charges Will Appear on the Most Recent Cancel/Rebill Invoice:** | **Discretionary Tampering Charges Will Appear on the Oldest Cancel/Rebill Invoice:** |
| --- | --- | --- |
| **AEP** | March |  |
| **CNP** |  | January |
| **Oncor** | March |  |
| **TNMP** | 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 (l)(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:

1. 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 deServicio 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 deServicio 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. |