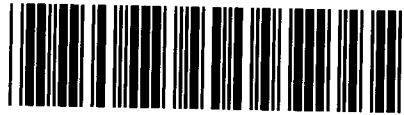


Control Number: 27706



Item Number: 271

Addendum StartPage: 0

PROJECT NO. 27706

REPORTS OF THE ELECTRIC  
RELIABILITY COUNCIL OF TEXAS

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PUBLIC UTILITY COMMISSION  
OF TEXAS

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PUBLIC UTILITY COMMISSION  
CLERK

**ELECTRIC RELIABILITY COUNCIL OF TEXAS, INC.'S**  
**NOTICE OF PROTOCOL VIOLATIONS**

COMES NOW, Electric Reliability Council of Texas, Inc. (ERCOT) and files this Notice of Protocol Violations. On October 28, 2013, ERCOT experienced performance degradations in its retail transaction processing system, which caused delays in processing Electronic Data Interchange (EDI) with a particular impact on 867 transactions.<sup>1</sup> At approximately 6:30 AM on October 28, 2013, ERCOT received an automatic vendor security software update. This software update slowed processing for 867 transactions, which delayed posting of certain information, as required under the ERCOT Protocols, and therefore, ERCOT voluntarily files this Notice of Protocol Violations (Attachment A – Protocol Violations).

On October 28, 2013, ERCOT staff identified that there was an issue causing a delay in processing certain retail transactions and began working to identify the cause. ERCOT ascertained that large 867 transaction files received in batches by Transmission and/or Distribution Service Providers (TDSPs) were being processed very slowly, thereby causing a backlog of information that would not be able to be posted in accordance with the ERCOT Protocols. The software failure did not impact ERCOT's grid or market systems (e.g. Market Management System (MMS) or Energy Management System (EMS)).

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<sup>1</sup> 867 Transactions include: (i) 867\_02 Historical Usage and Switches; (ii) 867\_03 Monthly or Final Usage; and (iii) 867\_04 Initial Meter Reads. Note: ERCOT processes approximately 7.5 Million Meter Read transactions per month.

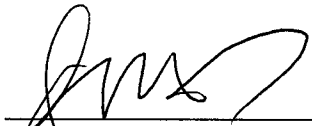
On October 29, 2013, ERCOT staff undertook manual process changes to mitigate further delays, and began notifying Market Participants of the delays in processing 867 transactions (Attachment B – Market Notices).

On October 30, 2013, ERCOT and its software vendor identified the cause of the processing delays to be the result of the automatic security software update. A configuration change was made to the security software on the affected servers, which allowed transaction processing to resume as intended. ERCOT continued to provide the market with updates, and held two market calls to discuss the impacts of the software update. Additionally, ERCOT provided affected Market Participants with lists of impacted 867 transactions. Once resolved, ERCOT informed the market that all impacted ERCOT systems were operating as expected.

ERCOT held a final market call on October 31, 2013, and informed Market Participants that (a) the retail processing system was operating properly, and (b) ERCOT would continue to work closely with the software vendor to investigate the issue.

ERCOT continues to work with its software vendor to prevent future occurrences of this kind. ERCOT appreciates the severity of the violations that have occurred, and will make every effort to ensure the problem does not recur. ERCOT regrets the disruption this event caused to ERCOT and Market Participant business processes. As always, ERCOT is happy to provide the Commission with additional information upon request.

Respectfully submitted,

By:  \_\_\_\_\_

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ATTORNEYS FOR ELECTRIC  
RELIABILITY COUNCIL OF TEXAS, INC.

## ATTACHMENT A – PROTOCOL VIOLATIONS

Description	Relevant Protocol Section	Missed Protocol Date	
		10/29/2013	10/30/2013
867_02, Historical Usage	15.1.1.2.2	82	332
867_02, Switch	15.1.1.2.1	529	5,206
867_02, MVI – Move In – Priority & Standard	15.1.4.1	921	5,172
867_03, Final Usage – Switch	15.1.1.7	584	4,489
867_03, Final Usage – Move Out	15.1.5.6	1,467	6,401
867_03, Final Usage – Final – Move In – Priority & Standard	15.1.4.7.2	602	8,304
867_03, Monthly Usage	15.3	121,373	128,937
867_04, Initial Meter Read – Switch	15.1.1.7	102	748
867_04, Initial Meter Read – Move In – Priority & Standard	15.1.4.7.1	74	3,990
867_04, Initial Meter Read – Move Out to CSA	15.1.5.6	13	820

ATTACHMENT B - Market Notices

**NOTICE DATE:** October 29, 2013

**NOTICE TYPE:** R-B102913-01 Retail Processing

**SHORT DESCRIPTION:** Delays in processing 867\_03 transactions

**INTENDED AUDIENCE:** TDSPs and REPs

**DAYS AFFECTED:** October 29, 2013

**LONG DESCRIPTION:** ERCOT is currently experiencing a delay in processing some 867 transactions. The root cause is under investigation.

**ADDITIONAL INFORMATION:** ERCOT will provide an update once more information is available.

**CONTACT:** If you have any questions, please contact your ERCOT Account Manager. You may also call the general ERCOT Client Services phone number at (512) 248-3900 or contact ERCOT Client Services via email at [\[log in to unmask\]](#).

If you are receiving email from an ERCOT distribution list that you no longer wish to receive, please follow this link in order to unsubscribe from this list: <http://lists.ercot.com>.

sa

**NOTICE DATE:** October 29, 2013

**NOTICE TYPE:** R-B102913-02 Retail Processing

**SHORT DESCRIPTION:** Update - Delays in processing 867\_03 transactions

**INTENDED AUDIENCE:** TDSPs and REPs

**DAYS AFFECTED:** October 29, 2013

**LONG DESCRIPTION:** ERCOT's processing of 867 transactions and their resultant forwards continue to operate in a degraded state. While much of the throughput since yesterday evening has been processed as expected, the backlog of transactions has not cleared. Troubleshooting is ongoing at this time.

ERCOT will conduct a market call with interested parties on Wednesday, October 30 to provide an update on the processing of the backlog and to provide a forum for Market Participant questions and discussion of potential workarounds.

**ADDITIONAL INFORMATION:** Please stay tuned for conference call details for the market call. We apologize for the inconvenience and will provide updates as they are available.

**CONTACT:** If you have any questions, please contact your ERCOT Account Manager. You may also call the general ERCOT Client Services phone number at (512) 248-3900 or contact ERCOT Client Services via email at [\[log in to unmask\]](#).

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**NOTICE DATE:** October 30, 2013

**NOTICE TYPE:** R-B102913-03 Retail Processing

**SHORT DESCRIPTION:** Update - Delays in processing 867\_03 transactions – Market Call

**INTENDED AUDIENCE:** TDSPs and REPs

**DAYS AFFECTED:** October 30, 2013

**LONG DESCRIPTION:** ERCOT will hold a conference call to update Market Participants on the delays in processing of 867 transactions stated in the market notice below. The conference call will be held at 9:30 a.m. CST today October 30, 2013.

**ADDITIONAL INFORMATION:** Please use the conference call information below:

Toll Free Number: 1-888-894-0587

Participant Passcode: 217609

**CONTACT:** If you have any questions, please contact your ERCOT Account Manager. You may also call the general ERCOT Client Services phone number at (512) 248-3900 or contact ERCOT Client Services via email at [\[log in to unmask\]](#).

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**NOTICE DATE:** October 30, 2013

**NOTICE TYPE:** R-B102913-04 Retail Processing

**SHORT DESCRIPTION:** Update - Delays in processing 867\_03 transactions – Market Call

**INTENDED AUDIENCE:** TDSPs and REPs

**DAY AFFECTED:** October 30, 2013

**LONG DESCRIPTION:** ERCOT will hold a conference call to update Market Participants on the delays in processing of 867 transactions. The conference call will be held at 2:30 p.m. CST today October 30, 2013.

**ADDITIONAL INFORMATION:** Please use the conference call information below:

Toll Free Number: 1-888-894-0587

Participant Passcode: 217609

**CONTACT:** If you have any questions, please contact your ERCOT Account Manager. You may also call the general ERCOT Client Services phone number at (512) 248-3900 or contact ERCOT Client Services via email at [\[log in to unmask\]](#).

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**NOTICE DATE:** October 30, 2013

**NOTICE TYPE:** R-B102913-05 Retail Processing

**SHORT DESCRIPTION:** Delays in processing 867\_03 transactions – Market Call and Status Update

**INTENDED AUDIENCE:** TDSPs and REPs

**DAY AFFECTED:** October 30, 2013

**LONG DESCRIPTION:** ERCOT will hold a conference call to update Market Participants on the delays in processing of 867 transactions. The conference call will be held at 9:30 a.m. CST tomorrow, October 31, 2013.

At the current time, no root cause has been determined. ERCOT Information Technology (IT) staff is working to find the root cause and to develop contingency plans in the event that such a plan is needed. In addition, ERCOT is compiling information contained in delayed files to be provided to impacted market participants as requested.

ERCOT has asked Market Participants that need lists of affected ESI IDs (and that do not wish to receive this information via MarkeTrak) send an email to ERCOT Client Services ([\[log in to unmask\]](#)) and David Michelsen ([\[log in to unmask\]](#)) requesting this information.

**ADDITIONAL INFORMATION:** Please use the conference call information below:

Toll Free Number: 1-888-894-0587

Participant Passcode: 217609

**CONTACT:** If you have any questions, please contact your ERCOT Account Manager. You may also call the general ERCOT Client Services phone number at (512) 248-3900 or contact ERCOT Client Services via email at [\[log in to unmask\]](#).

If you are receiving email from an ERCOT distribution list that you no longer wish to receive, please follow this link in order to unsubscribe from this list: <http://lists.ercot.com>.

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**NOTICE DATE:** October 30, 2013

**NOTICE TYPE:** R-B102913-06 Retail Processing

**SHORT DESCRIPTION:** Update - Delays in processing 867\_03 transactions

**INTENDED AUDIENCE:** TDSPs and REPs

**DAY AFFECTED:** October 30, 2013

**LONG DESCRIPTION:** ERCOT has identified the root cause and resolved the issue which began on the evening of Monday, October 28th and resulted in significant delays to processing of some 867 data. Systems are now operating as expected and all backlogs are expected to be cleared by start of business hours tomorrow, October 31, 2013.

Any Market Participant that has not yet received an ad hoc list of impacted 867s directly from ERCOT and still wishes to receive this data for synchronization/comparison purposes is asked again to make that request per the information in the previous Market Notice below. We apologize for the duplication of requests.

ERCOT will be conducting the market call below at 9:30 a.m. on Thursday, October 31, 2013.

**ADDITIONAL INFORMATION:** Please use the conference call information below:

Toll Free Number: 1-888-894-0587

Participant Passcode: 217609

**CONTACT:** If you have any questions, please contact your ERCOT Account Manager. You may also call the general ERCOT Client Services phone number at (512) 248-3900 or contact ERCOT Client Services via email at [\[log in to unmask\]](#).

If you are receiving email from an ERCOT distribution list that you no longer wish to receive, please follow this link in order to unsubscribe from this list: <http://lists.ercot.com>.

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**NOTICE DATE:** October 31, 2013

**NOTICE TYPE:** R-B102913-07 Retail Processing

**SHORT DESCRIPTION:** Final Update - Delays in processing 867\_03 transactions

**INTENDED AUDIENCE:** TDSPs and REPs

**DAYS AFFECTED:** October 28 - 31, 2013

**LONG DESCRIPTION:** ERCOT has resolved the issue which began on the evening of Monday, October 28, 2013 and resulted in significant delays to processing of some 867 transactions. Systems are now operating as expected and the transaction backlogs have been cleared. ERCOT identified the root cause of the degradation in file processing speed as an unanticipated problem with a security software on its application servers. ERCOT will work closely with its vendor to further investigate the cause and report its findings at applicable stakeholder forums.

ERCOT asks Market Participants that need lists of affected ESI IDs (and that do not wish to receive this information via MarkeTrak) send an email to ERCOT Client Services ([ClientServices@ercot.com](mailto:ClientServices@ercot.com)) and David Michelsen ([dmichelsen@ercot.com](mailto:dmichelsen@ercot.com)) requesting this information.

**ADDITIONAL INFORMATION:** Market Participants that are experiencing issues should use the normal means of reporting the issues through MarkeTrak.

**CONTACT:** If you have any questions, please contact your ERCOT Account Manager. You may also call the general ERCOT Client Services phone number at (512) 248-3900 or contact ERCOT Client Services via email at [ClientServices@ercot.com](mailto:ClientServices@ercot.com). If you are receiving email from an ERCOT distribution list that you no longer wish to receive, please follow this link in order to unsubscribe from this list: <http://lists.ercot.com>.

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