Control Number: 24055

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**PROJECT NO. 24055**

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| **PROTOCOL REVISION INFORMATIONAL FILINGS BY THE ELECTRIC RELIABILITY COUNCIL OF TEXAS** | § § § § | **PUBLIC UTILITY COMMISSION OF TEXAS** |

**NOTICE OF ERCOT PROTOCOL REVISIONS (AUGUST 18, 2009)**



COMES NOW, the Electric Reliability Council of Texas, Inc. (ERCOT) and respectfully informs the Public Utility Commission of Texas of revisions to the ERCOT Protocols.

**Summary of Revisions**

In accordance with the process set forth in Section 21 of the ERCOT Protocols, ERCOT adopted Protocol Revision Request (PRR) 819 (effective August 18, 2009, and upon system implementation). This Protocol revision, described below, was developed in the ERCOT committee process and approved by the ERCOT Board of Directors on August 18, 2009.

| PRR | Description | ERCOT Protocols Section Modified |
|---|---|---|
| 819 | ***Changes to Support Revisions to the Public Utility Commission of Texas Provider of Last Resort (POLR) and Expedited Switch Rules.*** This PRR provides that ERCOT shall identify, for 60 days, Electric Service Identifiers (ESI IDs) acquired in a Mass Transition to a POLR so that customers that switch from the POLR are not charged for an out-of-cycle meter read. This PRR also implements changes necessary to expedite the customer switching process. | Section 2 , Subsection 2.1<br><br>(Attachment A)<br><br>***(Effective August 18, 2009)***<br><br>Section 15, Subsections 15.1.1, 15.1.1.1, 15.1.1.2, 15.1.1.3, 15.1.1.3.1, 15.1.1.3.2, 15.1.1.4, 15.1.1.5, 15.1.1.6, 15.1.1.7, 15.1.1.8, 15.1.1.9, 15.1.3, 15.1.4.2, 15.1.5.4, 15.1.6.3, 15.1.6.6, 15.1.8, and 15.1.10<br><br>(Attachment B)<br><br>***(Effective August 18, 2009 and Upon System Implementation)*** |

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The changes to the Protocol language as revised by the above PRR are shown in Attachment A and B in redline format.

The Protocols, all revisions thereto, and the details of the revision process are available on the Internet at the link identified as "Protocols" on the ERCOT website, http://www.ercot.com/mktrules/protocols/index.html.

Respectfully submitted,

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## LIST OF ATTACHMENTS

ATTACHMENT A – Section 2-081809 Redline

ATTACHMENT B – Section 15-081809 Redline

# ERCOT Protocols

## Section 2: Definitions and Acronyms

**August 18, 2009**

# 2 DEFINITIONS AND ACRONYMS

## 2.1 Definitions

# R

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**Reactive Power**
The product of voltage and the out-of-phase component of alternating current. Reactive Power, usually measured in megavolt-amperes reactive, is produced by capacitors, overexcited generators and other capacitive devices and is absorbed by reactors, underexcited generators and other inductive devices.

**Reactive Power Profile**
***See* Voltage Profile**

**Reactive Reserve**
That reactive capability required to meet sudden loss of generation, Load or transmission capacity and maintain voltage within desired limits.

**Real Time**
The current instant in time.

**Registered Market Participant**
Entity that is registered with ERCOT to participate in the competitive market administered by ERCOT within the ERCOT Region. Registered Market Participants include those using statewide systems administered by ERCOT and may be non-ERCOT participants.

**Registration Processing Period**
Minimum amount of time the ERCOT registration system requires to process transactions. This period begins when ERCOT receives a registration transaction request and continues until the completion of the transaction.

**Regulation Service**
A service that is used to control the power output of Resources in response to a change in system frequency so as to maintain the target system frequency within predetermined limits.

**Reliability Must Run (RMR) Service**
The provision of generation capacity and/or energy resources from Reliability Must Run Unit or a Synchronous Condenser Unit.

**Reliability Must Run (RMR) Unit**
A Generation Resource unit operated under the terms of an Agreement with ERCOT that would not otherwise be operated except that they are necessary to provide voltage support, stability or management of localized transmission constraints under first contingency criteria.

**Remedial Action Plan**
Predetermined operator actions to maintain ERCOT Transmission Grid reliability during a defined adverse operating condition.

**Renewable Energy Credit (REC)**
A Renewable Energy Credit (REC) is a tradable instrument that represents all of the renewable attributes associated with one (1) MWh of production from a certified renewable generator.

**Renewable Energy Credit (REC) Account**
An account maintained by ERCOT for the purpose of tracking the production, sale, transfer, purchase, and retirement of RECs or Compliance Premiums by a REC Account.

**Renewable Energy Credit (REC) Account Holder**
An Entity registered with ERCOT to participate in the REC Trading Program.

**Renewable Energy Credit (REC) Trading Program**
The REC Trading Program, as described in Section 14, State of Texas Renewable Energy Credit Trading Program, and P.U.C. SUBST. R. 25.173, Goal for Renewable Energy.

**Renewable Portfolio Standard (RPS)**
The amount of capacity required to meet the requirements of PURA §39.904 pursuant to subsection (h) of P.U.C. SUBST. R. 25.173, Goal for Renewable Energy.

**Renewable Production Potential**
The maximum generation in MWh/interval from an Uncontrollable Renewable Resource that could be generated from all available units of such Resource. The Renewable Production Potential depends on the renewable energy that can be generated from the available units (wind or solar radiation) and the energy conversion characteristics of each unit. The Renewable Production Potential will be determined from data submitted in accordance with procedures established by ERCOT.

**Replacement Reserve Service**
A service that is procured from Generation Resource units planned to be Off-line and Load acting as a Resource that are available for interruption during the period of requirement.

**Representative Interval Data Recorder**
The technique for profiling premises participating in special pricing programs which consists of implementing a statistically representative Load research sample on the program population. The sample data is then used to develop the representative IDR (RIDR) for profiling these premises.

**Reserve Discount Factor (RDF)**
A representation of the average amount of system wide capability that, for whatever reason, is historically undeliverable during periods of high system demand. The RDF will be verified by ERCOT and then approved by the ROS.

**Resettlement Statement**
***See* Settlement Statement**

**Resource**
Facilities capable of providing electrical energy or Load capable of reducing or increasing the need for electrical energy or providing Ancillary Services to the ERCOT System, as described in Section 6, Ancillary Services. This includes Generation Resources, Loads acting as Resources and Emergency Interruptible Load Service Resources.

**Resource Category Generic Fuel Cost (RCGFC)**
A standard $/MWh cost for fuel specific to one of eight resource categories (Nuclear, Hydro, Coal and Lignite, Combined Cycle, Simple Cycle, Gas Steam, Diesel and Non-Hydro Renewable).

**Resource Category Generic Startup Cost**
A fixed price for starting a unit that is selected out of merit order to provide balancing energy. The RCGSC is defined by the generation unit category (Base-load, Gas Intermediate, Gas Cyclic, Gas Peaking and Renewable).

**Resource Category Generic Operational Cost**
A standard $/MWh price for running a unit selected out of merit order to provide balancing energy. The RCGOC is defined by the generation unit category (Base-load, Gas Intermediate, Gas Cyclic, Gas Peaking and Renewable).

**Resource Entity**
A Market Participant that owns or controls a Resource.

**Resource ID**
A unique identifier assigned to each Resource used in the registration and settlements systems managed by ERCOT.

**Resource Minimum Down Time**
The minimum time from shutdown of a Resource required until that Resource can be restarted and available to the ERCOT market.

**Resource Plan**
A plan provided by a QSE to ERCOT indicating the forecast state of Generation Resources or individual Loads each acting as a Resource, including information on availability, limits and forecast generation or Load of each Resource.

**Responsibility Transfer**
The controlled and orderly transfer of eligible resources from one QSE to another in accordance with Section 4, Scheduling.

**Responsive Reserve Service**
Responsive Reserve consists of the daily operating reserves that are intended to help restore the frequency of the interconnected transmission system within the first few minutes of an event that causes a significant deviation from the standard frequency.

**Retail Business Day**
***See* Business Day**

**Retail Business Hour**
Any hour within a Retail Business Day.

**Retail Electric Provide**
A person that sells electric energy to retail Customers in this state. As provided in PURA §31.002(17), a Retail Electric Provider may not own or operate generation assets. As provided in PURA §39.353(b), a Retail Electric Provider is not an Aggregator.

**Retail Entity**
Municipally Owned Utilities (MOUs), generation and transmission cooperatives, and distribution cooperatives that offer customer choice; Retail Electric Providers (REPs); and Investor Owned Utilities (IOUs) that have not unbundled pursuant to PURA §39.051.

**Revenue Quality Meter**
For ERCOT Metered Entities, a meter that is in compliance with the Protocols and the Operating Guides. For TDSP Metered Entities, a meter that is in compliance with Local Regulatory Authority approved meter standards or the Protocols and the Operating Guides.

# ERCOT Protocols

# Section 15: Customer Registration

**August 18, 2009**

# 15 CUSTOMER REGISTRATION

ERCOT shall maintain a registration database of all metered and unmetered Electric Service Identifiers (ESI IDs) in Texas for Customer Choice. ERCOT will track transactions and allocate costs of the registration database to the Market Participants (MPs).

ERCOT will immediately notify the Public Utility Commission of Texas (PUCT) and the affected Competitive Retailer (CR) if a Transmission and-/or Distribution Service Provider (TDSP) fails to meet its Customer switch responsibilities under the ERCOT Protocols.

All CRs with Customers in Texas, whether operating inside the ERCOT Region or not, shall be required to register their Customers in accordance with this Section.

All Customer registration processes will be conducted using the appropriate Texas Standard Electronic Transactions (TX SETs). Definitions of all TX SET codes referenced in this Section can be found in Section 19, Texas Standard Electronic Transaction. A reference to any TX SET transaction should be read as referring to the named transaction or its Market Information System (MIS) equivalent, if any. Transaction flow diagrams for Customer registration processing are posted on the MIS.

ERCOT will reject any initiating transaction due to date reasonableness if the requested implementation date is of more than ninety (90) days in the future or two hundred seventy (270) days in the past. Initiating transactions are: 814_01, Enrollment Request; 814_16, Move-In Request; and 814_24, Move-Out Request.

ERCOT will prioritize initiating or inbound transactions in the following manner:

(1) Level 1 – Priority 814_16, Move-In Requests, and 814_20, Create ESI ID Requests will be processed in one (1) Retail Business Hour.

(2) Level 2 – Standard 814_16, Move-In Requests, and 814_24, Move-Out Requests will be processed in two (2) Retail Business Hours.

(3) Level 3 – 867_02, Historical Usage, 814_20, Maintain ESI ID Requests, and 814_20, Retire ESI ID Requests will be processed in four (4) Retail Business Hours.

(4) Level 4 – All 814_01, Enrollment Requests ~~(on- and off-cycle),~~, 814_26, Ad-hoc Historical Usage Requests, 814_18, Establish/Delete CSA CR Requests, and 814_19, Establish/Delete CSA CR Responses will be processed in one (1) Retail Business Day.

For transactions to flow through ERCOT, back-dated transactions for a market-approved corrective action must meet the date reasonableness test. MPs must work with ERCOT for any manual changes to transactions that fall outside these dates for market-approved corrective action. However, a TDSP will reject a back-dated transaction that is not part of a market-approved transaction.

For more information concerning the requirements for transaction processing in the retail market, please refer to the Retail Market Guide ~~(RMG)~~.

## 15.1 Customer Switch of Competitive Retailer

### *15.1.1 Submission of a Switch Request*

The CR shall submit a Switch Request to ERCOT using the 814_01, Enrollment Request. The Switch Request shall include, at a minimum, the five (5)-digit zip code and an ESI ID. Within this transaction, the CR will also send information necessary for ERCOT to send a switch confirmation Notice to the Customer as required by the applicable Public Utility Commission of Texas (PUCT) rules. The First Available Switch Date (FASD) is calculated starting with the date that ERCOT processes the 814_01 transaction sent by the CR. The online FASD calculator can be found on the Market Information System (MIS).

The FASD for a Switch Request ~~where Notification has not been waived~~ is calculated as follows:

~~FASD = EPD + 3BD (Mailing to notify Customer of the pending Switch Request)~~
~~+ 7CD (Customer Rescission Period)~~
~~+ 3BD (Processing time to allow for potential cancellation by Customer)~~

~~Where:~~

~~EPD = ERCOT Processed Date~~
~~BD = Business Day (Does not include TDSP holidays.)~~
~~CD = Calendar Day~~

~~In the event that Customer Notification has been waived, the CR will indicate such a waiver in the 814_01 transaction. For additional information concerning which Customer class and /or events would qualify for a waiver of Customer Notification, CRs should refer to the PUCT rules.~~

~~The FASD is calculated as follows for a waiver of Notification:~~

FASD = EPD + 3BD (Processing time)

Where:

EPD = ERCOT Processed Date
BD = Business Day (Does not include Transmission and/or Distribution Service Provider (TDSP) holidays.)

#### 15.1.1.1 Notification to Customer of Switch Request

ERCOT will send a switch confirmation Notice to the Customer as specified in the PUCT rules. This Notice will give the Customer information regarding the Switch Request as described in the PUCT rules. ~~It will include the name, address, and telephone number of the CR submitting the Switch Request. The confirmation Notice will also provide the Customer a means to cancel the switch within a period of time specified by PUCT rules. If the Customer cancels the Switch Request, the Customer remains with its existing CR with no lapse in service and the~~

~~corresponding Switch Request is canceled. The TDSP and both CRs will be notified by ERCOT that the Switch Request has been canceled via the 814_08, Cancel Switch Request. When ERCOT has sent the losing CR an 814_06, Drop Due to Switch Request, the losing CR will be sent an 814_08 transaction. ERCOT will not send an 814_08 transaction to the losing CR if ERCOT has not sent an 814_06 transaction. The TDSP and CR will respond to ERCOT using the 814_09, Cancel Switch Response.~~

A CR may cancel a switch at the request of the Customer or in accordance with PUCT rules. The CR will send such cancellation requests using the 814_08 transaction. ERCOT and the TDSP will accept cancellations until five (5) Retail Business Days preceding the scheduled meter read date.

***[PRR819: Replace Section 15.1.1.1 above with the following upon system implementation:]***

ERCOT will send a switch confirmation Notice to the Customer as specified in the PUCT rules. This Notice will give the Customer information regarding the Switch Request as described in the PUCT rules.

### ~~15.1.1.2 Limit of One Valid Switch Request per Switch Cycle~~

~~ERCOT shall implement only one valid on-cycle Switch Request per ESI ID per switch cycle. When additional on-cycle Switch Requests for the same ESI ID are received during the same cycle when the first Switch Request is still pending, ERCOT shall process the first valid on-cycle Switch Request received, based on the receipt date of the 814_01, Enrollment Request, and shall reject all subsequent on-cycle Switch Requests. If the Switch Request is cancelled, the next valid request will be processed according to Section 15.1.1.4, Switch Registration Notification Request to TDSP.~~

### 15.1.1.32 Provision of Historical Usage

A request for historical usage may be submitted along with a Switch Request or as an ad hoc request.

#### *15.1.1.23.1 Provision of Historical Usage with a Switch Request*

If requested by the switching CR in the Switch Request, the TDSP shall provide the most recent twelve (12) months of historical usage, if available, to ERCOT, including monthly metered usage for the Customer's ESI ID and any applicable metered interval usage in accordance with the 867_02, Historical Usage. ERCOT's business process for Switch Requests is not linked to the receipt of the historical usage and the processing of the switch will continue regardless of the TSDP returning historical usage. Upon receipt of the historical usage from the TDSP, ERCOT shall forward it to the CR within four (4) Retail Business Hours. ~~A "Retail Business Hour" is any hour within a Retail Business Day.~~

Provision of meter read and historical usage data pursuant to this paragraph shall not be required when it would be prohibited by PUCT rules.

### *15.1.1.23.2 Ad Hoc Requests for Historical Usage*

To request historical usage on an ad hoc basis, the CR of Record must submit an 814_26, Ad-hoc Historical Usage Request, to ERCOT. Within one (1) Retail Business Day of receipt of an 814_26 transaction from a CR, ERCOT shall notify the TDSP of the ad-hoc request using the 814_26 transaction. The TDSP shall provide the requested information to ERCOT within two (2) Retail Business Days of receipt of the 814_26 transaction using the 814_27, Ad-hoc Historical Usage Response. ERCOT shall forward the usage information to the CR of Record using the 814_27 transaction within one (1) Retail Business Day of receipt of the 814_27 transaction from the TDSP. The TDSP shall provide the most recent twelve (12) months of historical usage, if available, to ERCOT, including monthly, metered usage for the Customer's ESI ID information and any applicable metered interval usage in accordance with the 867_02, Historical Usage. ERCOT will send the 867_02 transaction to the CR within four (4) Retail Business Hours of receipt from the TDSP.

Provision of meter read and historical usage data pursuant to this paragraph shall not be required when prohibited by PUCT rules.

### 15.1.1.34 Switch Registration Notification Request to TDSP

ERCOT will submit to the TDSP serving the ESI ID a registration Notification request using the 814_03, Switch CR Notification Request, within one (1) Retail Business Day of the receipt of a valid Switch Request. The Notification will include the name of the CR requesting service to the ESI ID and will indicate the FASD calculated pursuant to Section 15.1.1, Submission of a Switch Request.

### 15.1.1.45 Response from TDSP to Registration Notification Request

Upon receipt of a registration Notification request, the TDSP shall provide to ERCOT ESI ID information, including:

(1) ESI ID;

(2) Service Address;

(3) Rate class and sub-class, if applicable;

(4) Special needs indicator;

(5) Load Profile Type;

(6) Scheduled meter read date;

(7) Meter type, identification number, number of dials and role for each meter at the ESI ID, if ESI ID is metered;

(8) For unmetered ESI IDs, number and description of each unmetered device;

(9) Station ID; and~~,~~

(10) Distribution Loss Factor (DLF) code.

This information shall be transmitted using the 814_04, Switch CR Notification Response, within two (2) Retail Business Days of the receipt of the 814_03, Switch CR Notification Request. If the TDSP does not respond with ESI ID information within two (2) Retail Business Days after the receipt of the 814_03 transaction from ERCOT, ERCOT shall create an internal tracking exception. The switch will be held in 'in review' status until the TDSP's 814_04 transaction is received. If the TDSP's 814_04 transaction is not received by the earlier of the requested date on the switch (the ~~earliest available switch date~~FASD is used for ~~on-cycle~~standard switches) or within twenty (20) Retail Business Days after the original submission of the 814_03 transaction from ERCOT, ERCOT shall change the status of the switch to 'cancel pending.' The TDSP will receive Notification of the pending switch cancellation through the 814_08, Cancel Switch Request. The TDSP will respond using the 814_09, Cancel Switch Response. If the 814_09 transaction is an accept~~,~~ the submitting CR will receive Notification of the switch cancellation through the 814_08 transaction. Any other CR involved in the request to which an 814_06, Drop Due to Switch Request, has been sent will also receive Notification of the switch cancellation through the 814_08 transaction. The CR(s) will respond in accordance with the 814_09 transaction. If the 814_09 transaction from the TDSP is a reject, the switch will return to an 'in review' status and the TDSP shall also transmit an 814_04 transaction within one (1) Retail Business Day.

~~If ERCOT fails to send the 814_08, Cancel Switch Request, due to Customer objection or sends it late to either the TDSP or CR, the cancel will be honored by both the TDSP and CR once they are made aware of ERCOT's initial failure to send the 814_08 transaction.~~

### 15.1.1.5~~6~~ Response to Valid Switch Request

Within one (1) Retail Business Day of receipt of the TDSP's 814_04, Switch CR Notification Response, ERCOT will respond to the requesting CR in accordance with the 814_05, Switch Response. This response will contain the scheduled meter read date for the switch and all information the TDSP furnished to ERCOT under the TDSP's 814_04 transaction. The TDSP must effectuate the switch within two (2) Retail Business Days of the scheduled meter read date.

### 15.1.1.6~~7~~ Notification to Current CR of Drop Due to Switch (with date)

Within five (5) Retail Business Days of the scheduled meter read date for the switch, but not before the receipt of the TDSP's 814_04, Switch CR Notification Response, ERCOT will notify the current CR using the 814_06, Drop Due to Switch Request. This Notification will contain the scheduled meter read date for the switch. The current CR will respond to ERCOT within two

(2) Retail Business Days with an 814_07, Drop Due to Switch Response. ERCOT continues processing the switch irrespective of receipt of the 814_07 transaction.

*[PRR819: Replace Section 15.1.1.6 above with the following upon system implementation:]*

Within two (2) Retail Business Days of the scheduled meter read date for the switch, but not before the receipt of the TDSP's 814_04, Switch CR Notification Response, ERCOT will notify the current CR using the 814_06, Drop Due to Switch Request. This Notification will contain the scheduled meter read date for the switch. The current CR will respond to ERCOT within two (2) Retail Business Days with an 814_07, Drop Due to Switch Response. ERCOT continues processing the switch irrespective of receipt of the 814_07 transaction.

### 15.1.1.78 Completion of Switch Request and Effective Switch Date

A Switch Request is effectuated on the actual meter read date in the 867_04, Initial Meter Read Notification, or the final 867_03, Monthly Usage, which must be equal to~~within two (2) Retail Business Days of~~ the scheduled meter read date. The process for a specific Switch Request is complete upon receipt of the effectuating meter read sent by the TDSP. The TDSP shall send the meter read information to ERCOT using the 867_03 transaction and 867_04 transaction within three (3) Retail Business Days of the meter read. This transaction will contain an effectuating meter read indicator. If the TDSP has made every reasonable effort to get the actual data for the meter read and absolutely cannot, the TDSP may estimate the reading for the ESI ID, regardless of the meter type or Customer class. When an estimate occurs on a demand meter, the demand indicator has not been reset. Upon receipt, ERCOT will send final meter read information to the current CR and initial meter read information to the new CR using the 867_03 transaction and 867_04 transaction as appropriate. Meter reads received by 1800 will be available to the CR by 0600 the next day.

Use of the 814_28, Completed Unexecutable or Permit Required, is reserved for move-ins and move-outs only.

Failure by ERCOT to provide the initial meter read information does not change the effective date of the switch.

Switches shall become effective at 0000 (midnight) on the actual date of the effectuating meter read. The new CR may request a special meter read (including a profile-estimated meter read or interval meter calculation as allowed), in accordance with the TDSP's tariff. For a special meter read, the switch is effective at 0000 (midnight) the day of the special meter read. During the switch process, the Customer will continue to be served by its current CR.

### 15.1.1.89 Rejection of Switch Request

ERCOT will process Switch Requests upon receipt during Business Hours. If the request is invalid, i.e., meets one of the requirements as identified in this Section, ERCOT will respond to the CR with the 814_02, Enrollment Reject Response, within one (1) Retail Business Day of ERCOT's receipt of the Switch Request, and the switch process will terminate.

ERCOT will reject a Switch Request using the 814_02 transaction for any of the following reasons:

(1) The ESI ID provided is inactive or does not exist;

(2) The ESI ID and five (5)-digit zip code do not match;

(3) The CR is not certified by the PUCT, if required;

(4) The CR is not authorized to provide service in the TDSP service area;

(5) The CR has not registered as a CR with ERCOT in accordance with Section 16, Registration and Qualification of Market Participants;

(6) The PUCT directs ERCOT to reject registration requests from the CR per applicable PUCT rules;

(7) The standard~~on-cycle~~ Switch Request was received after a valid standard~~on-cycle~~ Switch Request was scheduled for the same date~~switch cycle~~;

(8) The CR specifies a billing type or bill calculation code for an ESI ID that is not supported by the TDSP, Municipally Owned Utility (MOU), or Electric Cooperative (EC);

(9) The CR submits a Switch Request type that is invalid or undefined;

(10) The CR is already the CR of Record for the ESI ID or scheduled to be the CR of Record for the ESI ID on the requested date;

(11) The Customer Notification name or address is required but invalid according to Texas Standard Electronic Transaction (TX SET) standards or is missing;

(12) The CR DUNS Number (DUNS #) is missing or invalid;

(13) If requesting a~~n off-cycle~~ self-selected switch date, the CR requests a switch date that is before the FASD;

(14) The date on the ~~off-cycle~~self-selected switch already has a move-in, move-out, or switch scheduled; or~~,~~

(15) The ESI ID is de-energized or scheduled to be de-energized on the date requested in the switch. For standard~~on-cycle~~ requests, the FASD~~earliest available switch date~~ is used for the evaluation.

### 15.1.3 Mass Transition

Certain circumstances may arise during the course of business in the Texas retail electric market that may necessitate the transition of ESI IDs from one CR to a Provider of Last Resort (POLR) or designated CR, or from one TDSP to another TDSP in quantities and on a time frame that is not completely supported by standard market transactions or business processes.

In a Mass Transition event, ERCOT shall submit the 814_03, Switch CR Notification Request, requesting an off-cycle meter read for the associated ESI IDs, for a date two (2) days after the date ERCOT initiates such transactions to the TDSP. The 814_03 transaction shall contain a request for historical usage and the requested date for the meter read date to transfer the ESI IDs. If an actual meter read cannot be obtained by the date requested in the 814_03 transaction, then the off-cycle meter read may be estimated by the TDSP. (See Retail Market Guide Section 9, Appendices, Appendix F2, Mass Transition Timelines.)

The TDSP shall respond to the 814_03 transaction within two (2) Retail Business Days with an 814_04, Switch CR Notification Response, and an 867_02, Historical Usage. Within one (1) Retail Business Day of receiving the 814_04 transaction, ERCOT will send an 814_11, Drop Response, to the transitioning CR and forward an 814_14, Drop Enrollment Request, with the scheduled meter read date, to the POLR(s) or designated CR. The POLR or designated CR will respond using the 814_15, Drop Enrollment Response. The TDSP shall submit an 867_04, Initial Meter Read Notification, with a meter read date equal to the scheduled meter read date in the 814_04 transaction, which will also be known as the transition date. (See Retail Market Guide Section 9, Appendices, Appendix D, Transaction Timing Matrix, for specific transaction timings.)

For a detailed outline of the business process and responsibilities of all Entities involved in a Mass Transition event, refer to the Retail Market Guide Section 7.11, Mass Transition.

***[PRR819: Replace Section 15.1.3 above with the following upon system implementation:]***

Certain circumstances may arise during the course of business in the Texas retail electric market that may necessitate the transition of ESI IDs from one CR to a Provider of Last Resort (POLR) or designated CR, or from one TDSP to another TDSP in quantities and on a time frame that is not completely supported by standard market transactions or business processes.

In a Mass Transition event, ERCOT shall submit the 814_03, Switch CR Notification Request, requesting a meter read for the associated ESI IDs, for a date two (2) days after the date ERCOT initiates such transactions to the TDSP. The 814_03 transaction shall contain a request for historical usage and the requested date for the meter read date to transfer the ESI IDs. If an actual meter read cannot be obtained by the date requested in the 814_03 transaction, then the meter read may be estimated by the TDSP. (See Retail Market Guide Section 9, Appendices, Appendix F2, Mass Transition Timelines.)

The TDSP shall respond to the 814_03 transaction within two (2) Retail Business Days with an 814_04, Switch CR Notification Response, and an 867_02, Historical Usage. Within one (1)

Retail Business Day of receiving the 814_04 transaction, ERCOT will send an 814_11, Drop Response, to the transitioning CR and forward an 814_14, Drop Enrollment Request, with the scheduled meter read date, to the POLR(s) or designated CR. The POLR or designated CR will respond using the 814_15, Drop Enrollment Response. The TDSP shall submit an 867_04, Initial Meter Read Notification, with a meter read date equal to the scheduled meter read date in the 814_04 transaction, which will also be known as the transition date. (See Retail Market Guide Section 9, Appendices, Appendix D, Transaction Timing Matrix, for specific transaction timings.)

ERCOT shall identify transitioned ESI IDs for a period of sixty (60) days to ensure that when a Customer switches away from the POLR, the 814_03 transaction is processed with a requested date equal to the FASD, regardless of how the switch was submitted. Identification of the transitioned ESI ID shall terminate either upon the first completed switch, move-in, move-out or at the end of the sixty (60) day period, whichever occurs first.

For a detailed outline of the business process and responsibilities of all Entities involved in a Mass Transition event, refer to the Retail Market Guide Section 7.11, Mass Transition.

### *15.1.4 Beginning Service (New Construction Completed and Move-Ins)*

#### 15.1.4.2 Response to Invalid Move-In Request

If the Move-In Request is invalid, ERCOT will respond to the CR using the 814_17, Move-In Reject Response, within one (1) Retail Business Hour of receiving the priority 814_16, ~~Priority~~ Move-In Request, and within two (2) Retail Business Hours for standard move-ins, with the exception of a move-in that is invalid because of "Invalid ESI ID." In the case of "Invalid ESI ID," ERCOT will hold the Move-In Request and continue to retry the request at regular intervals for forty-eight (48) hours counting only hours on Retail Business Days, but not only Business Hours. If the request is invalid in accordance with Section 15.1.4.8, Rejection of Move-In Request, the move-in process will then terminate. If the request is valid, the process continues as described in Section 15.1.4.5, Response to Valid Move-In Request.

### *15.1.5 Service Termination (Move-Out)*

#### 15.1.5.4 Response to Registration Notification Request/Service Termination from TDSP

If there is a CSA CR, upon receipt of a registration Notification request, the TDSP shall provide ESI ID information, including:

(1) ESI ID;

(2) Service Address;

(3) Rate class and sub-class (if applicable);

(4) Any and all applicable riders;

(5) Special needs indicator;

(6) Load Profile Type;

(7) Scheduled meter read date;

(8) Meter type, identification number, number of dials and role for each meter at the ESI ID, if ESI ID is metered;

(9) For unmetered EDS IDs, number and description of each unmetered device;

(10) Load bus identification; and

(11) ~~Distribution Loss Factor (~~DLF~~)~~ code.

This information shall be transmitted by the TDSP using the 814_04, Switch CR Notification Response, and shall be provided to the CSA CR by ERCOT in the form of an 814_22, CSA CR Move-In Request, within two (2) Retail Business Days of the scheduled meter read date on the move-out to CSA. Items (1) and (7) above shall be forwarded to the submitting CR by ERCOT in the form of an 814_25, Move-Out Response. If the TDSP does not respond with ESI ID information within two (2) Retail Business Days after the submission of the 814_03, Switch CR Notification Request, from ERCOT, ERCOT shall create an internal tracking exception. The move-out to CSA will be held in 'in review' status until the TDSP's 814_04 transaction is received. If the TDSP's 814_04 transaction is not received within three (3) Retail Business Days of submission of the 814_03 transaction by ERCOT and is still not received by the earlier of the requested date on the move-out to CSA or twenty (20) Retail Business Days after the original submission of the 814_03 transaction from ERCOT, ERCOT shall change the status of the move-out to CSA to 'cancel pending.' The TDSP will receive Notification of the pending cancellation through the 814_08, Cancel Switch Request. The TDSP will respond using the 814_09, Cancel Switch Response. If the 814_09 transaction is an accept, relevant CRs will receive Notification of the cancellation through the 814_08 transaction. The relevant CRs will respond using the 814_09 transaction. If the 814_09 transaction from the TDSP is a reject, the move-out to CSA will return to an 'in review' status and the TDSP shall also transmit an 814_04 transaction within one (1) Retail Business Day.

If there is not a CSA CR, upon receipt of a service termination request, the TDSP shall provide ESI ID information, including:

(1) ESI ID; and

(2) Scheduled meter read date.

This information shall be transmitted using the 814_25 transaction and shall be provided by ERCOT to the submitting CR within two (2) Retail Business Hours from ERCOT's receipt of the TDSP's 814_25 transaction response. If the TDSP does not respond with ESI ID information within two (2) Retail Business Days after the submission of the 814_24, Move-Out Request, by ERCOT, ERCOT shall create an internal tracking exception. The move-out will be held in 'in review' status until the TDSP's 814_25 transaction is received. If the TDSP's 814_25 transaction is not received within three (3) Retail Business Days of submission of the 814_24 transaction by ERCOT and is still not received by the earlier of the requested date on the move-out or twenty (20) Retail Business Days after the original submission of the 814_24 transaction by ERCOT, ERCOT shall change the status of the move-out to 'cancel pending.' The TDSP will receive Notification of the pending cancellation through the 814_08, Cancel Move-Out Request. The TDSP will respond in accordance with the 814_09, Cancel Move-Out Response. If the 814_09 transaction from the TDSP is a reject, the move-out will return to an 'in review' status and the TDSP shall also transmit an 814_25 transaction within one (1) Retail Business Day.

If the TDSP responds to ERCOT's 814_24 transaction with an 814_25 transaction and then later submits an 814_28, Completed Unexecutable, indicating the TDSP is unable to complete the move-out, ERCOT will send the TDSP's 814_28 transaction to the requesting CR. The TDSP will note the completed unexecutable reason on the 814_28 transaction. The initiating transaction is considered unexecutable. Upon receipt of the 814_28 transaction, the CR will respond to ERCOT using the 814_29, Response to Completed Unexecutable. ERCOT shall pass the CR's 814_29 transaction to the TDSP. The current CR will remain the CR of Record.

If, despite reasonable efforts, the TDSP is unable to complete the move-out after submitting the 814_25 transaction, it shall unexecute the move-out using the 814_28, Completed Unexecutable, and the TDSP shall note the completed unexecutable reason on the 814_28 transaction. ERCOT shall forward the 814_28 transaction to the CR within two (2) Retail Business Hours of receipt from the TDSP. The CR will respond to ERCOT within one (1) Retail Business Day of receipt of the 814_28 transaction using the 814_29, Response to Completed Unexecutable.

Upon receipt of the 814_28 transaction, the CR will make reasonable attempts to contact the Customer to address access issues if the reason the transaction was unexecuted relates to meter access. Otherwise, the CR will contact the TDSP in an attempt to address the problems that precluded execution of the transaction. TDSPs shall provide CRs with a list of contacts for this purpose, including escalation contacts which shall be used by a CR only in the event that the initial contacts fail to respond to the CR within a reasonable time.

After the CR has made reasonable efforts to either contact the Customer or address issues with the TDSP, the CR may submit a second 814_24 transaction to initiate the move-out process. The CR will submit the second Move-Out Request within thirty (30) days of the receipt of the 814_28 transaction. If the TDSP continues to encounter difficulty in completing the transaction, the TDSP shall complete the transaction using an estimated meter read and make every reasonable effort to interrupt service at the premise to prevent additional cost to the market, such as Unaccounted for Energy (UFE) and repeated field trips executed by the TDSP to disconnect service or in management of the market-approved manual process for managing the left in hot

process. For Customers who are critical care or critical Load, the CR will contact the appropriate TDSP Retail Electric Provider (REP) relations personnel to address the request.

### *15.1.6 Concurrent Processing*

#### 15.1.6.3 Move-In Date Prior to or Equal to Switch Date

ERCOT performs evaluations two (2) Retail Business Days prior to all move-in scheduled meter read dates or upon the receipt of the TDSP response, whichever is later. If there is a switch with a scheduled meter read date after or equal to the move-in scheduled meter read date, the switch transaction is cancelled by ERCOT. If the switch is not scheduled, but the requested date (FASD~~earliest available switch date~~ for standard~~on-cycle~~ switches) is after or equal to the scheduled date for the move-in, the switch transaction is cancelled by ERCOT.

#### 15.1.6.6 Move-Out Date Prior to or Equal to Switch Date

ERCOT performs evaluations two (2) Retail Business Days prior to all move-out scheduled meter read dates or upon the receipt of the TDSP response, whichever is later. If there is a switch with a scheduled meter read date after or equal to the move-out scheduled meter read date, the switch transaction is cancelled by ERCOT. If the switch is not scheduled, but the requested date (FASD~~earliest available switch date~~ for standard~~on-cycle~~ switches) is after or equal to the scheduled date for the move-out, the switch transaction is cancelled by ERCOT.

### *15.1.8 Cancellation of Registration Transactions*

The CR will send a cancellation Notice using the 814_08, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Request. ERCOT will accept cancellations until two (2) Retail Business Days preceding the move-in or move-out date and five (5) Retail Business Days preceding a switch.

If the cancellation does not pass validation, ERCOT will reply to the CR within two (2) Retail Business Hours, with a rejection of the cancellation Notice using the 814_09, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Response with the exception of a cancellation that is invalid because of "Item or Service Not Established." In the case of "Item or Service Not Established," ERCOT will hold the Cancellation Request and continue to retry the request at regular intervals for forty-eight (48) hours counting only hours on Retail Business Days, but not only Business Hours.

If the cancellation Notice is accepted, ERCOT will set the status to 'cancel pending' status and notify the TDSP within two (2) Retail Business Hours using the 814_08 transaction. If the TDSP accepts the cancel, ERCOT will cancel the transaction and notify the submitting CR using the 814_09 transaction. When ERCOT has sent the current CR an 814_06, Drop Due to Switch/Move-In Request, the current CR will be sent an 814_08 transaction. On a move-out to CSA, if ERCOT has sent the 814_22, CSA CR Move-In Request, to the CSA CR, the CSA CR

will be sent an 814_08 transaction. If the TDSP rejects the cancel, ERCOT will reset the status to 'in review,' 'permit pending,' or 'scheduled' as appropriate, and forward the reject to the CR. The CRs and TDSP will respond using the 814_09 transaction.

***[PRR819: Replace Section 15.1.8 above with the following upon system implementation:]***

The CR will send a cancellation Notice using the 814_08, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Request. ERCOT will accept cancellations until two (2) Retail Business Days preceding the move-in, move-out, or switch date.

If the cancellation does not pass validation, ERCOT will reply to the CR within two (2) Retail Business Hours, with a rejection of the cancellation Notice using the 814_09, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Response with the exception of a cancellation that is invalid because of "Item or Service Not Established." In the case of "Item or Service Not Established," ERCOT will hold the Cancellation Request and continue to retry the request at regular intervals for forty-eight (48) hours counting only hours on Retail Business Days, but not only Business Hours.

If the cancellation Notice is accepted, ERCOT will set the status to 'cancel pending' status and notify the TDSP within two (2) Retail Business Hours using the 814_08 transaction. If the TDSP accepts the cancel, ERCOT will cancel the transaction and notify the submitting CR using the 814_09 transaction. When ERCOT has sent the current CR an 814_06, Drop Due to Switch/Move-In Request, the current CR will be sent an 814_08 transaction. On a move-out to CSA, if ERCOT has sent the 814_22, CSA CR Move-In Request, to the CSA CR, the CSA CR will be sent an 814_08 transaction. If the TDSP rejects the cancel, ERCOT will reset the status to 'in review,' 'permit pending,' or 'scheduled' as appropriate, and forward the reject to the CR. The CRs and TDSP will respond using the 814_09 transaction.

### *15.1.10 Continuous Service Agreement (CSA) CR Processing in MOU/EC Service Territory*

This Section sets forth the processes to initiate or terminate a CSA in an ~~Municipally Owned Utility (~~MOU~~)~~ or ~~Electric Cooperative (~~EC~~)~~ service territory.