



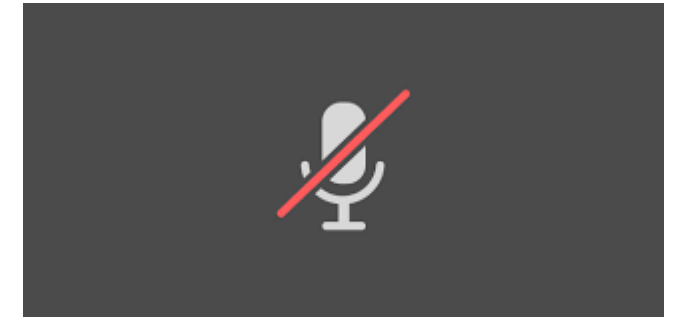
Switch Hold and Inadvertent Gain Training – Part 2

Antitrust Admonition

To avoid raising concerns about antitrust liability, participants in ERCOT activities should refrain from proposing any action or measure that would exceed ERCOT's authority under federal or state law. For additional information, stakeholders should consult the *Statement of Position on Antitrust Issues for Members of ERCOT Committees, Subcommittees, and Working Groups*, which is posted on the ERCOT website.¹

Notes

- Morning Break
- Please unmute yourself prior to speaking
- Place yourself on mute when not speaking



MarkeTrak Online Training

MarkeTrak online training is available on www.ercot.com and includes the following modules:

- MarkeTrak Overview
- Inadvertent Gain/Loss
- Cancel With/Without Approval
- Switch Hold Removal
- Data Extract Variance (DEV) LSE Subtypes
- Email Functionality
- Usage/Billing Disputes
- Additional Day to Day Subtypes
- Bulk Insert
- Admin Functionality
- Data Extract Variance (DEV) Non-LSE Subtypes
- Reporting

Modules typically can be completed in 30 minutes or less.

MarkeTrak Training Objectives – Part 1

Part 1 training covered the following topics:

- General MarkeTrak Navigation
- Administrator Functionality
- Email Notification
- ListServ
- Missing Enrollments
- Usage & Billing
- Siebel Changes
- DEV LSE/Non LSE
- Bulk Insert
- Additional D2D Subtypes
- Other Subtype
- Background Reporting

MarkeTrak Training Objectives – Part 2

This training covers the following topics:

- Switch Holds
- Inadvertent Gains
 - Overview
 - Rescission
 - IAG Walkthrough
 - Best Practices
 - Reporting



MarkeTrak Training

Switch Hold

Switch Hold

Purpose:

To ensure that the occupant responsible for the financial obligations at the premise satisfies and resolves any outstanding charges with the appropriate entities before switching to a new REP.

What it is:

According to PUCT Subst. Rule 25.126 & PUCT Subst. Rule 25.480, a Switch Hold can be placed on a premise by either a Retail Electric Provider (REP) for a Deferred Payment Plan (DPP) or by the Transmission and Distribution Service Provider (TDSP) due to Meter Tampering. The Switch Hold will remain in effect until the specified charges have been paid by the customer.

Types:

- 1) Deferred Payment Plan (DPP) – REP initiated
- 2) Tampering – TDSP initiated

Types of Switch Hold

Deferred Payment Plan (DPP) Switch Holds:

- Initiated and removed by the REP of Record via 650_01 to TDSP.
- Prevents customers from switching to another REP if they have outstanding charges with current REP of Record (ROR).
- Current ROR must provide clear explanation (orally or written) to customer of the switch hold process before initiation of DPP Switch Hold.
- Current ROR must receive customer's agreement before initiation of DPP Switch Hold.
- Switch Hold must be removed by ROR in a timely manner once all DPP obligations have been satisfied by the customer.

Types of Switch Hold

Tampering Switch Holds:

- Initiated by the TDSP when Tampering is discovered at the premise.
- TDSP must store evidence of Tampering discovery.
- TDSP sends 814_20 to update ESIID status for Tampering.
- TDSP sends Tampering charges on the 810_02 to ROR.
- Switch Hold prevents customer from switching to another REP if they have outstanding Tampering charges with current ROR.
- Switch Hold must be removed in a timely manner by current ROR via 650_01 once all outstanding Tampering charges are satisfied by the customer.

Switch Hold Removal for Purposes of a Move In

Scenario:

A Premise has a Switch Hold applied, however the customer vacates the premise. An entirely new customer tries to move in, yet encounters the Switch Hold on the Premise.

When this happens, the requesting REP cannot use a 650_01 to remove the Switch Hold, since they are not the initiators of the Switch Hold.

Instead, the requesting REP must follow the process outlined in Retail Market Guide Section 7.16.4.3 (for Tampering) or 7.17.4.3 (for DPP) associated with removal of a Switch Hold for purposes of a Move In.

Switch Hold Removal for Purposes of a Move In

How it works:

- 1) Using only one (1) MarkeTrak issue per ESI ID, the requesting CR must initiate the Switch Hold MarkeTrak (MT) issue type to begin the removal process.
- 2) The TDSP, current REP of Record, and requesting CR will collaborate to determine if the New Occupant is in any way associated with the Current Occupant who is subject to Switch Hold.
- 3) The requesting CR must provide supporting documentation for the New Occupant including a New Occupant Statement (NOS).
 - Confirm a Switch Hold currently exists on the premise via MIS portal
 - Ensure submitter is not ROR
 - Documentation is valid and complete
- 4) If it is determined that the New Occupant is not associated with the Customer of Record (current occupant), the TDSP will remove any Switch Holds applied to the ESIID.
- 5) If an issue has been open for more than four (4) business hours without resolution, the TDSP will make the final decision as to whether or not the Switch Hold will remain.

Switch Hold Removal

What does it mean: Four (4) Business Hours?

- MarkeTrak Switch Hold Removals are worked during Business Hours only (Monday-Friday, 8:00AM-5:00PM CPT)
- Market Participant Timelines:
 - TDSP “Initial” review: one (1) business hour
 - Current REP of Record review: one and a half (1.5) business hours
 - TDSP “Final” review: one and a half (1.5) business hours (or any remaining time within the four-hour period)
- If issue remains unresolved at the end of a business day, the Responsible MP’s time will resume next business day at 8:00AM
 - Example: REP of Record is assigned the issue at 4:00PM Friday. Business hours cease at 5:00PM Friday. Business hours resume 8:00AM Monday. REP of Record has until 8:30 AM Monday to respond, for a total of one and a half business hours as Responsible MP.

Switch Hold Removal Documentation

Standard Documentation Requirements

Per RMG 7.16 & 7.17, the Requesting CR must include the New Occupant Statement (RMG Appendix J2) **AND** one of the following:

- Bill for natural gas/propane, water/sewer, electric, or cable/internet in Customer's name dated within last two months from a different Premise (cell phone invoices are not accepted);
- Copy of current signed lease by all parties;
- Notarized affidavit of landlord;
- Closing documents (Closing Statement signed by buyer and seller; Deed filed by county clerk noting street name and house number); or
- Certificate of occupancy indicating new occupant.

Ensure documentation is valid and complete prior to submitting a MarkeTrak Issue.

Switch Hold Removal Documentation

Standard Documentation “Best Practices”

TDSPs will review all supplied documentation for completeness. For quickest resolution, the documentation provided should include:

- **Utility bill** (Natural Gas/Propane, Water/Sewer, Electricity, Cable/Internet)
 - Dated within last two months from a different Premise address and New Occupant’s name and service address should be visible
- **Current Signed Lease**
 - Customer name, service address, portion of lease signed by both landlord and tenant
 - Dates on lease should align with Move In request
 - Any expired agreements or agreement not signed by all parties will be rejected by TDSP
- **Affidavit of Landlord**
 - Notarized
 - If form Appendix J9 is not used, the document must contain all data elements required within J9
- **Closing Documents**
 - Closing Statement with buyer/seller signatures
 - Deed that has been filed with the county clerk, indicating street name and house number
 - New Occupant’s name and service address should be visible
 - Indicating transfer of ownership occurring after Switch Hold was applied
- **Certificate of occupancy**
 - Indicating new occupant being subsequent to the date of the switch hold applied to the Premise;

Switch Hold Removal

Continuous Service Agreement (CSA) Documentation Requirements

- For a premise where a CSA agreement is present, only the CSA form in Appendix J4/J5 is required. The New Occupant Statement does not need to accompany the CSA form, and it does not need to be notarized.
- The Requesting CR must be the CSA provider, established via 814_18 CSA Add transaction.
- If there is not an actual CSA, the Requesting CR must use the previously mentioned process.
 - New Occupant Statement + documentation
 - Example: Non-CSA vacant agreement

Switch Hold Removal

“Happy Path” #1 – All users agree and switch hold is removed

- 1) Requesting CR selects **Switch Hold Removal** from Submit Tree.
- 2) Requesting CR enters all required information, attaches all valid and necessary documentation and chooses the ‘Submit’ transition.
- 3) The issue is now in the state of ‘New (TDSP)’ with the TDSP as Responsible MP.
- 4) TDSP selects ‘Begin Working’.
- 5) The issue is now in a state of ‘In Progress (TDSP)’.

Switch Hold Removal

“Happy Path” #1 – All users agree and switch hold is removed (cont.)

- 6) TDSP selects ‘Send to REP of Record’.
 - ✓ Enters DUNS/company name via dropdown.
- 7) The issue is now in a state of ‘New’ with the REP of Record as Responsible MP.
- 8) REP of Record selects ‘Begin Working’.
- 9) Issue is now in a state of ‘In Progress (Assignee)’.
- 10) REP of Record selects ‘Agree’.

Switch Hold Removal

“Happy Path” #1 – All users agree and switch hold is removed (cont.)

- 11) Issue is now in a state of ‘New (TDSP) - Final Review’ with the TDSP as Responsible MP.
- 12) TDSP selects ‘Begin Working’.
- 13) Issue is now in a state of ‘In Progress (TDSP)- Final Review’ with the TDSP as Responsible MP.
- 14) TDSP selects the ‘Switch Hold Removed’ transition.
- 15) Issue is now in a state of ‘Pending Complete’ with Requesting CR as Responsible MP.
- 16) Requesting CR selects ‘Complete’, and issue is closed.

Switch Hold Removal

Submit into: MarkeTrak : Issues : D2D : Switch Hold Removal

OK

Cancel

Actions ▾

File

▼ Issue Information

Title: Switch Hold Removal

Submitting MP: 11111111, Retail TestLSE, CR

* TDSP Involved:

Enter value to find here

666666666, test TDSP company, TDSP

* ESI ID:

3800000000

* Comments:

Requesting removal of Switch Hold

Add Note
Add URL
Add File
Add Item Link
Add to Folder

Get help with Submit or Transitions

File attachment is required on the Submit transition.

CR enters required information and attaches file(s).

Switch Hold Removal – Validations

Submit into: MarkeTrak : Issues : D2D : Switch Hold Removal

Submit into: MarkeTrak : Issues : D2D : Switch Hold Removal

OK Cancel

ERCOT system indicates there is no Switch Hold currently in place on the ESIID provided.

Click OK again to continue or Cancel to abort

▼ Issue Information

Title: Switch Hold Removal

Submitting MP: 111111111, Retail TestLSE, CR

TDSP Involved:

666666666, test TDSP company, TDSP

ESI ID: ESIID104850961TSTEWART

- A check is performed to verify if a Switch Hold currently exists on the ESIID in the ERCOT Registration System. If there is no Switch Hold on the ESIID, a warning message will display to the User:
 - “ERCOT system indicates there is no Switch Hold currently in place on the ESIID provided. Click OK again to continue or Cancel to abort”

Switch Hold Removal – Validations

Submit into: MarkeTrak : Issues : D2D : Switch Hold Removal

Submit into: MarkeTrak : Issues : D2D : Switch Hold Removal

OK Cancel

Actions File


Switch Hold Removal issues should not be submitted by the current Rep of Record.


Click OK to continue with the submit process or Cancel to exit.

▼ Issue Information

Title: Switch Hold Removal

Submitting MP: 111111111, Retail TestLSE, CR

TDSP Involved: 



ESI ID:

Comments:

- Check is performed to verify if the Submitting MP is the current Rep of Record in ERCOT's Registration System. Warning message to display if TRUE:
 - "Switch Hold Removal issues should not be submitted by the current Rep of Record. Click OK to continue with the submit process or Cancel to exit."

Switch Hold Removal

Send to Rep of Record Switch Hold Removal MarkeTrak Issue 2613550: ***** - *****

OK

Cancel

Actions ▾

▼ Issue Information

* Assignee:

111111112, Test LSE2, CR ▾

Comments: Add your comment:

Do you agree or disagree?



RCC1 LSE-Admin-111111111 - 04/14/2022 13:00:11

Please remove switch hold on ESI ID 3800000000.
Customer Jason Smith agrees.

The new functionality will auto-populate the Assignee field on the Submit transition with the current Rep of Record DUNS per the ERCOT Registration System.

If the ESIID provided is de-energized in the ERCOT Registration system and there is no current Rep of Record, ERCOT will transition the issue to the TDSP with a null value in the Assignee field.

We have also modified the 'Send To Rep of Record' transition when the issue is in the state of 'In Progress (TDSP)'. Currently, the TDSPs manually enter the Rep of Record DUNS during this transition. Going forward, the Assignee field will still prompt as a required field; however, it will already be pre-populated by ERCOT. This value can be changed by the TDSP if needed.

Switch Hold Removal

Switch Hold Removal MarkeTrak Issue - 2613550: Switch Hold Removal - In Progress (TDSP)

Details Social

Send to Rep of Record

No Rep of Record

Unexecutable

Add Comment

Assign Owner

Assign To Group

Actions ▾

!

▼ State Change History

Show All



▼ Issue Information

Title: Switch Hold Removal

Issue ID: 2613550

State: In Progress (TDSP)

Submitting MP: 111111111, Retail TestLSE, CR

TDSP Involved: 666666666, test TDSP company, TDSP

ESI ID: 3800000000

TDSP sends to
REP of Record.

Switch Hold Removal

Switch Hold Removal MarkeTrak Issue - 2613550: Switch Hold Removal - In Progress (Assignee)

Agree

Disagree

Time Limit Exceeded

Add Comment

Assign Owner

Assign To Group

Details

Social

Actions ▾

▼ Issue Information

Title: Switch Hold Removal

Issue ID: 2613550

State: In Progress (Assignee)

Submitting MP: 111111111, Retail TestLSE, CR

Assignee: 111111112, Test LSE2, CR

TDSP Involved: 666666666, test TDSP company, TDSP

ESI ID: 3800000000

Comments:

rtcert-666666666 - 04/14/2022 14:46:41

Do you agree or disagree?

RCC1 LSE-Admin-111111111 - 04/14/2022 13:00:11

Please remove switch hold on ESI ID 3800000000.

Customer Jason Smith agrees.

REP of Record agrees to release switch hold.

Switch Hold Removal

Switch Hold Removal MarkeTrak Issue - 2613550: Switch Hold Removal - In Progress (TDSP) - Final Review

Details Social

Switch Hold Removed

Return to Rep of Record

Switch Hold Not Removed

Add Comment

Assign Owner

Assign To Group

Actions ▾

▼ State Change History

Show All

s (Assignee)
2-111111112
15:09:48

Agree
By RCC2 LSE2-11111112
Details...

New (TDSP) - Final Review
rtcert-666666666
04/14/2022 15:11:33

Begin Working
By rtcert-666666666
Details...

In Progress (TDSP) - Final Review
rtcert-666666666
04/14/2022 15:14:29

14

▼ Issue Information

Title: Switch Hold Removal

Issue ID: 2613550

State: In Progress (TDSP) - Final Review

TDSP confirms removal
of switch hold.

Switch Hold Removal

Switch Hold Removal MarkeTrak Issue - 2613550: Switch Hold Removal - Pending Complete

Details Social

Complete Add Comment Assign Owner Assign To Group ⚠

Actions ↕ ↺ ! 📄

▼ State Change History Show All

- Final Review
6666
15:11:33

Begin Working
By rtcert-6666666666
Details...

In Progress (TDSP) - Final Review
rtcet-6666666666
04/14/2022 15:14:29

Switch Hold Removed
By rtcert-6666666666
Details...

Pending Complete
RCC1 LSE-Admin-111111111
04/14/2022 15:15:31

⏮ ————— 📄 ————— ⏭

▼ Issue Information

Title: Switch Hold Removal

Issue ID: 2613550

State: Pending Complete

Submitting MP: 111111111, Retail TestLSE, CR 📄

Assignee: 111111112, Test LSE2, CR 📄

TDSP Involved: 666666666. test TDSP company. TDSP 📄

Submitting (Requesting)
CR selects 'Complete'
and the issue is closed.

Alternate Resolution Paths

Step by Step walkthrough of the following paths is located after the checkpoint questions:

1. REP of Record disagrees; TDSP declines to remove hold
2. REP of Record disagrees; TDSP still removes hold.
3. TDSP rejects issue during first step as Responsible MP.
4. REP of Record does not choose “Begin Working”, exceeds time limit.
 - TDSP can execute ‘Time Limit Exceeded’ transition
5. REP of Record selects ‘Begin Working’, exceeds time limit.
 - TDSP can execute ‘Time Limit Exceeded’ transition
6. ‘Time Limit Exceeded’ used before one and a half business hours.

Ultimately the TDSP determines if the Switch Hold will be removed.

Switch Hold Removal – Time Limit Exceeded Transition

Currently, the 'Time Limit Exceeded' transition is only available to the Submitting CR. With SCR 817, this transition will now be available to the TDSP when the issue is in a state of 'New (Assignee)' or 'In Progress (Assignee)' and the Responsible MP is the current Rep of Record (Assignee). If the Assignee does not transition the issue 'Agree' or 'Disagree' within the allotted one and a half business hours, both the Submitting CR and the TDSP now have the ability to transition the issue 'Time Limit Exceeded' to move the issue to the TDSP for the final review.

The screenshot displays the 'Switch Hold Removal - In Progress (Assignee)' interface. At the top, a red circle highlights the 'Time Limit Exceeded' button. Below this, the 'State Change History' section shows a sequence of transitions: Pending Issue, Submit, New (TDSP), Begin Working, In Progress (TDSP), Send to Rep of Record, New (Assignee), Begin Working, and In Progress (Assignee). The 'In Progress (Assignee)' state is the current state. The 'TDSP view' section is highlighted in blue. Below this, the 'Issue Information' section provides details about the issue, including the title, issue ID, state, submitting MP, assignee, TDSP involved, ESI ID, comments, issue available date, responsible MP, and first touched date.

Switch Hold Removal - In Progress (Assignee)

Switch Hold Removal MarkeTrak Issue - 2616819: Switch Hold Removal - In Progress (Assignee)

Time Limit Exceeded Add Comment Assign Owner Assign To Group

Details Social

Actions

TDSP view

State Change History

1 Pending Issue Prod VerTest1-11111111 01/04/2024 14:58:22

Submit By Prod VerTest1-11111111 Details...

New (TDSP) Unknown Unknown 01/04/2024 14:58:22

Begin Working By RCC1 TDSP-666666666 Details...

In Progress (TDSP) RCC1 TDSP-666666666 01/04/2024 14:58:44

Send to Rep of Record By RCC1 TDSP-666666666 Details...

New (Assignee) Unknown Unknown 01/04/2024 14:58:57

Begin Working By RCC1 LSE2-111111112 Details...

In Progress (Assignee) RCC1 LSE2-111111112 01/04/2024 14:59:19

Issue Information

Title: Switch Hold Removal

Issue ID: 2616819

State: In Progress (Assignee)

Submitting MP: 111111111, Retail TestLSE, CR

Assignee: 111111112, Test LSE2, CR

TDSP Involved: 666666666, test TDSP company, TDSP

ESI ID: ESIID104725709TSTEWART

Comments: T Tammy Stewart-Admin-183529049 (on behalf of Prod VerTest1-11111111) - 01/04/2024 14:58:22

Issue Available Date: 01/04/2024 14:58:22

Responsible MP: 111111112, Test LSE2, CR

First Touched: 01/04/2024 14:58:44

Switch Hold Removal – Unexecutable Reasons

Switch Hold Removal:

Modify the **Unexecutable Reason** field for Switch Hold Removal subtype.

- When *Documentation Invalid/Incomplete* is selected from the Unexecutable Reason dropdown field on the Unexecutable transition, a secondary dropdown field '**Documentation Invalid Reason**' displays with the following values:
 - Incorrect or missing documents
 - Illegible supporting documents
 - Address not listed on documents
 - Missing phone number on New Occupant Statement
 - Signatures missing on the lease agreement
 - Address on the lease does not match the service address
 - The name on the lease does not match New Occupant Statement
 - ESI ID invalid or not found
 - ESI ID not listed on New Occupant Statement
 - New customer is same as current tenant
 - Other
 - Comments Required

Unexecutable Switch Hold Removal MarkeTrak Issue - 2616393: ***** - *****

OK Cancel

▼ Issue Information

Unexecutable Reason: Documentation Invalid/Incomplete ▼

* Documentation Invalid Reason: (None) ▼

Comments: (None)

- Incorrect or missing documents
- Illegible supporting documents
- Address not listed on documents
- Missing phone number on New Occupant Statement
- Signatures missing on the lease agreement
- Address on the lease does not match the service address
- The name on the lease does not match New Occupant Statement
- ESI ID invalid or not found
- ESI ID not listed on New Occupant Statement
- New customer is same as current tenant
- Other

11111111) - 08/31/2023 15:33:00

PR409-01_12.SHR_SearchCheck

Switch Hold Overview

References and General Overview of Switch Hold Process:

PUCT Rule References:

- PUCT Subst. Rule 25.126, Adjustments due to Non-Compliant Meters and Meter Tampering in Areas where Customer Choice has been Introduced
- PUCT Subst. Rule 25.480, Bill Payments and Adjustments

Retail Market Guide References:

- 7.16, Business Processes & Communications Related to Meter Tampering
 - 7.16.4.3, Removal of a Switch Hold for Meter Tampering for Purposes of a Move In
- 7.17, Business Processes & Communications Related for Switch Holds Related to Deferred Payment Plans
 - 7.17.3.3, Removal of a Switch Hold for Deferred Payment Plans for Purposes of a Move In

Checkpoint Question

How long does the REP of Record have to review the Switch Hold Removal request, once the TDSP assigns the issue to them?

- a) 1 hour
- b) 4 hours
- c) 1 ½ hours
- d) 6 Hours
- e) None of the Above

Checkpoint Question

The TDSP assigns a Switch Hold Removal MarkeTrak issue to the REP of Record on Friday, at 4:30 pm. When does the REP of Record's review period expire?

- a) Friday at 6:00pm
- b) Saturday at 9:00 am
- c) Sunday at 9:00 am
- d) Monday at 9:00 am
- e) None of the Above

Checkpoint Question

Which of the following documents is not an “acceptable” document for Switch Hold Removal consideration?

- a) Utility bill from a different address dated within the last two months
- b) Notarized Affidavit of Landlord
- c) Closing documents executed after the Switch Hold was applied
- d) Cell phone bill
- e) All of the above

Questions





MarkeTrak Training

Inadvertent Gain/Loss (IAG) Overview

What is an IAG?

An **Inadvertent Gain/Loss (IAG)** is an unauthorized change of a customer's
Retail Electric Provider

Commonly referred to as either an Inadvertent Gain (IAG) or Inadvertent Loss (IAL), an inadvertent situation occurs when a customer or a premise is changed to a REP that is different than their expected REP of choice.

When resolving IAG issues, the **ultimate goal** is to return the Customer to their REP of choice in a **quick and efficient** manner with minimal inconvenience to the Customer.

Gaining CR and Losing CR

- The **Gaining CR** is a competitive retailer who inadvertently gains an ESI ID and is responsible for returning the customer to the previous REP of Record.
 - When initiating the MarkeTrak process the Gaining CR shall submit the Inadvertent Gain subtype.
- The **Losing CR** is a competitive retailer who was the REP of Record prior to losing an ESI ID due to an Inadvertent Gain situation.
 - When initiating the MarkeTrak process the Losing CR shall submit the Inadvertent Loss subtype.

Reference Documents

1. PUCT Subst. Rule §25.495, Unauthorized Change of Retail Electric Provider
2. ERCOT Retail Market Guide Section 7.3, Inadvertent Gain Process
3. MarkeTrak User's Guide, Section 2

How does an IAG occur?

An Inadvertent Gain or Loss can occur under various circumstances:

- Incorrect information provided by the Customer during enrollment – service address, ESI ID, wrong apartment number.
- Incorrect information entered by the REP during enrollment
- Unauthorized enrollments – slamming
- Variety of different enrollment processes used by REPs

Invalid Use of the IAG Process

RMG Section 7.3.2.1

1. *After the Rescission Period*

- Untimely notice of rescission does not constitute and should not be treated as an inadvertent gain or loss. Customer may select another REP and complete an enrollment.

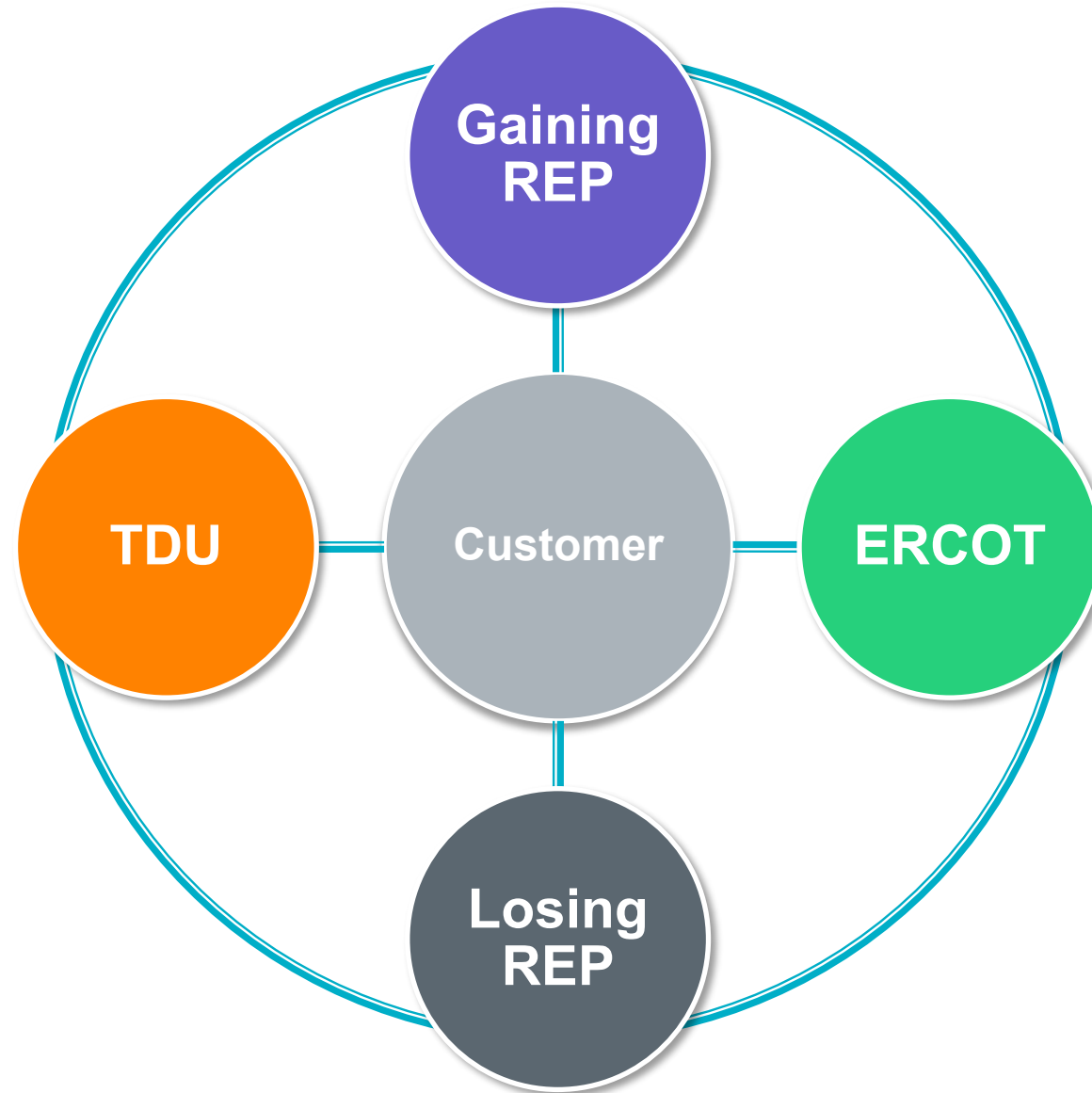
2. *Breach of Contract*

- Not to be used to resolve an early termination fee issue between the Customer and the losing CR
- Not to be used to resolve a non-payment issue between the Customer and the gaining CR

3. *Identity Theft*

- Not to be used to resolve an issue where service is connected as a result of identity theft

Who does an IAG impact?



How is the Market impacted?

- **Customer**

- Confusion as to who is their REP
- Delayed Billing
- Possible Lights Out Situation
- Poor Customer Experience

- **Market**

- Most used MT Subtype - represents over **49%** of all MTs
- One of the longest MT issues to resolve
- It can create distrust and confusion in the Market

- **Cost**

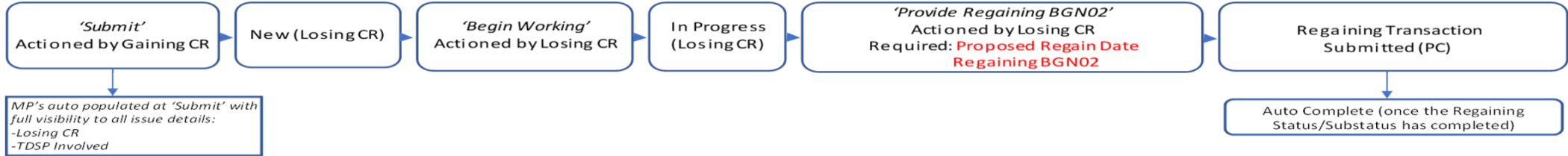
- Resource Commitments
- Consumption Write-offs
- IAG Fees from TDSPs



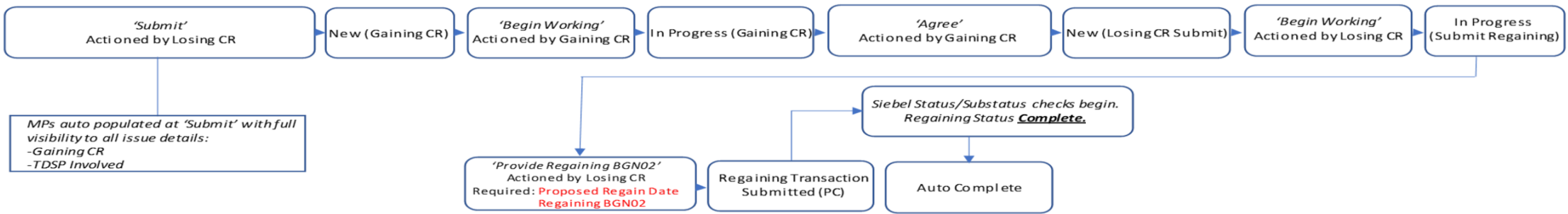
Market Enhancement

New Inadvertent Gain Workflows

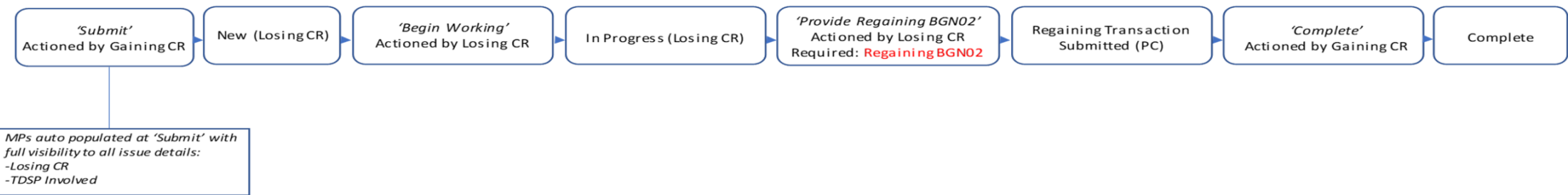
Inadvertent Gain Workflow



Inadvertent Loss Workflow



Customer Rescission



Inadvertent Gain/Loss/Rescission New Functionality

- CR – Customer Rescission Code for BDMVI
- IA – Inadvertent Gain Code for BDMVI
- Removing TDSP from having to set up systems for BDMVI
- Warning Message for third-party transactions that are “Scheduled” or “In Review”
- Customer Rescission MarkeTrak has to be submitted within 15 days of the effectuating date.
- Additional validations of the proposed regain date
 - Regain Date is not >150 Days in the past (warning)
 - Regain Date is not $< \text{Date of Loss} + 1$
 - Regain Date is not $> \text{MarkeTrak submit date} + 10$ days

Questions





MarkeTrak Training

Customer Rescission Walkthrough

Right of Rescission

PUCT Subst. Rule 25.474(j) - Right of Rescission

A REP shall promptly provide the applicant with the terms of service document after the applicant has authorized the REP to provide service to the applicant and the authorization has been verified. For switch requests, the REP shall offer the applicant a right to rescind the terms of service without penalty or fee of any kind for a period of three federal business days after the applicant's receipt of the terms of service document. The provider may assume that any delivery of the terms of service document deposited first class with the United States Postal Service will be received by the applicant within three federal business days. Any REP receiving an untimely notice of rescission from the applicant shall inform the applicant that the applicant has a right to select another REP and may do so by contacting that REP. The REP shall also inform the applicant that the applicant will be responsible for charges from the REP for service provided until the applicant switches to another REP. The right of rescission is not applicable to an applicant requesting a move-in.

Right of Rescission

In other words ...

- Applicable to Switch requests only, not Move-Ins.
- After receiving the Terms of Service, Customer is allowed **three (3) federal business days** to rescind without penalty or fees from the Gaining REP.
- Ultimate goal is to return the Customer to their REP of choice ***quickly and efficiently*** with minimal inconvenience to the Customer.

Rescission vs. Inadvertent Switch

- Strongly recommended that involved CRs share as much information as possible at the onset of issue creation to aid in resolution of Customer Rescission issue **quickly and efficiently** (e.g. **Customer Name, Meter #, etc.**)
- Although Customer Rescission is part of the Inadvertent Switch ‘family’ within the MarkeTrak tool, resolution of a Customer Rescission does not follow the same criteria nor follow the same completion timeline.
- If/when the customer requests rescission (within the 3 federal business day window), the ‘losing’ REP must promptly regain the Customer – **no questions asked**.
 - The research and investigation normally pursued during resolution of an Inadvertent Switch is not utilized when resolving Customer Rescission.

Rescission vs. Inadvertent Switch

Handling of Fees/Charges Associated with IAG vs Rescission
(per TDSP tariff):

	Customer Rescission	Inadvertent Gain/ Loss
Can CRs pass <u>TDSP fees</u> to customer?	No	Yes – TDSPs may charge Gaining CRs an IAG fee and/or pass-through charges. Gaining CRs <u>may choose</u> to pass these charges to the customer.
Can CRs pass <u>kWh usage</u> to customer?	No	Yes – because IAG reinstatement date can range from “DOL + 1” to “Date of MT submission +10”, Gaining CRs <u>may choose</u> to pass kWh charges (usage) to the customer.

Customer Rescission Guidelines

- Only the Gaining CR may submit the rescission-based MarkeTrak
- The issue must be submitted on or before the **fifteenth (15th)** calendar day following ERCOT's established First Available Switch Date (FASD).
- If a Customer Rescission issue has not been submitted within the specified timeframe above, the two CRs should work to resolve the issue through the IAG/IAL subtype.

Completion Timeline for Customer Rescission

- Once a Customer Rescission MarkeTrak (MT) issue has been submitted, the Losing CR has two (2) business days to agree to the Customer Rescission MT issue.
 - *If the MT has not transitioned in two business days, an escalation email will be sent.*
- Upon agreement the losing CR should submit the BDMVI with the CR-Customer Rescission indicator on the same day.

Rescission Walkthrough – Gaining CR

1. The following fields must be populated:

- ESI ID
- Original Tran ID
- Comments (Recommended)

Submit into: MarkeTrak : Issues : D2D : IAG : Customer Rescission

OK

Cancel

Actions ▾



▼ Issue Information

Title: Customer Rescission

Assign To Pending?: ☐

* ESI ID:

* Original Tran ID:

TXN Date:

mm/dd/yyyy



Comments:

Rescission Walkthrough - Validations

2. ERCOT validates ESI ID, submission timeframe and valid originating transaction. (**Now 15 days from originating transaction**)
3. ERCOT will provide a warning message if a third-party or MVO transaction exists.
 - *There is a third party or Move Out transaction in a status of “Scheduled” or “In Review” in the ERCOT Registration System for the ESIID provided. Please review prior to proceeding with Submit to avoid a potential Unexecutable situation.”*
4. Upon passing validation, MarkeTrak issue is updated and ERCOT updates the issue with the following information:
 - Losing CR Name and Duns
 - TDSP Name and Duns
 - Gaining CR ROR = Y or N
 - Gaining CR Start Date
 - Regain Date – auto-populated by ERCOT.
(Gaining CR Start Date +1 calendar day)
5. MarkeTrak issue is assigned to the state of ‘New (Losing CR)’ with the Losing CR as the Responsible Party.
[Starts the 2 Business Day clock for Losing CR to Agree]

Rescission Walkthrough – Losing CR

6. Losing CR user selects 'Begin Working'.
7. MarkeTrak issue is assigned to the state of 'In Progress (Losing CR)' with the Losing CR as the Responsible Party.
8. Submit Regaining Transaction

NOTE: BDMVI must have CR – Customer Rescission Indicator in the 814-16 or it will be rejected by the TDSP. BDMVI's should be submitted same day as agreement

Customer Rescission - New (Losing CR) 

Customer Rescission MarkeTrak Issue - 2617570: Customer Rescission - New (Losing CR)

Details

Social

Begin Working

Withdraw

Add Comment

Assign Owner

Assign To Group

Update Siebel Status/Substatus



Actions ▾



Rescission Walkthrough – Losing CR – Need new screenshot

10. Losing CR selects 'Provide Regaining BGN02'.

Customer Rescission - In Progress (Losing CR)

Customer Rescission MarkeTrak Issue - 2617570: Customer Rescission - In Progress (Losing CR)

Details Social

Provide Regaining BGN02 Send To Gaining CR Close Unexecutable Add Comment Assign Owner

Assign To Group Update Siebel Status/Substatus

Actions ↕ ↺ ! 📄

▼ State Change History

Issue 3E-Admin-11111111 24 15:28:12

⚠ The Losing Competitive Retailer has a period of four business days to agree to the Customer Rescission MarkeTrak issue unless a valid reason for rejecting the issue is met.

Show All

Issue 2-111111112 15:30:38

▼ Issue Information

Issue ID: 2617570

State: In Progress (Losing CR)

Title: Customer Rescission

ESI ID: ESIID105028365

Rescission Walkthrough – Losing CR

11. Losing CR populates all required information:

- Regaining BGN 02

Provide Regaining BGN02 Customer Rescission MarkeTrak Issue 3304803: ***** - *****

OK

Cancel

Actions ▾

▼ Issue Information

* Regaining BGN 02:

Comments: Add your comment:



RCC1 LSE-Admin-111111111 - 05/10/2022 15:01:55

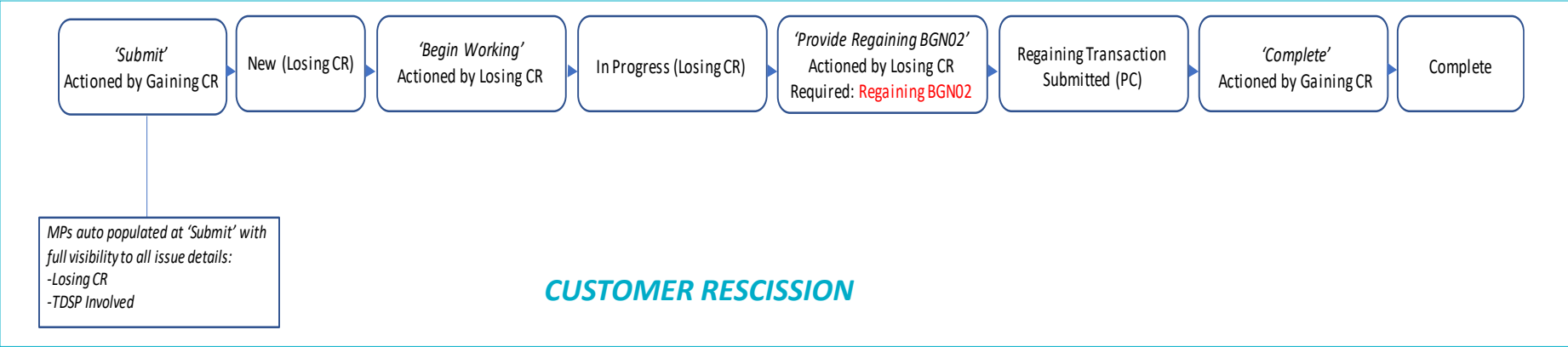
IAG for ESI ID 104344732 - Smith

Rescission Walkthrough - Resolution

12. Issue is in a state of 'Regaining Transaction Submitted (PC)' with the Gaining (Submitting CR) as Responsible MP.
13. Once the regaining transaction (Backdated 814_16 MVI) has been successfully sent by (Losing/Original CR), Siebel will automatically:
 - Check Regaining Transaction Siebel Status every 30 minutes using the BGN 02 from the new initiating transaction.
 - Update the issue with the current Regaining Transaction Siebel Status.
14. The issue will move to a state of 'Complete' with the Submitting MP as the Responsible Party once the Regaining Transaction Siebel Status is Complete.

Overview: Revised Customer Rescission Workflow

As with the changes to the IAG and IAL workflows just reviewed, the Customer Rescission subtype has also been revised to eliminate the TDSP transitions from the workflow. A new 'CR' indicator in the 814_16 Move In Request is being implemented for Customer Rescission scenarios. TDSPs will continue to be an 'MP Involved' on the issues and will have the ability to add comments if necessary but they will no longer have transitions to execute in the workflow.



Customer Rescission MarkeTrak Issue - 3781921: Customer Rescission - Complete (Closed)

Buttons: Add Comment, ADMIN Update, Assign Owner, Assign To Group, Delete, Intervention By ERCOT, Update Siebel Status/Substatus

Actions: [Dropdown], [Refresh], [Print]

▼ State Change History

Date	Transition	By	State	Owner	Details...
09/09/2024 12:19:12	Create	RCC1 LSE-Admin-111111111	Pending Issue	RCC1 LSE-Admin-111111111	Details...
09/09/2024 12:19:28	Submit	RCC1 LSE-Admin-111111111	New (Losing CR)	Unknown Unknown	Details...
09/09/2024 12:20:32	Begin Working	RCC2 LSE2-111111112	In Progress (Losing CR)	RCC2 LSE2-111111112	Details...
09/09/2024 12:20:55	Provide Regaining BGN02	RCC2 LSE2-111111112	Regaining Transaction Submitted (PC)	RCC1 LSE-Admin-111111111	Details...
09/09/2024 12:25:12	Complete	RCC1 LSE-Admin-111111111	Complete	RCC1 LSE-Admin-111111111	Details...

Show Less

Checkpoint Question #1

Who can submit a Rescission MarkeTrak?

- a) The Losing REP
- b) The Gaining REP

Checkpoint Question #2

In order to efficiently process a Rescission MT, the customer name should be stated in the comments.

- a) True
- b) False

Checkpoint Question #3

A customer who has exercised their 'right of rescission' may receive fees from the Gaining REP.

- a) True
- b) False

Checkpoint Question #4

Once the Losing REP has agreed to the Rescission, they have 2 days to submit the BDMVI.

- a) True
- b) False

Questions





MarkeTrak Training

Inadvertent Gain (IAG) MarkeTrak Walkthrough

Inadvertent Gain

An inadvertent issue begins upon the discovery of an Inadvertent Gain or Move-In transaction submission.

- Upon identification of an Inadvertent Gain, the CR will check the transaction status via the ERCOT MIS.
 - If transaction Status is **“In Review”** or **“Scheduled”** with a ‘key date’ > 1 day and the Inadvertent CR is the submitting CR, then the CR will cancel their submitting transaction by submitting an 814_08 EDI cancel transaction.

Note: *ERCOT will provide a warning message if a third-party or MVO transaction exists when submitting this MarkeTrak.*

- For **“Completed”** or **“Scheduled”** status where the ‘key date’ is the same day, or if the CR is not the submitter of the transaction, the CR will log a MarkeTrak Inadvertent issue.

Inadvertent Gain


- CR's will work together in a manner outlined in Section 7.3 of the Retail Market Guide (RMG) to determine appropriate resolution.
 - CRs, both Losing and Gaining Reps, must investigate the matter and **provide all necessary/relevant information – customer name, service address, meter number**
 - ***Bulk Inserts may only be used for submission of multiple IAGs for the same customer or in cases when a system processing issue occurred only with proper notification***
- If resolution requires a backdated move-in (BDMVI), the regain date should be **Date of Loss + 1 (DOL+1) or at the latest 10 days from the date the MarkeTrak was submitted** to avoid creating transaction business process exceptions at ERCOT and the TDSP.
 - The Losing Rep shall submit the BDMVI 814_16 no later than 12 days after submittal of the MarkeTrak and shall be dated with the 'proposed regain date' as agreed in the MarkeTrak.

Inadvertent Gain

1. CR1 (Gaining/Original CR) will enter all required information.
 - ESIID
 - Original Tran ID – The original tran id of the other CR's enrollment. (BGN06 of the 814_06).

Note: ERCOT will provide a warning message if a third-party or MVO transaction exists when submitting this MarkeTrak.


Submit into: MarkeTrak : Issues : D2D : IAG : Inadvertent Gaining

OK Cancel Actions 


* ESI ID:

* Original Tran ID:

Tran Type:

TXN Date: 

Assign To Pending?: ☐

Responsible MP: 111111111, Retail TestLSE, CR 

Issue Available Date: First Touched:

Comments:

CRITICAL: The Comments field is technically optional; however, not providing the required information referenced in RMG Section 7.3.2(1) could result in a delay of issue resolution.

Please include any additional information in this box.

- Customer Name (Always)
- Meter Number (If available)
- Any other pertinent information that will help expedite resolution

Inadvertent Gain

2. Select OK to create the IAG – Inadvertent Gaining MarkeTrak Issue. The issue enters the state of New (ERCOT) and is visible only by the Submitting CR and ERCOT.

Inadvertent Gaining MarkeTrak Issue - 3305808: Inadvertent Gaining - New (Losing CR)

Details Social

Begin Working Withdraw Add Comment Assign Owner Assign To Group Update Siebel Status/Substatus ⚠

Actions ↕ ! 📄

▼ State Change History Show All

Create By RCC1 LSE-Admin-111111111 Details... → Pending Issue RCC1 LSE-Admin-111111111 05/11/2022 15:29:38 → Submit By RCC1 LSE-Admin-111111111 Details... → New (Losing CR) Unknown Unknown 05/11/2022 15:29:38

▼ Issue Information

Issue ID: 3305808
State: New (Losing CR)
Title: Inadvertent Gaining
ESI ID: ESIID104343624
Original Tran ID: OTIDSW1104343626
GLOBPROCID: 0000000000000000ESIID104343624TSTEWARTOTIDSW1104343626

➤ The Submitting CR has the option to Withdraw the issue at this point

3. ERCOT will select Begin Working to provide the Gaining CR Start Date, if the Gaining CR is still the rep of record (Gaining CR ROR), assign CR2 (Losing CR) and TDSP. ERCOT will then select “OK” to move the issue to CR2 (Losing CR).

Inadvertent Gain

4. CR2 (Losing CR) will select Begin Working and Issue details and Investigate Market Conditions to determine the appropriate regain date.

Inadvertent Gaining MarkeTrak Issue - 3305808: Inadvertent Gaining - New (Losing CR)

Details Social

Begin Working Withdraw Add Comment Assign Owner Assign To Group Update Siebel Status/Substatus Actions ↕ ! 📄

▼ State Change History Show All

Create
By RCC1 LSE-Admin-111111111
Details...

Pending Issue
RCC1 LSE-Admin-111111111
05/11/2022 15:29:38

Submit
By RCC1 LSE-Admin-111111111
Details...

New (Losing CR)
Unknown Unknown
05/11/2022 15:29:38

▼ Issue Information

Issue ID: 3305808

State: New (Losing CR)

Title: Inadvertent Gaining

ESI ID: ESIID104343624

Original Tran ID: OTIDSW1104343626

GLOBPROCID: 00000000000000ESIID104343624TSTEWARTOTIDSW1104343626

Inadvertent Gain

If CR2 (Losing/Original CR) determines that an Inadvertent Gain has NOT taken place, they have the option to select “Unexecutable” to stop the Inadvertent Gain process as outlined in Section 7.3.2.6 of the Retail Market Guide.

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.

Use “3rd Party CR has regained/transaction completed”

(None)
Authorized Enrollment Confirmed
Duplicate Issue
New Transaction Completed
Customer Rescission Issue-MT linked

Inadvertent Gain

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:

(b) Duplicate Inadvertent Gaining issue in MarkeTrak for the same Customer on the same ESI ID.

Use “Duplicate Issue”

(c.) The IAG was inappropriately submitted as described in Section 7.3.2.1 Invalid Use of the IAG Process.

(None)

Authorized Enrollment Confirmed

Duplicate Issue

New Transaction Completed

Customer Rescission Issue-MT linked

Invalid Reject Reasons

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).

Located under RMG 7.3.2.7 Invalid Reject / Unexecutable Reasons

Inadvertent Gain

- B. If CR2 (Losing/Original CR) determines they will need more information from CR1 (Gaining CR), then they will need to select Send to Gaining CR. This transition allows both CR's to talk back and forth while transitioning the issue back and forth before a resolution is made.
- C. If CR2 (Losing/Original CR) determines that an Inadvertent Gain has taken place, enter the proposed regain date, add comments, and select "OK".

Inadvertent Gaining - New (Losing CR) ✕

Inadvertent Gaining MarkeTrak Issue - 2617559: Inadvertent Gaining - New (Losing CR)

Details

Social

Begin Working

Withdraw

Add Comment

Assign Owner

Assign To Group

Update Siebel Status/Substatus



Actions ▾



Inadvertent Gain - Validations

A validation will occur on the Proposed Regain Date:

- Regain Date is not >150 Days in the past (warning)
- Regain Date is not < Date of Loss +1
- Regain Date is not > MarkeTrak submit date + 10 days

If they do not meet the validation criteria for regain date the following error messages will be displayed:

- Validate Regain Date not < Date of Loss + 1
“Regaining transaction cannot be less than Date of Loss + 1.”
- Validate Regain Date not > MarkeTrak Submit Date + 10 Days
“Proposed Regain Date is greater than 10 calendar days from submittal of MarkeTrak issue. Please Update with a valid Proposed Regain Date.”
- Validate Regain Date not > 150 Days in the Past
“Regain dates greater than 150 days in the past will be rejected by the TDSP.”

This is a hard-stop validation. You will not be able to move the issue to the next state of “Provide Regaining BGN02” until the regain date is corrected.

The screenshot shows a web interface for an "Inadvertent Gaining - Regaining Transaction Submitted (PC)" issue. A yellow box highlights the "Validations" section, which lists three error messages:

- Proposed Regain Date is not less than the Date of Loss, plus 1 day
- Proposed Regain Date is at least one day beyond the date of loss, but no greater than 10 days from the date the Marketrak was submitted
- Regain Date is not greater than 150 days in the past

Below the list, a message states: "Regain Dates greater than 150 days in the past will be rejected by the TDSP". The interface also includes buttons for "Complete", "Add Comment", "Assign Owner", "Assign To Group", "Update Regaining Transaction Siebel Status", and "Update Siebel Status/Substatus". The issue details at the bottom show: Issue ID: 2617559, State: Regaining Transaction Submitted (PC), and Title: Inadvertent Gaining.

Inadvertent Gain

5. Submit the BDMVI with “IA – Inadvertent Switch” indicator 814_16 transaction on the same day as agreement.

NOTE: BDMVI must have IA – Inadvertent Switch Indicator in the 814-16 or it will be rejected by the TDSP. BDMVI's should be submitted same day as agreement

6. Update MT with BGN02

Inadvertent Gaining - In Progress (Losing CR) ✕

Inadvertent Gaining MarkeTrak Issue - 2617559: Inadvertent Gaining - In Progress (Losing CR) Details Social

Provide Regaining BGN02 Send To Gaining CR Close Unexecutable Add Comment Assign Owner

Assign To Group Update Siebel Status/Substatus ⚠ Actions ↺ ! 📄

▼ State Change History

Issue
3E-Admin-11111111
24 09:32:03

⚠

- The losing Competitive Retailer will send the EDI transaction to regain the customer.
- The EDI transaction should include the Inadvertent Gain/Loss indicator “IA” in the BGN07 field.

Issue (Losing CR)
LSE2-11111112
24 09:45:11

Show All

▼ Issue Information

Issue ID: 2617559

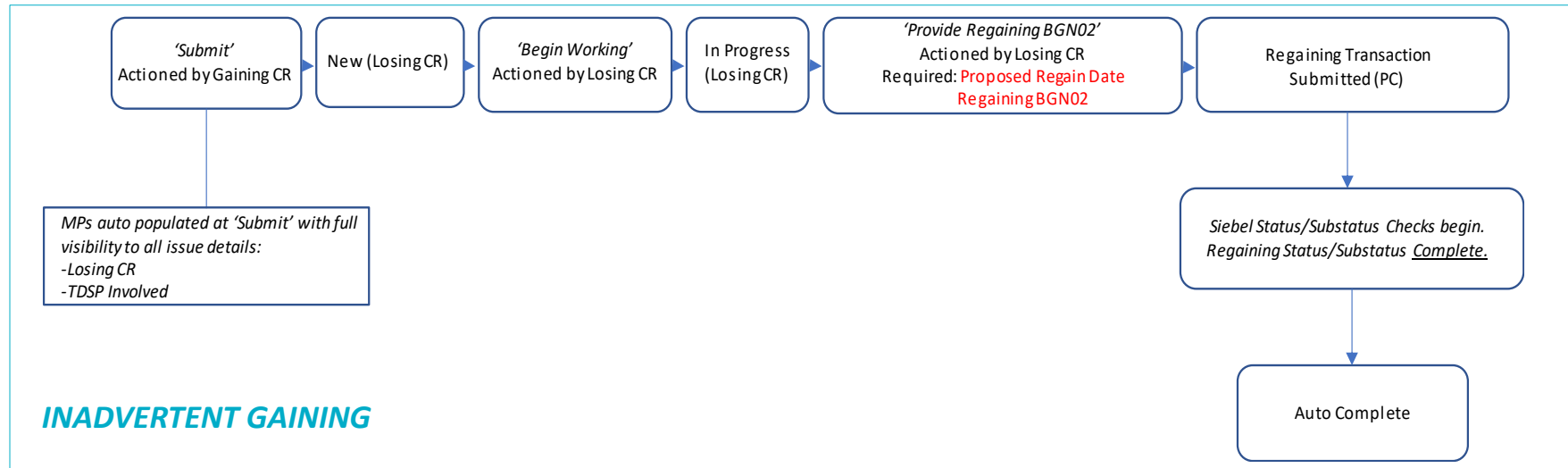
State: In Progress (Losing CR)

Inadvertent Gain

7. All parties should continue to monitor MIS and internal systems for the successful delivery and completion of the EDI transaction being sent by CR1 (Losing/Original CR) to the Market to regain a premise and resolve the associated Inadvertent Gain MarkeTrak issue.
 - Once the regaining transaction has been successfully sent to the Market by CR2 (Losing/Original CR), Siebel will update the status automatically.

Revised Inadvertent Gain Workflow

The Inadvertent Gaining subtype has been revised to eliminate the TDSP transitions from the workflow. With the creation of a new 'IA' indicator in the 814_16, which is being implemented with TX SET 5.0, the TDSPs will no longer need to prepare their systems in advance to receive a backdated Move In and, therefore, no longer need to be an active participant in the resolution of an Inadvertent Gaining MarkeTrak issue. TDSPs will continue to be an 'MP Involved' on the issues and will have the ability to add comments if necessary but they will no longer have transitions to execute in the workflow.



Inadvertent Gaining MarkeTrak Issue - 3784380: Inadvertent Gaining - Auto Complete (Closed)

Buttons: Add Comment, ADMIN Update, Assign Owner, Assign To Group, Delete, Intervention By ERCOT, Update Siebel Status/Substatus

Actions: [Dropdown], [Refresh], [Print]

▼ State Change History

Date	Transition	By	State	Owner	Details...
09/10/2024 11:42:20	Create	RCC1 LSE2-111111112	Pending Issue	RCC1 LSE2-111111112	Details...
09/10/2024 11:42:20	Submit	RCC1 LSE2-111111112	New (Losing CR)	Unknown Unknown	Details...
09/10/2024 11:43:34	Begin Working	PROD VER1-111111111	In Progress (Losing CR)	PROD VER1-111111111	Details...
09/10/2024 12:03:58	Provide Regaining BGN02	PROD VER1-111111111	Regaining Transaction Submitted (PC)	RCC1 LSE2-111111112	Details...
09/10/2024 12:04:17	Update	MarkeTrak System-183529049	Auto Complete	RCC1 LSE2-111111112	Details...

Show Less

Key Points to Remember

Provide as much information when opening Inadvertent Gain/Loss MarkeTrak in order to help facilitate quick resolution to the issue.

Suggested Information includes:

- ✓ Customer Name (Always)
- ✓ Meter Number (If available)
- ✓ Any other pertinent information you may have that is crucial to help resolve issue.

Regain date **MUST** be:

- ✓ Date of Loss (DOL) + 1
- ✓ Date of Loss (DOL) less than or equal to 10 days from date MT was submitted when gaining on a prospective basis.
- ✓ No more than 150 days in the past

Regaining BDMVI Transaction **MUST**:

- ✓ **Have IA – Inadvertent Switch Indicator in the 814-16 or it will be rejected by the TDSP**

Losing REP VALID Reject / Unexecutable Reasons

RMG 7.3.2.6 Valid Reject / Unexecutable Reasons

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.**

Gaining REP Valid Reject / Unexecutable Reasons

RMG 7.3.2.6 Valid Reject / Unexecutable Reasons

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) 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

INVALID Reject Reasons

RMG 7.3.2.7 Invalid Reject / Unexecutable Reasons

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).

Checkpoint Question #1

If a Losing CR receives an IAG MT and their customer does not occupy the premise, the Losing CR should Unexecute the IAG.

- a) True
- b) False

Checkpoint Question #2

If a Losing CR has agreed to regain an ESI ID yet their customer at the time of the IAG no longer occupies the premise, the Losing CR may propose the following regain date:

- a) DOL + 1
- b) Date of MT submittal + 10
- c) Either

Checkpoint Question #3

A back dated MVI (BDMVI) for an IAG must be submitted within _____ days.

- a) 2 days upon agreed status
- b) Date of MT submittal + 10
- c) 12 days of MT submittal
- d) Same Day

Checkpoint Question #4

For Inadvertent Loss subtype the losing CR should submit the BDMVI with the IA indicator within _____ days.

- a) ASAP
- b) Within 2 days upon agreed status
- c) Date of MT submittal + 10
- d) Both A and B

Checkpoint Question #5

A customer enrolled for service at the wrong apartment number. Their REP of choice should issue a MVO on the incorrect address and issue a MVI on the correct address.

- a) True
- b) False

Questions





MarkeTrak Training

Common IAG Issues, Best Practices, & Quick Tips

MVO vs IAG

Issue:

MVO's are incorrectly being submitted for IAG situations

Solution:

CR's **MUST NOT** issue MVOs for active ESI IDs when IAG situations occur and/or while the MarkeTrak IAG/IAL process is in progress.

Best Practices:

- Ask probing questions to ensure proper customer action is taken. (i.e. “Do you currently live here?”; “Was the original address provided incorrect?”)
- For an incorrect address, review ERCOT's MIS to see if the MVI resulted in an 814_06 Loss Transaction being sent to a Losing REP. If so, issue an IAG MT.

Transaction Flow for Inadvertent Gain situation

814_01	CR to ERCOT
814_03	ERCOT to TDSP
814_04	TDSP to ERCOT
814_05	ERCOT to CR
814_06	ERCOT to Losing CR
867_04	TDSP to CR
867_03F	TDSP to Losing CR

3rd Party Transactions

Issue:

3rd party transaction has occurred, nullifying the IAG MarkeTrak therefore causing the Gaining CR to be left with charges they may not be able to recover.

Solution:

Utilize the applicable market approved process to regain a lost ESI ID via MarkeTrak. Educate the customer as to what the process entails and set proper expectations with the customer.

Best Practices:

Identify IAGs in progress for ESI IDs by:

- Identifying IAGs on daily basis utilizing ERCOT MarkeTrak reporting or notification
- Flagging within your own system the ESI IDs that have been IAG/IAL to ensure subsequent transactions are not submitted to the market until the IAG is completed.
- Timely resolution of IAG/IAL MarkeTraks

Escalation for resolution of IAGs

Issue:

MTs and/or Escalated MTs are not receiving responses or being completed in a timely manner

Solution:

Market participants should maintain “rolodex” contacts and work escalations on a daily basis.

Best Practice:

Designate one of the escalation contacts as a departmental mailbox instead of an individual

Escalation Path

Recommendations :

- **First escalation:** email via MarkeTrak to the assigned agent working the issue.
- **Second escalation:** email via MarkeTrak to primary and secondary contact in Rolodex.
- **Third Escalation:** include REP Relations/ERCOT Account Manager

Allow 3-5 business days between escalations.

Expected Level of Performance

Issue:

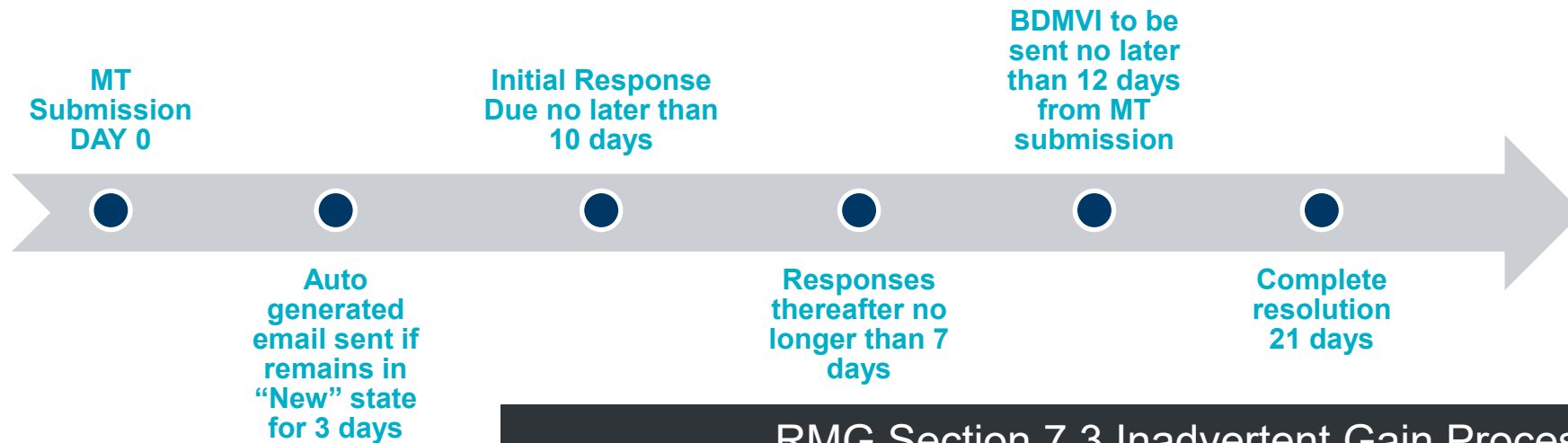
Untimely resolution of IAG issues

Solution:

Adoption of timelines stated in Retail Market Guide

Best Practice:

REPs to develop internal SLAs to address MTs aligning with market's expected level of performance



RMG Section 7.3 Inadvertent Gain Process -

Escalation emails will be sent after 7 days without a transition

No Current Occupant

Issue:

- Losing REP responds to an IAG indicating:
 - “their customer no longer occupies the premise”
 - “no longer under contract”
 - “cannot reach the customer”
 - “Customer no longer wants us as REP of Record”and attempts to ‘unexecute’ the IAG MT issue.
- **Gaining REP accepts an enrollment due to identity theft.**

Solution:

These are **NOT** valid reasons for unexecuting MT (RMG 7.3.2.7 Invalid Reject/Unexecutable Reasons) or **appropriate uses of the IAG process (RMG 7.3.2.2 Invalid Use of the IAG Process)**

Best Practice:

Losing REP must regain ESI ID and initiate the Current Occupant process

Gaining REP should not use the IAG process and initiate the Current Occupant process



➤ **Reference: PUCT Subst. R. 25.488 Procedures for a Premise With No Service Agreement**

Switch Hold on IAG

Issue:

A switch hold is active on account which has been identified as having an IAG

Solution:

When IAG is submitted and accepted, the switch hold should be removed by the Gaining REP in order prevent BDMVI from being rejected and any delay in completing the MarkeTrak

Best Practice:

- When working IAL/IAG issues identify if your ESI ID currently has an active Switch Hold and remove as needed

RMG Section 7.3.2.3 Resolution of Inadvertent Gains

Self-Service Portals (online enrollment/Multi-Family Portals)

Issue:

Customers use Self-Service portals to initiate MVI's, Transfers of Service or MVOs

Solution:

Establish safeguards ensuring that customers who may have inadvertently selected an incorrect address do not cause a lights out situation.

Best Practice:

- Limited functionality for transfers of service within XX amount of days.
- Redirect the customer to contact call center in move out situations
- Display FAQ's regarding Inadvertent Switches

Linking IAL Issues with Customer Rescission

Issue:

Losing REP issues IAL MT prior to the Gaining REP being able to issue Customer Rescission MT

Solution:

Gaining REP should create Customer Rescission MT linking it to the Losing REP's IAL MT.

Best Practice:

- Rescission MarkeTrak should be created prior to unexecuting the Losing REP's IAL
- Linking the MT's together allows for quicker resolution and tracking
- Unexecute Losing REP's IAL MT as a duplicate issue.

Questions





MarkeTrak Training

IAG / IAL Reporting

Monthly IAG/IAL Reporting

What information is reported?

- Monthly IAG/IAL Statistics
- Top 10 Monthly – IAG/IAL
- Top 10 – 12 Month Average IAG/IAL
 - % of the aggregated totals for the last 12 months
- Explanation of the IAG/IAL Stats
- Top REPs – 12 Month Average Rescission
 - % of the aggregated totals for the last 12 months
- Explanation of Rescission Stats
- 18 Month Running Market Totals

Monthly IAG / IAL Statistics

Total IAG+IAL % of Total Enrollments: 1.12%

**IAG/IAL % Greater Than 1% of Enrollments
Total IAG+IAL Count: 3,728**

**IAG/IAL % Less Than 1% of Enrollments
Total IAG+IAL Count: 554**



Microsoft Excel
Worksheet

Individual REP
data by #

Retail Electric Provider Counts

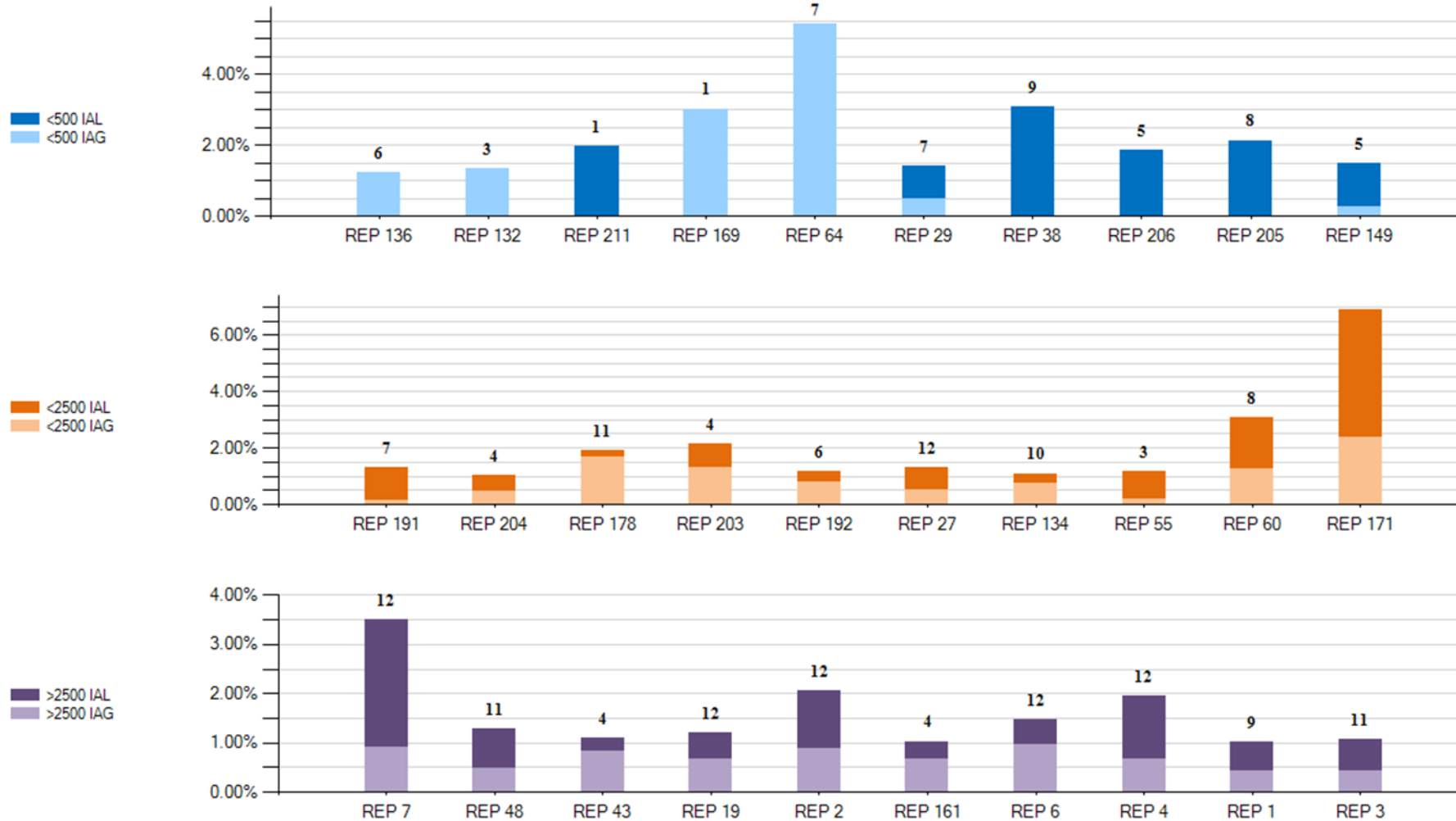
Enrollment Total	Percent of Enrollments Resulting in IAG/IAL			
	.00% to .25%	.26% to .50%	.51% to .75%	.76% to 1.00%
<= 500	0	2	4	0
> 500 and <= 2500	0	7	4	3
> 2500	1	3	4	3

The above chart shows a count of REPs whose IAG/IAL percentage of their total enrollments is below 1%.

- Blue row shows counts of REPs that have less than 500 total enrollments by their % ranges
- Orange row shows counts of REPs that have between 500 and 2500 total enrollments by their % ranges
- Purple row shows counts of REPs that have greater than 2500 total enrollments by their % ranges

Monthly Top 10 – IAG / IAL Statistics

Top 10 – Monthly– IAG / IAL % Greater Than 1% of Enrollments With
Number of Months Greater Than 1%



12 Month Average – IAG / IAL Statistics

Top 10 - 12 Month Average IAG / IAL % Greater Than 1% of Enrollments
With Number of Months Greater Than 1%



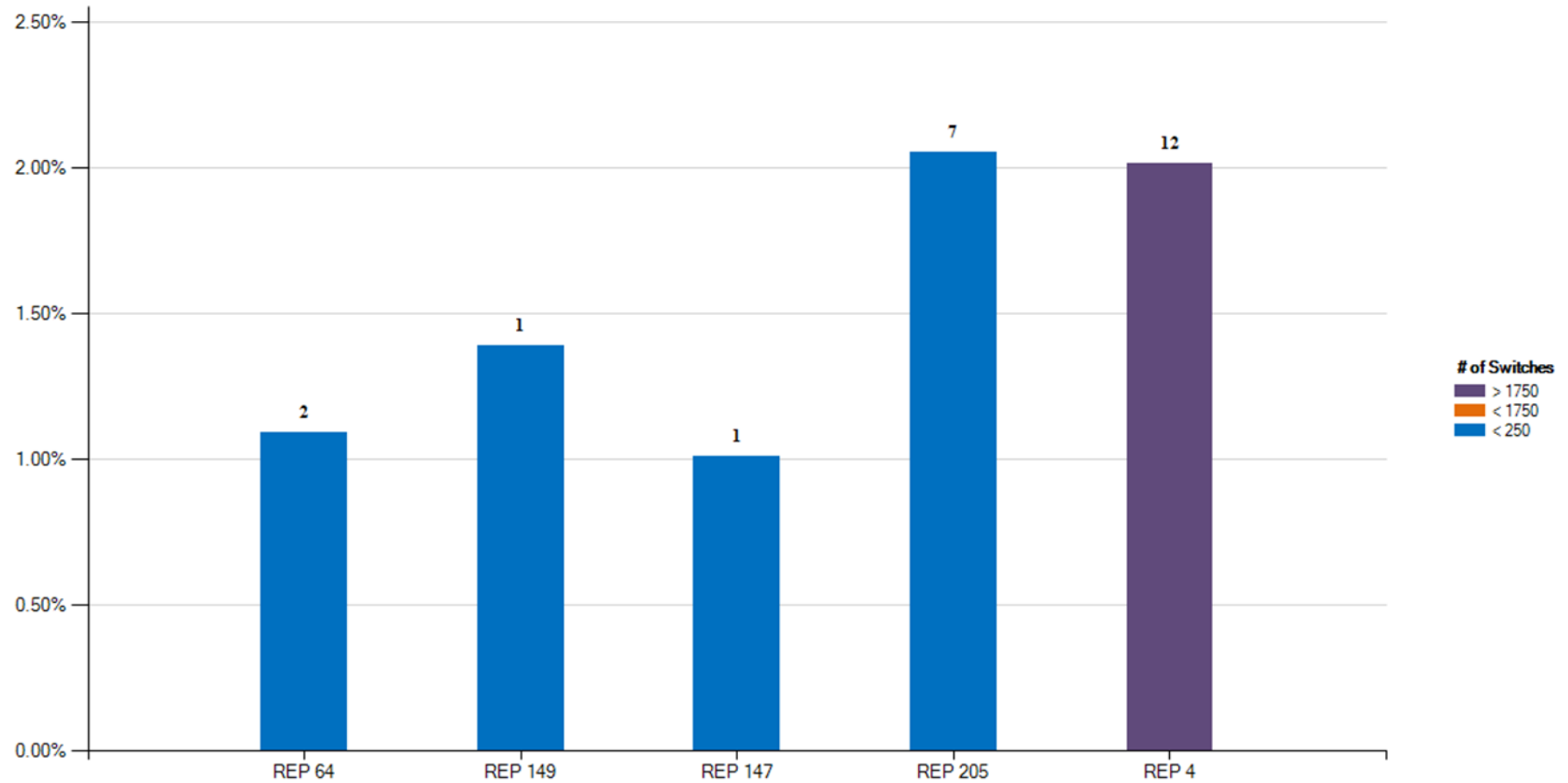
Explanation of IAG / IAL Slides Data

- ▶ **Slide 103 charts show the top 10 REPs whose IAG/IAL percentage of their total enrollments is above 1%.**
 - The blue chart shows enrollment totals of less than 500 for the month being reported
 - The orange chart shows enrollment totals between 500 and 2500 for the month being reported
 - The purple charts show enrollment totals of over 2500 for the month being reported
 - REPs with the lowest AG/IAL totals start on the left, and move to the highest counts on the right

- ▶ **Slide 104 charts show the top 10 REPs whose 12 month average IAG/IAL percentage of their total enrollments is above 1%.**
 - The blue chart shows enrollment total averages of less than 500 for the month being reported
 - The orange chart shows enrollment total averages between 500 and 2500 for the month being reported
 - The purple charts show enrollment total averages of over 2500 for the month being reported
 - REPs with the lowest IAG/IAL averages start on the left, and move to the highest counts on the right
 - Number labels represent the number of months the REP has been over 1% during the 12 month period

12 Month Average – Rescission Statistics

Top - 12 Month Average Rescission % Greater Than 1% of Switches
With number of months Greater Than 1%



Explanation of Rescission Slide Data

NOTE:

A 10% chart range limit has been set. REPs data points that exceed 10% will be bordered in yellow. Please see the spreadsheet for actual percentages of these REPs.

- ▶ Slide **106** charts show the top REPs whose 12 month average Rescission percentage of their total Switches is above 1%.
 - The blue shades show switch totals of less than 250 for the month being reported
 - The orange shades show switch totals between 250 and 1750 for the month being reported
 - The purple shades show switch totals of over 1750 for the month being reported
 - The REPs with the lowest count of rescission totals start on the left, and move to the highest counts on the right
 - Number labels represent the number of months the REP has been over 1% during the 12 month period

18 Month Running Market Totals

	Enrollments			IAG, IAL, Rescission					Days to Resolution		
Month	SWI	MVI	Total	IAG	IAL	Rescission	IAG, IAL, Res Total	Overall %	IAG	IAL	Rescission
2024-01	84,343	263,084	347,427	1,481	2,240	407	4,128	1.19%	13	13	9
2024-02	105,903	331,939	437,842	1,480	1,948	440	3,868	0.88%	14	15	11
2024-03	115,446	252,603	368,049	1,900	2,213	375	4,488	1.22%	12	15	12
2024-04	145,509	251,888	397,397	1,789	2,651	420	4,860	1.22%	13	18	9
2024-05	89,974	253,661	343,635	1,939	2,371	527	4,837	1.41%	15	17	13
2024-06	106,772	255,906	362,678	2,237	2,240	564	5,041	1.39%	15	19	17
2024-07	114,296	269,449	383,745	2,255	2,490	544	5,289	1.38%	13	16	12
2024-08	104,312	282,027	386,339	2,036	2,424	578	5,038	1.30%	12	16	9
2024-09	98,473	262,630	361,103	2,780	3,725	559	7,064	1.96%	13	18	10
2024-10	86,198	270,801	356,999	2,121	2,354	516	4,991	1.40%	13	21	12
2024-11	69,512	220,829	290,341	1,691	2,049	360	4,100	1.41%	10	18	11
2024-12	82,578	213,001	295,579	1,637	1,979	293	3,909	1.32%	7	13	8
2025-01	83,765	230,136	313,901	1,865	2,035	380	4,280	1.36%	5	8	5
2025-02	80,791	220,508	301,299	1,670	1,918	444	4,032	1.34%	5	8	4
2025-03	215,134	246,258	461,392	1,886	1,995	460	4,341	0.94%	5	8	4
2025-04	115,540	238,444	353,984	2,056	2,078	514	4,648	1.31%	5	7	4
2025-05	110,689	250,670	361,359	1,850	2,068	446	4,364	1.21%	4	7	3
2025-06	124,872	257,580	382,452	2,074	2,208	397	4,679	1.22%	5	7	4

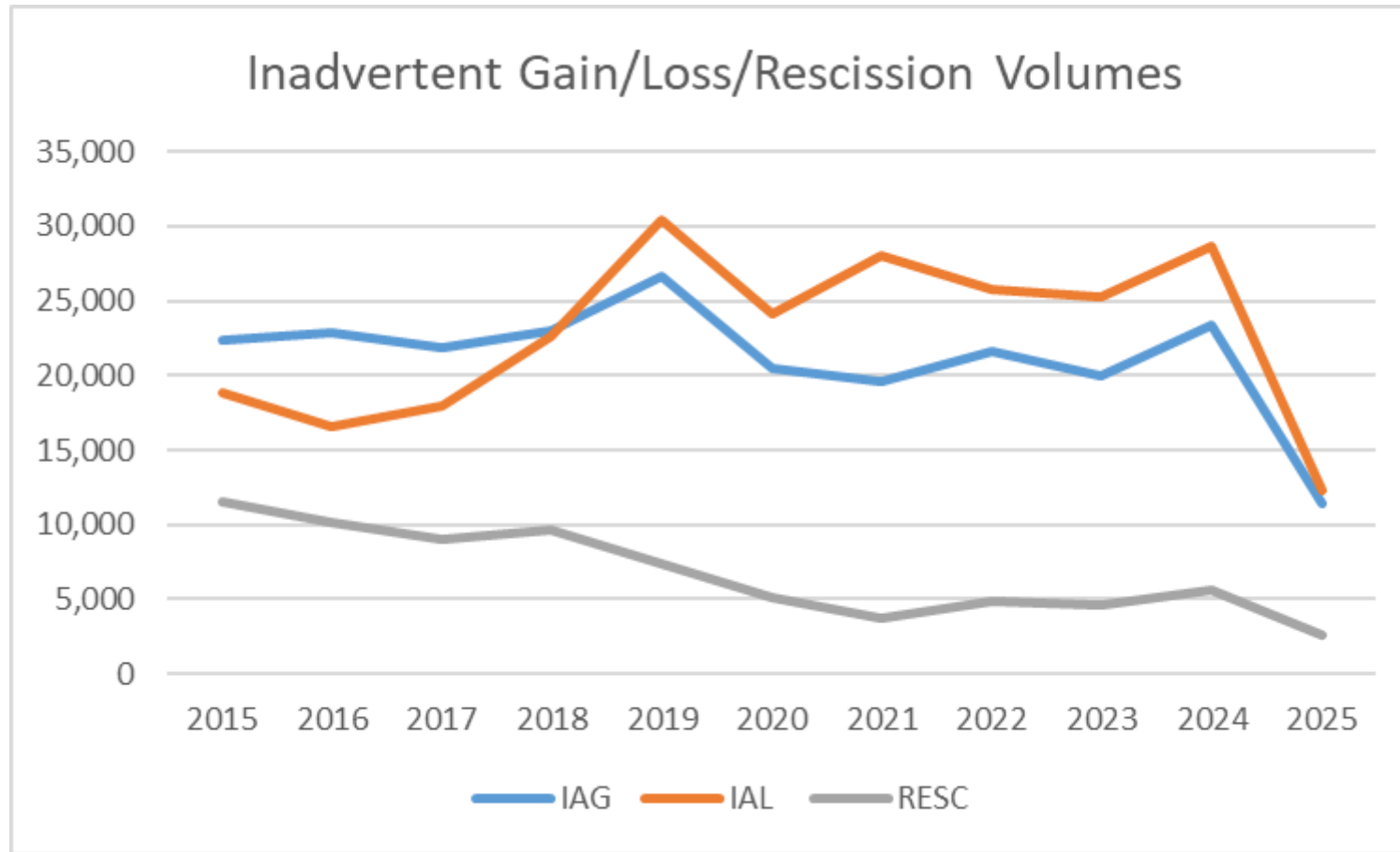
How can we drive efficiency? *Reporting*

Reporting to measure success ... **New format!!**

Impact by REP

- ▶ % of IAG/IALs to total enrollments by REP
- ▶ **Each REP is assigned a REP #** - this # won't change
- ▶ Enrollments are MVIs+SWIs for IAG/IALs
- ▶ For Rescissions, enrollments are SWIs only
- ▶ IAG/IAL totals & % are calculated using the counts of the acknowledged Inadvertent Gaining REP only for both IAG & IAL issues.
 - If the Gaining REP in a submitted IAL issue *does not agree* to return the ESI to the Losing REP, that issue will not be counted
 - The Losing REP is not represented in any of the totals or % in any data
- ▶ Two month lag in reporting to allow for IAG/IALs to be tied to enrollment transaction
 - MVI sent in November that resulted in an IAG MT submitted in December, will be reported on the % IAG/IAL total for November

Market Performance - Volumes



*2025 data through June

Overall % Change in IAS volume per enrollment:

2015 to 2016 = -6.62%

2016 to 2017 = -7.09%

2017 to 2018 = 5.38%

2018 to 2019 = 10.59%

2019 to 2020 = -17.7%

2020 to 2021 = -3.85%

2021 to 2022 = 2.07%

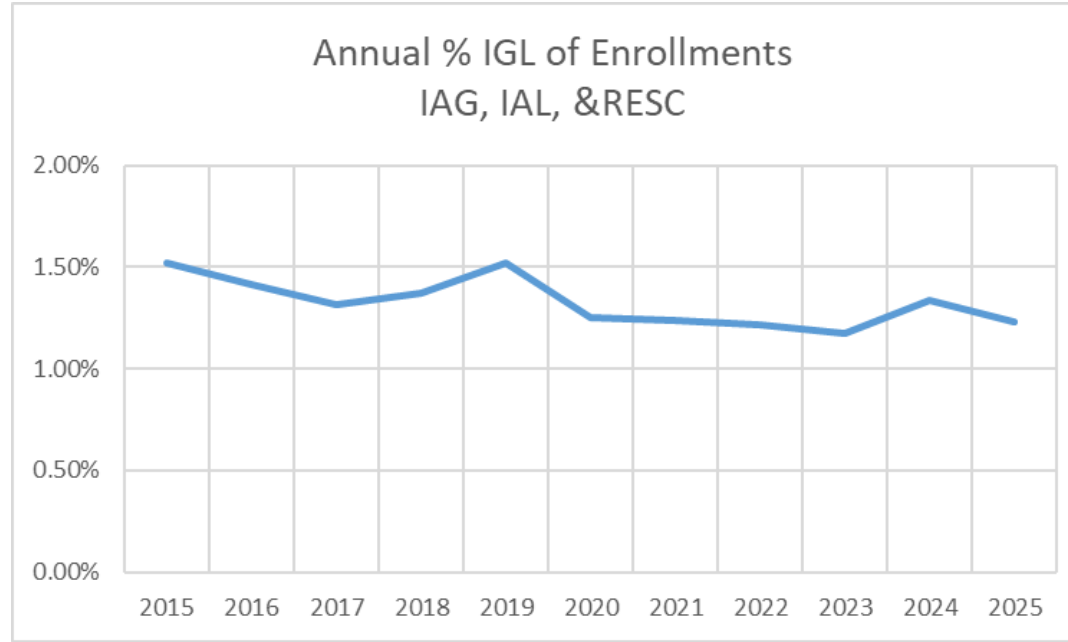
2022 to 2023 = -3.72%

2023 to 2024 = 14.49%

2024 to 2025* = -8.92%

- ❖ ERCOT MarkeTrak/IGL training started in mid 2015
- ❖ RMGRR 152 modified date change/cancellation evaluation window effective 8/1/2018
- ❖ RMGRR 170 modified acceptable applications of IGL uses effective 1/1/2023
- ❖ TXSET v5.0 & SCR 817 improved MT workflow & validations 11/2024

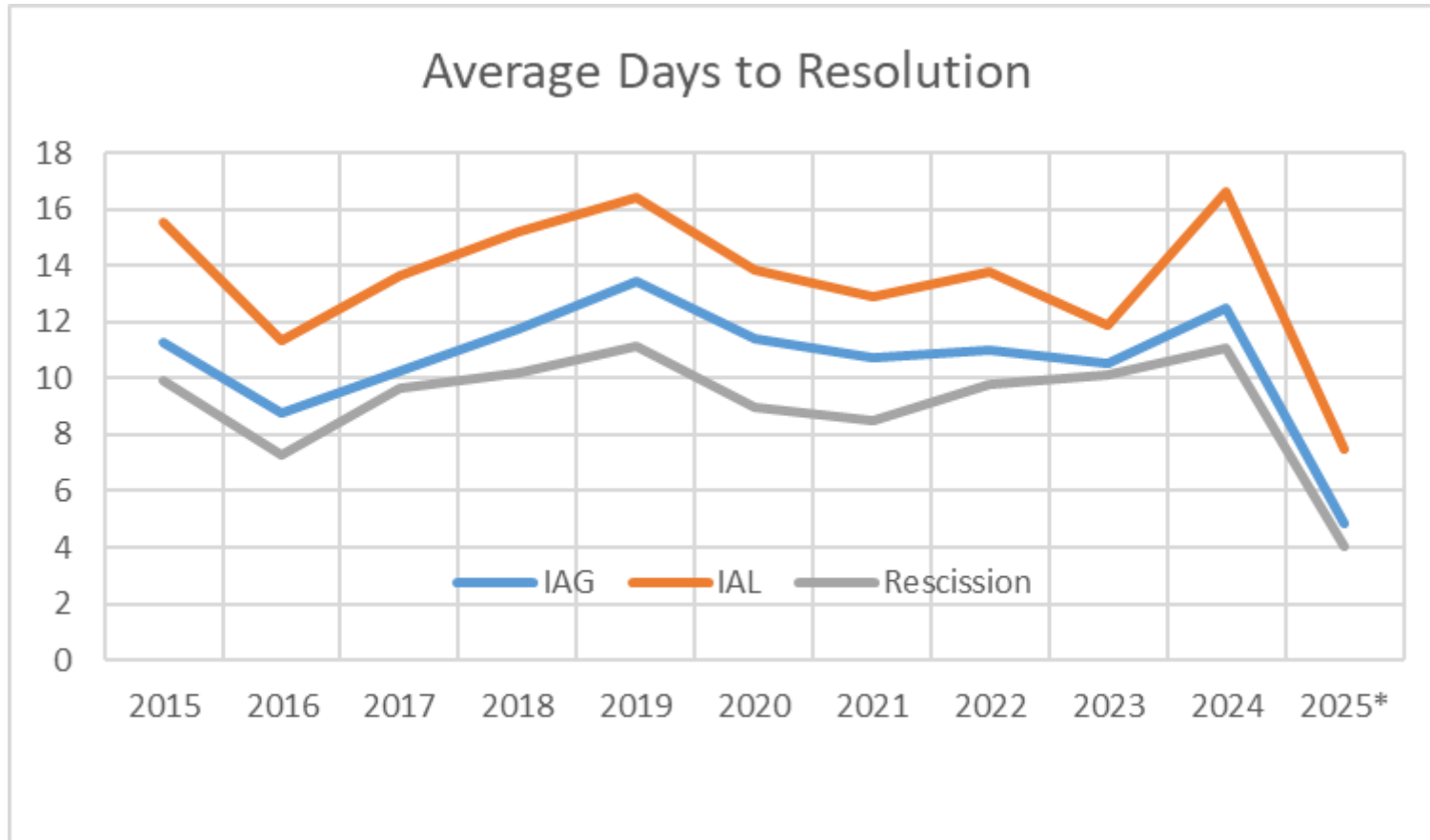
Market Performance - % of enrollments



* 2025 data through June

	Enrollments			IAG, IAL, Rescission				
Year	SWI	MVI	Total	IAG	IAL	Rescission	IAG, IAL, Res Total	Overall %
2015	901,409	2,593,096	3,494,505	22,337	18,861	11,574	52,772	1.51%
2016	864,357	2,647,635	3,511,992	22,843	16,555	10,210	49,608	1.41%
2017	1,001,416	2,765,274	3,766,690	21,807	18,017	9,036	48,860	1.30%
2018	1,214,662	2,836,682	4,051,344	22,979	22,680	9,668	55,327	1.37%
2019	1,322,647	2,944,372	4,267,019	26,655	30,446	7,340	64,441	1.51%
2020	1,246,924	2,754,421	4,001,345	20,498	24,147	5,090	49,735	1.24%
2021	1,542,185	2,784,176	4,326,361	19,772	28,235	3,699	51,706	1.20%
2022	1,182,485	3,098,202	4,280,687	21,591	25,753	4,874	52,218	1.22%
2023	1,030,463	2,862,044	3,892,507	18,125	23,224	3,875	45,224	1.16%
2023	1,030,463	2,862,044	3,892,507	18,125	23,224	3,875	45,224	1.16%
2024	1,203,316	3,127,818	4,331,134	23,346	28,684	5,583	57,613	1.33%
2025	730,791	1,443,596	2,174,387	11,401	12,302	2,641	26,344	1.21%

Market Performance – Resolution Days



Implementation of TXSETv5.0 and SCR817 revised the IAG workflow reducing hand-offs.

Inadvertent Gain Process Timeline – TDTMS Analysis

GOALS of Analysis:

- ✓ Provide awareness to REPs of MarkeTrak performance in comparison to peers
- ✓ As each REP evaluates own processes, ability to identify opportunities for improvement
- ✓ Establish benchmarks before and after implementation of TXSETv5.0/SCR817 improvements to validate changes

2 → 1 original transaction to submittal of MT								Suggested Considerations	
	IAGs							FINDINGS	
	Jul-19 - Jul-20	Jul-21 - Dec-21	Jan-22 - Jun-22	Jul-22 - Dec-22	Jan-23 - Jun-23	Jul-23 - Dec-23	Jan-24 - Jun-24		
0 - 1 day	22%	23%	23%	24%	29%	27%	29%	<p>over 70% of MTs are submitted within 7 days of the originating transaction; sweet spot for submission is 1-3 days</p> <p>only 11-13% of MTs are submitted over 30 days of the initiating transaction</p> <p>28% of IAGs are submitted same day or next day</p> <p>Top 5 REPs submit 48%/62%/55% of IAG MTs -- same Top 5 REPs (REP #3,#6, #1, #4, #19)</p> <p>IAGs - REP 4 has submitted >22% IAG MTs >30 days, yet improved over 2023; improvement amongst REPs from 2023 to 2024(1) on submitting MTs sooner</p> <p><i>Anomalies evident with spike in volumes on particular days</i></p> <p>IALs -</p>	
0 - 7 days	61%	63%	69%	69%	70%	71%	71%		
over 30 days	18%	16%	14%	14%	13%	13%	11%		
Wt. Avg Days	16.7	15.7	13.8	13.9	13.20	12.80	12.00		
Notes	3 days is sweet spot		2% unexec		2.1% unexec	2.4% unexec	3.5% unexec	<p>Why does a potential delay exist in submitting a MT for REPs with higher % submitted after 30 days?</p>	
MTs reviewed	21,000	9,000	8,900	8,500	7,760	8,476	8,518		

- 2 – 3.5% of IAGs are unexecuted
- 70% of IAGs are submitted within 7 days of OTRAN
 - Sweet spot is ~1-3 days of OTRAN
- Only 11-13% of IAGs are submitted > 30 days
- 28% of IAGs are submitted same day or next day

Inadvertent Gain Process Timeline – TDTMS Analysis, cont.

4 → 6 Losing CR to send BDMVI								
	IAGs							FINDINGS
	Jul-19 - Jul-20	Jul-21 - Dec-21	Jan-22 - Jun-22	Jul-22 - Dec-22	Jan-23 - Jun-23	Jul-23 - Dec-23	Jan-24 - Jun-24	
same day	28%	30%	39%	28%	38%	27%	30%	2023(2) and 2024(1) Top 20 REPs all sent >10% of BDMVIs in the 8-21 day range. 2023(1) only REP 3 & REP 134 sent > 10 % of BDMVIs in 8 - 21 days IAGs REPs #3, #1, #6, and #4 send considerable BDMVI volume up through day 17 for 2023(2) and day 15 2024(1) IALs
0 - 7 days	82%	87%	89%	83%	91%	83%	85%	
8 - 21 days	15%	12%	9%	15%	8%	15%	13%	
after 7 days	18%	13%	11%	17%	9%	17%	15%	
Notes	The key metric driving the transactional solution, thus will be measured post TX SET v5.0. <i>Under the new workflow, the expectation is all BDMVIs should be sent within 0-7 days of agreement.</i>							REP 4 - 8%, 13%, and 11% of BDMVIs sent within 8 - 21 days improving from 45% in 2022 IALs -

New Workflow (post SCR817 - 11/11/24) :
BDMVIs should be sent immediately upon agreement of two REPs in an IAG situation and within 2 days in an IAL situation

- 97% of completed IAGs, CRs reach agreement withing 7 days once acknowledged
 - 50-56% of IAGs reach agreement same day MT is acknowledged
 - **NEW WORKFLOW expectations:**
 - IAGs:** BDMVIs should be send immediately upon agreement of CRs
 - IALs:** BDMVIs should be submitted within 2 days of agreement

Inadvertent Gain Process Timeline – TDTMS Analysis, cont.

2 → 8 total resolution time								
	IAGs							FINDINGS
	Jul-19 - Jul-20	Jul-21 - Dec-21	Jan-22 - Jun-22	Jul-22 - Dec-22	Jan-23 - Jun-23	Jul-23 - Dec-23	Jan-24 - Jun-24	
within 7 days	39%	53%	63%	46%	60%	47%	50%	<p>92 - 95% of IAGs are resolved within 21 days, 47 - 60% within 7 days</p> <p>IAGs - Top 4 REPs (by volume) close MTs 58% - 66% (2023(1)) of MTs within 7 days</p> <p>IALs - 45% - 50% (2023(2)) 49% - 52% (2024(1))</p> <p><u>NOTE:</u> Top 10 to 20 REPs close IAG MTs within 21 days</p>
8 - 21 days	50%	43%	32%	44%	35%	45%	44%	
after 7 days	61%	47%	37%	54%	40%	53%	50%	
0 - 21 days	90%	96%	95%	90%	95%	92%	94%	
within 15 days	79%	88%	88%	81%	89%	82%	85%	
Notes	What % of REPs are over 21 days?							Entire MT and rebilling process should be concluded within 21 days (aligning with PUC Rule as a guide)

- 92 - 95% of IAGs are resolved within 21 days
- 47 – 60% are resolved within 7 days

Analysis are posted on the main TDTMS meeting page. REPs are encouraged to review their performance as it relates to their peers. Do opportunities for improvement exist?

Market Challenge

Together we can make it a ...

Great Customer Experience



Checkpoint Question #1

An Inadvertent Loss MT submitted by the Losing REP will count toward which REP's % total?

- a) The Losing REP
- b) The Gaining REP

Checkpoint Question #2

The assigned REP's # on the IAG report will change each month.

- a) True
- b) False

Checkpoint Question #3

Driving down the number IAGs / IALs / Rescissions in the market will result in which of the following:

- a) Fewer customer complaints
- b) Improved customer experience
- c) Addressing customer issues faster
- d) Fewer back-off resources
- e) All of the above

Questions





MarkeTrak Training

Survey

- What did you like?
- What didn't you like?
- What could we do better?

www.surveymonkey.com/r/ERCOTILT