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- (8) Work with Market Participants to resolve exceptions in the list of affected ESI IDs;
- (9) Maintain the official list of affected ESI IDs;
- (10) Work with involved parties to determine specific transactions and processes to be used to resolve exceptions with Pending Transactions;
- (11) Monitor the progress of the Mass Transition project and recommend conclusion of project based on successful completion of transition activities; and
- (12) Process final and initial meter reads from the TDSP and forward to the appropriate CR.

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

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

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

- (1) ~~This Section outlines the process that can be used to transfer ESI IDs from the current CR to another CR(s) as a result of an acquisition pursuant to P.U.C. Subst. R. 25.493, Acquisition and Transfer of Customers from one Retail Electric Provider to Another, referred to herein as an "Acquisition Transfer."~~
- (21) When feasible, ERCOT shall adhere to the timelines defined within this Section, unless ERCOT Legal authorizes the execution of an Acquisition Transfer on an expedited timeline.

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- (32) The processes described in this Section presume that an Acquisition Transfer decision Decision to transfer the ESI IDs has already been made and will be a collaborative effort ~~between among~~ PUCT Staff, ERCOT, and Market Participants involved in the acquisition.
- (43) The parameters for the Acquisition Transfer process will include:
- (a) Acknowledgement from PUCT designee of the following;
 - (i) The PUCT is aware of the acquisition;
 - (ii) The CRs involved in the acquisition have worked with the PUCT in accordance with paragraph (b) of P.U.C. Subst. R. 25.493, Acquisition and Transfer of Customers from one Retail Electric Provider to Another; and
 - (iii) The acquisition does not require advance PUCT approval, unless the transfer is due to abandonment of a REP;
 - (b) Identification of the Losing CR;
 - (c) Designation of the Gaining CR(s);
 - (d) A list of the affected ESI IDs;
 - (e) The date ERCOT will provide in an 814_03, Enrollment Notification Request, indicating the Acquisition Transfer Requested Date(s) for each ESI ID. The date the Acquisition Transfer will effectuate for a specific ESI ID is herein referred to as the "Requested Date;"
 - (f) Any non-date specific transactions will be submitted by ERCOT with FASD and processed as a standard 814_03 transaction, following the applicable timeline. Any date specific transactions will be submitted by ERCOT as a self-selected 814_03 transaction, and may be processed on the Requested Date by the TDSP(s).

7.11.2.4 Acquisition Transfer Roles/Responsibilities

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

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7.11.2.4.2 *ERCOT Responsibilities in an Acquisition Transfer*

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

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

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

- (1) The following are the various roles and responsibilities of parties involved in a transition event and may need to be revised based on the specific circumstances associated with any particular event:
 - (a) PUCT
 - (i) Establish or approve transition event Decision parameters including designation of the losing TDSP, gaining TDSP, general population of transitioning ESI IDs and ~~Target Effective~~ effective ~~Dated~~ date(s);
 - (ii) Authorize ERCOT to initiate transition process in the market;
 - (iii) Designate lead individual from PUCT Staff to work with ERCOT project lead and Market Participant team for project coordination purposes;
 - (iv) Review and approve, as needed, market communications with Customers associated with transition of ESI IDs;
 - (v) Approve as necessary, exceptions to the application of the recommended market process for completing the transition; and
 - (vi) Monitor progress of involved parties in completing the transition in accordance with targeted schedules.
 - (b) ERCOT
 - (i) Upon PUCT approval, initiate TDSP to TDSP ESI ID transition process;
 - (ii) Identify parties involved in the transition event, including losing TDSP, gaining TDSP, and all affected CRs, including CSA CRs and CRs with Pending Transactions;
 - (iii) Designate ERCOT transition project lead;
 - (iv) Schedule and facilitate initial and ongoing transition coordination meetings and conference calls through completion of the transition event;
 - (v) Coordinate market Notification of transition event to parties not involved in the transition;
 - (vi) Review initial list of transitioning ESI IDs for synchronization issues and work with Market Participants to resolve discrepancies and distribute to Market Participants;
 - (vii) Maintain and distribute the official list of transitioning ESI IDs;

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- (viii) Work with the TDSPs and CRs to determine the specific transactions and processes to be used to resolve issues surrounding Pending Transactions; and
 - (ix) Continually monitor the progress of the transition project and recommend conclusion of project based upon successful completion of all transition activities.
- (c) TDSPs
 - (i) Confirm accuracy of the TDSP's list of Transition/Acquisition contacts (technical, business and regulatory) on file with ERCOT (as designated on the TDSP's ERCOT registration form or as updated via the NCI form). It is the responsibility of the TDSP to maintain accurate contact information on file with ERCOT. Additions and modifications to Transition/Acquisition contact information must be made by submitting an NCI form, as provided on the ERCOT website, to ERCOT Registration;
 - (ii) Work with ERCOT and CRs to resolve all discrepancies of transitioning ESI IDs;
 - (iii) Provide SMRDs for transitioning of ESI IDs;
 - (iv) Work with involved parties to determine the specific transactions and process to be used to complete the transition plan;
 - (v) Provide Market Participants with a tentative schedule and ongoing progress reports throughout transition for completion of transition; and
 - (vi) Participate in initial and ongoing transition project coordination meetings and/or conference calls through completion of the transition event.
- (d) Designated CR, includes CSA CR
 - (i) Confirm accuracy of the Designated CR's list of Transition/Acquisition contacts (technical, business and regulatory) on file with ERCOT (as designated on the Designated CR's ERCOT registration form or as updated via the NCI form). It is the responsibility of the Designated CR to maintain accurate contact information on file with ERCOT. Additions and modifications to Transition/Acquisition contact information must be made by submitting an NCI form, as provided on the ERCOT website, to ERCOT Registration;
 - (ii) Review initial list of transition ESI IDs for accuracy and work with TDSP and ERCOT to resolve discrepancies;
 - (iii) Notify Customers involved of transition;

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

7.11.6 Transmission and/or Distribution Service Provider Transition Process Narrative

(1) Decision

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

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the individual Acquisition Transfer Effective Date should be aligned with a regular SMRD.

(2) Launch

- (a) After the PUCT has approved the transition of ESI IDs, ERCOT will issue periodic Notifications to the affected CRs:
 - (i) Indicating that they are affected by an approved TDSP territory transition;
 - (ii) Stating that they are certified according to ERCOT processes to serve in the gaining TDSP territory;
 - (iii) Indicating that the gaining TDSP may have additional requirements before the CR can continue to serve the Load in the gaining TDSP's certified territory;
 - (iv) Describing what transactions are required; and
 - (v) Describing when the CR is required to submit transactions;
- (b) The losing TDSP will provide a file capable of being converted to a CSV file with a final set of ESI IDs that are targeted for the transition to the gaining TDSP and all affected CRs;
- (c) ERCOT will confirm that its record of ESI ID ownership is consistent with the losing TDSP's and identify any ESI IDs for which there are Pending Transactions; and
- (d) When discrepancies exist, ERCOT, the TDSP, and the appropriate CR(s) will resolve the discrepancies to ensure that the correct population of ESI IDs is transitioned.

(3) Requirements

- (a) Gaining TDSP will change the ESI IDs for the Premises acquired. When a partial TDSP transition event takes place, such partial TDSP transition requires the gaining TDSP to create new and unique ESI IDs for all ESI IDs involved in the transition;
- (b) Transition of equipment and Customers will occur by the transition date agreed upon by both the losing and gaining TDSP;
- (c) Issues with transferring equipment may delay the transition. The subsequent dates will be a part of the PUCT final approval;
- (d) When applicable, the 814_20, ESI ID Maintenance Request, will be sent by the gaining TDSP and must process prior to any relationship activity taking place on

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the ESI ID to account for the one day difference between ERCOT's Siebel and Lodestar systems;

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

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

- (1) P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been Introduced, mandates that within

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four Business Hours of the request to remove the switch hold, the TDSP determines whether or not the switch hold should be removed and this determination is accomplished by utilizing MarkeTrak.

- (2) During processing of the MarkeTrak issue, the issue will be assigned and reassigned to all parties at specific points within the workflow.
- (3) Each Market Participant involved, ~~gaining~~Gaining CR (requesting CR), ~~losing~~Losing CR (REP of record) and TDSP is responsible for monitoring the MarkeTrak issue throughout the process, removal of the switch hold if applicable, and completing the steps within the timelines described in Section 7.16.4.3.2, Steps for Removal of a Switch Hold for Meter Tampering for Purposes of a Move in.
- (4) Removal of a switch hold by the TDSP, as referred to within Section 7.16.4.4, Removal of Switch Hold for Meter Tampering by Retail Electric Provider of Record Request During Emergency Events, shall be interpreted to mean the removal of all switch holds (CR and/or TDSP-initiated) which may be applied to the ESI ID.
- (5) For adding or removing switch holds during an extended unplanned system outage, refer to Section 7.10.4, Addition or Removal of Switch Hold by Retail Electric Provider of Record Request for 650 Transactions During Extended Unplanned System Outage Affecting the CR and/or TDSP.

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

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

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- (A) One of the following bills, in the new occupant's name, dated within the last two months from a different Premise address (cell phone invoices are not accepted):
 - (1) Natural Gas/Propane;
 - (2) Water/Sewer;
 - (3) Electricity; or
 - (4) Cable/Internet.
- (B) Relevant portions of current, signed lease agreement showing the following pertinent information:
 - (1) Full Premise address;
 - (2) Tenant and landlord/property manager names;
 - (3) Occupant names (if provided);
 - (4) Authorized signature pages with both the tenant and the landlord/property manager; and
 - (5) Effective lease dates.
 - (a) The commencement date of the effective lease agreement must be after the switch hold was applied to the Premise for the new occupant requesting the move in.
 - (b) Any expired lease agreements, or any lease agreement not signed by all responsible parties are not acceptable.

The gaining CR requesting removal of a switch hold shall review all documentation and, if all requirements are met, may proceed with MarkeTrak request.

- (C) Notarized affidavit of landlord (see Section 9, Appendices, Appendix J6, Sample – Affidavit of Landlord);
- (D) Closing documents indicating transfer of ownership occurred subsequent to the date the switch hold applied to Premise:
 - (1) Closing Statement with buyer/seller signatures; or
 - (2) Deed that has been filed with the county clerk, indicating street name and house number;

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- (E) Certificate of occupancy indicating new occupant being subsequent to the date of the switch hold applied to the Premise;
- (F) Other comparable documentation in the name of the new retail applicant for electric service.
- (iii) A CSA Statement as set forth in Section 9, Appendices, Appendix J4, Continuous Service Agreement (English), or Appendix J5, Declaración de Acuerdo de Servicio Continuo (Continuous Service Agreement Statement – Spanish), from the current CSA REP of record stating that the Premise is vacant and has an active CSA.
- (b) Gaining CR shall create a MarkeTrak issue using the subtype of *Switch Hold Removal*, attach all required documentation and assign the issue to the TDSP.
- (2) Switch Hold Removal Step 2 – TDSP
 - (a) The TDSP shall reply within one Business Hour of becoming the responsible Market Participant of the MarkeTrak issue with one of the responses below:
 - (i) The TDSP may reject the issue. If the issue is rejected, any further request to have the switch hold removed must be submitted in the form of a new MarkeTrak issue. All timelines will be reset upon submittal of a new MarkeTrak issue as outlined starting with Switch Hold Removal Step 1 in paragraph (1) above. Reasons for which the TDSP may reject the issue are as follows:
 - (A) Inadequate documentation upon submission of the MarkeTrak issue;
 - (1) Name(s) on New Occupant Statement does not appear on any documentation submitted under paragraph (1)(a)(ii) above;
 - (B) Reasonable determination that the ~~gaining~~ Gaining CR's Customer is associated with the Customer who resided at the location when meter tampering occurred, including the reason for this determination and all relevant internal documentation;
 - (C) Current REP of record is the submitter of the MarkeTrak issue; or
 - (D) No switch hold is currently applied to the ESI ID.
 - (ii) The TDSP may accept the issue and shall:
 - (A) Transition the MarkeTrak issue to the current REP of record; or

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- (B) Proceed to Switch Hold Removal Step 4 in paragraph (4) below if there is no REP of record; and
 - (C) Assign the issue back to the ~~gaining~~ Gaining CR.
- (3) Switch Hold Removal Step 3 – Losing CR
 - (a) The ~~losing~~ Losing CR shall take the following action within one and a half Business Hours of having been assigned the issue by the TDSP:
 - (i) Review all documentation provided by the ~~gaining~~ Gaining CR; and
 - (ii) Transition the issue as indicated below:
 - (A) If the ~~losing~~ Losing CR agrees that ~~gaining~~ Gaining CR's Customer is not associated with the ~~losing~~ Losing CR's Customer, the ~~losing~~ Losing CR shall select the "Agree" transition within MarkeTrak; or
 - (B) If the ~~losing~~ Losing CR has information that indicates that the ~~gaining~~ Gaining CR's Customer and the ~~losing~~ Losing CR's Customer are associated, the ~~losing~~ Losing CR shall choose the "Disagree" transition within MarkeTrak. Additionally, the ~~losing~~ Losing CR must state reasons for disagreement and attach documents that support the ~~losing~~ Losing CR's position.
 - (b) If the ~~losing~~ Losing CR has not chosen the "Agree" or "Disagree" transition within one and a half Business Hours of receipt, therefore remaining the responsible Market Participant within the MarkeTrak issue, the ~~losing~~ Losing CR is considered to agree with the ~~gaining~~ Gaining CR's removal of the switch hold request.
 - (i) The ~~gaining~~ Gaining CR may use the "Time Limit Exceeded" transition to request a final decision from the TDSP if there is no response from the ~~losing~~ Losing CR by the end of the allotted time. The ~~gaining~~ Gaining CR shall only use this transition when the ~~losing~~ Losing CR has been the responsible Market Participant of the MarkeTrak issue in excess of their allotted time. The TDSP will become the responsible Market Participant if this transition is used by the ~~gaining~~ Gaining CR.
- (4) Switch Hold Removal Step 4 – TDSP
 - (a) The TDSP shall have the remaining time between the assignment of the issue and the end of the four Business Hours timeframe to respond with a decision, but no less than one and a half Business Hours.

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- (b) The TDSP shall review all comments and documentation received, but retains the discretion to determine the final status of the switch hold. Upon completion of the review, the TDSP shall take one of the following actions:
- (i) Disapprove the removal of the switch hold during the final review period if the TDSP has internal information that indicates the requesting CR's Customer is associated with the ~~losing~~ Losing CR's Customer regardless of documentation provided. The TDSP shall place comments in the issue notifying parties of the reason for disapproval and attach all relevant internal documentation;
 - (ii) Approve the removal of the switch hold upon verification that the ~~losing~~ Losing CR failed to respond within one and a half Business Hours of receipt using the "State Change History" as the sole indicator if the ~~gaining~~ Gaining CR transitions the MarkeTrak issue to the TDSP requesting a final decision due to the ~~losing~~ Losing CR's failure to respond to the issue within the allotted timeframe. The TDSP shall remove the switch hold to allow completion of a move in request and place comments in the issue notifying parties of the decision to remove the switch hold;
 - (iii) Review the MarkeTrak issue received with comments from both CRs and if it is determined that the TDSP has no internal information that indicates the ~~gaining~~ Gaining CR's Customer is associated with the ~~losing~~ Losing CR's Customer, the TDSP shall:
 - (A) If there is agreement among both CRs that the switch hold should be removed, the TDSP will remove the switch hold and assign the issue back to the ~~gaining~~ Gaining CR, notifying parties of the removal of the switch hold, through comments; or
 - (B) If there is disagreement, the TDSP will evaluate all information provided by both CRs and assign the issue back to the ~~gaining~~ Gaining CR with the final decision to approve or deny the request to remove the switch hold, through comments. If the decision is to approve the request to remove the switch hold, the TDSP shall remove the switch hold prior to assigning the issue back to the ~~gaining~~ Gaining CR.
 - (iv) Disapprove the removal of the switch hold and notify parties, through comments, of the reason for disapproval if the TDSP receives the MarkeTrak issue from the ~~gaining~~ Gaining CR for a final decision and the "State Change History" indicates that the ~~losing~~ Losing CR was not provided the full one and a half Business Hours allocated under Switch Hold Removal Step 3 in paragraph (3) above; or

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- (v) Disapprove the removal of the switch hold and notify parties, through comments, of the reason for disapproval if the TDSP does not receive the full one and a half Business Hours for review and the allotted time was inadequate for a final decision to be made.
- (5) Switch Hold Removal Step 5 – All Market Participants Involved
- (a) If at any time, the TDSP becomes aware that the MarkeTrak issue was not resolved within the four Business Hour timeframe, the TDSP shall make a decision on whether or not to remove the switch hold based upon the existing activity within the MarkeTrak issue. The TDSP shall place comments in the MarkeTrak issue containing the final decision and transition the issue if possible.
 - (b) If at any time, the ~~gaining~~-Gaining CR becomes aware that the MarkeTrak issue was not resolved within the four Business Hour timeframe, the ~~gaining~~-Gaining CR shall notify the TDSP, via the MarkeTrak e-mail function and request a final decision.
 - (c) If at any time, the ~~losing~~-Losing CR becomes aware that the MarkeTrak issue was not resolved within the four Business Hour timeframe, the ~~losing~~-Losing CR shall notify the TDSP, via the MarkeTrak e-mail function and request a final decision.

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

- (1) In accordance with P.U.C. SUBST. R. 25.126, Adjustments Due to Non-Compliant Meters and Meter Tampering in Areas Where Customer Choice Has Been Introduced, the TDSP must make a determination on the request to remove the switch hold within four Business Hours of submission of the MarkeTrak issue, regardless of the progression of the MarkeTrak issue.
- (2) In the event that the switch hold is released and a Move-In Request is submitted by the ~~gaining~~-Gaining CR, the ~~losing~~-Losing CR may file a MarkeTrak issue to have the ESI ID returned if the loss was due to the expiration of the four Business Hour time frame in which the ~~losing~~-Losing CR and TDSP were not each allotted their full one and a half Business Hours to review the information due to the ~~gaining~~-Gaining CR's failure to transition the MarkeTrak issue within its specified time frame. The ~~losing~~-Losing CR has until the end of the following Retail Business Day after the ~~gaining~~-Gaining CR's submission of a Move-In Request to file an issue seeking reinstatement or retention of the ESI ID due to a prematurely removed switch hold. If an *Inadvertent Losing* MarkeTrak issue is not filed within this time frame, the ~~losing~~-Losing CR is considered to have forfeited any claim to the ESI ID, and/or switch hold. The process to have the ESI ID reinstated or retained is as follows:
 - (a) The ~~losing~~-Losing CR creates a MarkeTrak issue using the *Inadvertent Losing* subtype.

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- (i) Create a link in the current issue to the original MarkeTrak issue by using “Item Link”; and
 - (ii) Populate the issue with the following comment, verbatim: “TDSP return ESI ID per RMG Section 7.16.4.3.3 and restore switch hold upon reinstatement.”
- (b) The ~~gaining~~-Gaining CR shall make all attempts to cancel the pending move in if it has not yet effectuated, or if unable to cancel, shall agree to the return of the ESI ID if it has effectuated.
- (c) The TDSP shall restore the switch hold on the ESI ID upon successful reinstatement or retention of the ESI ID by the ~~losing~~-Losing CR.
- (3) The ~~losing~~-Losing CR shall not use the switch hold removal process to regain an ESI ID in which the ~~losing~~-Losing CR either failed to transition the original MarkeTrak issue within the one Business Hour allotted or used an incorrect transition to reassign the issue to the ~~gaining~~-Gaining CR.
- (4) If during the period in which the switch hold was removed, a third CR, not involved in the original MarkeTrak issue, submits an 814_01, Switch Request, or 814_16, Move In Request, for the ESI ID, the third CR is permitted to keep the ESI ID and the MarkeTrak issue shall be closed by the submitter of the “Inadvertent Losing” MarkeTrak issue.

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

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

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

- (1) Switch Hold Removal Step 1 – Gaining CR

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- (a) Once the ~~gaining~~ Gaining CR determines that the Customer requesting the move in is neither the Customer nor associated with the Customer subject to the switch hold, the ~~gaining~~ Gaining CR shall obtain the documentation listed in items (i) and (ii) below from the Customer to remove the switch hold. For move ins associated with a Continuous Service Agreement (CSA), only documentation in item (iii) below is required.
 - (i) A signed statement as set forth in Section 9, Appendices, Appendix J2, New Occupant Statement, or Appendix J3, Declaración De Nuevo Ocupante (New Occupant Statement – Spanish), from the applicant stating that the applicant is a new occupant of the Premise(s) and is not associated with the preceding occupant. All fields must be completed to be considered a valid submission; and
 - (ii) The name(s) on the New Occupant Statement shall appear at least one time on any of the following document(s) and may be rejected if the name(s) cannot be reconciled:
 - (A) One of the following bills, in the new occupant's name, dated within the last two months from a different Premise address (cell phone invoices are not accepted):
 - (1) Natural Gas/Propane;
 - (2) Water/Sewer;
 - (3) Electricity; or
 - (4) Cable/Internet.
 - (B) Relevant portions of current, signed lease agreement showing the following pertinent information:
 - (1) Full Premise address;
 - (2) Tenant and landlord/property manager names;
 - (3) Occupant names (if provided);
 - (4) Authorized signature pages with both the tenant and the landlord/property manager; and
 - (5) Effective lease dates.
 - (a) The commencement date of the effective lease agreement must be after the switch hold was applied to the Premise for the new occupant requesting the move in.

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- (b) Any expired lease agreements, or any lease agreement not signed by all responsible parties are not acceptable.

The gaining CR requesting removal of a switch hold shall review all documentation and, if all requirements are met, may proceed with MarkeTrak request.

- (C) Notarized affidavit of landlord (see Section 9, Appendices, Appendix J6, Sample – Affidavit of Landlord);
 - (D) Closing documents indicating transfer of ownership occurred subsequent to the date the switch hold applied to Premise:
 - (1) Closing Statement with buyer/seller signatures; or
 - (2) Deed that has been filed with the county clerk, indicating street name and house number;
 - (E) Certificate of occupancy indicating new occupant being subsequent to the date of the switch hold applied to the Premise;
 - (F) Other comparable documentation in the name of the new retail applicant for electric service.
- (iii) A CSA Statement as set forth in Section 9, Appendices, Appendix J4, Continuous Service Agreement (English), or Appendix J5, Declaración de Acuerdo de Servicio Continuo (Continuous Service Agreement Statement – Spanish), from the current CSA REP of record stating that the Premise is vacant and has an active CSA.
- (b) Gaining CR shall create a MarkeTrak issue using the subtype of *Switch Hold Removal*, attach all required documentation and assign the issue to the TDSP.
- (2) Switch Hold Removal Step 2 – TDSP
 - (a) The TDSP shall reply within one Business Hour of becoming the responsible Market Participant of the MarkeTrak issue with one of the responses below:
 - (i) The TDSP may reject the issue. If the issue is rejected, any further request to have the switch hold removed must be submitted in the form of a new MarkeTrak issue. All timelines will be reset upon submittal of a new MarkeTrak issue as outlined starting with Switch Hold Removal Step 1 in paragraph (1) above. Reasons for which the TDSP may reject the issue are as follows:
 - (A) Inadequate documentation upon submission of the MarkeTrak issue;

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- (1) Name(s) on New Occupant Statement does not appear on any documentation submitted under paragraph (1)(a)(ii) above;
- (B) Reasonable determination that the ~~gaining~~-Gaining CR's Customer is associated with the Customer who resided at the location when placement of the switch hold occurred, including the reason for this determination and all relevant internal documentation;
- (C) Current REP of record is the submitter of the MarkeTrak issue; or
- (D) No switch hold is currently applied to the ESI ID.
- (ii) The TDSP may accept the issue and shall:
 - (A) Transition the MarkeTrak issue to the current REP of record; or
 - (B) Proceed to Switch Hold Removal Step 4 in paragraph (4) below if there is no REP of record; and
 - (C) Assign the issue back to the ~~gaining~~-Gaining CR.
- (3) Switch Hold Removal Step 3 – Losing CR
 - (a) The ~~losing~~-Losing CR shall take the following action within one and a half Business Hours of having been assigned the issue by the TDSP:
 - (i) Review all documentation provided by the ~~gaining~~-Gaining CR; and
 - (ii) Transition the issue as indicated below:
 - (A) If the ~~losing~~-Losing CR agrees that ~~gaining~~-Gaining CR's Customer is not associated with the ~~losing~~-Losing CR's Customer, the ~~losing~~-Losing CR shall select the "Agree" transition within MarkeTrak; or
 - (B) If the ~~losing~~-Losing CR has information that indicates that the ~~gaining~~-Gaining CR's Customer and the ~~losing~~-Losing CR's Customer are associated, the ~~losing~~-Losing CR shall choose the "Disagree" transition within MarkeTrak. Additionally, the ~~losing~~-Losing CR must state reasons for disagreement and attach documents that support the ~~losing~~-Losing CR's position.
 - (b) If the ~~losing~~-Losing CR has not chosen the "Agree" or "Disagree" transition within one and a half Business Hours of receipt, therefore remaining the responsible Market Participant within the MarkeTrak issue, the ~~losing~~-Losing CR is considered to agree with the ~~gaining~~-Gaining CR's removal of the switch hold request.

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- (i) The ~~gaining~~ Gaining CR may use the “Time Limit Exceeded” transition to request a final decision from the TDSP if there was no response from the ~~losing~~ Losing CR by the end of their allotted time. The ~~gaining~~ Gaining CR shall only use this transition when the ~~losing~~ Losing CR has been the responsible Market Participant of the MarkeTrak issue in excess of their allotted time. The TDSP will become the responsible Market Participant if this transition is used by the ~~gaining~~ Gaining CR.
- (4) Switch Hold Removal Step 4 – TDSP
 - (a) The TDSP shall have the remaining time between the assignment of the issue and the end of the four Business Hours timeframe to respond with a decision, but no less than one and a half Business Hours.
 - (b) The TDSP shall review all comments and documentation received, but retains the discretion to determine the final status of the switch hold. Upon completion of the review, the TDSP shall take one of the following actions:
 - (i) Disapprove the removal of the switch hold during the final review period if the TDSP has internal information that indicates the requesting CR’s Customer is associated with the ~~losing~~ Losing CR’s Customer regardless of documentation provided. The TDSP shall place comments in the issue notifying parties of the reason for disapproval and attach all relevant internal documentation;
 - (ii) Approve the removal of the switch hold upon verification that the ~~losing~~ Losing CR failed to respond within one and a half Business Hours of receipt using the “State Change History” as the sole indicator if the ~~gaining~~ Gaining CR transitions the MarkeTrak issue to the TDSP requesting a final decision due to the ~~losing~~ Losing CR’s failure to respond to the issue within the allotted time frame. The TDSP shall remove the switch hold to allow completion of a move in request and place comments in the issue notifying parties of the decision to remove the switch hold;
 - (iii) Review the MarkeTrak issue received with comments from both CRs and if it is determined that the TDSP has no internal information that indicates the ~~gaining~~ Gaining CR’s Customer is associated with the ~~losing~~ Losing CR’s Customer, the TDSP shall:
 - (A) If there is agreement among both CRs that the switch hold should be removed, the TDSP will remove the switch hold and assign the issue back to the ~~gaining~~ Gaining CR, notifying parties of the removal of the switch hold, through comments; or
 - (B) If there is disagreement, the TDSP will evaluate all information provided by both CRs and assign the issue back to the ~~gaining~~ Gaining CR with the final decision to approve or deny the request

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to remove the switch hold through comments. If the decision is to approve the request to remove the switch hold, the TDSP shall remove the switch hold prior to assigning the issue back to the ~~gaining~~ Gaining CR.

- (iv) Disapprove the removal of the switch hold and notify parties, through comments, of the reason for disapproval if the TDSP receives the MarkeTrak issue from the ~~gaining~~ Gaining CR for a final decision and the “State Change History” indicates that the ~~losing~~ Losing CR was not provided the full one and a half Business Hours allocated under Switch Hold Removal Step 3 in paragraph (3) above; or
- (v) Disapprove the removal of the switch hold and notify parties, through comments, of the reason for disapproval if the TDSP does not receive the full one and a half Business Hours for review and the allotted time was inadequate for a final decision to be made.

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

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

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

- (1) In accordance with P.U.C. SUBST. R. 25.480, Bill Payment and Adjustments, the TDSP must make a determination on the request to remove the switch hold within four Business Hours of submission of the MarkeTrak issue, regardless of the progression of the MarkeTrak issue.
- (2) In the event that the switch hold is released and a Move-In Request is submitted by the ~~gaining~~ Gaining CR, the ~~losing~~ Losing CR may file a MarkeTrak issue to have the ESI ID returned if the loss was due to the expiration of the four Business Hour time frame in which the ~~losing~~ Losing CR and TDSP were not each allotted their full one and a half Business Hours to review the information due to the ~~gaining~~ Gaining CR's failure to

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transition the MarkeTrak issue within its specified time frame. The ~~losing-Losing~~ CR has until the end of the following Retail Business Day after the ~~gaining-Gaining~~ CR's submission of a Move-In Request to file an issue seeking reinstatement or retention of the ESI ID due to a prematurely removed switch hold. If an *Inadvertent Losing* MarkeTrak issue is not filed within this time frame, the ~~losing-Losing~~ CR is considered to have forfeited any claim to the ESI ID, and/or switch hold. The process to have the ESI ID reinstated or retained is as follows:

- (a) The ~~losing-Losing~~ CR creates a MarkeTrak issue using the *Inadvertent Losing* subtype.
 - (i) Create a link in the current issue to the original MarkeTrak issue by using "Item Link"; and
 - (ii) Populate the issue with the following comment, verbatim: "TDSP return ESI ID per RMG Section 7.17.3.3.3 and restore switch hold upon reinstatement."
- (b) The ~~gaining-Gaining~~ CR shall make all attempts to cancel the pending move in if it has not yet effectuated, or if unable to cancel, shall agree to the return of the ESI ID if it has effectuated.
- (c) The TDSP shall restore the switch hold on the ESI ID upon successful reinstatement or retention of the ESI ID by the ~~losing-Losing~~ CR.
- (3) The ~~losing-Losing~~ CR shall not use the switch hold removal process to regain an ESI ID in which the ~~losing-Losing~~ CR either failed to transition the original MarkeTrak issue within the one Business Hour allotted or used an incorrect transition to reassign the issue to the ~~gaining-Gaining~~ CR.
- (4) If during the period in which the switch hold was removed, a third CR, not involved in the original MarkeTrak issue, submits an 814_01, Switch Request, or 814_16, Move In Request, for the ESI ID, the third CR is permitted to keep the ESI ID and the MarkeTrak issue shall be closed by the submitter of the "Inadvertent Losing" MarkeTrak issue.

ERCOT Impact Analysis Report

RMGRR Number	<u>181</u>	RMGRR Title	Alignment of Defined Term Usage and Resolution of Inconsistencies
Impact Analysis Date	April 30, 2024		
Estimated Cost/Budgetary Impact	None.		
Estimated Time Requirements	No project required. This Retail Market Guide Revision Request (RMGRR) can take effect following Public Utility Commission of Texas (PUCT) approval.		
ERCOT Staffing Impacts (across all areas)	Ongoing Requirements: No impacts to ERCOT staffing.		
ERCOT Computer System Impacts	No impacts to ERCOT computer systems.		
ERCOT Business Function Impacts	No impacts to ERCOT business functions.		
Grid Operations & Practices Impacts	No impacts to ERCOT grid operations and practices.		

Evaluation of Interim Solutions or Alternatives for a More Efficient Implementation

None offered.

Comments

None.

Alignment Nodal Operating Guide Revision Request

NOGRR Number	<u>270</u>	NOGRR Title	Alignment Changes for December 1, 2024 Nodal Operating Guide – NPRR1221
Date Posted	October 15, 2024		
Status	Alignment Change		

Nodal Operating Guide Sections Requiring Revision	4.5.3.3, EEA Levels
Related Documents Requiring Revision/Related Revision Requests	Nodal Protocol Revision Request (NPRR) 1221, Related to NOGRR262, Provisions for Operator-Controlled Manual Load Shed
Revision Description	<p>This Nodal Operating Guide Revision Request (NOGRR) aligns Energy Emergency Alert (EEA) language in Section 4.5.3.3 with Protocol Section 6.5.9.4.2, EEA Levels. On October 10, 2024, the ERCOT Board recommended approval of NPRR1221, which modified language in Protocol Section 6.5.9.4.2.</p> <p>Paragraph (6) of Section 1.3.1, Introduction, provides that ERCOT may make changes to the Nodal Operating Guide to maintain duplicate language between the Protocols and the related sections of the Nodal Operating Guide, and requires that Section 4.5.3.3 be modified only by an Alignment NOGRR.</p>
Reason for Revision	<div style="margin-left: 20px;"> <input type="checkbox"/> <u>Strategic Plan</u> Objective 1 – Be an industry leader for grid reliability and resilience <input type="checkbox"/> <u>Strategic Plan</u> Objective 2 - Enhance the ERCOT region's economic competitiveness with respect to trends in wholesale power rates and retail electricity prices to consumers <input type="checkbox"/> <u>Strategic Plan</u> Objective 3 - Advance ERCOT, Inc. as an independent leading industry expert and an employer of choice by fostering innovation, investing in our people, and emphasizing the importance of our mission <input type="checkbox"/> General system and/or process improvement(s) <input checked="" type="checkbox"/> Regulatory requirements <input type="checkbox"/> ERCOT Board/PUCT Directive </div>

Alignment Nodal Operating Guide Revision Request

	<i>(please select ONLY ONE – if more than one apply, please select the ONE that is most relevant)</i>
ERCOT Opinion	ERCOT supports approval of NOGRR270.
ERCOT Market Impact Statement	ERCOT Staff has reviewed NOGRR270 and believes the market impact of NOGRR270 will be alignment of the Nodal Operating Guide with current Protocols.

Sponsor	
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Market Segment	Not Applicable

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Proposed Guide Language Revision

4.5.3.3 EEA Levels

- (1) ERCOT will declare an EEA Level 1 when PRC falls below 2,500 MW and is not projected to be recovered above 2,500 MW within 30 minutes without the use of the following actions that are prescribed for EEA Level 1:
 - (a) ERCOT shall take the following steps to maintain steady state system frequency near 60 Hz and maintain PRC above 2,000 MW:
 - (i) Request available Generation Resources, that can perform within the expected timeframe of the emergency, to come On-Line by initiating manual HRUC or through Dispatch Instructions;
 - (ii) Use available DC Tie import capacity that is not already being used;
 - (iii) Issue a Dispatch Instruction for Resources to remain On-Line which, before start of emergency, were scheduled to come Off-Line; and

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- (iv) Instruct QSEs to deploy undeployed ERS-10 and ERS-30.

[NOGRR221: Insert item (v) below upon system implementation of NPRR1010:]

- (v) At ERCOT's discretion, manually deploy, through Inter-Control Center Communications Protocol (ICCP), available RRS and ERCOT Contingency Reserve Service (ECRS) capacity from Generation Resources having a Resource Status of ONSC and awarded RRS or ECRS.

- (b) QSEs shall:

- (i) Ensure COPs, telemetered status, and telemetered High Sustained Limits (HSLs) are updated and reflect all Resource delays and limitations; and

[NOGRR221: Replace paragraph (i) above with the following upon system implementation of NPRR1010:]

- (i) Ensure COPs, telemetered status, and telemetered HSLs, Normal Ramp Rates, Emergency Ramp Rates, and Ancillary Service capabilities are updated and reflect all Resource delays and limitations; and

- (ii) Ensure that each of its Energy Storage Resources (ESRs) suspends charging until the EEA is recalled, except under the following circumstances:
- (A) The ESR has a current SCED Base Point Instruction, Load Frequency Control (LFC) Dispatch Instruction, or manual Dispatch Instruction to charge the ESR;
 - (B) The ESR is actively providing Primary Frequency Response; or
 - (C) The ESR is co-located behind a Point of Interconnection (POI) with onsite generation that is incapable of exporting additional power to the ERCOT System, in which case the ESR may continue to charge as long as maximum output to the ERCOT System is maintained.

[NOGRR229: Replace paragraph (ii) above upon system implementation of NPRR995:]

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- (ii) Ensure that each of its Energy Storage Resources (ESRs) and Settlement Only Energy Storage Systems (SOESSs) suspends charging until the EEA is recalled, except under the following circumstances:
 - (A) The ESR has a current SCED Base Point Instruction, Load Frequency Control (LFC) Dispatch Instruction, or manual Dispatch Instruction to charge the ESR;
 - (B) The ESR or SOESS is actively providing Primary Frequency Response; or
 - (C) The ESR or SOESS is co-located behind a Point of Interconnection (POI) with onsite generation that is incapable of exporting additional power to the ERCOT System, in which case the ESR may continue to charge as long as maximum output to the ERCOT System is maintained.

- (2) ERCOT may declare an EEA Level 2 when the clock-minute average system frequency falls below 59.91 Hz for 15 consecutive minutes. ERCOT will declare an EEA Level 2 when PRC falls below 2,000 MW and is not projected to be recovered above 2,000 MW within 30 minutes without the use of the following actions that are prescribed for EEA Level 2:

- (a) In addition to the measures associated with EEA Level 1, ERCOT shall take the following steps to maintain steady state system frequency at a minimum of 59.91 Hz and maintain PRC above 1,500 MW:
 - (i) Instruct TSPs and DSPs or their agents to reduce Customer Load by using existing, in-service distribution voltage reduction measures that have not already been implemented. A TSP, DSP or their agent shall implement these instructions if distribution voltage reduction measures are available and already installed. If the TSP, DSP, or their agent determines in their sole discretion that the distribution voltage reduction would adversely affect reliability, the voltage reduction measure may be reduced, modified, or otherwise changed from maximum performance to a level of exercise that has no negative impact to reliability.
 - (ii) Instruct TSPs and DSPs to implement any available Load management plans to reduce Customer Load.
 - (iii) Instruct QSEs to deploy ECRS or RRS (controlled by high-set under-frequency relays) supplied from Load Resources. ERCOT may deploy ECRS or RRS simultaneously or separately, and in any order. ERCOT shall issue such Dispatch Instructions in accordance with the deployment methodologies described in paragraph (iv) below.

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- (iv) Load Resources providing ECRS that are not controlled by high-set under-frequency relays shall be deployed prior to Group 1 deployment. ERCOT shall deploy ECRS and RRS capacity supplied by Load Resources (controlled by high-set under-frequency relays) in accordance with the following:
 - (A) Instruct QSEs to deploy RRS with a Group 1 designation and all of the ECRS that is supplied from Load Resources (controlled by high-set under-frequency relays) by instructing the QSE representing the specific Load Resources to interrupt Group 1 Load Resources providing ECRS and RRS. QSEs shall deploy Load Resources according to the group designation and will be given some discretion to deploy additional Load Resources from any of the groups not designated for deployment if Load Resource operational considerations require such. ERCOT shall issue notification of the deployment via XML message. The deployment time within the ERCOT XML deployment message shall initiate the ten-minute deployment period;
 - (B) At the discretion of the ERCOT Operator, instruct QSEs to deploy RRS that is supplied from Load Resources (controlled by high-set under-frequency relays) by instructing the QSE representing the specific Load Resource to interrupt additional Load Resources providing RRS based on their group designation. ERCOT shall issue notification of the deployment via XML message. The deployment time within the ERCOT XML deployment message shall initiate the 10-minute deployment period;
 - (C) The ERCOT Operator may deploy Load Resources providing only ECRS (not controlled by high-set under-frequency relays) and all groups of Load Resources providing RRS and ECRS at the same time. ERCOT shall issue notification of the deployment via XML message. The deployment time within the ERCOT XML deployment message shall initiate the 10-minute deployment period; and
 - (D) ERCOT shall post a list of Load Resources on the Market Information System (MIS) Certified Area immediately following the Day-Ahead Reliability Unit Commitment (DRUC) for each QSE with a Load Resource obligation which may be deployed to interrupt under paragraph (A) and paragraph (B). ERCOT shall develop a process for determining which individual Load Resource to place in each group based on a random sampling of individual Load Resources. At ERCOT's discretion, ERCOT may deploy all Load Resources at any given time during EEA Level 2.

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[NOGRR221: Replace paragraph (D) above with the following upon system implementation of NPRR1010:]

- (D) ERCOT shall post a list of Load Resources on the MIS Certified Area immediately following the DRUC for each QSE with a Load Resource RRS or ECRS award, which may be deployed to interrupt under paragraph (A) and paragraph (B). ERCOT shall develop a process for determining which individual Load Resource to place in each group based on a random sampling of individual Load Resources. At ERCOT's discretion, ERCOT may deploy all Load Resources at any given time during EEA Level 2.

- (v) Unless a media appeal is already in effect, ERCOT shall issue an appeal through the public news media for voluntary energy conservation; and
 - (vi) With the approval of the affected non-ERCOT Control Area, TSPs, DSPs, or their agents may implement transmission voltage level BLTs, which transfer Load from the ERCOT Control Area to non-ERCOT Control Areas in accordance with BLTs as defined in the Operating Guides.
- (b) Confidentiality requirements regarding transmission operations and system capacity information will be lifted, as needed to restore reliability.
- (3) ERCOT may declare an EEA Level 3 when the clock-minute average system frequency falls below 59.91 Hz for 20 consecutive minutes or when steady-state frequency falls below 59.8 Hz. ERCOT will declare an EEA Level 3 when PRC cannot be maintained above 1,500 MW or when the clock-minute average system frequency falls below 59.91 Hz for 25 consecutive minutes. Upon declaration of an EEA Level 3, ERCOT shall take any of the following measures as necessary to recover frequency or PRC to the minimum required levels:
- (a) Instruct ESRs to suspend charging. For ESRs, ERCOT shall issue the suspension instruction via a SCED Base Point instruction, or, if otherwise necessary, via a manual Dispatch Instruction. An ESR shall suspend charging unless it is providing Primary Frequency Response, has received a charging instruction via SCED Base Point, or is carrying Regulation Down Service (Reg-Down) and has received a charging instruction from LFC. However, an ESR co-located behind a POI with onsite generation that is incapable of exporting additional power to the ERCOT System may continue to charge as long as maximum output to the ERCOT System is maintained.

[NOGRR229: Replace paragraph (a) above upon system implementation NPRR995:]

- (a) Instruct ESRs to suspend charging. For ESRs, the suspension instruction shall be issued via a SCED Base Point, or, if otherwise necessary, via a manual

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Dispatch Instruction. An ESR shall suspend charging unless it is providing Primary Frequency Response, has received a charging instruction via SCED Base Point, or is carrying Regulation Down Service (Reg-Down) and has received a charging instruction from LFC. An SOESS shall suspend charging unless it is providing Primary Frequency Response. However, an ESR or SOESS co-located behind a POI with onsite generation that is incapable of exporting additional power to the ERCOT System may continue to charge as long as maximum output to the ERCOT System is maintained.

- (b) Direct all TOs to shed firm Load, in 100 MW blocks, distributed as documented in these Operating Guides in order to maintain a steady state system frequency at a minimum of 59.91 Hz and to recover 1,500 MW of PRC within 30 minutes.

- (i) TOs and Transmission and/or Distribution Service Providers (TDSPs) may:

- (A) Manually shed Load connected to under-frequency relays and/or under-voltage relays pursuant to an ERCOT Load shed directive issued during EEA Level 3 so long as the TO has determined that system conditions warrant utilizing Load connected to under-frequency and/or under-voltage relays and each affected TO continues to comply with its Under-Frequency Load Shed (UFLS) obligation as described in Section 2.6.1, Automatic Firm Load Shedding, and its Load shed obligation as described in Section 4.5.3.4, Load Shed Obligation.

- (B) Manually shed Load that is armed to deploy as part of the 58.5 Hz, 58.7 Hz, and anti-stall UFLS stages, such that the UFLS Load falls below the TO's 25% Load relief obligation, as described in Section 2.6.1, in order to meet ERCOT operating instructions for manual Load shed if all Load identified for manual Load shed and the Load identified in paragraph (A) above has been shed.

- (c) Implement any appropriate measures associated with EEA Levels 1 and 2 that have not already been implemented.