

CONTRACT NO. 473-19-00005
BETWEEN
THE PUBLIC UTILITY COMMISSION OF TEXAS
AND
SOLIX, INC.

The parties to this contract are the Public Utility Commission of Texas, an agency of the State of Texas, located at 1701 N. Congress Ave., Austin, Texas 78701 and Solix, Inc., a corporation with offices located at 30 Lanidex Plaza West, Parsippany, New Jersey 07054.

Article 1. DEFINITIONS

When used in this contract, the following terms have the following meanings:

- 1.1 **"PUCT,"** means the Public Utility Commission of Texas, an agency of the state of Texas, acting through its Executive Director and the agency's designated contract administrator.
- 1.2 **"Commission"** means the governing body of the PUCT.
- 1.3 **"Contractor"** or **"LIDA"** includes Solix, Inc., and any successors, heirs, and assigns.
- 1.4 **"Business day"** means a day the PUCT is open for business and is not observing a holiday.
- 1.5 **"Services"** means any and all services performed and any and all goods and products delivered by Contractor as specified in the Statement of Work.
- 1.6 **"Statement of Work"** means the description of goods and services to be provided under this contract found in Section 3 of the RFP.
- 1.7 **"Parties"** means PUCT and Contractor. **"Any Party"** means PUCT or Contractor.

Article 2. COMPENSATION

2.1 Compensation. Contractor agrees to provide all Services (including labor, expenses, and any other services) described in the Statement of Work, with the exception of Business Reply Mail (BRM) postage and ad-hoc mailings, for the firm fixed price of \$7,448,500 per year. The charge for ad hoc mailings will be \$0.50 for the first page of each mailing, envelope and postage, excluding BRM postage, plus \$0.085 for each additional page. BRM postage must be invoiced at cost as a separate pass-through item and must be reported to the PUCT with the monthly invoice. Contractor understands that the PUCT is not responsible for payment of any costs or expenses exceeding this amount.

If Contractor believes that changes in the scope of Services to be performed will require Contractor to increase its fee, it must request the PUCT's written authorization to increase its fee. Contractor must document the changes in the scope of Services and why they will require additional effort. The PUCT must approve the increase in fee by written amendment to this contract before Contractor performs any Services or may invoice the increased fee.

2.2 Payment Process. Contractor must submit an invoice to the PUCT contract administrator no later than the tenth day of the month after the month that all the Services have been performed and completed.

No payment will be made for administrative overhead, overtime, or other charges not directly attributable to the performance of this contract.

On the statement or invoice, Contractor must include a statement that the invoice accurately describes the Services performed and the Services were performed in compliance with the contract. The statement or invoice must include the vendor identification number issued by the Texas Comptroller or Contractor's federal taxpayer identification number, a description of the Services provided (to include quantity and contracted price), and the name and division of the PUCT contract administrator. For any services Contractor subcontracts for, contractor must attach the HUB subcontractor report to the invoice along with any backup documentation for the subcontracted services.

Contractor must submit the invoice to the PUCT as follows:

By email to: Payables@puc.texas.gov, with a copy to ContractOversight@puc.texas.gov

Or by mail to: Accounts Payable
Public Utility Commission of Texas
P.O. Box 13326
Austin, TX 78711-3326

The PUCT will review the invoice and any other relevant documentation to ensure the Services were performed in compliance with the contract. Upon approval of the invoice, the PUCT contract administrator will give the TUSF administrator written approval to pay the LIDA invoice from the TUSF. The TUSF administrator may not withdraw payment prior to receiving PUCT's written approval.

If the invoice does not contain required information or documentation, or if the PUCT disputes that the Services were performed in compliance with the contract, the PUCT will reject the invoice and give the contractor its reasons and the opportunity to submit a corrected invoice.

If Contractor must correct an invoice after the due date, the invoice will be deemed received on the date the corrected invoice is received.

2.3 Release of Claims. Contractor's acceptance of payment releases the PUCT of all claims for compensation owed in connection with this contract.

2.4 Refund. Contractor will promptly refund or credit within thirty calendar days any funds erroneously paid by PUCT which are not expressly authorized under the contract.

2.5 Payments Made to Subcontractors. Contractor must pay any subcontractor hereunder the appropriate share of payments received not later than the 10th day after the date Contractor receives the payment. The subcontractor's payment is overdue on the 11th day after the date Contractor receives the payment. The PUCT must approve Contractor's use of any subcontractor before Contractor engages the subcontractor (see Section 5.1 of this contract).

2.6 Records. Contractor and its subcontractors, if any, must maintain records and books of account relating to Services provided under this contract. Contractor must, for a period of seven (7) years following the expiration or termination of this contract, maintain its records (electronic and paper) of the work performed under this contract. Records include, but are not limited to, correspondence concerning the subject of this contract between Contractor and the PUCT; Contractor's internal

correspondence; and correspondence between Contractor and any third party. Contractor must make all records that support the performance of Services and payment available to PUCT and/or its designees or the State Auditor during normal business hours with reasonable notice, upon the request of the PUCT contract administrator.

2.7 Sole Compensation. Payments under this Article are Contractor's sole compensation under this contract. Contractor must not incur expenses not contemplated under the Statement of Work, with the expectation that the PUCT or any other agency of the state of Texas will pay the expense.

Article 3. CONTRACT ADMINISTRATION

3.1 PUCT Contract Administration. The PUCT designates Jay Stone to serve as its primary point of contact and contract administrator throughout the term of this contract. Contractor acknowledges that the PUCT contract administrator does not have any authority to amend this contract on behalf of the PUCT, except as expressly provided herein. Contractor further acknowledges that such authority is exclusively held by the Commission exercising its authority through a vote in an open meeting, or the Executive Director of the PUCT as the Commission's authorized designee.

3.2 Contractor Contract Administration. Contractor designates its contract administrator as follows: Jean Snopkowski

3.3 Reporting. Contractor must report directly to the PUCT contract administrator and must perform all activities in accordance with the reasonable instructions, directions, and requests conveyed to Contractor by the PUCT contract administrator.

3.4 Cooperation. The Parties' contract administrators must handle all communications between them in a timely and cooperative manner. The Parties must timely notify each other by email or other written communication of any change in designee or contact information.

3.5 Inquiries and Prompt Referral. Contractor understands that the PUCT does not endorse any vendor, commodity, or service. Contractor, its employees, representatives, other agents, or subcontractors may not issue any media release, advertisement, publication, or public pronouncement which pertains to this contract or the Services or project to which this contract relates, or which mentions the PUCT, without the prior approval of the PUCT. Contractor will promptly refer all inquiries regarding this contract received from state legislators, other public officials, the media, or anyone else not a Party to this contract to the PUCT contract administrator.

Article 4. REPORTS AND RECORDS

4.1 Written Reports. Contractor will provide written reports to the PUCT in the form and with the frequency specified in the Statement of Work, or as otherwise agreed in writing between the Parties.

4.2 Distribution of Consultant Reports. Contractor agrees the PUCT has the right to distribute any consultant report associated with this contract, or to allow another Texas state agency or the Texas legislature to distribute it. The PUCT will also have the right to post any consultant report associated with this contract to the PUCT's website or to the website of a standing committee of the legislature. This provision does not waive any right to confidentiality that the PUCT may assert for the report or any portion thereof.

Article 5. SUBCONTRACTING PARTIES

5.1 Use of Subcontractors. The Parties acknowledge and agree that, at the time of execution of this contract, Contractor intends to perform the Services required under this Contract using CSG Systems, Inc. (CSG) to provide the LIDA fulfillment services. Contractor will notify the PUCT contract administrator of any other proposed subcontract and will work with the PUCT HUB Coordinator to procure such other subcontractor and to submit appropriate subcontractor selection documentation for approval prior to engaging any other subcontractor, such approval not to be unreasonably withheld. Any subcontract not contemplated at the initiation of this contract and any subsequent substitution of a subcontractor must be approved by an amendment according to the terms of Article 7.

5.2 Sole Responsibility. Contractor is solely responsible for the quality and timeliness of the work produced by all subcontractors that Contractor may engage to provide Services hereunder and for the timely payment for all work produced by all subcontractors that the PUCT accepts and pays for in accordance with the terms of this contract.

5.3 Prime Vendor Contract. The Parties expressly agree that this Contract is intended to constitute a prime vendor contract, with Contractor serving as the prime vendor for delivery of the Services made the subject hereof. Contractor acknowledges and agrees that it is fully liable and responsible for timely, complete delivery of the Services described in this Contract, notwithstanding the engagement of any subcontractor to perform an obligation under this Contract.

Article 6. TERM AND TERMINATION

6.1 Term. The term of this Contract will begin on January 1, 2020 and will continue in effect until December 31, 2023 unless sooner terminated under Sections 6.2 or 6.3 of this Contract.

6.2 Termination for Cause by the PUCT. If Contractor fails to provide the goods or services contracted for according to the provisions of the contract or fails to comply with any terms or conditions of the Contract, the PUCT may serve upon Contractor written notice requiring Contractor to cure such default. Unless within thirty (30) days after receipt of said notice by Contractor, said default is corrected or arrangements satisfactory to the PUCT, as applicable, for correcting the default have been made by Contractor, the PUCT may terminate this contract for default and will have all rights and remedies provided by law and under this contract. If the PUCT terminates Contractor for a violation of Section 18.12, of this contract, the PUCT need not provide any notice or opportunity for curing the default. The PUCT will not be liable for any damages or loss to Contractor as a result of termination for convenience.

6.3 Termination for the Convenience of the PUCT. The PUCT may, upon thirty (30) days written notice to Contractor, terminate this contract whenever the interests of the PUCT so require. The PUCT will only reimburse those expenses already incurred at the time the notice is provided or expenses approved in writing, prior to Contractor incurring those expenses, for the purpose of wrapping up the contract. The PUCT will not be liable for any damages and/or loss to Contractor as a result of termination for convenience.

6.4 Transfer of Duties. In the event of termination, Contractor will provide reasonable cooperation to transfer its duties under the contract to another entity without disruption to the provision of Services.

6.5 Remedies for Breach. All remedies available to the PUCT for breach or anticipatory breach of this contract by Contractor are cumulative and may be exercised concurrently or separately, and the exercise of any one remedy will not be deemed an election of such remedy to the exclusion of other remedies. Liquidated damages, actual damages, cost projections, and injunctive relief may also be invoked either separately or combined with any other remedy in accordance with applicable law.

6.6 Survival. If this Contract expires or is terminated pursuant to its terms, the rights and obligations of the Parties under it will end; provided that the provisions of Sections 2.3 through 2.6, 3.5, 4.2, 6.4 through 6.6, 7.5, 9.2, 9.4 through 9.6, 17.2, 19.1 through 19.5, 19.10 through 19.12 and Articles 1, 10, 12, 14, 15, 16, 20, 21, 23, 28, and 29 will survive in their entirety.

Article 7. ASSIGNMENT, AMENDMENTS, AND MODIFICATIONS

7.1 Material Change Requests. The PUCT may propose changes to the Statement of Work. Upon receipt of a written request from the PUCT for a change to the Statement of Work, Contractor must, within the deadline specified in the request, or if no deadline is specified, within a reasonable time thereafter, submit to the PUCT a detailed written estimate of any proposed price and schedule adjustments to this contract. No changes to the Statement of Work, will occur without the Parties' written consent as provided in accordance with the terms stated in this contract.

7.2 Changes in Law, Rules, or Rulings. Changes in federal or state legislation, rules and regulations or rulings by the PUCT after the effective date of this contract may require modification of the terms of this contract, including an increase or decrease in Contractor's duties or compensation. In the event of changes to statutes, rules, and/or regulations affecting the terms of this contract, the PUCT and Contractor must negotiate the terms of a contract modification in good faith and incorporate the modification into this Contract by written amendment.

7.3 No Assignment of Duties. This contract will be binding upon and inure to the benefit of the permitted successors and assigns of any Party (including by merger of Contractor or otherwise by operation of law); provided, however, that Contractor may not otherwise, without the prior written consent of the PUCT, assign or transfer this contract or any obligation incurred under this contract. Any attempt by Contractor to assign or transfer this contract or any obligation incurred under this contract, in contravention of this article, will be voidable at the PUCT's sole discretion.

7.4 Amendments and Modifications. This contract may not be amended or modified in any manner except by written instrument executed by authorized representatives of the Parties in accordance with the terms of this contract.

7.5 Binding on Successors. The terms of this contract will be binding on any successor organization of any of the Parties.

Article 8. REPRESENTATIONS, WARRANTIES AND COVENANTS

8.1 Warranty of Performance. Contractor represents, warrants, and covenants that it will perform the Services outlined in the Statement of Work, in a professional and workmanlike manner, consistent with professional standards of practice in the professional industry.

8.2 Warranty of Services. Contractor warrants that the Services will be rendered by the qualified personnel named in Section 19.8 of this contract. If Services provided under this contract require a

professional license, then Contractor represents, warrants, and covenants that the activity will be performed only by duly licensed personnel.

Article 9. RISK OF LOSS AND PROPERTY RIGHTS

9.1 Risk of Loss. The risk of loss for all items to be furnished hereunder will remain with Contractor until the items are delivered to and accepted by the PUCT, at which time the risk of loss will pass to the PUCT.

9.2 Ownership. Except for materials where any intellectual property rights are vested in a third party, such as software or hardware, in which case such rights remain the property of the third party, all finished materials, deliverables, conceptions, or products created and/or prepared for on behalf of the PUCT and purchased by the PUCT, or on behalf of the PUCT, that the PUCT has accepted as part of the performance of Services hereunder, will be the PUCT's property exclusively and will be given to the PUCT either at the PUCT's request during the term of the Contract or upon termination or expiration of the contract. Notwithstanding the foregoing, materials created, prepared for, or purchased exclusively by the PUCT or on behalf of the PUCT are the PUCT's exclusive property regardless of whether delivery to the PUCT is effectuated during or upon termination or expiration of this contract.

9.3 Licensed Software. With PUCT's advanced written consent, Contractor may obtain software licenses as an agent of the PUCT for software that is used by Contractor solely for the purpose of providing Services under this contract. Contractor must provide the PUCT with a copy of any software license obtained by Contractor as an agent for the PUCT for the purpose of providing Services under this contract.

9.4 Prior Works. Except as provided herein, all previously owned materials, conceptions, or products remain the property of Contractor and nothing contained in this contract will be construed to require Contractor to transfer ownership of such materials to the PUCT.

9.5 Trademarks. The Parties agree that no rights to any trademark or service mark belonging to another Party or to any non-Party are granted to any other Party by this contract, unless by separate written instrument. The PUCT acknowledges and agrees that use of any trademark associated with any software provided by Contractor under this contract does not give the PUCT any rights of ownership in the trademark or the software.

9.6 Program Information. Program information, data, and details relating to Contractor's Services under this contract must be maintained separately from Contractor's other activities. Contractor must undertake all reasonable care and precaution in the handling and storing of this information.

9.7 Provision to be Inserted in Subcontracts. Contractor must insert a provision containing Sections 9.2 and 9.6 of this contract in all subcontracts hereunder except altered as necessary for proper identification of the contracting Parties and the PUCT under this contract.

Article 10. PUBLIC INFORMATION

10.1 Texas Public Information Act. (Texas Government Code Chapter 552). The Parties acknowledge that notwithstanding any other provisions of this contract, the Texas Public Information Act ("PIA") governs the treatment of all information held by or under the control of

the PUCT. The PUCT will notify Contractor of requests for Contractor's information as required under the PIA.

10.2 Agreement Not Confidential. The Parties acknowledge that not all terms of this contract may be confidential under the PIA, regardless of whether those terms are marked "Proprietary," "Trade Secret," or "Confidential." Contractor further acknowledges that in the event of a dispute over the release of a proposal or part of a proposal the PUCT is bound by the decision made by the Office of the Attorney General of Texas.

10.3 Contractor's Duty to Provide Public Information. Contractor is required, at no additional cost to the state, to make available in a format that is accessible by the public any information created or exchanged with the state pursuant to this contract. For the purpose of Section 10.3 of this contract, paper documents, Adobe Portable Document Format files (.pdf), Microsoft Excel spreadsheets (.xls), Microsoft Word documents (.docx), and Hypertext Markup Language (.html) files will be considered "accessible by the public," unless another format is specified by the PUCT, at the PUCT's sole discretion. If information created or exchanged with the state pursuant to this contract is excepted from disclosure under the PIA, Contractor will not be required to make the information available to the public but may be required to facilitate the PUCT's provision of the information to the Texas Attorney General for a decision on the information's confidentiality. The PUCT has no duty or responsibility to argue a defense of confidentiality to Contractor's information or data; it will be Contractor's sole responsibility to do so.

Article 11. CONFLICTS OF INTEREST AND EMPLOYMENT RESTRICTION

11.1 No Conflicting Relationships. Contractor certifies to the PUCT that no existing or contemplated relationship exists between Contractor and the PUCT that interferes with fair competition or is a conflict of interest, and that no existing or contemplated relationship exists between Contractor and another person or organization, whether or not located within the State of Texas, that constitutes or will constitute a conflict of interest for Contractor with respect to the PUCT.

11.2 Prohibition on Transactions with Parties Adverse to the PUCT. Contractor agrees that during the term of this contract and any extensions or renewals thereof, it will neither provide contractual services nor enter into any agreement, oral or written, to provide services to a person or organization that is regulated or funded by the PUCT or that has interests that are directly or indirectly adverse to those of the PUCT. The PUCT may waive this provision in writing if, in the PUCT's sole judgment, such activities of the Contractor will not be adverse to the interests of the PUCT.

11.3 Notice of Conflict. Contractor agrees to promptly notify the PUCT of any circumstance that may create a real or perceived conflict of interest, whether arising prior to or during the term of the contract. Contractor agrees to use its best efforts to resolve any real or perceived conflict of interest to the satisfaction of the PUCT. If Contractor fails to do so, it will be grounds for termination of this contract for cause, pursuant to Section 6.2 of this contract.

11.4 Prohibited Employment. Contractor agrees that it will not hire current or former PUCT employees whose employment with Contractor would violate any of the employment restrictions in Texas Government Code Chapter 572 or Texas Utilities Code Chapter 12.

Article 12. INDEMNIFICATION

Contractor must indemnify, defend and hold harmless the PUCT, the State of Texas, and their officers, agents, employees, representatives, contractors, assignees, and designees from any and all liabilities, claims, suits, assessments, penalties, losses, damages, demands or causes of action, and all related costs, attorney fees and expenses of whatever kind or nature asserted by a third party and occurring in any way incident to, arising out of, or in connection with acts or omissions of Contractor, its agents, employees and subcontractors, committed in the conduct of this contract. Contractor will have the obligation to undertake the defense of any such claim, process, or legal proceeding at Contractor's expense; provided, however, that the PUCT may participate in the defense with counsel of its own choosing. Any defense must be coordinated by Contractor with the Office of the Attorney General when Texas State Agencies are named defendants in any lawsuit. Contractor may not agree to any settlement without first obtaining concurrence from the Office of the Attorney General. Contractor and the PUCT agree to furnish timely written notice to each other of any claim.

If all or any part of the deliverables of this contract is the subject of any claim, suit, or proceeding for infringement or misappropriation of any intellectual property right, Contractor may, and in the event of any adjudication that the deliverables or any part thereof infringes or misappropriates any patent, trademark, copyright, or trade secret, or if the licensing or use of any of the deliverables or any part thereof is enjoined, Contractor must, at its expense do one of the following things: (i) procure for PUCT the right under such patent, trademark, copyright or trade secret to fully use the deliverables or the affected part thereof; or (ii) replace the deliverable or affected part thereof with another non-infringing deliverable; or (iii) suitably modify the deliverable or affected part thereof to make it non-infringing.

Article 13. INSURANCE

13.1 Contractor Responsibility. Contractor agrees to comply with all state and federal laws applicable to the liability and payment of Contractor and Contractor's employees, including laws regarding wages, taxes, insurances, and workers' compensation. Neither the PUCT nor the State of Texas will be liable to the Contractor, its employees, agents, or others for the provision of unemployment insurance and/or workers' compensation or any benefit available to a state employee.

13.2 Minimum Insurance. Contractor must, at its sole cost and expense, secure and maintain as a minimum, from the effective date of this contract and thereafter during the term of this contract and any renewals or extensions thereof, for its own protection and the protection of the PUCT and the State of Texas:

- a) commercial liability insurance, covering, at a minimum, the following categories of liability within the following limits: (i) bodily injury and property damage - \$1,000,000 limit per occurrence, \$2,000,000 aggregate, (ii) medical expense - \$5,000 limit per person, (iii) personal injury and advertising liability - \$1,000,000 limit, (iv) products/completed operations - \$2,000,000 aggregate, (v) damage to premises rented - \$50,000 limit;
- b) automobile liability coverage for vehicles driven by Contractor's employees (\$500,000 per occurrence); and

- c) workers' compensation insurance in accordance with the statutory limits, as follows: (i) employer's liability - \$1,000,000 each incident, (ii) disease - \$1,000,000 each employee and \$1,000,000 policy limit.
- d) cyber incident coverage to include: privacy breach related legal expenses to review and determine responsibilities under privacy breach laws; expenses related to compliance with privacy law notification requirements; credit and identification monitoring for up to 12 months after a cyber incident; expenses related to forensic investigations to investigate a system intrusion into the Contractor's computer system; and expenses to hire a public relations firm for public communications response.

The PUCT and the State of Texas must be named an additional insured on the commercial liability and automobile policies.

Insurance coverage must be from companies licensed by the State of Texas to provide insurance with an "A" rating from A.M. Best and authorized to provide the corresponding coverage.

13.3 Certificates of Insurance. Contractor must furnish to the PUCT certificates of insurance and any applicable endorsements, signed by authorized representatives of the surety or insurers, of all such bonds and insurance and confirming the amounts of such coverage within ten (10) days of the effective date of this contract, and upon request thereafter. Contractor must provide the PUCT contract administrator with timely renewal certificates as the coverage renews. Failure to maintain such insurance coverage specified herein, or to provide such certificates or endorsements promptly, will constitute a material breach of this Contract. Contractor must provide thirty (30) days written notice of any notice for renewal and/or cancellation of insurance.

Article 14. DISPUTE RESOLUTION

The Parties agree to resolve disputes arising under this contract through the dispute resolution process provided for in Chapter 2260 of the Texas Government Code and Subchapter C of the PUCT Rules for Administrative Services.

Article 15. SOVEREIGN IMMUNITY

The State of Texas and the PUCT do not waive sovereign immunity by entering into this contract and specifically retain immunity and all defenses available to them under the Constitution, the laws of the State of Texas, or the common law.

Article 16. GOVERNING LAW

Notwithstanding anything to the contrary in this contract, this contract will be deemed entered into in the State of Texas and will be governed by, construed and interpreted in accordance with the laws of the State of Texas that apply to contracts executed in and performed entirely within the State of Texas, without reference to any rules of conflict of laws. The Parties consent to the exclusive jurisdiction of the State of Texas. The Parties hereby submit to the jurisdiction of the courts located in, and venue is hereby stipulated to, the state courts located in Travis County, Texas. Each Party stipulates that it is subject to the jurisdiction of the courts located in Travis County, Texas, for any cause of action arising from any act or omission in the performance of this contract. Further, each Party hereby waives any right to assert any defense to jurisdiction being

held by the courts located in Travis County, Texas, for any cause of action arising from any act or omission in the performance of this contract.

Article 17. COMPLIANCE WITH LAW

17.1 General. Contractor must comply with all federal, state, and local laws, executive orders, regulations, and rules applicable at the time of performance. Contractor warrants that all Services sold hereunder will have been produced, sold, delivered, and furnished in strict compliance with all applicable laws and regulations to which they are subject, including, but not limited to, Equal Employment Opportunity laws. All laws and regulations required in agreements of this character are hereby incorporated by this reference.

17.2 Taxes. Contractor agrees to comply with any and all applicable state tax laws that may require any filing with and/or payment to the State of Texas as a result of any action taken as a result of this contract.

17.3 Workers' Compensation. Contractor agrees that it will be in compliance with applicable state workers' compensation laws throughout the term of this contract and any renewals or extensions thereof.

17.4 Conflicts. Contractor agrees to abide by the requirements of and policy directions provided by the Texas statutes and the rules and regulations of the PUCT and inform and consult with the PUCT when further interpretations or directions are needed in order to fully implement the rules and regulations of the PUCT. If Contractor becomes aware of inconsistencies between this Contract and a Texas statute or PUCT rule, Contractor will so advise the PUCT immediately and will cooperate fully to revise applicable provisions of this contract as necessary.

17.5 Compliance with Deceptive Trade Practices Act. Contractor must comply with Texas Business and Commerce Code Chapter 17.

17.6 Compliance with Americans with Disabilities Act. Contractor must comply with the Americans with Disabilities Act, 42 U.S.C. Chapter 126.

17.7 Prohibited Use of Appropriated/Other Funds. Contractor must comply with Texas Government Code Sections 556.005 and 556.0055 related to prohibited uses of appropriated and other funds.

17.8 Certificate of Interested Parties Form. At the time Contractor submits a signed contract to the PUCT, Contractor must submit a "Certificate of Interested Parties" form to the PUCT and file the form with the Texas Ethics Commission. The form and instructions for filing the form can be found at: <https://www.ethics.state.tx.us/tec/1295-Info.htm>. Contractor must not perform any work under the contract, nor receive any compensation prior to filing the form with the Texas Ethics Commission.

Article 18. CONTRACTOR'S CERTIFICATION

By accepting the terms of this Contract, Contractor certifies that, to the extent applicable, it is in compliance with the following requirements and prohibitions. Contractor understands and agrees that a false certification may lead to termination of this contract for cause.

18.1 Prohibitions on Gifts. Contractor has not given, offered to give, nor intends to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with this contract.

18.2 Delinquent Obligations. Contractor is not currently delinquent in the payment of any franchise or sales tax owed to the State of Texas and is not delinquent in the payment of any child support obligations under applicable state law.

18.3 Terrorist Financing. The PUCT is federally mandated to adhere to the directions provided in the President's Executive Order (EO) 13224, Executive Order on Terrorist Financing – Blocking Property and Prohibiting Transactions With Persons Who Commit, Threaten to Commit, or Support Terrorism, effective 9/24/2001 and any subsequent changes made to it, via cross referencing proposers/vendors with the Federal General Services Administration's System for Award Management (SAM), <https://www.sam.gov/>, which is inclusive of the United States Treasury's Office of Foreign Assets Control (OFAC) Specially Designated National (SDN) list. <http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx>

Contractor certifies that the Contractor and its principals are eligible to participate in this transaction and have not been subjected to suspension, debarment, or similar ineligibility determined by any federal, state or local governmental entity and that Contractor is not listed on the federal government's terrorism watch list as described in Executive Order 13224. Entities ineligible for federal procurement are listed at: <https://www.sam.gov/>

Contractor further certifies that it is not engaged in business with Iran, Sudan, or a foreign terrorist organization as prohibited by Section 2252.152 of the Texas Government Code.

18.4 Antitrust. Neither Contractor nor anyone acting for Contractor has violated the antitrust laws of this state, codified in Section 15.01, et seq. of the Texas Business and Commerce Code or the Federal Antitrust Laws, nor has Contractor communicated directly or indirectly to any competitor or any other person engaged in such line of business for the purpose of obtaining an unfair price advantage.

18.5 Family Code. Contractor has no principal who is ineligible to receive funds under Texas Family Code Section 231.006 and acknowledges that this contract may be terminated and payment may be withheld if this certification is inaccurate.

18.6 Prohibited Compensation. Contractor has not received compensation from the PUCT, or any agent, employee, or person acting on the PUCT's behalf for participation in the preparation of this contract.

18.7 Government Code. Under Texas Government Code Section 2155.004, Contractor certifies that the individual or business entity named in this contract is not ineligible to receive the specified contract and acknowledges that this contract may be terminated and/or payment withheld if this certification is inaccurate.

18.8 Outstanding Obligations. Payments due under the contract will be applied towards any debt that is owed to the State of Texas, including but not limited to delinquent taxes and child support.

18.9 Contracting with Executive Head of State Agency. Contractor certifies this contract is in compliance with Texas Government Code Section 669.003 relating to contracting with the executive head of a State agency. If Texas Government Code Section 669.003 applies, bidder will provide the following information in order for the bid to be evaluated: Name of Former Executive; Name of State Agency; Date of Separation from State Agency; Position with Bidder; and Date of Employment with Bidder.

18.10 Buy Texas. Contractor will comply with Texas Government Code Section 2155.4441, pertaining to service contracts regarding the use of products produced in the state of Texas.

18.11 Hurricane Recovery. Under Texas Government Code Section 2155.006, Contractor certifies that the individual or business entity named in this proposal is not ineligible to receive the specified contract and acknowledges that this contract may be terminated, and payment withheld if this certification is inaccurate.

18.12 E-Verify. Contractor certifies and ensures that it utilizes and will continue to utilize, for the term of this Contract, the U.S. Department of Homeland Security's E-Verify system to determine the eligibility of:

1. All persons hired to perform duties within Texas, during the term of the contract; and
2. All persons (including subcontractors) hired by the proposer to perform work pursuant to the contract, within the United States of America.

The Contractor must provide, upon request of PUCT, an electronic or hardcopy screenshot of the confirmation or tentative non-confirmation screen containing the E-Verify case verification number for attachment to the Form I-9 for the three most recent hires that match the criteria above, by the Contractor, and Contractor's subcontractors, as proof that this provision is being followed.

If this certification is falsely made, the contract may be immediately terminated, at the discretion of the state and at no fault to the state, with no prior notification. The Contractor will also be responsible for the costs of any re-solicitation that the state must undertake to replace the terminated contract.

This term should not be construed to require Contractor to utilize E-Verify to determine the eligibility of existing employees, or otherwise use E-Verify in violation of the law.

18.13 Debarred Vendors List. Contractor certifies that it is not on the Debarred Vendors List located at http://www.window.state.tx.us/procurement/prog/vendor_performance/debarred/.

18.14 Does Not Boycott Israel. If Contractor is required to make a certification pursuant to Texas Government Code Section 2270.002, Contractor certifies that Contractor does not boycott Israel and will not boycott Israel during the term of the contract resulting from this solicitation. If Contractor does not make that certification, Contractor certifies that it provided a statement to the PUCT, prior to signing this contract, stating why the certification is not required.

Article 19. GENERAL PROVISIONS

19.1 Relationship of Parties. Contractor is and will remain at all times an independent contractor, and nothing in this contract will be deemed to create a joint venture, partnership, employment, franchise, master-servant, or agency relationship between the Parties. Except as expressly provided

to the contrary elsewhere in this contract, no Party has any right or authority to act on behalf of another Party, nor to assume or create any obligation, liability or responsibility on behalf of another Party. Under no circumstances will the relationship of employer and employee be deemed to arise between the PUCT and Contractor's personnel. Contractor will be solely responsible for achieving the results contemplated by this contract, whether performed by Contractor, its agents, employees or subcontractors.

19.2 Non-Exclusivity. Nothing in this contract is intended nor will be construed as creating any exclusive arrangement between Contractor and PUCT. This contract will not restrict PUCT from acquiring similar, equal, or like goods and/or services from other entities or sources.

19.3 Taxes and Statutory Withholdings. Contractor acknowledges that it is not a PUCT employee but is an independent contractor. Accordingly, it is Contractor's sole obligation to report as income all compensation received by Contractor under the terms of this contract. Contractor is solely responsible for all taxes (federal, state, or local), withholdings, social security, unemployment, Medicare, Workers' Compensation insurance, and other similar statutory obligations (of any governmental entity of any country) arising from, relating to, or in connection with any payment made to Contractor under this contract. Contractor must defend, indemnify and hold the PUCT harmless to the extent of any obligation imposed by law on the PUCT to pay any tax (federal, state, or local), withholding, social security, unemployment, Medicare, Workers' Compensation insurance, or other similar statutory obligation (of any governmental entity of any country) arising from, relating to, or in connection with any payment made to Contractor under this contract. Further, Contractor understands that neither it nor any of its individual employees is eligible for any PUCT employee benefit, including but not limited to holiday, vacation, sick pay, withholding taxes (federal, state, local), social security, Medicare, unemployment or disability insurance, Workers' Compensation, health and welfare benefits, profit sharing, 401(k) or any employee stock option or stock purchase plans. Contractor hereby waives any and all rights to any such PUCT employment benefit.

19.4 Notice. Except as otherwise stated in this contract, all notices provided for in this contract must be (a) in writing, (b) addressed to a Party at the address set forth below (or as expressly designated by such Party in a subsequent effective written notice referring specifically to this contract), (c) sent by a national carrier with tracking capability (e.g. FedEx or Certified U.S. Mail), with proper postage affixed and (d) deemed effective upon the third business day after deposit of the notice with the carrier.

IF TO THE PUCT:

ATTENTION: Executive Director
1701 N. Congress Ave., 7th Floor
Austin, TX 78701

With copies to the PUCT contract administrator, and Jay Stone, CTCD, CTCM, at the same address.

IF TO CONTRACTOR:

ATTENTION: Jean Snopkowski
30 Lanidex Plaza West

Parsnippany, NJ 07054

19.5 Headings. Titles and headings of articles and sections within this contract are provided merely for convenience and must not be used or relied upon in construing this contract or the Parties' intentions with respect thereto.

19.6 Export Laws. Contractor represents, warrants, agrees and certifies that it (a) will comply with the United States Foreign Corrupt Practices Act (regarding, among other things, payments to government officials) and all export laws and rules and regulations of the United States Department of Commerce or other United States or foreign agency or authority and (b) will not knowingly permit any non-Party to directly or indirectly, import, export, re-export, or transship any intellectual property or any third Party materials accessed by Contractor during the course of this contract in violation of any such laws, rules or regulations.

19.7 Preprinted Forms. The use of preprinted forms, such as purchase orders or acknowledgments, in connection with this contract is for convenience only and all preprinted terms and conditions stated thereon are void and of no effect. The terms of this contract cannot be amended, modified, or altered by any conflicting terms, provisions, or conditions contained in a proposal or a preprinted form, such as purchase orders or acknowledgements. If any conflict exists between this Contract and any terms and conditions on a proposal, purchase order, acknowledgment, or other preprinted form, the terms and conditions of this Contract will govern.

19.8 Specific Personnel. Contractor has identified the personnel for this assignment ("Team"), in its proposal.

Contractor warrants that it will use its best efforts to avoid any changes to the Team during the course of this Contract. Should personnel changes occur during the term of this Contract or any extensions or renewals thereof, Contractor will recommend to the PUCT personnel with comparable experience and required qualifications and training. The PUCT must approve any change in personnel on this project in writing. Contractor must provide individuals qualified to perform the tasks assigned to such individual. At the PUCT's request, Contractor must remove from the project any individual whom the PUCT finds unacceptable for any reason in the PUCT's sole discretion. Contractor must replace such individual with another individual satisfactory to the PUCT as soon as practicable.

19.9 No Felony Criminal Convictions. Contractor represents and warrants that neither Contractor, nor any of its employees, agents, or representatives, including any subcontractors and employees, agents or representatives of such subcontractors, has been convicted of a felony criminal offense or that if such a conviction has occurred Contractor has fully advised PUCT of the facts and circumstances surrounding the conviction.

19.10 Publicity. Contractor understands and agrees that the PUCT does not endorse any vendor, commodity, or service. Contractor understands and agrees that Contractor, its employees, representatives, other agents, or subcontractors may not issue any public disclosure, media release, advertisement, or publication without prior written approval of the PUCT: which pertains to this contract or any services or project to which this contract relates; or which pertains to any results or findings based on information provided, created, or obtained to fulfill the requirements of this contract; or which mentions the PUCT.

19.11 No Third-Party Beneficiaries. Nothing contained in the contract, either express or implied, is intended to confer on any person other than the Parties, or their respective permitted successors, assigns, or transferees any interests, rights, remedies, obligations or liabilities.

19.12 Prompt Payment. All payments to Contractor by PUCT, any payments by Contractor to any subcontractor, and any payments by a subcontractor to any other person or entity that provides goods or services under this contract must be made in compliance with Chapter 2251 of the Texas Government Code, commonly known as the Texas Prompt Payment Act.

Article 20. NO IMPLIED WAIVER

The failure of any party, at any time, to enforce a provision of this contract will not constitute a waiver of that provision; will not affect the validity of this contract or any part of it; and will not affect the right of any party to enforce each and every provision.

Article 21. ORDER OF PRECEDENCE

In the event of conflicts or inconsistencies between the provisions of this contract and its attachment(s) and exhibit(s), the following are given preference in the order listed below:

- 1) The General Terms and Conditions of this contract;
- 2) The Statement of Work, including any exhibits;
- 3) The Request for Proposals;
- 4) The Contractor's proposal.

Article 22. FORCE MAJEURE

Neither the PUCT nor Contractor will be considered in default in the performance of its obligations under this contract to the extent that the performance of such obligations is prevented or delayed by any cause beyond the reasonable control of the affected party, which such party could not, by due diligence have avoided, including but not limited to acts of God, severe weather, explosions, riots, acts of war, or orders of legal authority. Such causes will not relieve either party of liability in the event of its failure to use due diligence to remedy the situation and remove the cause in an adequate manner, with all reasonable dispatch, and to give notice and full particulars of the same in writing to the other party as soon as possible after the occurrence of the cause that prevented or delayed performance of the obligations. If the event of Force Majeure continues for a period of more than one hundred and eighty (180) days, either party thereafter may terminate this contract upon giving at least ten (10) days prior written notice to the other party.

Article 23. SEVERABILITY

If any provision of this contract is held unlawful or otherwise unenforceable, that provision will be severed and deemed deleted and the remainder of this contract will continue in full force and effect, as if the provision had never existed.

Article 24. FUNDING OUT CLAUSE

This contract is contingent upon the continued availability of funding. If funds become unavailable through lack of appropriations, legislative or executive budget cuts, amendment of the Appropriations Act, state agency consolidations, or any other disruptions of current appropriations,

provisions of Section 6.3 of this contract will apply. Any contract resulting from this solicitation is contingent upon the continued availability of lawful appropriations by the Texas Legislature. See Texas Constitution, Article III Section 49, State Debts; and Texas General Appropriations Act for the 2020-2021 Biennium, Article IX, Section 6.03, Excess Obligations Prohibited.

Article 25. DRUG FREE WORKPLACE POLICY

Contractor must comply with the applicable provisions of the Drug-Free Work Place Act of 1988, 41 U.S.C. § 8102, et seq., and 48 CFR § 52.223-6 Drug-Free Workplace) and maintain a drug-free work environment. The requirements of the Drug Free Workplace Act and the rules interpreting it are incorporated by reference and Contractor must comply with the relevant provisions thereof, including any amendments that may hereafter be issued.

Article 26. SUBSTITUTIONS

Substitutions are not permitted without written approval of the PUCT.

Article 27. RIGHT TO AUDIT

Pursuant to Section 2262.154 of the Texas Government Code, the State Auditor may conduct an audit or investigation of Contractor or any other entity or person receiving funds from the state directly under this Contract or indirectly through a subcontract under this contract. The acceptance of funds by Contractor or any other entity or person directly under this contract or indirectly through a subcontract under this contract acts as acceptance of the authority of the state auditor, under the direction of the legislative audit committee, to conduct an audit or investigation in connection with those funds. Under the direction of the legislative audit committee, Contractor or any other entity that is the subject of an audit or investigation by the state auditor must provide the state auditor with access to any information the state auditor considers relevant to the investigation or audit. Contractor will ensure that this clause concerning the authority to audit funds received indirectly by subcontractors through the vendor and the requirement to cooperate is included in any subcontract awards.

Article 28. SIGNATORIES

The undersigned signatories represent and warrant that they have full authority to enter into this contract on behalf of the respective parties.

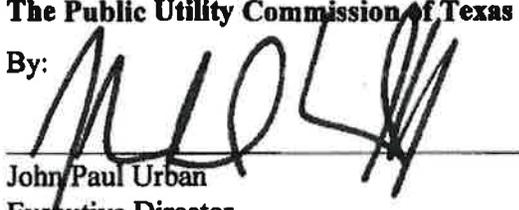
Article 29. ENTIRE AGREEMENT

This contract, including the Statement of Work, constitutes the entire agreement and understanding between the parties regarding its subject matter and supersedes and merges all prior discussions, writings, negotiations, understandings, and agreements concerning the provision of these Services. Any terms and conditions attached to a solicitation will not be considered unless incorporated into this contract by specific reference.

In WITNESS WHEREOF both parties by their duly authorized representatives have executed this contract effective as of January 1, 2020.

The Public Utility Commission of Texas

By:



John Paul Urban
Executive Director

Date Signed:

12/19/19

Solix, Inc.

By:

 FOR J.M.

Jack Miller
President and CEO

Date Signed:

12/27/19

ATTACHMENT A –Statement of Work

I. Introduction

A. Summary

The contractor will serve as the Low-Income Discount Administrator (LIDA). The LIDA is responsible for managing the electric and telephone discount matching processes. This contract requires working closely with PUCT staff, representatives of Utility Service Providers that are providing discounts, and the Texas Health and Human Services Commission (HHSC).

B. Background Information

1. Program-Defining Statutes and Rules

- (i) Texas Utilities Code §§ 17.007 and 55.015 available at:
<http://www.puc.texas.gov/agency/rulesnlaws/statutes/statutes.aspx>
- (ii) 16 TAC §§ 25.45 and 26.412 available at:
<http://www.puc.texas.gov/agency/rulesnlaws/Default.aspx>
- (iii) 47 CFR Part 54

2. “Utility Service Providers” refers to the following three groups of entities:

- (i) Traditional Telephone Service Providers (“Traditional TSPs”)– Telephone service providers (TSPs) which have Eligible Telecommunication Provider (ETP) status in the state of Texas that are either wireline or pre-paid cellular offering discounts to subscribers on their monthly bill. Currently, there are 107 active Traditional TSPs in the Lifeline program.
- (ii) Prepaid Telephone Service Providers (“Prepaid TSPs”) – TSPs which have Eligible Telecommunication Carrier (ETC) or Eligible Telecommunication Provider (ETP) status in the state of Texas that are designated for Lifeline purposes only, provide wireless service, and offer pre-paid minutes in lieu of a monthly bill. Currently, there are 11 active Prepaid TSPs in the Lifeline program.
- (iii) Retail Electric Providers (REPs) – Entities that sell electric energy to retail customers in Texas and hold a certificate issued by the PUCT as required by Tex. Util. Code Sec. 39.352. Currently, there are 29 active REPs that provide discounts to their customers based on the Low-Income List.

3. **Estimated Numbers** – For proposers’ convenience, the Statement of Work in the solicitation for this contract included estimated volumes of work, estimated participating customers, and estimated numbers of Utility Service Providers. The number of applications and forms received, fulfillment items required to be sent, ID verifications required, calls received, subscribers to LIDA programs, and Utility Service Providers participating in LIDA programs is out of the control of the PUCT and was provided as an estimate only. These numbers may vary significantly from year to year. The PUCT does not guarantee any minimum or maximum number for any task.
4. **File Structures** – the LIDA must use file structures that are consistent with those historically used by the LIDA in order to maintain ease of use for the Utility Service Providers. The file structures currently used can be found in Exhibit 2.

II. Services

- A. **Creating and Maintaining Databases of Eligible Customers** – the LIDA must maintain databases of eligible customers to perform the functions described in this Statement of Work.
- B. **Application and Form Review** – the LIDA must review all applications and required forms for LIDA programs and determine whether the applications and forms meet requirements for those programs based on the criteria in the enacting statutes and rules.
- C. **Requirements for processes to be used in providing LIDA services**
 1. **Overview**
 - (i) Each month, on a predetermined date, the LIDA will receive the following:
 - (a) the HHSC database of clients;
 - (b) residential customer base files from each REP (provided through a secure file transfer protocol (FTP) website set up by the LIDA); and
 - (c) residential customer base files from each TSP (provided through a secure FTP website set up by the LIDA).
 - (ii) The LIDA must eliminate duplicates and ineligible clients from the data they receive from HHSC, then add the current data for self-enrolled clients to create the final database of unique addresses to be used for that month.
 - (iii) The LIDA must compare the unique list of addresses compiled from HHSC and self-enrollment data to the data files from Utility Service Providers to create the list of matching clients for that month.
 - (iv) No later than the last day of each month, the LIDA must notify the Utility Service Providers that the matching client files are ready to be downloaded.
 - (v) The LIDA must provide each Utility Service Provider a unique and secure user ID and password to access that Utility Service Provider’s files.

- (vi) Individuals qualifying for discounts for Traditional TSP service through HHSC programs may cease to appear on the HHSC list. The first month a previously qualifying customer does not appear on the HHSC list, the LIDA must send the customer an application for self-enrollment and give the customer a two-month grace period status to receive the discount. If the customer fails to re-enroll during the two-month grace period, the LIDA will remove them from the list of benefit recipients and they will not receive the discount unless and until they appear on the HHSC list again or submit a qualifying self-enrollment package.
2. Self-Enrollment
- (i) Initial Self-Enrollment
 - (a) The LIDA must send application packages in both English and Spanish to customers who contact the LIDA through the call center or online to request forms to enroll in the Lifeline Program.
 - (b) The LIDA must process the returned forms within 7 business days of receipt.
 - (ii) Self-Enrollment Renewal – Traditional TSP Customers
 - (a) Traditional TSP customers are eligible for the Lifeline discount for seven months from enrollment.
 - (b) The LIDA must review all customers' eligibility during their 6th month and send renewal forms asking customers to re-apply for low-income benefits prior to the expiration of the seventh month.
 - (c) The LIDA must process returned self-enrollment renewal forms within seven business days of receipt.
 - (iii) Self-Enrollment Renewal – Prepaid TSP Customers
 - (a) Prepaid TSP customers are required to recertify annually.
 - (b) The LIDA must send Prepaid TSP Customers receiving the Lifeline discount recertification forms via U.S. Mail and notify the customer via SMS that recertification is required prior to their anniversary date each year.
 - (c) The LIDA must send the notifications at least 60 days prior to the customer's anniversary each year.
 - (d) The LIDA must allow customers to recertify through mail, telephone-based interactive voice response (IVR), or online.
 - (e) The LIDA must process returned paper forms within seven business days of receipt. Online and IVR applications must be processed immediately.
 - (f) If a customer fails to re-certify, the LIDA must remove the customer from the discount list.

- (g) The LIDA must ensure customers who successfully recertify within the window remain on the discount list for the following year.

3. Matching Criteria

(i) For REP Customers

- (a) For each REP Customer, the LIDA must ensure each of the following items are compared and at least one category results in a match:
 - (1) Social Security Number (SSN) in enrollment list to SSN in REP customer list.
 - (2) Name and ESI ID in enrollment list to name and ESI ID in REP customer list.
 - (3) Name and mailing address in enrollment list to name and service address in REP customer list.
 - (4) Name and residence address in enrollment list to name and service address in REP customer list.
 - (5) SSN and mailing address in enrollment list to SSN and service address in REP customer list.
 - (6) SSN and residence address in enrollment list to SSN and service address in REP customer list.
- (b) Mailing and residence address match must include the full address and the full 5+4-digit zip code.
- (c) SSN match must exclude dummy entries such as "000000000."

(ii) For TSP Customers

- (a) For each TSP customer, the LIDA must ensure each of the following are compared and at least one category results in a match:
 - (1) SSN only in enrollment list to SSN only in TSP customer list.
 - (2) Last name and phone number in enrollment list to last name and phone number in TSP customer list.
 - (3) Name and mailing address in enrollment list to name and service address in TSP customer list.
 - (4) Name and residence address in enrollment list to name and service address in TSP customer list.
 - (5) The discount is provided to all the matching customers.
- (b) Mailing and residence address match must include the full address and the full 5+4-digit zip code.

- (c) SSN match must exclude dummy entries such as "000000000."
- (d) The LIDA must further verify all self-enrollment records that have been matched to TSP records to confirm there is a valid, approved certification form in the database. To be valid, the certification form must be filled out completely and correctly and have been signed no earlier than three months prior to the approval of the application.
- (e) The LIDA must further review all records that have matched to ensure that only one discount is given per household unless the database contains an approved household worksheet that justifies multiple discounts in that household.
- (f) The LIDA must use an address verification system that has been certified through the USPS's Coded Accuracy Support System (CASS) Certification process. Any address that fails the verification must be returned to the submitting TSP and a CASS failure letter must be sent to the customer.
- (g) The LIDA must verify each ID associated with a customer record to ensure the ID is valid.
- (h) For Prepaid TSP Customers, the following additional matching processes apply:
 - (1) All Prepaid TSPs must submit their customer information through the Near Real Time Application Programming Interface (NRT API) system.
 - (2) The approved customers from the NRT API system is checked against the Prepaid TSP-provided monthly customer list file.

4. Output files used for LIDA services

- (i) The LIDA must provide the following output files each month to Utility Service Providers for use in administering the discount programs:
 - (a) Files provided to REPs
 - (1) Discount List of Customers File
 - (b) Files provided to Traditional TSPs
 - (1) Discount List of Customers File
 - (2) De-Enrolled List of Customers File
 - (3) FCC Form 555 Data File
 - (4) CASS Failures File
 - (5) CASS Corrections File
 - (6) IVR Certifications File
 - (7) "De-enroll" File with records of each customer that will be removed from the program due to failing matching criteria.
 - (8) "Discount" File with records of each customer that has passed all the matching criteria and has been approved for the discount program.

- (9) A .pdf file of each certification form that is reviewed and approved to the providing TSP.
- (c) Files provided to Prepaid TSPs
 - (1) Discount List of Customers File
 - (2) De-Enrolled List of Customers File
 - (3) Re-Enrolled List of Customers File
 - (4) CASS Failures File
 - (5) CASS Corrections File
 - (6) IVR Certifications File
 - (7) Rolling Recertification Initial File
 - (8) Rolling Recertification Outcome File
 - (9) "De-enroll" File with records of each customer that will be removed from the program due to failing matching criteria.
 - (10) "Discount" File with records of each customer that has passed all the matching criteria and has been approved for the discount program.
 - (11) A .pdf file of each certification form that is reviewed and approved to the providing TSP.

D. Online Resources

1. The LIDA must maintain and update a webpage with information regarding the LIDA programs
 - (i) The webpage must include frequently asked questions (FAQ), which the LIDA must monitor and update as necessary to ensure they are relevant and up-to-date.
 - (ii) The LIDA is responsible for maintaining the LIDA webpage and FAQs, and updating the site as needed. The site must provide a means for users to submit questions. The LIDA must route questions to the PUCT to be answered, then post PUCT's answer. The LIDA must post FAQs and answers in English and Spanish.
2. The LIDA must provide a website which can be used by Texas residents to apply for or renew lifeline discounts. Customers must be able to complete the following tasks using the website:
 - (i) Submit a new application for Lifeline discounts
 - (ii) Request a paper application for Lifeline discounts
 - (iii) Submit a Certification Form
 - (iv) Submit a Recertification Form
 - (v) Submit a Household Worksheet Form

(vi) Upload all program-related forms needed to complete the application.

3. The LIDA must provide an online system for a Prepaid TSP to verify a potential customer's availability on demand.
 - (i) The LIDA is responsible for maintaining all necessary software and hardware for easy access and processing.
 - (ii) The LIDA must provide the verification service through an online Application Programming Interface (API) system for Prepaid TSPs to enroll customers and verify a potential customer's eligibility on demand.
 - (a) All Prepaid TSPs are required to use the LIDA API system to determine phone and minute eligibility for Lifeline customers.
 - (b) The API system must allow TSPs to determine whether a customer is in the database of eligible customers provided to the LIDA from HHSC. If the customer is in the database, the system should indicate that the customer is automatically approved for a discount. If not, the system must queue the application for a manual "near real-time" (NRT) review. The manual NRT review must be completed in under five minutes.
 - (1) There are three kinds of automatic reviews that may need NRT reviews:
 1. Eligibility Review – If a customer is not found in the HHSC database, the Prepaid TSP will be asked by the system to submit eligibility supporting documentation. Once provided, live agents of the LIDA will review the documents and render a decision.
 2. ID Review – If a customer is not found in the HHSC database, the system must perform ID verification of the customer using an ID verification and authentication service (for example, IDology or Lexus Nexus). If that check results in a failure, the system must prompt the Prepaid TSP to submit identity-supporting documentation. Once provided, live agents of the LIDA must review the documents and render a decision.
 3. CASS Address Validation Review – If a customer's address provided by the TSP fails CASS address validation, the system must prompt the TSP to submit address verification documentation. Once provided, live agents of the LIDA must review the documents and render a decision.
 - (c) The API system must be compatible with a reasonable variety of technology used by TSPs to complete the application process.

E. Fulfillment Operations – the LIDA must manage all fulfillment operations.

1. The LIDA must develop and implement a method to notify applicants of their eligibility or denial of eligibility;

2. All fulfillment materials must be provided in both English and Spanish.
3. The following items must be produced and delivered by the LIDA to the appropriate customers:
 - (i) Application Rejection Notices – Letters to customers providing the reason or reasons their Lifeline application was rejected and providing instructions for re-applying or disputing. Application Rejection Notice content varies based on the reason for the rejection.
 - (ii) CASS Failures – Letters to customers whose address failed the CASS Validation.
 - (iii) Certification Form Review Rejection – Letters to customers whose Certification Form review resulted in a rejection.
 - (iv) Certification Plus Letters – Letters to customers notifying them that their record has an incorrect social security number.
 - (v) Certification Plus Rejections – Letters to customers notifying them that their Certification Plus review was rejected.
 - (vi) Certification Plus Resends – Letters to customers that request another Certification Plus Form be mailed to them.
 - (vii) Certification Resends – Letters to customers who have requested another Certification Form or Household Worksheet be mailed to them.
 - (viii) Duplicative Discount Letters for Discounts on Multiple Telephone Numbers – Letters to customers who have been identified as receiving a Lifeline discount on more than one telephone number.
 - (ix) Duplicative Discount Letters for Multiple Discounts in Household – Letters to customers who have been identified as living in a household with more than one Lifeline discount.
 - (x) Duplicative Discount Letters for Social Security Number – Letters to customers whose social security number has been identified as a possible duplicate across two or more different addresses
 - (xi) Name, Address, or Name and Address Change Letters – Letters to customers whose name, address, or name and address has changed in the Utility Service Provider file provided to the LIDA.
 - (xii) New Application Package – information sent to customers who have requested a Lifeline application to be delivered by mail.
 - (xiii) New Discount Letters – Letters to customers who have been identified as eligible for the Lifeline discount through the HHSC process but who are not receiving the discount.

- (xiv) PUCT Annual Mailing -- Letters to targeted potential customers who are enrolled in a qualified HHSC program and live in an area that allows them to choose their electric company.
 - (xv) Renewal Notices -- letters to low-income customers asking them to re-certify their qualification for the low-income program or programs prior to the expiration of the 7th month of receiving the discount.
 - (xvi) Rolling Recertification Denials -- letters to prepaid wireless customers notifying them that their recertification form was denied upon review.
 - (xvii) Rolling Recertification Renewal Notices -- letters to prepaid wireless customers notifying them that it is time to renew their Lifeline benefit.
 - (xviii) Rolling Recertification Resends -- letters to customers who request another Recertification Form be mailed to them.
4. Exhibit 1 is a table showing the required frequency and contents of each fulfillment item. This list may be changed through a written directive from the PUCT contract manager without amending the contract.
- (i) Weekly fulfillments must be mailed each Monday, or the following business day, if Monday is a holiday.
 - (ii) Monthly fulfillments must be mailed within five business days of the first day of the month.

F. Customer Service

1. The LIDA must manage the LIDA call center.
- (i) The call center must be operational 24 hours per day, 7 days per week.
 - (a) Both English and Spanish speaking operators must be available at all times.
 - (b) The call center must not close for any holidays.
 - (c) The call center must be physically located in Texas.
 - (ii) Call center operators must:
 - (a) Answer telephone calls from customers with questions or concerns about benefits programs; and
 - (b) Resolve customer eligibility issues.
 - (iii) English and Spanish speaking agents must be available at all times.
 - (iv) The LIDA call center must also offer an IVR System for Texas residents to complete application and certification-related tasks. The IVR System must:
 - (a) Have the capability to guide customer through options;

- (b) Allow customers to complete and accept the following forms using voice or numeric commands:
 - (1) Certification Form
 - (2) Recertification Form
 - (3) Household Worksheet
 - (c) If the system is not able to complete the request, the call must be answered by a live call center agent who must have appropriate system access to complete the customer's request.
 - (v) All calls must be recorded and stored for a minimum of 4 months. If any call recording is subject to an open records request, an audit, a subpoena, or other legal requirement to retain the recording, the recording must be retained until the requirement mandating its retention ends. The LIDA may also be required to retain recorded calls as directed by the PUCT.
2. The LIDA must provide a point of contact or points of contact for the Utility Service Providers for technical questions relating to the matching process and customer complaints.
 3. The LIDA must notify all applicants of their eligibility or ineligibility.
 4. The LIDA must resolve any problems with the matching process.
 5. The LIDA must coordinate with the Texas HHSC to establish the processing schedule for file exchange with the Utility Service Providers for each fiscal year (September 1 through August 31) by the end of July, except that the processing schedule for the fiscal year beginning September 1, 2019 was set by the incumbent contractor and the incoming contractor will be required to follow it.
 6. The LIDA must provide Traditional TSPs the data necessary to complete the FCC Form 555 each year.
 7. The LIDA must provide an SMS Text service for customers of prepaid wireless carriers to notify customers when they become eligible for the annual recertification process. The recertification window is open for each customer for a period of 60 days.
 - (i) The system must send automated texts on the following days:
 - (a) Day 1 of the customer's recertification window;
 - (b) Day 20 of the customer's recertification window;
 - (c) Day 45 of the customer's recertification window; and
 - (d) The final day of the customer's recertification window.
 - (ii) LIDA must propose standard text message content to PUCT Contract Administrator and get approval for the content of the automated texts.

8. The LIDA must carry out special projects, as directed by the PUCT. For example, the PUCT may request a mass-mailing of self-enrollment forms. Proposers must provide per-page pricing for ad hoc mailouts.

G. Compliance

1. The LIDA must provide an annual Statement on Standards for Attestation Engagements (SSAE 16), SOC 1, Type II (or latest approved AICPA version) audit of the LIDA's administration of the LIDA programs.
 - (i) The audit must cover:
 - (a) The LIDA's standard operating procedures for its LIDA programs;
 - (b) The LIDA's network security as it pertains to handling confidential information received from HHSC.
 - (c) The LIDA's compliance with Section 18.12 of the contract's General Terms and Conditions, pertaining to the LIDA's use of E-Verify.
 - (ii) The audit must be completed to the current SSAE standard as of its date of completion.
 - (iii) The timeframe examined for each audit will be the prior fiscal year.
 - (iv) The audit for each fiscal year must be completed by the last business day of March of the following fiscal year (e.g., for the 2019 Fiscal Year, the audit must be completed by March 31, 2020).
2. The LIDA must complete a cybersecurity training program certified under Tex. Gov't. Code Section 2054.519 and selected by the PUCT by December 31, 2020, report the completion of the course to the PUCT Contract Administrator, and provide any documentation identified by the Contract Administrator to verify completion.
3. The LIDA must ensure the Lifeline Discount process meets the State of Texas and Federal Communications Commission (FCC) regulations.
4. The LIDA must timely respond to requests for information from PUCT, USAC, the FCC, and TSPs performing audits.

III. Confidentiality and Information Security

- A. Work required by this contract involves handling confidential information in a secure way.
- B. In order to evaluate beneficiaries' eligibility for benefits, the LIDA will need to receive information from the Texas HHSC. HHSC provides this information to the PUCT and the LIDA pursuant to a Data Use Agreement (DUA). As PUCT's subcontractor, the LIDA will be required to sign a Subcontractor Agreement Form that obligates the LIDA to comply with the terms of PUCT's DUA with HHSC. The DUA and Subcontractor Agreement Form are included as Exhibit 4 to this Statement of Work. HHSC will also require the LIDA to complete an Initial Security Evaluation before accessing HHSC's information.

- C. The LIDA must sign HHSC's Subcontractor Agreement Form and complete the Initial Security Evaluation within the first ten calendar days after the effective date of the contract. Failure to sign the Subcontractor Agreement Form or complete the Initial Security Evaluation within ten calendar days of the effective date of the contract is cause for termination of the contract under Section 6.2 of the contract's General Terms and Conditions.

IV. Record-keeping, Information Access, and Invoices

A. Record Keeping

1. In addition to the requirements in Section 2.6 of this contract's General Terms and Conditions relating to records, the LIDA must generate and store certain PDF images:
 - (i) Scanning from paper records: The LIDA must scan each paper application, supporting documentation, certification form and household worksheet form received and store them as .pdf files. The scanned images must be linked to the customer record in the LIDA system for review. The images must be maintained by the LIDA for the duration of the contract.
 - (ii) Storage of paper records: Paper records must be retained for seven years after the contract ends.
 - (iii) System-generated images: The LIDA must provide the ability to generate .pdf images from the data captured via website or NRT submissions. The .pdf images must be generated for each application, certification, and household worksheet. The images must be linked to the customer record in the LIDA system for review. The images must be maintained by the LIDA for the duration of the contract.
 - (iv) The electronic images must be stored in an encrypted format. The LIDA must provide the PUCT with tools to view the historical images.
2. The PDF images of this data will contain PII information and must be stored in an encrypted format.
3. The LIDA must provide the PUCT Contract Administrator with tools to view the historical images.
4. The LIDA must retain and provide PUCT access, upon request, to all previous years' PDF images.

B. Information Access

1. The LIDA must provide the PUCT the following access to information:
 - (i) The LIDA must provide the PUCT access to all files received and sent to the Utility Service Providers relating to the monthly matching process
 - (ii) Read-only access to all information in the call center database
 - (iii) Access to review call center recordings

2. The LIDA must provide a secure means of accessing information to the PUCT. Information available to the PUCT via secure access must include archived information, such as previously requested reports, and all information shared on a scheduled or ad hoc basis.
- C. The LIDA must deliver PUCT-approved reports by the 10th working day of the month for the previous month's business. If the 10th business day of the month falls on a weekend, the reports are due on the last business day before the weekend. Sample Reports are included in Exhibit 3 to this RFP. Reports required include:
1. Enrolment Summary - This provides details on various topics regarding the month end process, applications processed by LIDA, requests for forms/letters, and number of applications received and how they were submitted.
 2. LIDA Operations Rejection Code Summary - This provides a breakdown of all rejection reasons processed during the month.
 3. LIDA Operations TSP Summary - This is a breakout of the monthly file processing for telecom companies. It provides number of records submitted, rejected and counts of records that were matched for a discount. It also provides detail if they submitted on time and the percentages of errors within files.
 4. Texas LIDA 6-month TSP Rolling Report - This provides a list of self-enrollment records that are expiring in the next 6 months by carrier.
 5. Monthly Call Reason Report - This breaks out the topic of the call and gives counts by those categories. The data is separated into individual weeks.
 6. Monthly Report by ZIP Code - This breaks out call center calls received by each zip code and city.
 7. Call Center Handle Time Report - This reports on calls received, answered abandoned and provides detail on talk time, time to answer and duration of calls.
 8. Verification of all mailed letters - This is a report showing the breakdown of letter types and dates the vendor received and mailed the requested letters.
 9. Verification of Call Center minutes
 10. Verification of the number of Applications, Certification Forms, and Household Worksheets Processed
 11. Any other reports reasonably determined necessary to fulfill or verify the purpose of this contract by the Contract Administrator

V. Liquidated Damages and Corrective Actions

- A. If the LIDA breaches this agreement by failing to meet deadlines, the benefits received by individuals under the LIDA programs could be compromised, resulting in impediments to PUCT functions, damage to PUCT's reputation, and additional work for PUCT staff to remedy problems caused by the LIDA's breach. Damages to the PUCT resulting from the LIDA's failure to timely meet its obligations would be difficult to calculate in advance or at the time of breach, so this contract includes the following liquidated damages to be paid to the PUCT, as specified, if the following deadlines are missed.
1. The LIDA must deliver its Standard Operating Procedures (SOP) to the PUCT annually by December 15, regardless of whether there were changes to the procedure from the previous year. If the LIDA fails to provide the SOPs to the PUCT by the due date, The LIDA must pay PUCT an initial \$5,000 in liquidated damages, plus \$1,000 per day for each day after the due date until the SOPs have been delivered.
 2. The LIDA must have a Disaster Recovery Plan and Business Continuity Plan in place. The LIDA must deliver a copy of each plan to the PUCT immediately upon contract execution when delivering the signed copy of the contract. The LIDA must provide an updated copy of each plan annually by December 15. The LIDA's plans must include or be provided with the Disaster Recovery and Business Continuity Plans of each subcontractor, if applicable. If the LIDA fails to provide all plans on the due date, the LIDA must pay PUCT an initial \$5,000 in liquidated damages, plus \$1,000 per day for each day after the due date until all plans have been delivered.
 3. The LIDA must propose a processing schedule by July 31 of each year for the following fiscal year to the PUCT's Contract Administrator and adhere to the approved processing schedule posted on the PUCT website. The processing schedule for the 2020 fiscal year (beginning September 1, 2019) has already been set. If the LIDA fails to provide the output files to the utilities on the specified dates, the LIDA must pay PUCT an initial \$5,000 in liquidated damages, plus \$1,000 per day for each day after the due date until the files have been provided.
 4. The LIDA must ensure PUCT receives each monthly report described in Section IV.C. of this Statement of Work by the deadline specified in that section. In any month in which at least one report is late, the LIDA must pay the PUCT an initial \$5,000 in liquidated damages, plus \$1,000 per day after the deadline until all reports are received. If the LIDA must correct a report after the due date of the report, the report will be deemed received on the date the corrected report is received and liquidated damages will apply as if the original report was received on that date.
 5. The LIDA must mail each fulfillment item in the amount of time required by Section II.E.4 of this Statement of Work. If the LIDA fails to mail fulfillment items in the allotted time, the LIDA must pay PUCT liquidated damages of \$25,000 per instance, plus \$1,000 per day for each day after the due date until all items have been sent.

6. The LIDA must process (defined as review and enter into the system) 97% of self-enrollment applications within 7 business days of receipt. The period begins the first business day after receipt. If the LIDA fails to meet the 7-business-day deadline, the LIDA must pay PUCT liquidated damages of \$500 per application or form per day.
- B. The PUCT may waive liquidated damages at the Contract Administrator's discretion. Waiver of liquidated damages in one instance does not constitute a waiver of the PUCT's right to collect liquidated damages in any other instances.
- C. Liquidated damages under this contract are not PUCT's exclusive remedy. Please see Article 6, Term and Termination for more information about damages and remedies for breach of this contract.

VI. Additional Contract Requirements and Information

- A. The LIDA must scan all self-enrollment applications and back-up documentation for self-enrollment applications received.
- B. The LIDA must provide PUCT access to all applications, certifications, and Household Worksheet forms.
- C. The LIDA must be prepared to make any necessary changes to their database to meet PUCT needs or legislative requirements. This must be included in the LIDA's operational costs. The PUCT will not be responsible for additional charges for database changes.
- D. The LIDA must be prepared to meet with the PUCT Contract Manager in Austin, Texas, three times per year. PUCT will not pay travel expenses or other additional charges related to these meetings.
- E. The LIDA must deliver copies of their Standard Operating Procedures, Disaster Recovery Plan and Business Continuity Plan to the PUCT annually by December 15. The Disaster Recovery Plan and Business Continuity Plan must include the plans of all subcontractors, if applicable.

Exhibit 1 -FULFILLMENT REQUIREMENTS

Below is a summary of the LIDA's required mail-outs as of the date of this contract, their frequency, and their required contents (i.e. letter, application, certification form, or household worksheet). This list is subject to change upon PUCT approval and does not require an amendment to the contract.

| Type | Frequency | Letter | Application | Cert. Form | HHWS |
|--|-----------|--------|-------------|------------|------|
| Application Rejection Notices *Note: Depending on the reason for rejection, Application Rejections may require any combination of the following: Application, Certification Form, Household Worksheet. All application rejections will require a letter. | Weekly | Yes | Yes* | Yes* | Yes* |
| CASS Failures | Monthly | Yes | | Yes | Yes |
| Certification Form Review Rejection | Weekly | Yes | | Yes | Yes |
| Certification Plus Letter | Monthly | Yes | | Yes | |
| Certification Plus Rejections | Weekly | Yes | | Yes | |
| Certification Plus Resend Letter | Weekly | Yes | | Yes | No |
| Certification Resends | Weekly | Yes | | Yes | Yes |

| | | | | | |
|---|---------|-----|-----|-----|-----|
| Duplicative Discount Letter for Discounts on Multiple Telephone Numbers | Monthly | Yes | | Yes | |
| Duplicative Discount Letter for Multiple Discounts in One Household | Monthly | Yes | | Yes | Yes |
| Duplicative Discount Letters for Social Security Number | Monthly | Yes | | Yes | |
| Name and Address Change Letter | Monthly | Yes | | Yes | |
| Address Change Letter | Monthly | Yes | | Yes | |
| Name Change Letter | Monthly | Yes | | Yes | |
| New Application Package | Weekly | | Yes | Yes | |
| New Discount Letter | Monthly | Yes | | Yes | |
| PUCT Annual Mailing | Annual | Yes | | | |
| Renewal Notices | Monthly | Yes | Yes | Yes | |
| Rolling Recertification Denials | Weekly | Yes | | Yes | |

| | | | | | |
|--|----------------|------------|--|------------|--|
| Rolling Recertification Renewal Notices | Monthly | Yes | | Yes | |
| Rolling Recertification Resends | Weekly | Yes | | Yes | |

Exhibit 2 -FILE STRUCTURE

I. Current File Format Information for HHSC Files

A. Table 1. HHSC Record Layout

| <u>FIELD NAME</u> | <u>SIZE</u> | <u>POSITION NUMBERS</u> |
|--------------------------------|-----------------|-------------------------|
| PTCO-TELCO-RECORD | | 001-300 |
| PTCO-ID-NUMBER | ALPHA 09 | 001-009 |
| PTCO-ACTION | ALPHA 01 | 010-010 |
| FILLER | ALPHA 02 | 011-012 |
| PTCO-TDHS-STATUS-MMDDYY | NUMER 08 | 013-020 |
| PTCO-NAME | ALPHA 22 | 021-042 |
| PTCO-SSN | NUMER 09 | 043-051 |
| FILLER | ALPHA 13 | 052-064 |
| PTCO-MAIL-LINE1 | ALPHA 22 | 065-086 |
| PTCO-MAIL-LINE2 | ALPHA 24 | 087-110 |
| PTCO-MAIL-CITY | ALPHA 16 | 111-126 |
| PTCO-MAIL-ST | ALPHA 02 | 127-128 |
| PTCO-MAIL-ZIP | NUMER 05 | 129-133 |
| PTCO-MAIL-ZIP-PLUS | NUMER 04 | 134-137 |
| PTCO-RES-STREET | ALPHA 30 | 138-167 |
| PTCO-RES-CITY | ALPHA 16 | 168-183 |
| PTCO-RES-ST | ALPHA 02 | 184-185 |
| PTCO-RES-ZIP | NUMER 05 | 186-190 |
| PTCO-RES-ZIP-PLUS | NUMER 04 | 191-194 |
| PTCO-BILL-NAME | ALPHA 22 | 195-216 |

| | | |
|----------------------------|-----------------|----------------|
| PTCO-ACCT-SSN | NUMER 09 | 217-225 |
| PTCO-CERT-NXX-AC | NUMER 03 | 226-228 |
| PTCO-CERT-NXX-XCHNG | NUMER 03 | 229-231 |
| PTCO-CERT-NXX-NR | NUMER 04 | 232-235 |
| FILLER | ALPHA 23 | 236-258 |
| PTCO-COUNTY | NUMER 03 | 259-261 |
| FILLER | ALPHA 09 | 262-270 |
| PTCO-BIRTH-DATE | NUMER 08 | 271-278 |
| PTCO-PROGTYPE | ALPHA 03 | 279-281 |
| PTCO-BASE-PLAN | ALPHA 02 | 282-283 |
| FILLER | ALPHA 17 | 284-300 |

B. Table 2. HHSC Field Descriptions

| <u>FIELD</u> | <u>DESCRIPTION</u> |
|---------------------------------------|---|
| <u>PTCO-ID-NUMBER</u> | Client Number derived in the SAVERR database¹. |
| <u>PTCO-ACTION</u> | Type of transaction (A = add, D = delete) |
| <u>PTCO-TDHS-STATUS-MMDDYY</u> | Processing date of the file. |
| <u>PTCO-NAME</u> | The client name in LAST, FIRST MIDDLE format. The suffix (JR, SR, III, etc.) if any is placed between LAST and comma. The first blank occurs after the first name. |
| <u>PTCO-SSN</u> | The client's social security number. |
| <u>PTCO-MAIL-LINE-1</u> | The first line of the client's mailing address according to categorical records or the application form. |

¹ SAVERR is HHSC's database. Contractor will be provided access to the necessary information from this database in order to perform duties under the contract.

| | |
|----------------------------------|---|
| <u>PTCO-MAIL-LINE-2</u> | The second line of the client's mailing address according to categorical records or the application form. |
| <u>PTCO-MAIL-CITY</u> | The city of the client's mailing address according to categorical records or the application form. |
| <u>PTCO-MAIL-ST</u> | The state of the client's mailing address according to categorical records or the application form. |
| <u>PTCO-MAIL-ZIP</u> | The zip code of the client's mailing address according to categorical records or the application form. |
| <u>PTCO-MAIL-ZIP-PLUS</u> | The plus-four zip code of the client's mailing address. |
| <u>PTCO-RES-STREET</u> | The client's residence street address. Spaces if residence and mailing address are identical. For LifeLine, the residence address information is gathered from SDX, FX, AND TANF case files. |
| <u>PTCO-RES-CITY</u> | The client's city of residence. Spaces if residence and mailing address are identical. For LifeLine, the residence address information is gathered from SDX, FX, AND TANF case files. |
| <u>PTCO-RES-ST</u> | The client's state of residence. Spaces if residence and mailing address are identical. For LifeLine, the residence address information is gathered from SDX, FX, AND TANF case files. |
| <u>PTCO-RES-ZIP</u> | The zip code of the client's residence address. Spaces if residence and mailing address are identical. For LifeLine, the residence address information is gathered from SDX, FX, AND TANF case files. |
| <u>PTCO-RES-ZIP-PLUS</u> | The plus-four zip code of the client's residence address. Spaces if residence and mailing address are identical. For LifeLine, the residence address information is gathered from SDX, FX, AND TANF case files. |

| | |
|------------------------------------|---|
| <u>PTCO-ACCT-SSN</u> | Social Security number taken from SAVERR. |
| <u>PTCO-CERT-NXX-AC</u> | Area code for the certifying telephone number. |
| <u>PTCO-CERT-NXX-SCHNG</u> | Local exchange for the telephone number. |
| <u>PTCO-CERT-NXX-NR</u> | Local extension or telephone number. |
| <u>PTCO-ADDL-NXX-FLAG</u> | Flag indicating if the client has an additional telephone number. |
| <u>PTCO-ADDL-NXX-AC</u> | Area code for the additional contact number. |
| <u>PTCO-ADDL-NXX-XCHANG</u> | Local exchange for the additional telephone number. Zeroes means no additional phone or the telephone number of the additional phone is unknown. |
| <u>PTCO-ADDL-NXX-NR</u> | Local extension or number. Nines means the telephone number of the additional phone is unlisted. |
| <u>PTCO-COUNTY</u> | The county of residence of the client converted to standard numeric code (001-264). |
| <u>PTCO-BIRTH-DATE</u> | This field is the client's date of birth. |
| <u>PTCO-PROG-TYPE</u> | Type Program is a code which identifies the TDHS program under which benefits are provided. |
| <u>PTCO-BASE-PLAN</u> | Base Plan is a code, which identifies the TDHS base plan under which benefits are provided. Base Plan is used here to distinguish nursing home, institutionalized, etc. clients. |
| <u>FILLER</u> | Spaces. |

II. Data Format Requirements For Electric Companies

A. Electric Company (REP, MOU, COOP) Input File Requirements

1. General
2. Each REP, MOU or COOP participating in the LITEUP program must provide on a monthly basis a zip file containing two files

- (i) A list of their active residential customers (residing in the state of Texas) in a comma delimited text file
 - (ii) A separate control file showing the total number of rows residing in the text file
3. The company is then responsible for FTP'ing the Zip file to the LIDA's FTP site ("Site location"). Secure FTP Login instructions will be provided in a separate document.
 4. Naming Convention_- Each file generated must follow a common naming convention as shown in Table 3.

Table 3. Naming Convention

| | |
|---|--|
| <u>REP1nnnnnnnn YYYYMM.zip (containing the .txt and .ctrl files)</u> | |
| <u>REP1nnnnnnnn YYYYMM.txt</u> | |
| <u>REP1nnnnnnnn YYYYMM.ctrl</u> | |
| <u>The suffix naming convention is:</u> | |
| <u>.txt</u> | <u>Identifies the residential customer list</u> |
| <u>.ctrl</u> | <u>Identifies the control file</u> |
| <u>.zip</u> | <u>Identifies the zip file containing the other two files</u> |
| <u>REP</u> | <u>This is a constant value that is used by the LIDA to distinguish between the electric and telephone programs. Whether your company is a REP, MOU or COOP please set this to a value of 'REP'</u> |
| <u>1nnnnnnnn</u> | <u>A unique nine-digit number assigned by the LIDA to each participating REP, MOU or COOP. This number will be provided to the REP, MOU or COOP under a separate document.</u> |
| <u>-</u> | <u>An underscore</u> |

| | |
|----------------------|--|
| <u>YYYYMM</u> | <u>Four-digit year and two-digit month representing the year and month the file is being generated.</u> |
|----------------------|--|

5. Input File Requirements - The file generated must be a comma delimited text file separated by commas with each character field enclosed in double quotation marks. Input fields, descriptions, and examples are shown in Table 4.

Table 4.

| <u>Input Field Name</u> | <u>Description</u> | <u>Examples</u> |
|--|--|---|
| Primary Name – Last | The last name of the customer. | Jones Jones III Jones Jr |
| Primary Name – First & Middle | The first name and middle initial of the customer. | Joseph H |
| Primary SSN | The social security number of the customer. (See Note 1) | 012345678 (no dashes) |
| Primary Telephone Number | The 10-digit telephone number of the customer (includes area code). This is an optional field and should be provided if available. | 5121234567 (no dashes) |
| Service Address | The address receiving the service. If a street address is not available, the company should populate this field with whatever address is on file for that customer. | 123 Main St P.O. Box 123 |
| Service City | The City Name. | Houston |
| Service Zip | The Zip Code or Zip Code Plus. If there is a Zip Code Plus, please place a hyphen between the Zip Code and the Zip Code Plus field. | 78701 78701-1234 |
| ESI ID | The ESI ID assigned to the specified service address. We are requiring ESI IDs in the | See Note 2 |

| | | |
|--------------------------------|--|--|
| | ERCOT format. No hyphens or other formatting characters should be used when transmitting the ESI Id electronically. | |
| Customer Account Number | The account number assigned to this customer by the company. (See Note 3) | |

Note 1: This is an optional field. If the company captures the SSN and can supply it, it will assist the LIDA during the matching process by providing more accurate match criteria.

Note 2: The following text is ERCOT's description of the ESI ID:

A unique number within Texas assigned to each point-of-service between the Utility and an end-use Customer, which once created and assigned shall not be re-issued, even in the event of termination of the associated point-of-service. The ESI Id will have the following format:

10xxxxxyyy...yy

Where:

10 represents a placeholder for future use

xxxxx is the 5-digit DOE Id Code for the [serving] OR [assigning] Utility

y...yy is up to 29 alphanumeric characters assigned by the Utility. Allowable alphanumeric characters are 0-9, A-Z, and the space character. The space character should only be used to right-pad the field when less than 29 characters are used. The total length of the ESI Id is 36 alphanumeric characters.

No hyphens or other formatting characters should be used when transmitting the ESI Id electronically.

Note 3: This is an optional field.

6. Sample Residential Customer List File Format (see Table 5).

Table 5.

| | |
|-------------------------|---|
| Filename: | REP1nnnnnnnn YYYYMM.txt |
| Sample Filename: | REP100012345 200901.txt |
| Record Format: | "Last Name", "First Name", "SSN", "Tele Number", "Address", "City", "Zip Code", "ESI ID", "Customer Account Number" |

7. Sample Record Format (see Table 6.)

Table 6.

| | |
|--|---|
| All Fields Populated | "DOE","JOHN","123456789","5121234567","123 MAIN ST.,"ANYTOWN","78701-1234","10559804985739", "3ABC-18-9" |
| Primary SSN and Customer Account Number fields are not supplied (<i>Notice the "" showing that the field is blank</i>) | <u>"DOE","JANE","","5555551212","123 MAIN STREET","ANYTOWN","75201","123445992359049435",""</u> |

8. Sample Control File Format – The Control File will only contain a single row with one column. The value of that column will be the total number of records found in the Residential Customer List (.txt file). For example, if the company generates a residential customer list to send to the LIDA containing 10,000 records, the control file would contain the value 10000 starting in position 1 of the record. (See Table 7.)

Table 7.

| | |
|------------------|---|
| Filename: | REP1nnnnnnnnn YYYYMM.ctrl |
| Sample Filename: | REP100012345_200401.ctrl |
| Record Format: | 999999999 (where 999999999 represents the total number of records in the .txt file) |
| Sample Record: | 10000 |

9. Additional Examples of Correct Formats:

- (i) Names: Middle name should be included in either First name or Last name without any quotes to it. Common mistakes in the first and last names are listed in Table 8. Correct format is also suggested.

Table 8.

| Wrong Format | Right format |
|-------------------------|---------------------|
| "Pat", "Martin", " III" | "Pat", "Martin III" |

| | |
|-----------------------------|----------------------------|
| "Short", " M D", "James" | "Short M D", "James" |
| "BLOCKER", "Ronnie" GEORGE" | "BLOCKER", "Ronnie GEORGE" |
| "Ortiz "Cesar", "Elizabeth" | "Ortiz Cesar", "Elizabeth" |

(ii) Address fields: Some of the Address fields are provided with extra quotation marks (") in the middle, or additional quotes at the beginning or end of the address field. Table 9 shows examples of the wrong and right formats respectively.

Table 9.

| Wrong Format | Right format |
|-----------------------------------|---------------------------------|
| "5101 North "A" Street, Apt. 218" | "5101 North A Street, Apt. 218" |
| "3301 N. "K" Center St" | "3301 N. K Center St" |
| "132 S Main St" | "132 S Main St" |
| "132 S Main St" | "132 S Main St" |

(iii) Phone numbers: Phone numbers should not include special characters like commas, hyphens, or spaces between the numbers. Each phone number should be exactly 10 digits. Table 10 shows common wrong formats and the right format for each sample number.

Table 10.

| Wrong Format | Right format |
|---------------------|---------------------|
| "(555)-227-4736" | "5552274736" |
| "555-227-4736" | "5552274736" |
| "555 227 4736" | "5552274736" |

(iv) Social Security Numbers must be represented by a string nine-digit number with no punctuation in between. Table 11 shows common wrong formats and the right format for each sample number.

Table 11.

| Wrong Format | Right format |
|---------------------|---------------------|
|---------------------|---------------------|

| | |
|--|-------------|
| "555-62-7837" | "555627837" |
| "555 62 7837" [spaces between the numbers] | "555627837" |

B. Electric Discount List File Layout

1. General

- (i) The LIDA will generate a discount list for each Electric Company participating in the LITEUP program that has a residential customer that matched against the LITEUP Enrollment database.
- (ii) The LIDA will provide a Zip file containing two additional files:
 - (a) A list of the company's residential customers who qualify for the discount in a comma delimited text file.
 - (b) A separate control file showing the total number of rows residing in the text file.
- (iii) The LIDA will place the zip file on the LIDA FTP site under the "OUTPUT" directory and notify the company that the file is ready for download. The company will then use the Secure FTP software to retrieve the zip file. Login instructions to the LIDA FTP site will be provided in a separate document.

2. Table 12 shows the common naming convention the LIDA must use.

Table 12.

| | |
|----------------------------------|--|
| REP1nnnnnnnn_YYYYMM.zip | (containing the .txt and .ctrl files) |
| REP1nnnnnnnn_YYYYMM.txt | |
| REP1nnnnnnnn_YYYYMM.ctrl | |
| The suffix naming convention is: | |
| .txt | Identifies the residential customer list |
| .ctrl | Identifies the control file |

| | |
|--------------------------|--|
| .zip | Identifies the zip file containing the other two files |
| <u>REP</u> | This is a constant value that is used by the LIDA to distinguish between the electric and telephone programs. Whether your company is a REP, MOU or COOP please set this to a value of 'REP' |
| <u>Innnnnnnnn</u> | A unique nine-digit number assigned by the LIDA to each participating REP, MOU or COOP. This number will be provided to the REP, MOU or COOP under a separate document. |
| - | An underscore |
| <u>YYYYMM</u> | Four-digit year and two-digit month representing the year and month the file is being generated. |

3. Output File Layout - The file generated must be a comma delimited text file separated by commas with each character field enclosed in double quotation marks. Input fields are described in Table 13.

Table 13.

| Input Field Name | Description | Examples |
|-------------------------|---|---------------------|
| ESIID | The ESI ID assigned to the specified service address. This will be the same ESI ID provided by the REP. | 10559804985739 |
| Street | The address receiving the service. If a street address is not available, the company should populate this field with whatever address is on file for that customer. | 100 Main St |
| City | The City Name. | Houston |
| State | The State Code | TX |
| Zip Code | The Zip Code or Zip Code Plus. | 12345 12345-6789 |

| | | |
|-------------------------------|---|--------------------------|
| Customer Account Number | The account number assigned to this customer by the company. (See Note 1) | 3ABC-18-9 |
| Primary Name – Last | The last name of the customer. | Jones Jones III |
| Primary Name – First & Middle | The first name and middle initial of the customer. | Joseph H |
| Primary SSN | The social security number of the customer. (Note: optional - will only be provided if the REP included it in their input file.) | 012345678 (no dashes) |

4. Sample Residential Customer List Output File Format in Table 14.

Table 14.

| | |
|--|--|
| Filename: | REP1nnnnnnnn YYYYMM.txt |
| Sample Filename: | REP100012345 200901.txt |
| Record Format: | " ESIID", "Service Address", "City", "State", "Zip Code", "Customer Account Number", "Primary Last Name", "Primary First Name", "Social Security No" |
| Sample Record – All Fields Populated: | "10559804985739", "100 MAIN ST.", "ANYTOWN", "TX", "78701-1234", "3ABC-18-9", "Doe", "John H", "123456789" |
| Sample Record - Customer Account Number (Notice the "" showing that the field is blank) | "10559804985739", "Doe", "John H", "1234567890", "100 MAIN ST.", "ANYTOWN", "TX", "78701-1234", "", "Doe", "John H", "123456789" |

5. Descriptions and examples of Customer List Output File field names in Table 15.

Table 15.

| <u>Output Field Name</u> | <u>Description</u> | <u>Examples</u> |
|--------------------------|--------------------|-----------------|
|--------------------------|--------------------|-----------------|

| | | |
|--|--|------------------------------------|
| Primary Name - Last | The last name of the customer. | Jones Jones III Jones Jr |
| Primary Name - First & Middle | The first name and middle initial of the customer. | Joseph H |
| Service Address | The address receiving the service. | 123 Main St |
| Service City | The City Name. | Houston |
| Service Zip | The Zip Code or Zip Code Plus. | 78701 787011234 |
| Customer Provided Address | The customer provided address receiving the service. Blank if not available. | 123 Main St First house on left |
| Customer Provided City | The customer provided City Name as corrected. Blank if not available. | Houston |
| Customer Provided Zip | The customer provided Zip Code or Zip Code Plus. Blank if not available. | 78701 787011234 |
| Primary Telephone Number | The 10-digit telephone number of the customer (includes area code). | 1234567890 (no dashes) |
| CASS Letter Sent Date | The date when CASS failure letter was sent. | 02/29/2019 |
| Customer Contacted Date | The date when customer contacted LIDA to validate address. | 04/02/2019 |

6. Sample Discount List File Format in Table 16.

Table 16.

| | |
|-------------------------|-------------------------|
| Filename: | REP1nnnnnnnn_YYYYMM.txt |
| Sample Filename: | REP100012345_200901.txt |

7. Control File Format

- (i) The Control File will only contain a single row with one column. The value of that column will be the total number of records representing the company's residential customers who qualify for discount programs (.txt file). For example, if the LIDA matched 10,000 records of the company's residential customers who qualify for discount programs, the control file would contain the value 10000 starting in position 1 of the record.
- (ii) Sample Control File Format can be found in Table 17.

Table 17.

| | |
|-------------------------|---|
| Filename: | REP1nnnnnnnn_YYYYMM.ctrl |
| Sample Filename: | REP100012345_200901.ctrl |
| Record Format: | 999999999 (where 999999999 represents the total number of records in the .txt file) |
| Sample Record: | 10000 |

III. Data Format Requirements For Telephone Companies

A. Telephone Company Input File Requirements

1. General

- (i) Each Telephone Company participating in the program must provide on a monthly basis a zip file containing two files as specified below:
 - (a) A list of their active residential customers (residing in the state of Texas) in a comma delimited text file.
 - (b) A separate control file showing the total number of rows residing in the text file
- (ii) The company is then responsible for FTP'ing the Zip file to the LIDA FTP site ("Site location"). Secure FTP Login instructions will be provided in a separate document.

2. Naming Convention – Each file generated must follow a common naming convention as shown in Table 18.

Table 18.

| | |
|---|---|
| <p>TSP2nnnnnnnn_YYYYMM.zip <i>(containing the .txt and .ctrl files)</i></p> <p>TSP2nnnnnnnn_YYYYMM.txt</p> <p>TSP2nnnnnnnn_YYYYMM.ctrl</p> <p>The suffix naming convention is:</p> <p>.txt Identifies the residential customer list</p> <p>.ctrl Identifies the control file</p> <p>.zip Identifies the zip file containing the other two files</p> | |
| TSP | This is a constant value that is used by the LIDA to distinguish between the electric and telephone programs. |
| 2nnnnnnnn | A unique nine digit number assigned by the LIDA to each participating TSP. This number will be provided to the TSP under a separate document. |
| _ | An underscore |
| YYYYMM | Four digit year and two digit month representing the year and month the file is being generated. |

3. Input File Requirements - The file generated must be a comma delimited text file separated by commas with each character field enclosed in double quotation marks, as shown in Table 19.

Table 19.

| <u>Input Field Name</u> | <u>Description</u> | <u>Examples</u> |
|-------------------------|--|-------------------|
| Last Name | The last name of the customer. | Jones Jones Jr |
| First & Middle Name | The first name and middle initial of the customer. | Joseph H |

| | | |
|---|---|------------------------------------|
| Primary SSN | The social security number of the customer. (See Note 1) | 012345678 (no dashes) 5678 |
| Telephone Number | The 10-digit telephone number of the customer (includes area code). | 1234567890 (no dashes) |
| Service Address | The address receiving the service. A street address is required | 123 Main St 567 N Main St Apt 6 |
| Service City | The City Name. | Houston |
| Service Zip | The Zip Code or Zip Code Plus. If there is a Zip Code Plus, please place a hyphen between the Zip Code and the Zip Code Plus field. | 78701 78701-1234 |
| Customer Account Number | The account number assigned to this customer by the company. (See Note 2) | |
| Billing Address | This should be provided if there is a billing address other than that provided as the Service Address. Correspondence will be sent to this address. If there is no separate billing address the Service address should be duplicated in this field. | 123 Main St. P.O. Box 234 |
| Billing City | The City Name of the Billing Address | Houston |
| Billing State | The State of the Billing Address | TX NM |
| Billing Zip | The Zip Code or Zip Code Plus of the Billing Address. If there is a Zip Code Plus, please place a hyphen between the Zip Code and the Zip Code Plus Field | 78701 78701-1234 |
| Date of Birth | The Date of Birth of the customer. Report as null if not available. | 12/12/2013 (MM/DD/YYYY) |
| Service Start Date | The date when the customer's current service began. (See Note 3) | 12/12/2013 (MM/DD/YYYY) |
| Tribal Link-up Service Initiation Date | This is the date of service initiation to which Tribal Link Up support applied. | 12/12/2013 |

| | | |
|------------------------------|--|--------------------------------|
| | | (MM/DD/YYYY) |
| Blocked Discount | This is an indicator identifying this record to not be considered for the Lifeline discount. (See Note 4) | Y N "" (null) |
| Rural Indicator | If flag is set to "R", the address is a rural or non-conventional address, but the TSP confirms it is a valid Service (residential) address. | R "" (null) |
| Service Type | An indicator specifying the type of discount being requested by the provider. This is a required field. (See Note 5) | VO, BO, BV, BB, BVB, "" (null) |
| Port Freeze Exception | An indicator specifying the port freeze exception code for consideration (See Note 6) | R, S1, L1, V1, P1, "" (null) |

Note 1: The full SSN will assist the LIDA during the matching process by providing more accurate match criteria. Should there be privacy issues please provide the last 4 digits of the SSN.

Note 2: This is an optional field. If the company provides the customer account number it will be flowed back when the LIDA generates the discount list. This would assist the company in applying the discount.

Note 3: You must provide the latest Service Start Date for each customer (i.e., if a customer has been final billed during a given month, and that customer is re-acquired as a customer with the same telephone number the Service Start Date will reflect the date the customer was re-acquired).

Note 4: This field should be used when the provider wishes to block a residential customer from receiving the discount. Some examples of this are as follows although others may apply:

- Customer requested that they no longer be given the discount
- Customer is an employee receiving free telephone service

4. Sample Residential Customer List Input File format shown in Table 20.

Table 20.

| | |
|-------------------------|---|
| Filename: | TSP2nnnnnnnn_YYYYMM.txt |
| Sample Filename: | TSP200012345_201303.txt |
| Record Format: | "Last Name","First Name","SSN","Telephone Number","Address","City","Zip Code","Customer Account Number","Billing Address","Billing City","Billing Zip Code","Date of Birth","Service Start Date","Linkup Service Initiation Date","Blocked Discount","Rural Indicator","Service Type","Port Freeze Exception" |
| Sample Records: | |

All fields populated

"DOE","JOHN","123456789","5121234567","123 MAIN ST.,"ANYTOWN","78701-1234","ZZZ-YY-XXX-T","123 MAIN ST.,"ANYTOWN","78701-1234","12/12/2012","1/12/2012","1/12/2012","Y","R","VO","

Blocked Discount field not populated (Notice the "" showing that the field is blank)

"DOE","JOHN","123456789","5121234567","123 MAIN ST.,"ANYTOWN","78701-1234","","123 MAIN ST.,"ANYTOWN","78701-1234","12/12/2012","1/12/2012","1/12/2012","","R","VO","

B. Telephone Company Control File format

1. This file will only contain a single row with one column. The value of that column will be the total number of records found in the Residential Customer List (.txt file). For example, if the company generates a residential customer list to send to the LIDA containing 10,000 records, the control file would contain the value 10000 starting in position 1 of the record.
2. Sample Control File format can be found in Table 21.

Table 21.

| | |
|-------------------------|---|
| Filename: | TSP2nnnnnnnnn_YYYYMM.ctrl |
| Sample Filename: | TSP200012345_201303.ctrl |
| Record Format: | 999999999 (where 999999999 represents the total number of records in the .txt file) |
| Sample Record: | 10000 |

3. Additional information about correct formats:
 - (i) **Names:** Middle name should be included in either First name or Last name without any quotes. Common mistakes in the first and last names are shown in Table 22. Correct format is also suggested.

Table 22.

| Wrong Format | Right format |
|-----------------------------|----------------------------|
| "Pat","Martin", III" | "Pat", "Martin III" |
| "Short", " M D", "James" | "Short M D", "James" |
| "BLOCKER", "Ronnie" GEORGE" | "BLOCKER", "Ronnie GEORGE" |
| "Ortiz "Cesar", "Elizabeth" | "Ortiz Cesar", "Elizabeth" |

(ii) **Address fields:** Some of the address fields are provided with extra double quotes (") in the middle, or additional quotes at the beginning or end of the address field. Table 23 shows examples of the wrong and right formats..

Table 23.

| Wrong Format | Right format |
|-----------------------------------|---------------------------------|
| "5101 North "A" Street, Apt. 218" | "5101 North A Street, Apt. 218" |
| "3301 N. "K" Center St" | "3301 N. K Center St" |
| "132 S Main St" | "132 S Main St" |
| "132 S Main St" | "132 S Main St" |

(iii) **Phone Numbers:** Phone numbers should not have special characters like commas, hyphens or spaces in the numbers. They should be entered as ten digits. Table 24 shows common wrong formats and the corrected formats.

Table 24.

| Wrong Format | Right format |
|---------------------|---------------------|
| "(956)-227-4736" | "9562274736" |
| "956-227-4736" | "9562274736" |
| "956 227 4736" | "9562274736" |

(iv) **Social Security Numbers:** must be entered as a string nine-digit number without any colons or spaces in between. Table 25 shows common wrong formats and the corrected formats.

Table 25

| Wrong Format | Right format |
|---------------------|---------------------|
| "466-62-7837" | "466627837" |
| "466 62 7837" | "466627837" |
| "*****7837" | "7837" |

(v) **Date of Birth:** Date of Birth must be entered in the format MM/DD/YYYY, as shown in Table 26.

Table 26.

| Wrong Format | Right format |
|---------------------|---------------------|
|---------------------|---------------------|

| | |
|---------------------|--------------|
| "DECEMBER 12, 2012" | "12/12/2012" |
| "12.12.2012" | "12/12/2012" |
| "12122012" | "12/12/2012" |

C. Telephone Discount List File Layout

1. General

- (i) The LIDA must generate a discount list for each Telephone Company participating in the program that has a residential customer that matched against the Enrollment database.
- (ii) The LIDA must provide a Zip file containing two additional files:
 - (a) A list of the company's residential customers who qualify for the discount in a comma delimited text file.
 - (b) A separate control file showing the total number of rows residing in the text file.
- (iii) The LIDA must place the zip file on the FTP site under the "OUTPUT" directory and notify the company that the file is ready for download. The company will then use the Secure FTP software to retrieve the zip file. Login instructions to the LIDA FTP site will be provided in a separate document.
- (iv) Each file will follow the common naming convention as shown in Table 27.

Table 27.

| | |
|--|---|
| TSP2nnnnnnnnn_YYYYMM.zip <i>(containing the .txt and .ctrl files)</i> TSP2nnnnnnnnn_YYYYMM.txt TSP2nnnnnnnnn_YYYYMM.ctrl | |
| The suffix naming convention is: | |
| .txt | Identifies the residential customer list |
| .ctrl | Identifies the control file |
| .zip | Identifies the zip file containing the other two files |
| TSP | This is a constant value that is used by the LIDA to distinguish between the electric and telephone programs. |
| 2nnnnnnnnn | A unique nine digit number assigned by the LIDA to each participating TSP. This number will be provided to the TSP under a separate document. |
| _ | An underscore |
| YYYYMM | Four digit year and two digit month representing the year and month the file is being generated. |

| | |
|--|--|
| | |
|--|--|

D. Telephone Output File Layout

1. The file generated will be a comma delimited text file separated by commas with each character field enclosed in double quotation marks, as shown in Table 28.
2. All fields in Table 28 prefixed with primary identify the person whom the service is provided for – not the person who is being billed unless they are one and the same. All fields in Table 28 prefixed with service represent the location (address, city and zip) that is receiving the service. With the exception of the last two fields shown in Table 28, all other data will be the same as the data originally submitted by the company.

Table 28.

| <u>Output Field Name</u> | <u>Description</u> | <u>Examples</u> |
|--|--|------------------------------------|
| Primary Name - Last | The last name of the customer. | Jones Jones III Jones Jr |
| Primary Name - First & Middle | The first name and middle initial of the customer. | Joseph H |
| Primary SSN | The social security number of the customer. | 012345678 1234 |
| Primary Telephone Number | The 10-digit telephone number of the customer (includes area code). | 1234567890 (no dashes) |
| Service Address | The address receiving the service. | 123 Main St First house on left |
| Service City | The City Name. | Houston |
| Service Zip | The Zip Code or Zip Code Plus. | 78701 787011234 |
| Customer Account Number | The account number assigned to this customer by the company. (See Note 1) | |
| Date of Birth | The birth date of the customer | 12/12/2012 (MM/DD/YYYY) |

| | | |
|------------------------------------|---|----------------------------|
| Certification Approval Date | This is the date that the Lifeline Certification Form was reviewed and approved by the LIDA, or 5/31/2012 for all customers who have been continuously receiving the discount from May 31, 2012. | 12/12/2012 (MM/DD/YYYY) |
| Resident of Tribal Lands | This will be provided if an application was received indicating that the applicant is a resident of an approved Texas tribe | Y/N |
| Program Discount Type | A generic indicator that describes if the applicant was approved on a state program (S), a federal program (F), or both (B). It also serves as a generic indicator that describes if the applicant was approved based on the state poverty guidelines (136%-150%) (S), or both state and federal guidelines (0% - 135%) (B). | S,F,B |
| Service Type | An indicator specifying the type of discount being requested by the provider. (See Note 2) | VO, BO, BV, BB, BVB |
| | | |

Note 1: This is an optional field. If the company provides the customer account number it will be flowed back on the discount list.

Note 2: Indicator values:

1. VO – Voice Only service.
2. BO – Broadband Only service.
3. BV – Bundled Voice service. Offers broadband and voice, but meets minimum service standards for voice only.
4. BB – Bundled Broadband service. Offers broadband and voice but meets minimum service standards for broadband only.
5. BVB – Bundled Voice Broadband service. Meets minimum service standards for both voice and broadband.

E. Sample Residential Customer List Output File Format in Table 29.

Table 29.

| | |
|-------------------------|---|
| Filename: | TSP2nnnnnnnn_YYYYMM.txt |
| Sample Filename: | TSP200012345_201303.txt |
| Record Format: | "Last Name","First Name","SSN","Tele Number","Address","City","Zip Code","Customer Account Number","Date of Birth","Certification Approval Date","Resident of Tribal Land","Program Discount Type","Service Type" |

Sample Records:

All fields populated

"DOE", "JOHN", "123456789", "5121234567", "123 MAIN ST.", "ANYTOWN", "78701-1234", "ZZZ-YY-M",
"12/12/2012", "6/30/2012", "N", "B", "VO"

Customer Account Number fields are not supplied (Notice the "" showing that the field is blank)

"DOE", "JANE", "123456789", "5555551212", "123 MAIN STREET", "ANYTOWN", "75201", "", "12/12/2012",
"6/30/2012", "N", "B", "VO"

F. Control File Format

1. The Control File will only contain a single row with one column. The value of that column will be the total number of records representing the company's residential customers who qualify for the discount (.txt file). For example, if the LIDA matched 10,000 records of the company's residential customers who qualify for the discount, the control file would contain the value 10000 starting in position 1 of the record.
2. Sample Control File Format in Table 30.

Table 30.

| | |
|-------------------------|---|
| Filename: | TSP2nnnnnnnnn_YYYYMM.ctrl |
| Sample Filename: | TSP200012345_201303.ctrl |
| Record Format: | 999999999 (where 999999999 represents the total number of records in the .txt file) |
| Sample Record: | 10000 |

G. Telephone Discount Output – Form Map

1. General

- (i) The LIDA must generate a file that provides a map of Lifeline Certification Form images to the customer's Telephone Number.
- (ii) Each file must follow the common naming convention as shown in Table 31.

Table 31.

| | |
|--|---|
| <p>TSP2nnnnnnnn_YYYYMM_FORMS.zip <i>(containing the .txt and .ctrl files)</i></p> <p><Document Name>.pdf</p> <p>TSP2nnnnnnnn_YYYYMM_Form_Map.txt</p> <p>The suffix naming convention is:</p> <p>.txt Identifies the cross-reference of Lifeline Certification Form Images to Telephone Numbers</p> <p>.ctrl Identifies the Lifeline Certification Form Images</p> <p>.zip Identifies the zip file containing the other two files</p> | |
| TSP | This is a constant value that is used by the LIDA to distinguish between the electric and telephone programs. |
| 2nnnnnnnn | A unique nine digit number assigned by the LIDA to each participating TSP. This number will be provided to the TSP under a separate document. |
| - | An underscore |
| YYYYMM | Four digit year and two digit month representing the year and month the file is being generated. |

2. Output File Layout - The file generated will be a comma delimited text file separated by commas with each character field enclosed in double quotation marks, as shown in Table 32.

Table 32.

| <u>FORMS Field Names</u> | <u>Description</u> | <u>Examples</u> |
|--------------------------|--------------------------------------|-----------------|
| TSP | The TSP ID of the telephone provider | TSP200000999 |
| Telephone Number | The Customer's telephone number | 1234567890 |

| | | |
|--------------------|--|----------------------------|
| Image File | The file name of the image of the Lifeline Certification Form related to the Customer's telephone number | |
| Review Date | The date that the Lifeline Certification Form was approved. | 12/12/2012 (MM/DD/YYYY) |

3. Sample Form Map Output File in Table 33.

Table 33.

| | |
|-------------------------|---|
| Filename: | TSP2nnnnnnnn_YYYYMM_Form_Map.txt |
| Sample Filename: | TSP200012345_201303_Form_Map.txt |
| Record Format: | "TSP", "Telephone Number", "Image File", "Review Date" |
| Sample Records: | <u>All fields populated</u> "200000999", "1234567890", "TL2010601 12301303299-20120725-13120963.pdf", "12/12/2012" |

H. Telephone De-Enrolled List File

1. **General**

- (i) The LIDA must generate a list of all customers who were de-enrolled during the matching process.
- (ii) Each file must follow the common naming convention as shown in Table 34.

Table 34.

| | |
|---|--|
| TSP2nnnnnnnn_YYYYMM_De-enrollees.zip | <i>(containing the .txt and .ctrl files)</i> |
| TSP2nnnnnnnn_YYYYMM_De-enrollees.txt | |
| TSP2nnnnnnnn_YYYYMM_De-enrollees.ctrl | |
| The suffix naming convention is: | |
| .txt | Identifies the de-enrolled customer list |

| | |
|-----------|---|
| .ctrl | Identifies the control file |
| .zip | Identifies the zip file containing the other two files |
| TSP | This is a constant value that is used by the LIDA to distinguish between the electric and telephone programs. |
| 2nnnnnnnn | A unique nine digit number assigned by the LIDA to each participating TSP. This number will be provided to the TSP under a separate document. |
| _ | An underscore |
| YYYYMM | Four digit year and two digit month representing the year and month the file is being generated. |

2. Output File Layout for De-enrolled Customers – The file generated will be a comma delimited text file separated by commas with each character field enclosed in double quotation marks, as shown in Table 35.

Table 35.

| Output Field Name | Description | Examples |
|--|--|--------------------------------|
| Primary Name - Last | The last name of the customer. | Jones Jones III Jones Jr |
| Primary Name - First & Middle | The first name and middle initial of the customer. | Joseph H |
| Primary SSN | The social security number of the customer. | 012345678 1234 |

| | | |
|---------------------------------|--|------------------------------------|
| Primary Telephone Number | The 10-digit telephone number of the customer (includes area code). | 1234567890 (no dashes) |
| Service Address | The address receiving the service. | 123 Main St First house on left |
| Service City | The City Name. | Houston |
| Service Zip | The Zip Code or Zip Code Plus. | 78701 787011234 |
| Customer Account Number | The account number assigned to this customer by the company. (See Note 1) | |
| De-Enrolled Date | This will be the date LIDA De-enrolled the customer | 12/12/2012 (MM/DD/YYYY) |
| De-Enrolled Reason | Description of the De-Enrollment Reason | |

Note 1: This is an optional field. If the company provides the customer account number it will be flowed back on the discount list.

3. Sample Residential De-enrollees Output File Format shown in Table 36.

Table 36.

Filename: TSP2nnnnnnnn_YYYYMM_De-enrollees.txt

Sample Filename: TSP200012345_201303_De-enrollees.txt

Record Format:

" Last Name", "First Name", "SSN", "Tele Number", "Address", "City", "Zip Code", "Customer Account Number", "De-Enrolled Date", "De-Enrolled Reason"

Sample Records:

All fields populated

"DOE", "JOHN", "123456789", "5121234567", "123 MAIN ST.", "ANYTOWN", "78701-1234", "ZZZ-YY-M", "6/30/2012", "DE-ENROLLED DUE TO NOT MATCHING IN THE CURRENT PROCESS MONTH"

Customer Account Number fields are not supplied (Notice the "" showing that the field is blank)

"DOE", "JANE", "123456789", "5555551212", "123 MAIN STREET", "ANYTOWN", "75201", "", "6/30/2012", "DE-ENROLLED DUE TO NOT MATCHING IN THE CURRENT PROCESS MONTH"

4. Control File Format

- (i) Control file will only contain a single row with one column. The value of that column will be the total number of records representing the company's residential customers who qualify for the discount (.txt file). For example, if the LIDA matched 10,000 records of the company's residential customers who qualify for the discount, the control file would contain the value 10000 starting in position 1 of the record.
- (ii) Sample Control File format shown in Table 37.

Table 37.

| | |
|--|---|
| Filename: | TSP2nnnnnnnn_YYYYMM_De-enrollees.ctrl |
| Sample Filename: | TSP200012345_201303_De-enrollees.ctrl |
| Record Format: in the .txt file) | 999999999 (where 999999999 represents the total number of records |
| Sample Record: | 10000 |

I. Telephone Re-Enrolled List File Layout

1. General

- (i) The LIDA will generate a list of all customers for whom a Household Worksheet form was received and approved. This file needs to be generated weekly.
- (ii) Each file will follow the common naming convention as shown in Table 38.

Table 38.

| | |
|---|---|
| <p>TSP2nnnnnnnn_RE-ENROLLED_YYYYMMDD.zip <i>(containing the .txt and .ctrl files)</i> TSP2nnnnnnnn_RE-ENROLLED_YYYYMMDD.txt TSP2nnnnnnnn_RE-ENROLLED_YYYYMMDD.ctrl</p> <p>The suffix naming convention is:</p> <p>.txt Identifies the customer list .ctrl Identifies the control file which has the record count from .txt file .zip Identifies the zip file containing the other two files</p> | |
| TSP | This is a constant value that is used by the LIDA to distinguish between the electric and telephone programs. |
| 2nnnnnnnn | A unique nine digit number assigned by the LIDA to each participating TSP. This number will be provided to the TSP under a separate document. |
| - | An underscore |
| YYYYMM | Four digit year and two digit month representing the year and month the file is being generated. |

- 2. OUTPUT FILE LAYOUT – Re-Enrolled Customers - The file generated will be a comma delimited text file separated by commas with each character field enclosed in double quotation marks, as shown in Table 39.

Table 39.

| Output Field Name | Description | Examples |
|---|---|--|
| Primary Full Name -- Last, First | The full name of the customer. | Jones, Joseph Jones III, Joseph H Jones Jr, Joseph |
| Service Address | The address receiving the service. | 123 Main St |
| Service City | The City Name. | Houston |
| Service State | The State code. | TX |
| Service Zip | The Zip Code or Zip Code Plus. | 78701 787011234 |
| Primary Telephone Number | The 10-digit telephone number of the customer (includes area code). | 1234567890 (no dashes) |

J. Telephone Form 555 File Layout

1. General

- (i) The LIDA will generate a monthly Form 555 file for each Traditional TSP participating in the program that has a residential customer that was renewed or recertified.
- (ii) The LIDA will provide a Zip file containing two additional files:
 - (a) A list of the company's residential customers who qualify for the discount in a comma delimited text file.
 - (b) Separate control file showing the total number of rows residing in the text file.
- (iii) The LIDA will place the zip file on the FTP site under the "OUTPUT" directory. The company will then use the Secure FTP software to retrieve the zip file. Login instructions to the LIDA FTP site will be provided in a separate document.
- (iv) Each file will follow the common naming convention as shown in Table 40.

Table 40.

| | |
|--|---|
| <p>TSP2nnnnnnnnn_YYYYMM_FORM555.zip <i>(containing 2 .txt files)</i> TSP2nnnnnnnnn_YYYYMM_FORM555_DETAIL.txt TSP2nnnnnnnnn_YYYYMM_FORM555_SUMMARY.txt</p> <p>The suffix naming convention is:</p> <p>DETAIL.txt Identifies the customer list SUMMARY.txt Provides the count for Form 555 filing .zip Identifies the zip file containing the other two files</p> | |
| TSP | This is a constant value that is used by the LIDA to distinguish between the electric and telephone programs. |
| 2nnnnnnnnn | A unique nine digit number assigned by the LIDA to each participating TSP. This number will be provided to the TSP under a separate document. |
| _ | An underscore |
| YYYYMM | Four digit year and two digit month representing the year and month the file is being generated. |

K. Output File Layout - DETAIL

1. The file generated will be a comma delimited text file separated by commas with each character field enclosed in double quotation marks, as shown in Table 41.
2. All fields prefixed with *primary* in Table 41 identify the person whom the service is provided for – not the person who is being billed unless they are one and the same. All fields prefixed with *service* in Table 41 represent the location (address, city and zip) that is receiving the service.

Table 41.

| Output Field Name | Description | Examples |
|--|---|--------------------------------|
| Primary Name - Last | The last name of the customer. | Jones Jones III Jones Jr |
| Primary Name - First & Middle | The first name and middle initial of the customer. | Joseph H |
| Primary Telephone Number | The 10-digit telephone number of the customer (includes area code). | 1234567890 (no dashes) |

| | | |
|--------------------------------|--|-------------|
| Service Address | The address receiving the service. | 123 Main St |
| Service City | The City Name. | Houston |
| Service Zip | The Zip5 Code. | 78701 |
| Customer Account Number | The account number assigned to this customer by the company. | |
| Result | Result of Renewal process | SUCCESSFUL |

L. Output File Layout - SUMMARY

1. The file generated will be a comma delimited text file separated by commas, as shown in Table 42.

Table 42.

| <u>Output Field Name</u> | <u>Description</u> | <u>Examples</u> |
|--------------------------|---|-----------------|
| LINE_A | Count of subscribers eligible for renewal for that month. | |
| LINE_B | Count of subscribers de-enrolled prior to renewal attempts. | |
| LINE_I | Count of subscribers whose eligibility was reviewed by third party | |
| LINE_K | Count of subscribers de-enrolled as a result of third party recertification attempt | |
| LINE_L | Count of subscribers who recertified through a third party | |

M. Telephone CASS Failure File Layout

1. General

- (i) The LIDA will generate a CASS Failure file every month for each TSP participating in the program that has customers that failed the CASS Address validation of their service address as provided by the carrier.
- (ii) Each file will follow the common naming convention as shown in Table 43.

Table 43.

| |
|---|
| <p>TSP2nnnnnnnn_YYYYMM_CASS_FAILURES.zip</p> <p><i>(containing the .txt and .ctrl files)</i></p> <p>TSP2nnnnnnnn_YYYYMM_CASS_FAILURES.txt</p> |
|---|

TSP2nnnnnnnn_YYYYMM_CASS_FAILURES.ctrl

The suffix naming convention is:

- .txt Identifies the customer list
- .ctrl Identifies the control file which has the record count from .txt file
- .zip Identifies the zip file containing the other two files

| | |
|-----------|---|
| TSP | This is a constant value that is used by the LIDA to distinguish between the electric and telephone programs. |
| 2nnnnnnnn | A unique nine digit number assigned by the LIDA to each participating TSP. This number will be provided to the TSP under a separate document. |
| _ | An underscore |
| YYYYMM | Four digit year and two digit month representing the year and month the file is being generated. |

N. OUTPUT FILE LAYOUT – Customers with CASS Address failures

1. The file generated will be a comma delimited text file separated by commas with each character field enclosed in double quotation marks, as shown in Table 44.

Table 44.

| Output Field Name | Description | Examples |
|--|---|---------------------------|
| Primary Full Name – Last, First | The full name of the customer. | Jones, Joseph |
| Service Address | The address receiving the service. | 123 Main St |
| Service City | The City Name. | Houston |
| Service Zip | The Zip Code or Zip Code Plus. | 78701 787011234 |
| Primary Telephone Number | The 10-digit telephone number of the customer (includes area code). | 1234567890 (no dashes) |

| | | |
|--------------------------|---|------------|
| CASS Failure Date | The date when CASS validation failure occurred. | 04/02/2019 |
|--------------------------|---|------------|

O. Telephone CASS Correction File Layout

1. General

- (i) The LIDA will generate a CASS Correction file weekly for each TSP participating in the program that has CASS Address correction completed by the customer.
- (ii) Each file will follow the common naming convention as shown in Table 45.

Table 45.

| | |
|--|---|
| <p>TSP2nnnnnnnn_YYYYMM_CASS_CORRECTIONS.zip <i>(containing the .txt and .ctrl files)</i> TSP2nnnnnnnn_YYYYMM_CASS_CORRECTIONS.txt TSP2nnnnnnnn_YYYYMM_CASS_CORRECTIONS.ctrl</p> <p>The suffix naming convention is:</p> <p>.txt Identifies the customer list .ctrl Identifies the control file which has the record count from .txt file .zip Identifies the zip file containing the other two files</p> | |
| TSP | This is a constant value that is used by the LIDA to distinguish between the electric and telephone programs. |
| 2nnnnnnnn | A unique nine digit number assigned by the LIDA to each participating TSP. This number will be provided to the TSP under a separate document. |
| _ | An underscore |
| YYYYMM | Four digit year and two digit month representing the year and month the file is being generated. |

P. OUTPUT FILE LAYOUT – Customers with CASS Address corrections

- 1. The file generated will be a comma delimited text file separated by commas with each character field enclosed in double quotation marks, as shown in Table 46.

Table 46.

| <u>Output Field Name</u> | <u>Description</u> | <u>Examples</u> |
|--|--|--------------------------------|
| Primary Name - Last | The last name of the customer. | Jones Jones III Jones Jr |
| Primary Name - First & Middle | The first name and middle initial of the customer. | Joseph H |
| Service Address | The address receiving the service. | 123 Main St |

| | | |
|----------------------------------|--|------------------------------------|
| Service City | The City Name. | Houston |
| Service Zip | The Zip Code or Zip Code Plus. | 78701 787011234 |
| Customer Provided Address | The customer provided address receiving the service. Blank if not available. | 123 Main St First house on left |
| Customer Provided City | The customer provided City Name as corrected. Blank if not available. | Houston |
| Customer Provided Zip | The customer provided Zip Code or Zip Code Plus. Blank if not available. | 78701 787011234 |
| Primary Telephone Number | The 10-digit telephone number of the customer (includes area code). | 1234567890 (no dashes) |
| CASS Letter Sent Date | The date when CASS failure letter was sent. | 02/29/2019 |
| Customer Contacted Date | The date when customer contacted LIDA to validate address. | 04/02/2019 |

Q. Telephone IVR Certifications File Layout

1. General

- (i) The LIDA will generate an IVR Certification file every month for each TSP participating in the program that has customers that completed their Certification form via IVR.
- (ii) Each file will follow the common naming convention as shown in Table 47.

Table 47.

| | |
|--|------------------------------|
| TSP2nnnnnnnn_YYYYMM_IVR_CERTIFICATIONS.zip | |
| <i>(containing the .txt and .ctrl files)</i> | |
| TSP2nnnnnnnn_YYYYMM_IVR_CERTIFICATIONS.txt | |
| TSP2nnnnnnnn_YYYYMM_IVR_CERTIFICATIONS.ctrl | |
| <u>The suffix naming convention is:</u> | |
| .txt | Identifies the customer list |

| | |
|------------------|---|
| .ctrl | Identifies the control file which has the record count from .txt file |
| .zip | Identifies the zip file containing the other two files |
| TSP | This is a constant value that is used by the LIDA to distinguish between the electric and telephone programs. |
| 2nnnnnnnn | A unique nine-digit number assigned by the LIDA to each participating TSP. This number will be provided to the TSP under a separate document. |
| - | An underscore |
| YYYYMM | Four-digit year and two-digit month representing the year and month the file is being generated. |

2. Output File Layout - Customers with IVR Certifications - The file generated will be a comma delimited text file separated by commas with each character field enclosed in double quotation marks. Output fields are described in Table 48.

Table 48.

| <u>Output Field Name</u> | <u>Description</u> | <u>Examples</u> |
|--|---|---------------------------|
| Primary Last Name | The last name of the customer. | Jones, Joseph |
| Primary Name - First & Middle | The first name and middle initial of the customer. | Joseph H |
| Social Security Number | The Last 4 or Full Social Security Number of the customer. | 123456789 6789 |
| Primary Telephone Number | The 10-digit telephone number of the customer (includes area code). | 1234567890 (no dashes) |
| Service Address | The address receiving the service. | 123 Main St |
| Service City | The City Name. | Houston |

| | | |
|--------------------------------|--|---|
| Service Zip | The Zip Code or Zip Code Plus. | 78701 787011234 |
| Customer Account Number | The account number assigned to this customer by the company. | |
| Billing Address | The Billing street address. | 123 Main St |
| Billing City | The Billing City Name. | Houston |
| Billing State | The Billing State code. | TX |
| Billing Zip | The Billing Zip Code or Zip Code Plus. | 78701 787011234 |
| Date of Birth | The DoB of the customer. | 10/01/1975 |
| Temporary Address Ind | The indicator to identify if the address is temporary as reported by customer. | Y N null |
| Household Size | The number of Household members | 1-9 |
| Program Type | Eligibility Program | SSI SNAP FPHA CHIP MEDICAID LIHEAP TANF NSLP |
| Attestation1 | Attestation 1 in the Cert Form | Y or null |
| Attestation2 | Attestation 2 in the Cert Form | Y or null |

| | | |
|-----------------------------|---------------------------------------|-----------|
| Attestation3 | Attestation 3 in the Cert Form | Y or null |
| Attestation5 | Attestation 5 in the Cert Form | Y or null |
| Attestation6 | Attestation 6 in the Cert Form | Y or null |
| Attestation7 | Attestation 7 in the Cert Form | Y or null |
| Attestation8 | Attestation 8 in the Cert Form | Y or null |
| Attestation4 | Attestation 4 in the Cert Form | Y or null |
| Attestation9 | Attestation 9 in the Cert Form | Y or null |
| Electronic Signature | Electronic Signature of the customer. | Y or null |

F. Telephone Rolling Recertification Initial File Layout

1. General

(i) The LIDA will generate an Initial Rolling Recertification file every month for each Prepaid TSP participating in the program that has customers eligible for Annual Recertification process. This file will have customers that failed to recertify via the HHSC database and needs to recertify within the window.

(ii) Each file will follow the common naming convention as shown in Table 49.

Table 49.

| | |
|--|---|
| TSP2nnnnnnnn_YYYYMM_PP_ROLLINGRECERT_FAILEDHHSC.zip | |
| <i>(containing the .txt and .ctrl files)</i> | |
| TSP2nnnnnnnn_YYYYMM_PP_ROLLINGRECERT_FAILEDHHSC.txt | |
| TSP2nnnnnnnn_YYYYMM_PP_ROLLINGRECERT_FAILEDHHSC.ctrl | |
| <u>The suffix naming convention is:</u> | |
| .txt | Identifies the customer list |
| .ctrl | Identifies the control file which has the record count from .txt file |

| | |
|------------------|--|
| .zip | Identifies the zip file containing the other two files |
| TSP | This is a constant value that is used by the LIDA to distinguish between the electric and telephone programs. |
| 2nnnnnnnn | A unique nine-digit number assigned by the LIDA to each participating TSP. This number will be provided to the TSP under a separate document. |
| _ | An underscore |
| YYYYMM | Four-digit year and two-digit month representing the year and month the file is being generated. |

2. Output File Layout - Customers that need to Recertify - The file generated will be a comma delimited text file separated by commas with each character field enclosed in double quotation marks. Output fields are described in Table 50.

Table 50.

| <u>Output Field Name</u> | <u>Description</u> | <u>Examples</u> |
|--------------------------------------|---|---------------------------|
| Primary Last Name | The last name of the customer. | Jones, Joseph |
| Primary Name – First | The first name of the customer. | Joseph |
| Primary Name/Initial - Middle | The middle name/initial of the customer. | H Henry |
| Primary Telephone Number | The 10-digit telephone number of the customer (includes area code). | 1234567890 (no dashes) |
| Service Address | The address receiving the service. | 123 Main St |
| Service City | The City Name. | Houston |
| Service State | The State code. | TX |

| | | |
|--------------------|---------------------------------------|-----------|
| Service Zip | The Zip Code or Zip Code Plus. | 78701 |
| | | 787011234 |

G. Telephone Rolling Recertification Outcome File Layout

1. General

- (i) The LIDA will generate a Rolling Recertification Outcome file every month for each Prepaid TSP participating in the program that has customers eligible for Annual Recertification process. This file will have the outcome of the Annual Recertification process for each of the customer in the Initial file. The carrier will use this file to de-enroll customer that did not successfully recertify.
- (ii) Each file will follow the common naming convention as shown in Table 51.

Table 51.

| | |
|---|---|
| <p>TSP2nnnnnnn_YYYYMM_PP_ROLLINGRECERT_OUTCOME.zip</p> <p><i>(containing the .txt and .ctrl files)</i></p> <p>TSP2nnnnnnn_YYYYMM_PP_ROLLINGRECERT_OUTCOME.txt</p> <p>TSP2nnnnnnn_YYYYMM_PP_ROLLINGRECERT_OUTCOME.ctrl</p> <p><u>The suffix naming convention is:</u></p> <p>.txt Identifies the customer list</p> <p>.ctrl Identifies the control file which has the record count from .txt file</p> <p>.zip Identifies the zip file containing the other two files</p> | |
| TSP | This is a constant value that is used by the LIDA to distinguish between the electric and telephone programs. |

| | |
|------------------|---|
| 2nnnnnnnn | A unique nine-digit number assigned by the LIDA to each participating TSP. This number will be provided to the TSP under a separate document. |
| - | An underscore |
| YYYYMM | Four-digit year and two-digit month representing the year and month the file is being generated. |

2. Output File Layout - Outcome of Customers that were in Recertification window - The file generated will be a comma delimited text file separated by commas with each character field enclosed in double quotation marks. Output fields are described in Table 52.

Table 52.

| <u>Output Field Name</u> | <u>Description</u> | <u>Examples</u> |
|---------------------------------|---|---------------------------|
| Primary Last Name | The last name of the customer. | Jones, Joseph |
| Primary Name - First | The first name of the customer. | Joseph |
| Primary Name - Middle | The middle initial of the customer. | H Henry |
| Primary Telephone Number | The 10-digit telephone number of the customer (includes area code). | 1234567890 (no dashes) |
| Service Address | The address receiving the service. | 123 Main St |
| Service City | The City Name. | Houston |
| Service State | The State Code. | TX |
| Service Zip | The Zip Code or Zip Code Plus. | 78701 787011234 |

| | | |
|-------------------------------|---|--|
| Recertification Status | The customer's recertification status. | APPROVED DENIED-REVIEW DENIED-NORESPONSE |
| Recertification Date | The decision date (approved or denied by a Reviewer). | IVR HHSC Review Website |
| Recertification Method | Method through which the customer recertified. | IVR HHSC Review Website |

3. Prepaid Lookup Input File Layout - The file generated will be a comma delimited text file separated by commas with each character field enclosed in double quotation marks. Input fields are described in Table 53.

Table 53.

| <u>Input Field Name</u> | <u>Description</u> | <u>Examples</u> |
|-------------------------|---|-----------------|
| Last Name | The customer's last name. | Acosta |
| SSN-4 | The last 4 digits of the customer's social security number. | 2487 |
| Date of Birth | The customer's date of birth | 10/14/1941 |
| Zip Code | Zip code | 78701 |

4. Prepaid Lookup Output File Layout - The file generated will be a comma delimited text file separated by commas with each character field enclosed in double quotation marks. Input fields are described in Table 54.

Table 54.

| <u>Input Field Name</u> | <u>Description</u> | <u>Examples</u> |
|-------------------------|--------------------|-----------------|
|-------------------------|--------------------|-----------------|

| | | |
|----------------------------|--|---|
| Last Name | The customer's last name. | Acosta |
| SSN-4 | The last 4 digits of the customer's social security number. | 2487 |
| Date of Birth | The customer's date of birth | 10/14/1941 |
| Zip Code | Zip code | 78701 |
| Verification | Determination if the customer is currently eligible to receive the discount | Not-Eligible, Eligible, Inconclusive |
| Discount | Determination if the customer is currently receiving the discount. | No, Yes |
| Household Worksheet | Determination if the customer needs to fill out and submit a household worksheet | No, Yes, - |
| Reserve Status | Determination if the customer can be reserved | Cannot Reserve, Can Reserve, Already Reserved |
| Confirmation # | The confirmation number generated by the system as a result of the look-up | 4166253 |

H. Zip Software Compatibility Requirements

1. The Zip files can be created with WinZip or PKZip or any other software that maintains compatibility with WinZip8.1. Details of our Cross-product compatibility test are as shown in Table 55.
2. Note: Encrypted Zip files are not allowed. The Communication Channel (FTP Site) will be Encrypted to provide the desired security

Table 55.

| | | | | |
|--------------|-------------------|-------------------|------------------|----------------------------------|
| Zip | | | | |
| | WinZip 8.1 | WinZip 7.0 | PKZip 6.0 | PKZip 6.0 (Encrypted) |
| UnZip | | | | |

| | | | | |
|----------------------------------|---|---|---|---|
| WinZip 8.1 | ● | ● | ● | |
| WinZip 7.0 | ● | ● | ● | |
| KZip 6.0 | ● | ● | ● | |
| PKZip 6.0 (Encrypted) | | | | ● |

Exhibit 3 – SAMPLE REPORTS

LITE-UP Texas Enrollment Summary Report

November 2014

| <u><i>Enrollment Statistics</i></u> | <u>October 2014</u> | <u>November 2014</u> |
|---|---------------------|----------------------|
| Number of Active Telephone Service Providers | 129 | 129 |
| Number of TSP Records Loaded | 3,798,685 | 3,659,691 |
| Number of Active Retail Electric Providers | 68 | 67 |
| Number of REP Records Loaded | 6,154,216 | 6,161,030 |
| Number of Records Provided for Telephone Discount Match | 5,711,056 | 5,736,083 |
| Number of Records Provided for Electric Discount Match | 2,422,570 | 2,424,288 |
| Number of Records Provided by HHSC | 5,525,152 | 5,557,884 |
| Number of HHSC Records Added | 267,705 | 286,629 |
| Number of HHSC Records Deleted | 259,641 | 253,897 |
| Number of HHSC Renewal Records | 62,645 | 59,565 |
| Number of Self-Enrollment Records | 102,909 | 71,919 |
| Number of Renewal Records (grace period) | 261,667 | 122,171 |
| Number of Records Expired due to Lack of Renewal (60-day report) | 94,213 | 95,911 |

| <u><i>Eligibility Statistics</i></u> | <u>October 2014</u> | <u>November 2014</u> |
|--|---------------------|----------------------|
| Number of Records Matched for Telephone Discount | 711,863 | 723,382 |
| Direct Enrollee Records Matched for Telephone Discount | 701,796 | 714,216 |
| Self-enrollment Records Matched for Telephone Discount | 10,067 | 9,166 |
| Self-enrollment Records Eligible for Telephone Discount | 188,213 | 180,078 |
| Number of Records Matched for Electric Discount | 592,894 | 590,524 |

| | | |
|---|----------------|----------------|
| Direct Enrollee Records Matched for Electric Discount | 523,270 | 523,142 |
| Self-enrollment Records Matched for Electric Discount | 69,624 | 67,382 |
| Self-enrollment Records Eligible for Electric Discount | 194,280 | 183,220 |

| <u>Production Statistics</u> | <u>October 2014</u> | <u>November 2014</u> |
|--|----------------------------|-----------------------------|
| Self-Enrollment Applications Processed | 15,918 | 6,960 |
| Self-enrollment Applications Certified for Telephone | 9,649 | 4,201 |
| Self-Enrollment Applications Rejected for Telephone | 6,269 | 2,759 |
| Self-enrollment Applications Certified for Electric | 9,640 | 4,475 |
| Self-Enrollment Applications Rejected for Electric | 6,278 | 2,485 |
| Cert/Worksheet Production (incl. Duplicative reviews) | 24,201 | 22,966 |

Note: Production Statistics are based on calendar month rather than process month.

| <u>Fulfillment Statistics</u> | <u>October 2014</u> | <u>November 2014</u> |
|---|----------------------------|-----------------------------|
| New Application Requests | 7,865 | 3,496 |
| Renewal Notifications | 64,095 | 61,308 |
| Application Status Letter | 8,920 | 3,496 |
| New Discount Letters | 20,905 | 19,125 |
| Cert/Worksheet Rejection Letters | 14,552 | 8,806 |
| Instant Status Notifications | 8,047 | 3,414 |

| <u>Other Information</u> | <u>October 2014</u> | <u>November 2014</u> |
|--|----------------------------|-----------------------------|
| Incoming Applications - UPS | 11,678 | 7,043 |
| Incoming Applications - Faxed | 3,361 | 2,072 |
| Incoming Certs/Worksheets - UPS | 13,320 | 9,096 |

Online Application Requests

5,071

2,941

Cricket Applications

66

10

LIDA Operations Rejection Code Summary

November 2014

| Code | Rejection Reasons | Electric | Telephone |
|-------------|---|-----------------|------------------|
| 3 | Applicant not eligible for Medicaid | 5 | - |
| 9 | No Income Documentation | 1,225 | 693 |
| 12 | No signature | 290 | 455 |
| 13 | Income exceeds 150% of the fed | - | 88 |
| 14 | No Benefit Documentation | 407 | - |
| 15 | Name on telephone bill does not match the application name | - | 13 |
| 16 | Name on electric bill does not match the application name | 4 | - |
| 17 | Name(s) on proof of eligibility do not match app name | 6 | - |
| 25 | Income Tax Documents not signed | 7 | 10 |
| 26 | Insufficient proof of income | 268 | 322 |
| 27 | Address on proof of eligibility does not match app address | 10 | 132 |
| 28 | Address on Telephone Bill does not match app address | - | 28 |
| 29 | Address on Electric Bill does not match app address. | 22 | - |
| 30 | Income exceeds 125% of the fed | 260 | - |
| 50 | No Documentation Provided with Application | 85 | 57 |
| 54 | No Benefit Documentation | - | 792 |
| 71 | No Cert Form/HH Worksheet | - | 1,463 |
| 72 | No SS# and/or Date of Birth Provided | - | 254 |
| 80 | ID verification DOB is below minimum | - | 3 |
| 81 | ID verification no DOB available | - | 35 |

| | | | |
|-----------|--|---|-----------|
| 82 | ID verification SSN does not match | - | 29 |
| 84 | ID verification SSN issued prior to DOB | - | 8 |
| 85 | ID verification SSN not found | - | 13 |
| 86 | ID verification Subject is deceased | - | 1 |
| 87 | ID not located | - | 37 |

LIDA Operations TSP Summary

November 2014

(Partial Shown for Space Considerations)

| TSP ID | TSP Name | Received Date | Status | Submitted | Loaded | Rejected | Discounts | % Rejected |
|-----------|------------|---------------|---------|-----------|--------|----------|-----------|------------|
| 200000001 | Company 1 | 11/19/2014 | On-Time | 1,088 | 1,061 | 27 | 35 | 2.54% |
| 200000002 | Company 2 | 10/30/2014 | On-Time | 9,335 | 9,327 | 8 | 159 | 0.09% |
| 200000003 | Company 3 | 11/19/2014 | On-Time | 3,304 | 3,195 | 109 | 281 | 3.41% |
| 200000004 | Company 4 | 11/17/2014 | On-Time | 729 | 695 | 34 | 44 | 4.89% |
| 200000005 | Company 5 | 11/19/2014 | On-Time | 57 | 48 | 9 | 0 | 18.75% |
| 200000006 | Company 6 | 11/19/2014 | On-Time | 3,153 | 3,083 | 70 | 137 | 2.27% |
| 200000007 | Company 7 | 11/19/2014 | On-Time | 1,777 | 1,774 | 3 | 205 | 0.17% |
| 200000008 | Company 8 | 11/18/2014 | On-Time | 745 | 738 | 7 | 29 | 0.95% |
| 200000009 | Company 9 | 11/18/2014 | On-Time | 407 | 407 | 0 | 17 | 0.00% |
| 200000010 | Company 10 | 11/17/2014 | On-Time | 2,622 | 2,622 | 0 | 177 | 0.00% |
| 200000011 | Company 11 | 11/19/2014 | On-Time | 4,234 | 4,234 | 0 | 191 | 0.00% |
| 200000016 | Company 12 | 11/19/2014 | On-Time | 1,475 | 1,417 | 58 | 55 | 4.09% |
| 200000017 | Company 13 | 11/17/2014 | On-Time | 4,651 | 4,563 | 88 | 110 | 1.93% |
| 200000018 | Company 14 | 11/18/2014 | On-Time | 2,578 | 2,556 | 22 | 130 | 0.86% |
| 200000019 | Company 15 | 11/18/2014 | On-Time | 1,079 | 1,048 | 31 | 20 | 2.96% |

| | | | | | | | | |
|-----------|------------|------------|---------|--------|--------|-----|-----|--------|
| 200000020 | Company 16 | 11/17/2014 | On-Time | 623 | 622 | 1 | 30 | 0.16% |
| 200000021 | Company 17 | 11/19/2014 | On-Time | 1,098 | 892 | 206 | 3 | 23.09% |
| 200000023 | Company 18 | 11/14/2014 | On-Time | 15,037 | 15,003 | 34 | 928 | 0.23% |
| 200000024 | Company 19 | 11/18/2014 | On-Time | 623 | 604 | 19 | 51 | 3.15% |
| 200000025 | Company 20 | 11/19/2014 | On-Time | 312 | 309 | 3 | 19 | 0.97% |
| 200000026 | Company 21 | 11/18/2014 | On-Time | 11,215 | 11,215 | 0 | 688 | 0.00% |
| 200000027 | Company 22 | 11/18/2014 | On-Time | 2,000 | 1,999 | 1 | 17 | 0.05% |
| 200000028 | Company 23 | 11/19/2014 | On-Time | 603 | 585 | 18 | 30 | 3.08% |
| 200000029 | Company 24 | 11/18/2014 | On-Time | 12,864 | 12,841 | 23 | 298 | 0.18% |

LIDA Operations REP Summary

November 2014

(Partial Shown for Space Considerations)

| REP_Id | Rep_Name | Received Date | Status | Submitted | Loaded | Rejected | Discounts | % Rejected |
|-----------|-----------|---------------|---------|------------|------------|----------|-----------|------------|
| 100000003 | Company 1 | 11/20/2014 | On-Time | 8,625.00 | 8,625.00 | 0.00 | 339 | 0.00% |
| 100000006 | Company 2 | 11/19/2014 | On-Time | 181,050.00 | 179,338.00 | 1,712.00 | 34017 | 0.95% |
| 100000008 | Company 3 | 11/19/2014 | On-Time | 205,556.00 | 205,365.00 | 191.00 | 25884 | 0.09% |
| 100000011 | Company 4 | 11/19/2014 | On-Time | 107,071.00 | 106,614.00 | 457.00 | 20429 | 0.43% |
| 100000012 | Company 5 | 11/19/2014 | On-Time | 117,740.00 | 117,740.00 | 0.00 | 5334 | 0.00% |

| | | | | | | | | |
|-----------|------------|------------|---------|--------------|--------------|----------|--------|--------|
| 100000014 | Company 6 | 11/19/2014 | On-Time | 3,804.00 | 3,804.00 | 0.00 | 124 | 0.00% |
| 100000015 | Company 7 | 11/18/2014 | On-Time | 205,978.00 | 205,649.00 | 329.00 | 29408 | 0.16% |
| 100000018 | Company 8 | 11/20/2014 | On-Time | 1,263,118.00 | 1,263,115.00 | 3.00 | 100164 | 0.00% |
| 100000019 | Company 9 | 11/20/2014 | On-Time | 31,065.00 | 31,064.00 | 1.00 | 1146 | 0.00% |
| 100000021 | Company 10 | 11/18/2014 | On-Time | 34,245.00 | 33,996.00 | 249.00 | 2600 | 0.73% |
| 100000022 | Company 11 | 11/20/2014 | On-Time | 1,506,967.00 | 1,506,936.00 | 31.00 | 132551 | 0.00% |
| 100000025 | Company 12 | 11/19/2014 | On-Time | 40,944.00 | 40,352.00 | 592.00 | 4201 | 1.47% |
| 100000026 | Company 13 | 11/18/2014 | On-Time | 110,251.00 | 110,082.00 | 169.00 | 7406 | 0.15% |
| 100000029 | Company 14 | 11/20/2014 | On-Time | 925.00 | 925.00 | 0.00 | 107 | 0.00% |
| 100000031 | Company 15 | 11/20/2014 | On-Time | 5,748.00 | 5,748.00 | 0.00 | 1813 | 0.00% |
| 100000033 | Company 16 | 11/20/2014 | On-Time | 124,577.00 | 124,577.00 | 0.00 | 5223 | 0.00% |
| 100000034 | Company 17 | 11/20/2014 | On-Time | 34,035.00 | 34,035.00 | 0.00 | 1620 | 0.00% |
| 100000035 | Company 18 | 11/20/2014 | On-Time | 318,219.00 | 318,219.00 | 0.00 | 41891 | 0.00% |
| 100000037 | Company 19 | 11/17/2014 | On-Time | 96,042.00 | 95,792.00 | 250.00 | 2049 | 0.26% |
| 100000040 | Company 20 | 11/20/2014 | On-Time | 3,825.00 | 3,825.00 | 0.00 | 68 | 0.00% |
| 100000043 | Company 21 | 11/17/2014 | On-Time | 9,490.00 | 8,862.00 | 628.00 | 955 | 7.09% |
| 100000045 | Company 22 | 11/20/2014 | On-Time | 30,417.00 | 30,414.00 | 3.00 | 532 | 0.01% |
| 100000046 | Company 23 | 11/20/2014 | On-Time | 385,399.00 | 384,254.00 | 1,145.00 | 49110 | 0.30% |
| 100000047 | Company 24 | 11/19/2014 | On-Time | 242.00 | 188.00 | 54.00 | 3 | 28.72% |
| 100000049 | Company 25 | 11/19/2014 | On-Time | 12,239.00 | 12,238.00 | 1.00 | 585 | 0.01% |

Texas LIDA 6-Month TSP Rolling Report

November 2014

(Partial Shown for Space Considerations)

| TSP_Id | TSP_Name | Total | 201412 | 201501 | 201502 | 201503 | 201504 | 201505 |
|-----------|------------|-------|--------|--------|--------|--------|--------|--------|
| 200000002 | Company 1 | 5 | 1 | 1 | - | 1 | 2 | - |
| 200000003 | Company 2 | 12 | 3 | 4 | - | 2 | 3 | - |
| 200000004 | Company 3 | 6 | 1 | 1 | 1 | - | 2 | 1 |
| 200000006 | Company 4 | 1 | - | - | - | - | - | 1 |
| 200000007 | Company 5 | 3 | 1 | 1 | - | - | 1 | - |
| 200000008 | Company 6 | 1 | - | - | 1 | - | - | - |
| 200000010 | Company 7 | 1 | - | - | - | - | 1 | - |
| 200000011 | Company 8 | 4 | - | 1 | - | 1 | - | 2 |
| 200000016 | Company 9 | 1 | - | - | - | 1 | - | - |
| 200000017 | Company 10 | 8 | - | 1 | - | 3 | 4 | - |
| 200000018 | Company 11 | 2 | - | - | - | 2 | - | - |
| 200000019 | Company 12 | 1 | 1 | - | - | - | - | - |
| 200000023 | Company 13 | 14 | 4 | 1 | 3 | 1 | 3 | 2 |
| 200000024 | Company 14 | 1 | - | - | 1 | - | - | - |
| 200000026 | Company 15 | 7 | 1 | 1 | - | 3 | 1 | 1 |

| | | | | | | | | | |
|-----------|------------|----|---|---|---|---|---|---|---|
| 200000027 | Company 16 | 1 | - | - | - | - | 1 | - | - |
| 200000028 | Company 17 | 2 | - | - | - | - | - | 1 | 1 |
| 200000029 | Company 18 | 15 | 3 | 1 | 2 | 2 | 5 | 2 | 2 |
| 200000030 | Company 19 | 3 | - | - | 1 | 1 | 1 | - | - |
| 200000032 | Company 20 | 32 | 6 | 6 | 3 | 4 | 8 | 5 | 5 |
| 200000033 | Company 21 | 9 | 1 | - | 2 | 2 | 3 | 1 | 1 |
| 200000034 | Company 22 | 3 | 1 | 2 | - | - | - | - | - |
| 200000035 | Company 23 | 1 | - | - | 1 | - | - | - | - |
| 200000040 | Company 24 | 1 | - | - | - | - | 1 | - | - |

| | | | | | | | | | |
|-----------|------------|----|---|----|----|----|----|----|----|
| 100000049 | Company 25 | 31 | 7 | 4 | 7 | 5 | 7 | 1 | 1 |
| 100000052 | Company 26 | 72 | 8 | 17 | 13 | 12 | 11 | 11 | 11 |
| 100000055 | Company 27 | 15 | 2 | 2 | 4 | 1 | 1 | 5 | 5 |

November 2014 CALL REASON REPORT

(Partial Shown for Space Considerations)

| Date | App Request | AW | Cert Complete | Change of Address | Eligibility | Hang Up | Help Completing Application | Imm Assist | Incomplete Certification | Lookup Company | No Answer | No Longer receiving discount | No Longer wants discount |
|-------------|--------------------|-----------|----------------------|--------------------------|--------------------|----------------|------------------------------------|-------------------|---------------------------------|-----------------------|------------------|-------------------------------------|---------------------------------|
| 11/1/2014 | | 3 | | 2 | 55 | 23 | 8 | 1 | | | | 3 | 1 |
| | - | 3 | - | 2 | 55 | 23 | 8 | 1 | - | - | - | 3 | 1 |
| 11/2/2014 | 13 | 1 | | | 18 | 17 | 1 | | | | | 2 | |
| 11/3/2014 | 237 | 6 | 1 | 8 | 570 | 72 | 55 | 36 | 1 | | | 22 | 12 |
| 11/4/2014 | 152 | 6 | 1 | 11 | 462 | 58 | 39 | 22 | | | | 26 | 3 |
| 11/5/2014 | 169 | 13 | | 4 | 389 | 56 | 37 | 18 | | | | 21 | 5 |
| 11/6/2014 | 135 | 7 | | 5 | 360 | 49 | 45 | 17 | | | | 10 | 4 |

| | | | | | | | | | | | | | |
|----------------|-----|----|---|----|-------|-----|-----|-----|---|---|---|-----|----|
| 11/7/201 4 | 106 | 12 | 2 | 2 | 434 | 59 | 58 | 17 | | | | 11 | 14 |
| 11/8/201 4 | 24 | 7 | | | 123 | 22 | 21 | 5 | | | | 10 | 4 |
| | 836 | 52 | 4 | 30 | 2,356 | 333 | 256 | 115 | 1 | - | | 102 | 42 |
| | | | | | | | | | | | | | |
| 11/9/201 4 | 6 | 9 | | 1 | 49 | 16 | 3 | 3 | | | | | 1 |
| 11/10/20 14 | 178 | 16 | | 7 | 645 | 62 | 135 | 21 | | | | 20 | 16 |
| 11/11/20 14 | 104 | 7 | | 2 | 371 | 48 | 73 | 15 | 1 | | | 19 | 3 |
| 11/12/20 14 | 159 | 7 | | 4 | 388 | 62 | 64 | 17 | | | | 16 | 12 |
| 11/13/20 14 | 116 | 8 | 1 | 2 | 320 | 53 | 63 | 8 | 2 | | | 19 | 7 |
| 11/14/20 14 | 137 | 5 | 1 | 4 | 259 | 44 | 47 | 21 | 1 | | | 13 | 1 |
| 11/15/20 14 | 23 | 1 | | 1 | 63 | 18 | 10 | 3 | | | | 1 | 3 |
| | 723 | 53 | 2 | 21 | 2,095 | 303 | 395 | 88 | 3 | 1 | - | 88 | 43 |
| | | | | | | | | | | | | | |

Call Reason Report Columns Represented:

Date

App Request

[Company]

Cert Complete

Change of Address

Eligibility

Hang Up

Help Completing Application

Immediate Assistance

Incomplete Certification

Lookup Company

No Answer

No Longer Receiving Discount

No Longer Wants Discount

Parked Call

Program Questions

Receipt of App

Received Rejection Letter

Refer to Electric Co

Refer to Phone Co

Refer to TDHS

Renewals

Rep Questions

Re-skill

System Issues

[company]

TSP Questions

November 2014 ACD Report

(Partial Shown for Space Considerations)

| Campaign | Date | Day | Handled | English | Spanish | Abandons | Avg Handle Time (Seconds) | Avg Handle Time (Minutes) | Service Level | Avg Abandon Time |
|------------|------------|--------------|---------|---------|---------|----------|---------------------------|---------------------------|---------------|------------------|
| Texas LIDA | 2014-11-01 | Saturday | 329 | 272 | 57 | 18 | 227.94 | 3.80 | 92.78% | 0.09 |
| | | Weekly Total | 329 | 272 | 57 | 18 | 227.94 | 3.80 | 92.78% | 0.09 |
| Texas LIDA | 2014-11-02 | Sunday | 114 | 100 | 14 | 12 | 218.37 | 3.64 | 85.64% | 0.10 |
| Texas LIDA | 2014-11-03 | Monday | 1,645 | 1,379 | 266 | 40 | 272.69 | 4.54 | 89.30% | 0.11 |
| Texas LIDA | 2014-11-04 | Tuesday | 1,238 | 1,028 | 210 | 42 | 284.82 | 4.75 | 88.55% | 0.14 |
| Texas LIDA | 2014-11-05 | Wednesday | 1,194 | 992 | 202 | 33 | 294.52 | 4.91 | 91.76% | 0.15 |
| Texas LIDA | 2014-11-06 | Thursday | 1,076 | 936 | 140 | 23 | 298.63 | 4.98 | 92.08% | 0.09 |
| Texas LIDA | 2014-11-07 | Friday | 1,213 | 1,051 | 162 | 32 | 301.15 | 5.02 | 83.45% | 0.27 |
| Texas LIDA | 2014-11-08 | Saturday | 419 | 357 | 62 | 18 | 301.47 | 5.02 | 86.58% | 0.15 |

Monthly (Report) By ZIP Code – November 2014 (Partial Shown for Brevity)

| CITY | BIP | Grand Total |
|-------------------|-----------------|------------------------|
| - | - | 6,310 |
| | Subtotal | 6,310 |
| ABBOTT | 76621 | 1 |
| | Subtotal | 1 |
| ABERNATHY | 79311 | 5 |
| | Subtotal | 5 |
| ABILENE | 79601 | 30 |
| | 79602 | 41 |
| | 79603 | 74 |
| | 79604 | 1 |
| | 79605 | 43 |
| | 79606 | 18 |
| | 79608 | 1 |
| | Subtotal | 208 |
| ADDISON | 75001 | 3 |
| | Subtotal | 3 |
| ADKINS | 78101 | 3 |
| | Subtotal | 3 |
| AGUA DULCE | 78330 | 4 |
| | Subtotal | 4 |
| ALAMO | 78516 | 72 |
| | Subtotal | 72 |
| ALBA | 75410 | 4 |
| | Subtotal | 4 |
| ALBANY | 76430 | 2 |

Call Center Handle Time – November 2014**(Partial Shown for Space Considerations)**

| Skill | Skill | Month | Day | Handle Time |
|------------------|--------------|--------------|------------|--------------------|
| LUTX_Englis h | LUTX_English | 2014-11 | 2014-11-01 | 1,060.10 |
| LUTX_Englis h | LUTX_English | 2014-11 | 2014-11-02 | 362.60 |
| LUTX_Englis h | LUTX_English | 2014-11 | 2014-11-03 | 6,323.17 |
| LUTX_Englis h | LUTX_English | 2014-11 | 2014-11-04 | 4,905.27 |
| LUTX_Englis h | LUTX_English | 2014-11 | 2014-11-05 | 4,811.78 |
| LUTX_Englis h | LUTX_English | 2014-11 | 2014-11-06 | 4,677.00 |
| LUTX_Englis h | LUTX_English | 2014-11 | 2014-11-07 | 5,265.77 |
| LUTX_Englis h | LUTX_English | 2014-11 | 2014-11-08 | 1,843.08 |
| LUTX_Englis h | LUTX_English | 2014-11 | 2014-11-09 | 556.89 |
| LUTX_Englis h | LUTX_English | 2014-11 | 2014-11-10 | 8,165.69 |
| LUTX_Englis h | LUTX_English | 2014-11 | 2014-11-11 | 4,991.42 |
| LUTX_Englis h | LUTX_English | 2014-11 | 2014-11-12 | 5,347.70 |
| LUTX_Englis h | LUTX_English | 2014-11 | 2014-11-13 | 4,450.41 |
| LUTX_Englis h | LUTX_English | 2014-11 | 2014-11-14 | 4,033.08 |

| | | | | |
|--------------|--------------|---------|------------|----------|
| LUTX_English | LUTX_English | 2014-11 | 2014-11-15 | 889.79 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-16 | 399.28 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-17 | 6,467.54 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-18 | 4,950.88 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-19 | 4,133.52 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-20 | 3,905.99 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-21 | 3,757.88 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-22 | 1,030.83 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-23 | 389.77 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-24 | 5,587.92 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-25 | 4,036.15 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-26 | 2,723.12 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-27 | 113.34 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-28 | 1,363.78 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-29 | 960.70 |
| LUTX_English | LUTX_English | 2014-11 | 2014-11-30 | 350.84 |

| | | | | |
|--------------|--------------|---------|------------|----------|
| LUTX_Spanish | LUTX_Spanish | 2014-11 | 2014-11-01 | 189.75 |
| LUTX_Spanish | LUTX_Spanish | 2014-11 | 2014-11-02 | 52.31 |
| LUTX_Spanish | LUTX_Spanish | 2014-11 | 2014-11-03 | 1,153.13 |
| LUTX_Spanish | LUTX_Spanish | 2014-11 | 2014-11-04 | 971.52 |
| LUTX_Spanish | LUTX_Spanish | 2014-11 | 2014-11-05 | 1,049.20 |

Performance Measurements Report – November 2014

(Partial Shown for Space Considerations)

| #1 Production - Target 7 Business Days | | | |
|---|---------------------|------------------------|-----------------------|
| Due Date | Applications | Completion Date | Objective Met? |
| 11/1/2014 | | | |
| 11/2/2014 | | | |
| 11/3/2014 | 1,048 | 11/3/2014 | Yes |
| 11/4/2014 | 98 | 11/4/2014 | Yes |
| 11/5/2014 | 517 | 11/5/2014 | Yes |
| 11/6/2014 | 493 | 11/6/2014 | Yes |
| 11/7/2014 | 1,031 | 11/7/2014 | Yes |
| 11/8/2014 | | | |
| 11/9/2014 | | | |
| 11/10/2014 | 119 | 11/10/2014 | Yes |
| 11/11/2014 | 48 | 11/11/2014 | Yes |

| #2 - Monthly Process | |
|------------------------------------|----------------------|
| Process Month | November 2014 |
| REP Discount Files Due | 11/28/2014 |
| REP Discount Files Provided | 11/28/2014 |
| Objective Met? | Yes |
| TSP Discount Files Due | 11/28/2014 |
| TSP Discount Files Provided | 11/28/2014 |
| Objective Met? | Yes |

| #3 - Renewals | |
|----------------------|----------------------|
| Process Month | November 2014 |
| File Posted | 11/23/2014 |

| | | | |
|------------|-----|------------|-----|
| 11/12/2014 | 398 | 11/12/2014 | Yes |
| 11/13/2014 | 322 | 11/13/2014 | Yes |
| 11/14/2014 | 291 | 11/14/2014 | Yes |
| 11/15/2014 | | | |
| 11/16/2014 | | | |
| 11/17/2014 | 559 | 11/17/2014 | Yes |
| 11/18/2014 | 123 | 11/18/2014 | Yes |
| 11/19/2014 | 401 | 11/19/2014 | Yes |
| 11/20/2014 | 481 | 11/20/2014 | Yes |
| 11/21/2014 | 138 | 11/21/2014 | Yes |
| 11/22/2014 | | | |
| 11/23/2014 | | | |
| 11/24/2014 | 91 | 11/24/2014 | Yes |
| 11/25/2014 | 644 | 11/25/2014 | Yes |
| 11/26/2014 | 614 | 11/26/2014 | Yes |
| 11/27/2014 | | | |
| 11/28/2014 | | | |
| 11/29/2014 | | | |
| 11/30/2014 | | | |

| |
|--|
| |
|--|

| | |
|-----------------------|------------------|
| File Size | 61,308 |
| Due Date | 12/2/2014 |
| Date Complete | 12/2/2014 |
| Objective Met? | Yes |

| | |
|------------------------------------|----------------------|
| #4 - Customer Service | |
| Month | November 2014 |
| New Incidents | 711 |
| 24 Hr. Response | 711 |
| Objective Met? | Yes |
| Open Incidents at month end | 16 |

| | |
|-------------------------------|----------------------|
| #5 - Monthly Reporting | |
| Month | November 2014 |
| Invoice Due | 12/10/2014 |
| Objective Met? | Yes |
| | |
| Hub Report Due | 12/10/2014 |
| Objective Met? | Yes |
| | |
| Report Package Due | 12/12/2014 |
| Objective Met? | Yes |

Exhibit 4 - HHS DATA USE AGREEMENT AND SUBCONTRACTOR AGREEMENT

**AMENDMENT NO. 1 TO
CONTRACT NO. 473-19-00005
BETWEEN
THE PUBLIC UTILITY COMMISSION OF TEXAS
AND
SOLIX, INC.**

The parties to Contract No. 473-19-00005, namely the Public Utility Commission of Texas (PUCT) and Solix, Inc., agree to amend Contract No. 473-19-00005, as specified herein, to add services to support additional programs through the Texas Low-Income Discount Administrator (LIDA) process related to the COVID-19 pandemic.

Article 1. DUTIES OF THE PARTIES, SERVICES, COMPENSATION, and TERM

The parties' duties and the requirements of Contract No. 473-19-00005, the services provided under Contract No. 473-19-00005, the compensation terms of Contract No. 473-19-00005, and the term of the agreement under Contract No. 473-19-00005, shall remain the same, except as specifically modified by this document.

Article 2. EFFECTIVE DATE

This amendment is effective as of the date the last signatory signs.

Article 3. ADDITIONAL SERVICES

In addition to the services provided under the existing agreement in Contract No. 473-19-00005, the contractor will provide the following services:

- I. Contact Center Support
 - a. Solix will provide comprehensive contact center support on behalf of the PUCT. The contact center will be staffed to handle the forecasted volumes of activity in accordance with a mutually agreed-upon forecasting methodology and process.
 - b. Solix will utilize the existing, dedicated, toll-free number for the LIDA program for access to the Interactive Voice Response (IVR) and to live contact center representatives.
 - c. Solix's contact center Representatives will provide support 24 hours/day, seven days/week.
 - d. The contact center will provide English and Spanish language support.
 - e. Contact center Representatives will perform call handling in accordance with agreed-upon procedures.
 - f. Contact center Representatives will utilize Solix's platform and tracking tools to provide status updates and respond to inquiries as well as to log caller interactions.

- e. If a reviewer is unable to locate the associated call record, the supporting documentation will be sent to an exception queue for further investigation.
 - i. If the exception queue reviewer successfully matches the call record with the supporting documentation, the reviewer will evaluate whether the documentation meets the PUCT requirements and issue an eligibility decision.
 - ii. If the exception queue reviewer is unable to identify a matching call record, the supporting documentation will be securely destroyed.

Article 4. COMPENSATION FOR SERVICES ADDED BY THIS AMENDMENT

- I. **Payment Process.** The duties of the PUCT and contractor and the payment processes described in Sections 2.2 through 2.7 of the existing contract remain the same, except that, for the purposes of the additional services and compensation described in this amendment, the PUCT will submit approved invoices to the appropriate Transmission and Distribution Utility (TDU) for payment and not to the TUSF Administrator. TDUs will be responsible for paying all costs associated with this amendment.
- II. **Compensation.** Solix will be compensated as follows:
 - a. Flat fee for implementation: \$41,800.
 - b. Monthly fee for Weekly File Processing, IT Support, and Service Provider Interface: \$11,200 per month.
 - c. Document intake, imaging, and indexing: \$0.22 per page.
 - d. Secure document shredding (1.2 cubic feet per box): \$5.50 per box.
 - e. Eligibility reviews (including eligibility and documentation review and quality assurance and quality control with 6% sampling): \$2.75 per review.
 - f. IVR and Call Center Platform Usage: \$0.03 per minute.
 - g. Software and License Fees: \$285.00 per month per CSR.
 - h. CSR Rep Time will be priced on a tiered basis as shown in Table A1.

Table A1.

| Monthly CSR Talk Minutes | English | Spanish |
|---------------------------------|-------------------|-------------------|
| 0-50,000 | \$0.75 per minute | \$0.80 per minute |
| 50,001 to 100,000 | \$0.74 per minute | \$0.79 per minute |
| 100,001 to 150,000 | \$0.73 per minute | \$0.78 per minute |
| Over 150,000 | \$0.72 per minute | \$0.77 per minute |

Article 5. ENTIRE AGREEMENT

The original contract, including this Amendment No. 1, and the Attachments referenced in the contract, constitutes the entire agreement and understanding between the parties with regard to its subject matter.

In WITNESS WHEREOF both parties by their duly authorized representatives have executed this contract effective as of the last date signed.

The Public Utility Commission of Texas

By:



John Paul Urban
Executive Director

Date:

5/11/20

Solix, Inc.

By:



Jack Miller *For*
President and CEO

Date:

5/11/20