



## **Filing Receipt**

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**Item Number - 19**

**PROJECT NO. 54445**

**CY 2023 REVIEW OF RULES  
ADOPTED BY THE INDEPENDENT  
ORGANIZATION**

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**PUBLIC UTILITY COMMISSION  
OF TEXAS**

**NOTICE OF RECOMMENDED APPROVAL OF REVISION REQUESTS  
BY ERCOT BOARD OF DIRECTORS AND SUBMISSION OF ALIGNMENT  
REVISION REQUEST**

Effective June 8, 2021, rules adopted by Electric Reliability Council of Texas, Inc. (ERCOT) under delegated authority from the Public Utility Commission of Texas (Commission) are subject to Commission oversight and review and may not take effect before receiving Commission approval.

At its meeting on June 20, 2023, the ERCOT Board of Directors (Board) recommended Commission approval of the following proposed revisions to the ERCOT rules (Revision Requests) (Nodal Protocol Revision Requests (NPRRs), Nodal Operating Guide Revision Request (NOGRR), Retail Market Guide Revision Request (RMGRR) and Verifiable Cost Manual Revision Request (VCMRR)):

- NPRR1143, Provide ERCOT Flexibility to Determine When ESRs May Charge During an EEA Level 3;
- NPRR1161, Clarify AVR Notification Requirements for IRRs;
- NPRR1166, Protected Information Status of DC Tie Schedule Information;
- NPRR1168, Related to RMGRR172, Texas SET V5.0 Continuous Service Agreements Changes;
- NOGRR246, Related to NPRR1161, Clarify AVR Notification Requirements for IRRs;
- RMGRR172, Texas SET V5.0 Continuous Service Agreements Changes; and
- VCMRR031, Clarification Related to Variable Costs in Fuel Adders.

Included for Commission review are the Board Reports—each of which includes an ERCOT Market Impact Statement—and ERCOT Impact Analyses for these Revision Requests.

Also included for Commission review are the Administrative Nodal Protocol Revision Request form for NPRR1187, Administrative Change for August 1, 2023 Nodal Protocols – Clarifications to the Managed Capacity Declaration Form, and the Alignment Nodal Operating

Guide Revision Request form for NOGRR254, Alignment Changes for August 1, 2023 Nodal Operating Guide – NPRR1143. Administrative and Alignment Revision Requests do not go through the stakeholder process, but still require Commission approval.

Dated: June 28, 2023

Respectfully submitted,

/s/ Jonathan Levine

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COUNCIL OF TEXAS, INC.

## Board Report

<b>NPRR Number</b>	<b><u>1143</u></b>	<b>NPRR Title</b>	<b>Provide ERCOT Flexibility to Determine When ESRs May Charge During an EEA Level 3</b>
<b>Date of Decision</b>	June 20, 2023		
<b>Action</b>	Recommended Approval		
<b>Timeline</b>	Normal		
<b>Proposed Effective Date</b>	August 1, 2023		
<b>Priority and Rank Assigned</b>	Not applicable		
<b>Nodal Protocol Sections Requiring Revision</b>	6.5.9.4.2, EEA Levels		
<b>Related Documents Requiring Revision/Related Revision Requests</b>	Nodal Operating Guide Section 4.5.3.3, EEA Levels		
<b>Revision Description</b>	This Nodal Protocol Revision Request (NPRR) allows ERCOT the ability to decide when Energy Storage Resources (ESRs) may charge during an Energy Emergency Alert (EEA) Level 3.		
<b>Reason for Revision</b>	<input type="checkbox"/> Addresses current operational issues. <input type="checkbox"/> Meets Strategic goals (tied to the <u>ERCOT Strategic Plan</u> or directed by the ERCOT Board). <input checked="" type="checkbox"/> Market efficiencies or enhancements <input type="checkbox"/> Administrative <input type="checkbox"/> Regulatory requirements <input type="checkbox"/> Other: (explain) <i>(please select all that apply)</i>		

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<p><b>Business Case</b></p>	<p>In an extended emergency event like February 2021 Winter Storm Uri, it is possible that there may be times when grid conditions are conducive to, and may benefit from, allowing ESRs to charge. This NPRR permits ERCOT to provide charging instructions to an ESR during an EEA Level 3 if ERCOT determines operating conditions are suitable for such an action.</p> <p>This NPRR does not change how ERCOT will instruct ESRs to suspend or resume charging during an EEA Level 3. Specifically, during EEA Level 3, ERCOT will:</p> <ul style="list-style-type: none"> <li>• Communicate any suspend charging instructions to ESRs via Security-Constrained Economic Dispatch (SCED) Base Point or manual Dispatch Instruction, if necessary; and</li> <li>• Communicate any resume charging instructions to ESRs via SCED Base Point based on the Real-Time Market (RTM) Energy Bids submitted by ESRs.</li> </ul> <p>During EEA Level 3, an ESR is required to suspend charging unless it is providing Primary Frequency Response or responding to a Load Frequency Control (LFC) Regulation Down Service (Reg-Down) instruction or has received a charging instruction via SCED Base Point.</p> <p>If ERCOT determines that operating conditions are suitable for an ESR to charge during an EEA Level 3, then it is acceptable for ESRs that have received a non-zero charging Base Point instruction to carry other Ancillary Services such as Regulation Up Service (Reg-Up), Responsive Reserve (RRS) service and Non-Spinning Reserve (Non-Spin) while the ESR is charging.</p>
<p><b>PRS Decision</b></p>	<p>On 8/11/22, PRS voted unanimously to table NPRR1143 and refer the issue to ROS and WMS. All Market Segments participated in the vote.</p> <p>On 4/13/23, PRS voted to recommend approval of NPRR1143 as amended by the 9/29/22 ERCOT comments. There was one opposing vote from the Cooperative (STEC) Market Segment, and eight abstentions from the Consumer (Occidental), Cooperative (GSEC), Independent Generator (2) (Luminant, Calpine), Independent Power Marketer (IPM) (Tenaska), and Municipal (3) (CPS Energy, GEUS, Austin Energy) Market Segments. All Market Segments participated in the vote.</p> <p>On 5/10/23, PRS voted to endorse and forward to TAC the 4/13/23</p>

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	<p>PRS Report and the 7/27/22 Impact Analysis for NPRR1143. There were four abstentions from the Cooperative (2) (GSEC, STEC), Independent Generator (Luminant), and Municipal (Austin Energy) Market Segments. All Market Segments participated in the vote.</p>
<p><b>Summary of PRS Discussion</b></p>	<p>On 8/11/22, ERCOT Staff summarized NPRR1143. Participants expressed confusion regarding NPRR1143's mechanics and concern toward NPRR1143's potential reliability impacts and pricing aspects. Participants requested clarifying discussions be held at ROS and the Wholesale Market Working Group (WMWG).</p> <p>On 4/13/23, participants reviewed the 9/29/22 ERCOT and 2/10/23 ERCOT Steel Mills comments. Some participants expressed disapproval regarding the burden that NPRR1143 requires of battery developers and the potential for stakeholders to misunderstand the application of NPRR1143. ERCOT Staff committed to defending its actions under language proposed in NPRR1143, noting that, while counterintuitive, conditions may exist such that allowing certain batteries to charge during EEA would lead to quicker restoration of power to end-use Customers.</p> <p>On 5/10/23, participants reviewed the 7/27/22 Impact Analysis.</p>
<p><b>TAC Decision</b></p>	<p>On 5/23/23, TAC voted to recommend approval of NPRR1143 as recommended by PRS in the 5/10/23 PRS Report as amended by the 5/19/23 ERCOT comments and the 5/22/23 Revised Impact Analysis. There was one opposing vote from the Cooperative (STEC) Market Segment and six abstentions from the Consumer (2) (Air Liquide, CMC Steel), Cooperative (3) (GSEC, LCRA, PEC), and Independent Generator (Luminant) Market Segments. All Market Segments participated in the vote.</p>
<p><b>Summary of TAC Discussion</b></p>	<p>On 5/23/23, TAC reviewed the 5/22/23 Revised Impact Analysis, 5/19/23 ERCOT comments, ERCOT Opinion, ERCOT Market Impact Statement, and Independent Market Monitor (IMM) Opinion for NPRR1143. Some participants expressed concern regarding the optics of charging batteries during an EEA event when involuntary Load shed is occurring, and requested that ERCOT provide public messaging if NPRR1143 is not rejected. Other participants remarked that rejecting NPRR1143 puts the market at a bigger risk than not providing ERCOT with the broadest reliability tools possible. ERCOT Staff reiterated that NPRR1143, under certain conditions, allows ERCOT to build back reserves and recover from Load shed faster during scarcity events.</p>
<p><b>ERCOT Board Decision</b></p>	<p>On 6/20/23, the ERCOT Board voted unanimously to recommend approval of NPRR1143 as recommended by TAC in the 5/23/23 TAC</p>

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Opinions	
<b>Credit Review</b>	ERCOT Credit Staff and the Credit Finance Sub Group (CFSG) have reviewed NPRR1143 and do not believe that it requires changes to credit monitoring activity or the calculation of liability.
<b>Independent Market Monitor Opinion</b>	The IMM has no opinion on NPRR1143.
<b>ERCOT Opinion</b>	ERCOT supports approval of NPRR1143.
<b>ERCOT Market Impact Statement</b>	ERCOT Staff has reviewed NPRR1143 and believes that the ability to decide when ESRs may charge during an EEA Level 3 has the positive impact of aiding in building back reserves, restoring firm Load and recovering from the EEA Level 3 event.

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<b>Market Segment</b>	Not applicable

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Comments Received	
<b>Comment Author</b>	<b>Comment Summary</b>
ROS 090122	Requested PRS continue to table NPRR1143 for further review by the Operations Working Group (OWG) and the Performance, Disturbance, Compliance Working Group (PDCWG)

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WMS 091422	Requested PRS continue to table NPRR1143 for further review by the WMWG
ERCOT 092922	Provided clarifying edits regarding how ERCOT shall issue instructions for an ESR to suspend charging and how SCED may be used if ERCOT determines that operating conditions are suitable for ESRs to charge during EEA Level 3
ROS 120722	Endorsed NPRR1143 as amended by the 9/29/22 ERCOT comments
ERCOT Steel Mills 021023	Provided clarifying language to describe the operating conditions under which ERCOT operations may authorize ESR to charge their Resources during an EEA Level 3 event
ERCOT 051923	Removed reference to NPRR1002, BESTF-5 Energy Storage Resource Single Model Registration and Charging Restrictions in Emergency Conditions, from the Business Case in response to its 10/14/22 unbox date and noted that, as a result, NPRR1143 can now take effect following PUCT approval; also replicated changes from the grey-boxed paragraph (3)(a) language for Section 6.5.9.4.2 to the current paragraph (3)(a) language to delineate which language changes will apply following PUCT approval and which will apply upon implementation of NPRR995, RTF-6 Create Definition and Terms for Settlement Only Energy Storage

### Market Rules Notes

Please note the baseline language in the following Section(s) has been updated to reflect the incorporation of the following NPRR(s) into the Protocols:

- NPRR863, Creation of ERCOT Contingency Reserve Service and Revisions to Responsive Reserve (unboxed 6/9/23)
  - Section 6.5.9.4.2
- NPRR1002, BESTF-5 Energy Storage Resource Single Model Registration and Charging Restrictions in Emergency Conditions (unboxed 10/14/22)
  - Section 6.5.9.4.2
- NPRR1127, Clarification of ERCOT Hotline Uses (incorporated 12/1/22)
  - Section 6.5.9.4.2

Please note that the following NPRR(s) also propose revisions to the following Section(s):

- NPRR1176, Update to EEA Trigger Levels
  - Section 6.5.9.4.2



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### Proposed Protocol Language Revision

#### 6.5.9.4.2 EEA Levels

**Commented [JT1]:** Please note NPRR1176 also proposes revisions to this section.

- (1) ERCOT will declare an EEA Level 1 when PRC falls below 2,300 MW and is not projected to be recovered above 2,300 MW within 30 minutes without the use of the following actions that are prescribed for EEA Level 1:
  - (a) ERCOT shall take the following steps to maintain steady state system frequency near 60 Hz and maintain PRC above 1,750 MW:
    - (i) Request available Generation Resources that can perform within the expected timeframe of the emergency to come On-Line by initiating manual HRUC or through Dispatch Instructions;
    - (ii) Use available DC Tie import capacity that is not already being used;
    - (iii) Issue a Dispatch Instruction for Resources to remain On-Line which, before start of emergency, were scheduled to come Off-Line; and
    - (iv) Instruct QSEs to deploy undeployed ERS-10 and ERS-30.

**[NPRR1010: Insert paragraph (v) below upon system implementation of the Real-Time Co-Optimization (RTC) project:]**

- (v) At ERCOT's discretion, manually deploy, through ICCP, available RRS and ECRS capacity from Generation Resources having a Resource Status of ONSC and awarded RRS or ECRS.

- (b) QSEs shall:
  - (i) Ensure COPs and telemetered HSLs are updated and reflect all Resource delays and limitations;

**[NPRR1010: Replace paragraph (i) above with the following upon system implementation of the Real-Time Co-Optimization (RTC) project:]**

- (i) Ensure COPs and telemetered HSLs, Normal Ramp Rates, Emergency Ramp Rates, and Ancillary Service capabilities are updated and reflect all Resource delays and limitations;
- (ii) Suspend any ongoing ERCOT required Resource performance testing; and

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

***[NPRR995: Replace paragraph (iii) above with the following upon system implementation:]***

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

- (2) ERCOT may declare an EEA Level 2 when the clock-minute average system frequency falls below 59.91 Hz for 15 consecutive minutes. ERCOT will declare an EEA Level 2 when PRC falls below 1,750 MW and is not projected to be recovered above 1,750 MW within 30 minutes without the use of the following actions that are prescribed for EEA Level 2:
  - (a) In addition to the measures associated with EEA Level 1, ERCOT shall take the following steps to maintain steady state system frequency at a minimum of 59.91 Hz and maintain PRC above 1,430 MW:
    - (i) Instruct TSPs and DSPs or their agents to reduce Customer Load by using existing, in-service distribution voltage reduction measures that have not already been implemented. A TSP, DSP, or their agent shall implement these instructions if distribution voltage reduction measures are available

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and already installed. If the TSP, DSP, or their agent determines in their sole discretion that the distribution voltage reduction would adversely affect reliability, the voltage reduction measure may be reduced, modified, or otherwise changed from maximum performance to a level of exercise that has no negative impact to reliability.

- (ii) Instruct TSPs and DSPs to implement any available Load management plans to reduce Customer Load.
- (iii) Instruct QSEs to deploy ECRS or RRS (controlled by high-set under-frequency relays) supplied from Load Resources. ERCOT may deploy ECRS or RRS simultaneously or separately, and in any order. ERCOT shall issue such Dispatch Instructions in accordance with the deployment methodologies described in paragraph (iv) below.
- (iv) Load Resources providing ECRS that are not controlled by high-set under-frequency relays shall be deployed prior to Group 1 deployment. ERCOT shall deploy ECRS and RRS capacity supplied by Load Resources (controlled by high-set under-frequency relays) in accordance with the following:
  - (A) Instruct QSEs to deploy RRS with a Group 1 designation and all of the ECRS that is supplied from Load Resources (controlled by high-set under-frequency relays) by instructing the QSE representing the specific Load Resources to interrupt Group 1 Load Resources providing ECRS and RRS. QSEs shall deploy Load Resources according to the group designation and will be given some discretion to deploy additional Load Resources from any of the groups not designated for deployment if Load Resource operational considerations require such. ERCOT shall issue notification of the deployment via XML message. ERCOT shall follow this XML notification with a QSE Hotline VDI, which shall initiate the ten-minute deployment period;
  - (B) At the discretion of the ERCOT Operator, instruct QSEs to deploy RRS that is supplied from Load Resources (controlled by high-set under-frequency relays) by instructing the QSE representing the specific Load Resource to interrupt additional Load Resources providing RRS based on their group designation. ERCOT shall issue notification of the deployment via XML message. ERCOT shall follow this XML notification with a QSE Hotline VDI, which shall initiate the ten-minute deployment period;
  - (C) The ERCOT Operator may deploy Load Resources providing only ECRS (not controlled by high-set under-frequency relays) and all groups of Load Resources providing RRS and ECRS at the same

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time. ERCOT shall issue notification of the deployment via XML message. ERCOT shall follow this XML notification with a QSE Hotline VDI, which shall initiate the ten-minute deployment period; and

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

***[NPRR1010: Replace paragraph (D) above with the following upon system implementation of the Real-Time Co-Optimization (RTC) project:]***

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

- (v) Unless a media appeal is already in effect, ERCOT shall issue an appeal through the public news media for voluntary energy conservation; and
  - (vi) With the approval of the affected non-ERCOT Control Area, TSPs, DSPs, or their agents may implement transmission voltage level BLTs, which transfer Load from the ERCOT Control Area to non-ERCOT Control Areas in accordance with BLTs as defined in the Operating Guides.
- (b) Confidentiality requirements regarding transmission operations and system capacity information will be lifted, as needed to restore reliability.
- (3) ERCOT may declare an EEA Level 3 when the clock-minute average system frequency falls below 59.91 Hz for 20 consecutive minutes. ERCOT will declare an EEA Level 3 when PRC cannot be maintained above 1,430 MW or when the clock-minute average system frequency falls below 59.91 Hz for 25 consecutive minutes. Upon declaration of an EEA Level 3, ERCOT will implement any measures associated with EEA Levels 1 and 2 that have not already been implemented.

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

**[NPRR995: Replace paragraph (a) above with the following upon system implementation:]**

- (a) ERCOT shall instruct ESRs and SOESSs to suspend charging. For ESRs, ERCOT shall may issue the an instruction ESRs to suspend or resume charging to ESRs. For ESRs, ERCOT shall issue the suspension instruction via a SCED Base Point, or, if otherwise necessary, via a manual Dispatch Instruction. An ESR ~~or SOESS~~ shall suspend charging unless it is providing Primary Frequency Response, ~~or has received a charging instruction via SCED Base Point, manual Dispatch Instruction, or, for an ESR is carrying Reg-Down and has received a charging instruction from LFC issues a charging instruction to an ESR that is carrying Reg-Down. An SOESS shall suspend charging unless it is providing Primary Frequency Response.~~ However, an ESR or SOESS co-located behind a POI with onsite generation that is incapable of exporting additional power to the ERCOT System may continue to charge as long as maximum output to the ERCOT System is maintained.
- (b) When PRC falls below 1,000 MW and is not projected to be recovered above 1,000 MW within 30 minutes, or when the clock-minute average frequency falls below 59.91 Hz for 25 consecutive minutes, ERCOT shall direct all TOs to shed firm Load, in 100 MW blocks, distributed as documented in the Operating Guides in order to maintain a steady state system frequency at a minimum of 59.91 Hz and to recover 1,000 MW of PRC within 30 minutes.
- (c) TOs and TDSPs may shed Load connected to under-frequency relays pursuant to an ERCOT Load shed directive issued during EEA Level 3 so long as each affected TO continues to comply with its Under-Frequency Load Shed (UFLS) obligation as described in Nodal Operating Guide Section 2.6.1, Automatic Firm Load Shedding, and its Load shed obligation as described in Nodal Operating Guide Section 4.5.3.4, Load Shed Obligation.

## Revised ERCOT Impact Analysis Report

<b>NPRR Number</b>	<b><u>1143</u></b>	<b>NPRR Title</b>	<b>Provide ERCOT Flexibility to Determine When ESRs May Charge During an EEA Level 3</b>
<b>Impact Analysis Date</b>	May 22, 2023		
<b>Estimated Cost/Budgetary Impact</b>	None.		
<b>Estimated Time Requirements</b>	No project required. This Nodal Protocol Revision Request (NPRR) can take effect following Public Utility Commission of Texas (PUCT) approval.		
<b>ERCOT Staffing Impacts (across all areas)</b>	Ongoing Requirements: No impacts to ERCOT staffing.		
<b>ERCOT Computer System Impacts</b>	No impacts to ERCOT computer systems.		
<b>ERCOT Business Function Impacts</b>	No impacts to ERCOT business functions.		
<b>Grid Operations &amp; Practices Impacts</b>	No impacts to ERCOT grid operations and practices.		

### Evaluation of Interim Solutions or Alternatives for a More Efficient Implementation

None offered.

### Comments

None.

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<b>NPRR Number</b>	<b><u>1161</u></b>	<b>NPRR Title</b>	<b>Clarify AVR Notification Requirements for IRRs</b>
<b>Date of Decision</b>	June 20, 2023		
<b>Action</b>	Recommended Approval		
<b>Timeline</b>	Normal		
<b>Proposed Effective Date</b>	August 1, 2023		
<b>Priority and Rank Assigned</b>	Not applicable		
<b>Nodal Protocol Sections Requiring Revision</b>	6.5.5.1, Changes in Resource Status		
<b>Related Documents Requiring Revision/Related Revision Requests</b>	Nodal Operating Guide Revision Request (NOGRR) 246, Related to NPRR1161, Clarify AVR Notification Requirements for IRRs		
<b>Revision Description</b>	This Nodal Protocol Revision Request (NPRR) clarifies that Intermittent Renewable Resources (IRRs), who remain synchronized to the ERCOT System but are not able to provide Reactive Power when not providing real power, do not have to notify ERCOT other than the Real-Time telemetered status.		
<b>Reason for Revision</b>	<input checked="" type="checkbox"/> Addresses current operational issues. <input type="checkbox"/> Meets Strategic goals (tied to the <u>ERCOT Strategic Plan</u> or directed by the ERCOT Board). <input type="checkbox"/> Market efficiencies or enhancements <input type="checkbox"/> Administrative <input type="checkbox"/> Regulatory requirements <input type="checkbox"/> Other: (explain) <i>(please select all that apply)</i>		
<b>Business Case</b>	Some Market Participants reported to ERCOT that their procedures to comply with notification requirements related to Automatic Voltage Regulator (AVR) status changes would cause them to make daily or much more frequent voice calls to ERCOT that are not necessary following approval of NPRR1138, Communication of Capability and		

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	<p>Status of Online IRRs at 0 MW Output. This clarification will prevent unnecessary voice notifications to ERCOT Operators.</p> <p>NPRR1138 requires the IRRs to telemeter a status of “Off” when the IRR is not producing real power output and is not capable of providing Reactive Power. It is normal for a unit that is Off-Line to have its AVR telemeter “Off” and no verbal notification made. The unique nature of IRRs remaining synchronized to the ERCOT System during night or no wind conditions technically meets the definition of “On-Line” and thus causes the need for clarification. Generation Resources that are capable of providing Reactive Power when not producing real power should still verbally notify ERCOT in addition to AVR telemetry as this is an abnormal operating status.</p>
<b>PRS Decision</b>	<p>On 3/8/23, PRS voted unanimously to recommend approval of NPRR1161 as submitted. All Market Segments participated in the vote.</p> <p>On 4/13/23, PRS voted unanimously to endorse and forward to TAC the 3/8/23 PRS Report as revised by PRS and the 2/7/23 Impact Analysis for NPRR1161. All Market Segments participated in the vote.</p>
<b>Summary of PRS Discussion</b>	<p>On 3/8/23, participants reviewed NPRR1161.</p> <p>On 4/13/23, participants reviewed the 2/7/23 Impact Analysis and a correction of a defined term.</p>
<b>TAC Decision</b>	<p>On 5/23/23, TAC voted to recommend approval of NPRR1161 as recommended by PRS in the 4/13/23 PRS Report. There was one abstention from the Independent Generator (Luminant) Market Segment. All Market Segments participated in the vote.</p>
<b>Summary of TAC Discussion</b>	<p>On 5/23/23, TAC reviewed the ERCOT Opinion, ERCOT Market Impact Statement, and Independent Market Monitor (IMM) Opinion for NPRR1161.</p>
<b>ERCOT Board Decision</b>	<p>On 6/20/23, the ERCOT Board voted unanimously to recommend approval of NPRR1161 as recommended by TAC in the 5/23/23 TAC Report.</p>

<b>Opinions</b>	
<b>Credit Review</b>	<p>ERCOT Credit Staff and the Market Credit Work Group (MCWG) have reviewed NPRR1161 and do not believe that it requires changes to credit monitoring activity or the calculation of liability.</p>



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<b>Independent Market Monitor Opinion</b>	IMM has no opinion on NPRR1161.
<b>ERCOT Opinion</b>	ERCOT supports approval of NPRR1161.
<b>ERCOT Market Impact Statement</b>	ERCOT Staff has reviewed NPRR1161 and believes the market impact for NPRR1161 will prevent unnecessary voice notifications to ERCOT Operators.

<b>Sponsor</b>	
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<b>Comments Received</b>	
<b>Comment Author</b>	<b>Comment Summary</b>
None	

<b>Market Rules Notes</b>
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None

<b>Proposed Protocol Language Revision</b>
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### 6.5.5.1 Changes in Resource Status

- (1) Each QSE shall notify ERCOT of a change in Resource Status via telemetry and through changes in the Current Operating Plan (COP) as soon as practicable following the change.

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***[NPRR1085: Replace paragraph (1) above with the following upon system implementation:]***

- (1) Each QSE shall notify ERCOT via telemetry of a change in Resource Status that is not related to a Forced Outage as soon as practicable but no longer than 15 minutes after the change in status occurs and through changes in the Current Operating Plan (COP) as soon as practicable but no longer than 60 minutes after the change in status of the Resource occurs.

***[NPRR1085: Insert paragraph (2) below upon system implementation and renumber accordingly:]***

- (2) When an On-Line Resource is experiencing an event that may affect its availability and/or capability and that requires further actions to stabilize the Resource and/or determine the impact of the event, the QSE may change the Resource Status to ONHOLD within 15 minutes of experiencing an event. Following this Resource Status change, the telemetered HSL and any other applicable telemetry of the Resource as specified in paragraph (2) of Section 6.5.5.2, Operational Data Requirements, shall be updated as soon as practicable but no longer than 15 minutes after the change in Resource Status to ONHOLD. After the QSE has determined the impact of the event, the QSE shall change the Resource Status to its updated status as soon as practicable but no longer than 60 consecutive minutes of being in the ONHOLD status.

- (2) Each QSE shall promptly inform ERCOT when the operating mode of its Generation Resource's Automatic Voltage Regulator (AVR) or Power System Stabilizer (PSS) is changed while the Resource is On-Line. The QSE shall also provide the Resource's AVR or PSS status logs to ERCOT upon request. For each Generation Resource that is On-Line but not producing real power and is not capable of providing Reactive Power, each QSE must still telemeter its AVR status to ERCOT, but is not required to provide verbal notifications of its AVR status changes to ERCOT during these operating conditions.
- (3) Each QSE shall immediately report to ERCOT and the TSP any inability of the QSE's Generation Resource required to meet its reactive capability requirements in these Protocols.

***[NPRR1085: Insert paragraph (5) below upon system implementation and renumber accordingly:]***

- (5) Each QSE shall timely update the telemetered Resource Status unless in the reasonable judgment of the QSE, such compliance would create an undue threat to safety, undue risk of bodily harm, or undue damage to equipment. The QSE is excused from

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updating the telemetered Resource Status only for so long as the undue threat to safety, undue risk of bodily harm, or undue damage to equipment exists. The time for updating the telemetered Resource Status begins once the undue threat to safety, undue risk of bodily harm, or undue damage to equipment no longer exists.

- (4) A QSE or Resource Entity may use a Generation Resource or ESR to serve Customer Load as part of a Private Microgrid Island (PMI) in any circumstance in which the Customer Load and the Resource are both disconnected from the ERCOT System due to an Outage of the transmission and/or distribution system, provided that the configuration complies with the requirements of paragraph (7) of Section 10.3.2.3, Generation Netting for ERCOT-Polled Settlement Meters, and provided that the QSE or Resource Entity has notified the Transmission and/or Distribution Service Provider (TDSP) of the establishment of a PMI configuration. The QSE shall ensure that the Load served by the Resource in the PMI configuration is de-energized at the time it is reconnected to the ERCOT System following the PMI configuration. All operations in a PMI configuration and any reconnection of Load following a PMI configuration shall be coordinated with the TDSP.
- (5) A TDSP shall not intentionally disconnect, or direct another TDSP to disconnect, a Generation Resource or ESR included in a PMI configuration from the ERCOT System except in the following circumstances:
  - (a) An approved or accepted Planned or Maintenance Outage of a Transmission Facility reasonably requires, or would otherwise result in, the disconnection of the Resource from the ERCOT System;
  - (b) The Resource is a Distribution Generation Resource or Distribution Energy Storage Resource (DESR), and disconnection of the Resource is required for Distribution System maintenance;
  - (c) The TDSP's disconnection of the Resource is necessary to maintain the security of the TDSP's system or the ERCOT System;
  - (d) The TDSP's disconnection of the Resource is necessary to protect the public from a safety risk attributable to the operation of the Resource; or
  - (e) ERCOT directs the disconnection of the Resource.
- (6) For each Intermittent Renewable Resource (IRR) synchronized to the ERCOT System and not capable of providing real power due to a lack of fuel, the Resource Entity and QSE shall send ERCOT, via telemetry, a Real-Time On-Line status and HSL and LSL of 0.

## ERCOT Impact Analysis Report

<b>NPRR Number</b>	<b><u>1161</u></b>	<b>NPRR Title</b>	<b>Clarify AVR Notification Requirements for IRRs</b>
<b>Impact Analysis Date</b>	February 7, 2023		
<b>Estimated Cost/Budgetary Impact</b>	None.		
<b>Estimated Time Requirements</b>	No project required. This Nodal Protocol Revision Request (NPRR) can take effect following Public Utility Commission of Texas (PUCT) approval.		
<b>ERCOT Staffing Impacts (across all areas)</b>	Ongoing Requirements: No impacts to ERCOT staffing.		
<b>ERCOT Computer System Impacts</b>	No impacts to ERCOT computer systems.		
<b>ERCOT Business Function Impacts</b>	No impacts to ERCOT business functions.		
<b>Grid Operations &amp; Practices Impacts</b>	No impacts to ERCOT grid operations and practices.		

### **Evaluation of Interim Solutions or Alternatives for a More Efficient Implementation**

None offered.

### **Comments**

None.

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<b>NPRR Number</b>	<b>1166</b>	<b>NPRR Title</b>	<b>Protected Information Status of DC Tie Schedule Information</b>
<b>Date of Decision</b>	June 20, 2023		
<b>Action</b>	Recommended Approval		
<b>Timeline</b>	Normal		
<b>Proposed Effective Date</b>	August 1, 2023		
<b>Priority and Rank Assigned</b>	Not applicable		
<b>Nodal Protocol Sections Requiring Revision</b>	1.3.1.1, Items Considered Protected Information		
<b>Related Documents Requiring Revision/Related Revision Requests</b>	None		
<b>Revision Description</b>	<p>This Nodal Protocol Revision Request (NPRR) changes the expiration date for the Protected Information status of Direct Current Tie (DC Tie) Schedule information from 60 days after the applicable Operating Day to the date on which ERCOT files the report with the Public Utility Commission of Texas (PUCT) that is required by P.U.C. SUBST. R. 25.192, Transmission Rates for Export from ERCOT, relating to energy imported and exported over DC Ties interconnected to the ERCOT System. This brings the ERCOT Protocols into alignment with current PUCT Rules.</p>		
<b>Reason for Revision</b>	<div style="display: flex; flex-direction: column; gap: 5px;"> <div><input type="checkbox"/> Addresses current operational issues.</div> <div><input type="checkbox"/> Meets Strategic goals (tied to the <u>ERCOT Strategic Plan</u> or directed by the ERCOT Board).</div> <div><input type="checkbox"/> Market efficiencies or enhancements</div> <div><input type="checkbox"/> Administrative</div> <div><input checked="" type="checkbox"/> Regulatory requirements</div> <div><input type="checkbox"/> Other: (explain) (please select all that apply)</div> </div>		

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<b>Business Case</b>	<p>The revisions to Section 1.3.1.1 are needed because this Section has become ineffective since it now conflicts with recently amended P.U.C. SUBST. R. 25.192.</p> <p>Paragraph (e)(4) of P.U.C. SUBST. R. 25.192 requires ERCOT to file a public monthly report with the PUCT stating the total amount of energy imported and exported over each DC Tie for the calendar month. The report must also include the total amount of energy exported from the ERCOT Region during the reporting month and each of the preceding 11 calendar months, reported by Qualified Scheduling Entity (QSE). ERCOT is required to file each report within 45 days of the end of the reporting month.</p> <p>Since the revised paragraph (e)(4) of P.U.C. SUBST. R. 25.192, requires ERCOT to file this report within 45 days of the end of the reporting month, there is a conflict with the requirement in Section 1.3.1.1 that DC Tie Schedule information must remain confidential for 60 days following the Operating Day. PUCT rules take precedence over ERCOT Protocols, and thus a change is needed to bring ERCOT Protocols into alignment with PUCT Rules.</p>
<b>PRS Decision</b>	<p>On 4/13/23, PRS voted unanimously to recommend approval of NPRR1166 as submitted. All Market Segments participated in the vote.</p> <p>On 5/10/23, PRS voted to endorse and forward to TAC the 4/13/23 PRS Report and the 3/7/23 Impact Analysis for NPRR1166. There was one abstention from the Investor Owned Utility (IOU) (Lone Star Transmission) Market Segment. All Market Segments participated in the vote.</p>
<b>Summary of PRS Discussion</b>	<p>On 4/13/23, participants reviewed NPRR1166.</p> <p>On 5/10/23, participants reviewed the Impact Analysis.</p>
<b>TAC Decision</b>	<p>On 5/23/23, TAC voted to recommend approval of NPRR1166 as recommended by PRS in the 5/10/23 PRS Report. There was one abstention from the Independent Generator (Luminant) Market Segment. All Market Segments participated in the vote.</p>
<b>Summary of TAC Discussion</b>	<p>On 5/23/23, TAC reviewed the ERCOT Opinion, ERCOT Market Impact Statement, and Independent Market Monitor (IMM) Opinion for NPRR1166.</p>
<b>ERCOT Board Decision</b>	<p>On 6/20/23, the ERCOT Board voted unanimously to recommend approval of NPRR1166 as recommended by TAC in the 5/23/23 TAC Report.</p>

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Opinions	
Credit Review	ERCOT Credit Staff and the Credit Finance Sub Group (CFSG) have reviewed NPRR1166 and do not believe that it requires changes to credit monitoring activity or the calculation of liability.
Independent Market Monitor Opinion	IMM supports NPRR1166.
ERCOT Opinion	ERCOT supports approval of NPRR1166.
ERCOT Market Impact Statement	ERCOT Staff has reviewed NPRR1166 and believes the market impact for NPRR1166 brings the Protocols into alignment with P.U.C. SUBST. R. 25.192 which mandates that ERCOT publicly file certain Direct Current Tie (DC Tie) Schedule information with the Commission before the date currently listed in the Protocols for the expiration of the Protected Information status of the information.

Sponsor	
Name	Randy Roberts and Doug Fohn
E-mail Address	<a href="mailto:Randy.Roberts@ercot.com">Randy.Roberts@ercot.com</a> ; <a href="mailto:Doug.Fohn@ercot.com">Doug.Fohn@ercot.com</a>
Company	ERCOT
Phone Number	(512) 248-3943 (Randy Roberts); (512) 275-7447 (Doug Fohn)
Cell Number	Not applicable
Market Segment	Not applicable

Market Rules Staff Contact	
Name	Erin Wasik-Gutierrez
E-Mail Address	<a href="mailto:Erin.Wasik-Gutierrez@ercot.com">Erin.Wasik-Gutierrez@ercot.com</a>
Phone Number	413-886-2474

Comments Received	
Comment Author	Comment Summary
None	

Market Rules Notes
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## Board Report

Please note that the following NPRR(s) also propose revisions to the following section(s):

- NPRR1169, Expansion of Generation Resources Qualified to Provide Firm Fuel Supply Service in Phase 2 of the Service
  - Section 1.3.1.1
- NPRR1170, Capturing Natural Gas Delivery Information for Natural Gas Generation Resources
  - Section 1.3.1.1
- NPRR1175, Revisions to Market Entry Financial Qualifications and Continued Participation Requirements
  - Section 1.3.1.1
- NPRR1181, Submission of Seasonal Coal and Lignite Inventory Declaration
  - Section 1.3.1.1

### Proposed Protocol Language Revision

#### 1.3.1.1 Items Considered Protected Information

**Commented [EWG1]:** Please note NPRRs 1169, 1170, 1175 and 1181 also propose revisions to this section.

- (1) Subject to the exclusions set out in Section 1.3.1.2, Items Not Considered Protected Information, and in Section 3.2.5, Publication of Resource and Load Information, “Protected Information” is information containing or revealing any of the following:
  - (a) Base Points, as calculated by ERCOT. The Protected Information status of this information shall expire 60 days after the applicable Operating Day;
  - (b) Bids, offers, or pricing information identifiable to a specific Qualified Scheduling Entity (QSE) or Resource. The Protected Information status of part of this information shall expire 60 days after the applicable Operating Day, as follows:
    - (i) Ancillary Service Offers by Operating Hour for each Resource for all Ancillary Services submitted for the Day-Ahead Market (DAM) or any Supplemental Ancillary Services Market (SASM);
    - (ii) The quantity of Ancillary Service offered by Operating Hour for each Resource for all Ancillary Service submitted for the DAM or any SASM; and
    - (iii) Energy Offer Curve prices and quantities for each Settlement Interval by Resource. The Protected Information status of this information shall expire within seven days after the applicable Operating Day if required to be posted as part of paragraph (5) of Section 3.2.5 and within two days after the applicable Operating Day if required to be posted as part of paragraph (7) of Section 3.2.5;



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***[NPRR1013: Replace paragraph (b) above with the following upon system implementation of the Real-Time Co-Optimization (RTC) project:]***

- (b) Bids, offers, or pricing information identifiable to a specific Qualified Scheduling Entity (QSE) or Resource. The Protected Information status of part of this information shall expire 60 days after the applicable Operating Day, as follows:
  - (i) Ancillary Service Offers by Operating Hour or Security-Constrained Economic Dispatch (SCED) interval for each Resource for all Ancillary Services submitted for the Day-Ahead Market (DAM) or Real-Time Market (RTM);
  - (ii) The quantity of Ancillary Service offered by Operating Hour or SCED interval for each Resource for all Ancillary Service submitted for the DAM or RTM; and
  - (iii) A Resource's Energy Offer Curve prices and quantities by Operating Hour or SCED interval. The Protected Information status of this information shall expire within seven days after the applicable Operating Day if required to be posted as part of paragraph (5) of Section 3.2.5 and within two days after the applicable Operating Day if required to be posted as part of paragraph (7) of Section 3.2.5;
- (c) Status of Resources, including Outages, limitations, or scheduled or metered Resource data. The Protected Information status of this information shall expire as follows:
  - (i) For each Forced Outage, Maintenance Outage, or Forced Derate of a Generation Resource or Energy Storage Resource (ESR) that occurs during or extends into an Operating Day, the Protected Information status of the following information shall expire three days after the applicable Operating Day:
    - (A) The name and unit code of the Resource affected;
    - (B) The Resource's fuel type;
    - (C) The type of Outage or derate;
    - (D) The start date/time and the planned and actual end date/time;
    - (E) The Resource's applicable Seasonal net maximum sustainable rating;
    - (F) The available and outaged MW during the Outage or derate; and

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- (G) The entry in the “nature of work” field in the Outage Scheduler and any other information concerning the cause of the Outage or derate;
- (ii) For each Resource Outage or Forced Derate that occurs during, or that extends into, any time period in which ERCOT has declared an Energy Emergency Alert (EEA), ERCOT may immediately disclose the information identified in paragraph (i) above to a state Governmental Authority, the office of the Governor of Texas, the office of the Lieutenant Governor of Texas, or any member of the Texas Legislature, if requested; and
- (iii) For all other information, the Protected Information status shall expire 60 days after the applicable Operating Day;
- (d) Current Operating Plans (COPs). The Protected Information status of this information shall expire 60 days after the applicable Operating Day;
- (e) Ancillary Service Trades, Energy Trades, and Capacity Trades identifiable to a specific QSE or Resource. The Protected Information status of this information shall expire 180 days after the applicable Operating Day;
- (f) Ancillary Service Schedules identifiable to a specific QSE or Resource. The Protected Information status of this information shall expire 60 days after the applicable Operating Day;

***[NPRR1013: Replace paragraph (f) above with the following upon system implementation of the Real-Time Co-Optimization (RTC) project:]***

- (f) Ancillary Service awards identifiable to a specific QSE or Resource. The Protected Information status of this information shall expire 60 days after the applicable Operating Day;
- (g) Dispatch Instructions identifiable to a specific QSE or Resource, except for Reliability Unit Commitment (RUC) commitments and decommitments as provided in Section 5.5.3, Communication of RUC Commitments and Decommitments. The Protected Information status of this information shall expire 180 days after the applicable Operating Day;
- (h) Raw and Adjusted Metered Load (AML) data (demand and energy) identifiable to:
  - (i) A specific QSE or Load Serving Entity (LSE). The Protected Information status of this information shall expire 180 days after the applicable Operating Day; or
  - (ii) A specific Customer or Electric Service Identifier (ESI ID);

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- (i) Wholesale Storage Load (WSL) data identifiable to a specific QSE. The Protected Information status of this information shall expire 60 days after the applicable Operating Day;
- (j) Settlement Statements and Invoices identifiable to a specific QSE. The Protected Information status of this information shall expire 180 days after the applicable Operating Day;
- (k) Number of ESI IDs identifiable to a specific LSE. The Protected Information status of this information shall expire 365 days after the applicable Operating Day;
- (l) Information related to generation interconnection requests, to the extent such information is not otherwise publicly available. The Protected Information status of certain generation interconnection request information expires as provided in Section 1.3.1.4, Expiration of Protected Information Status;
- (m) Resource-specific costs, design and engineering data, including such data submitted in connection with a verifiable cost appeal;
- (n) Congestion Revenue Right (CRR) credit limits, the identity of bidders in a CRR Auction, or other bidding information identifiable to a specific CRR Account Holder. The Protected Information status of this information shall expire as follows:
  - (i) The Protected Information status of the identities of CRR bidders that become CRR Owners and the number and type of CRRs that they each own shall expire at the end of the CRR Auction in which the CRRs were first sold; and
  - (ii) The Protected Information status of all other CRR information identified above in item (n) shall expire six months after the end of the year in which the CRR was effective.
- (o) Renewable Energy Credit (REC) account balances. The Protected Information status of this information shall expire three years after the REC Settlement period ends;
- (p) Credit limits identifiable to a specific QSE;
- (q) Any information that is designated as Protected Information in writing by Disclosing Party at the time the information is provided to Receiving Party except for information that is expressly designated not to be Protected Information by Section 1.3.1.2 or that, pursuant to Section 1.3.1.4, is no longer confidential;
- (r) Any information compiled by a Market Participant on a Customer that in the normal course of a Market Participant's business that makes possible the identification of any individual Customer by matching such information with the Customer's name, address, account number, type of classification service, historical electricity usage, expected patterns of use, types of facilities used in providing service, individual contract terms and conditions, price, current charges, billing record, or any other information that a Customer has expressly requested not be disclosed ("Proprietary Customer Information")

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unless the Customer has authorized the release for public disclosure of that information in a manner approved by the Public Utility Commission of Texas (PUCT). Information that is redacted or organized in such a way as to make it impossible to identify the Customer to whom the information relates does not constitute Proprietary Customer Information;

- (s) Any software, products of software, or other vendor information that ERCOT is required to keep confidential under its agreements;
- (t) QSE, Transmission Service Provider (TSP), and Distribution Service Provider (DSP) backup plans collected by ERCOT under the Protocols or Other Binding Documents;

***[NPRR857: Replace item (t) above with the following upon system implementation and satisfying the following conditions: (1) Southern Cross provides ERCOT with funds to cover the entire estimated cost of the project; and (2) Southern Cross has signed an interconnection agreement with a TSP and the TSP gives ERCOT written notice that Southern Cross has provided it with: (a) Notice to proceed with the construction of the interconnection; and (b) The financial security required to fund the interconnection facilities:]***

- (t) QSE, Transmission Service Provider (TSP), Direct Current Tie Operator (DCIO), and Distribution Service Provider (DSP) backup plans collected by ERCOT under the Protocols or Other Binding Documents;

- (u) Direct Current Tie (DC Tie) Schedule information. The Protected Information status of this information shall expire 60 days after the applicable Operating Day on the date on which ERCOT files the report with the PUCT that is required by P.U.C. SUBST. R. 25.192, Transmission Rates for Export from ERCOT, relating to energy imported and exported over DC Ties interconnected to the ERCOT System;
- (v) Any Texas Standard Electronic Transaction (TX SET) transaction submitted by an LSE to ERCOT or received by an LSE from ERCOT. This paragraph does not apply to ERCOT's compliance with:
  - (i) PUCT Substantive Rules on performance measure reporting;
  - (ii) These Protocols or Other Binding Documents; or
  - (iii) Any Technical Advisory Committee (TAC)-approved reporting requirements;
- (w) Information concerning a Mothballed Generation Resource's probability of return to service and expected lead time for returning to service submitted pursuant to Section 3.14.1.9, Generation Resource Status Updates;
- (x) Information provided by Entities under Section 10.3.2.4, Reporting of Net Generation Capacity;

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- (y) Alternative fuel reserve capability and firm gas availability information submitted pursuant to Section 6.5.9.3.1, Operating Condition Notice, Section 6.5.9.3.2, Advisory, and Section 6.5.9.3.3, Watch, and as defined by the Operating Guides;
- (z) Non-public financial information provided by a Counter-Party to ERCOT pursuant to meeting its credit qualification requirements as well as the QSE's form of credit support;
- (aa) ESI ID, identity of Retail Electric Provider (REP), and MWh consumption associated with transmission-level Customers that wish to have their Load excluded from the Renewable Portfolio Standard (RPS) calculation consistent with Section 14.5.3, End-Use Customers, and subsection (j) of P.U.C. SUBST. R. 25.173, Goal for Renewable Energy;
- (bb) Emergency operations plans submitted pursuant to P.U.C. SUBST. R. 25.53, Electric Service Emergency Operations Plans;
- (cc) Information provided by a Counter-Party under Section 16.16.3, Verification of Risk Management Framework;
- (dd) Any data related to Load response capabilities that are self-arranged by the LSE or pursuant to a bilateral agreement between a specific LSE and its Customers, other than data either related to any service procured by ERCOT or non-LSE-specific aggregated data. Such data includes pricing, dispatch instructions, and other proprietary information of the Load response product;
- (ee) Status of Settlement Only Generators (SOGs), including Outages, limitations, or scheduled or metered output data, except that ERCOT may disclose output data from an SOG as part of an extract or forwarded TX SET transaction provided to the LSE associated with the ESI ID of the Premise where the SOG is located. The Protected Information status of this information shall expire 60 days after the applicable Operating Day;

***[NPRR829 and NPRR995: Replace applicable portions of paragraph (ee) above with the following upon system implementation:]***

- (cc) Status of Settlement Only Generators (SOGs) and Settlement Only Energy Storage System (SOESS), including Outages, limitations, schedules, metered output and withdrawal data, or data telemetered for use in the calculation of Real-Time Liability (RTL) as described in Section 16.11.4.3.2, Real-Time Liability Estimate, except that ERCOT may disclose metered output and withdrawal data from an SOG or SOESS as part of an extract or forwarded TX SET transaction provided to the LSE associated with the ESI ID of the Premise where the SOG is located. The Protected Information status of this information shall expire 60 days after the applicable Operating Day;

- (ff) Any documents or data submitted to ERCOT in connection with an Alternative Dispute Resolution (ADR) proceeding. The Protected Information status of this information shall

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expire upon ERCOT's issuance of a Market Notice indicating the disposition of the ADR proceeding pursuant to paragraph (1) of Section 20.9, Resolution of Alternative Dispute Resolution Proceedings and Notification to Market Participants, except to the extent the information continues to qualify as Protected Information pursuant to another paragraph of this Section 1.3.1.1;

- (gg) Reasons for and future expectations of overrides to a specific Resource's High Dispatch Limit (HDL) or Low Dispatch Limit (LDL). The Protected Information status of this information shall expire 60 days after the applicable Operating Day;
- (hh) Information provided to ERCOT under Section 16.18, Cybersecurity Incident Notification, except that ERCOT may disclose general information concerning a Cybersecurity Incident in a Market Notice in accordance with paragraph (5) of Section 16.18 to assist Market Participants in mitigating risk associated with a Cybersecurity Incident;
- (ii) Information disclosed in response to paragraphs (1)-(4) of the Natural Gas Pipeline Coordination section of Section 22, Attachment K, Declaration of Natural Gas Pipeline Coordination, submitted to ERCOT in accordance with Section 3.21, Submission of Declarations of Natural Gas Pipeline Coordination. The Protected Information status of Resource Outage information shall expire as provided in paragraph (1)(c) of Section 1.3.1.1; and
- (jj) Information concerning weatherization activities submitted to, obtained by, or generated by ERCOT in connection with P.U.C. SUBST. R. 25.55, Weather Emergency Preparedness, if such information allows the identification of any Resource or Resource Entity.

## ERCOT Impact Analysis Report

<b>NPRR Number</b>	<b><u>1166</u></b>	<b>NPRR Title</b>	<b>Protected Information Status of DC Tie Schedule Information</b>
<b>Impact Analysis Date</b>	March 7, 2023		
<b>Estimated Cost/Budgetary Impact</b>	None.		
<b>Estimated Time Requirements</b>	No project required. This Nodal Protocol Revision Request (NPRR) can take effect following Public Utility Commission of Texas (PUCT) approval.		
<b>ERCOT Staffing Impacts (across all areas)</b>	Ongoing Requirements: No impacts to ERCOT staffing.		
<b>ERCOT Computer System Impacts</b>	No impacts to ERCOT computer systems.		
<b>ERCOT Business Function Impacts</b>	No impacts to ERCOT business functions.		
<b>Grid Operations &amp; Practices Impacts</b>	No impacts to ERCOT grid operations and practices.		

### Evaluation of Interim Solutions or Alternatives for a More Efficient Implementation

None offered.

### Comments

None.

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<b>NPRR Number</b>	<b><u>1168</u></b>	<b>NPRR Title</b>	<b>Related to RMGRR172, Texas SET V5.0 Continuous Service Agreements Changes</b>
<b>Date of Decision</b>	June 20, 2023		
<b>Action</b>	Recommended Approval		
<b>Timeline</b>	Normal		
<b>Proposed Effective Date</b>	Upon implementation of Retail Market Guide Revision Request (RMGRR) 172, Texas SET V5.0 Continuous Service Agreements Changes		
<b>Priority and Rank Assigned</b>	Not applicable		
<b>Nodal Protocol Sections Requiring Revision</b>	15, Customer Registration 15.1.5.1, Request to Terminate Service 15.1.9.1, Request to Initiate Continuous Service Agreement in an Investor Owned Utility Service Territory 15.1.9.2, Request to Change Continuous Service Agreement End Date (new) 15.1.9.2, Request to Terminate Continuous Service Agreement 15.1.9.3, Notice to Continuous Service Agreement Competitive Retailer of Enrollment Due to a Move Out 15.1.10.1, Request to Initiate Continuous Service Agreement 15.1.10.2, Request to Change Continuous Service Agreement End Date (new) 15.1.10.2, Request to Terminate Continuous Service Agreement 15.1.10.3, Notice to Continuous Service Agreement Competitive Retailer of Enrollment Due to a Move Out 15.1.10.4, Notice to Continuous Service Agreement Competitive Retailer of a Drop Due to a Move In 15.4.1.5, Electric Service Identifier Maintenance 19.3.1, Defined Texas Standard Electronic Transactions		
<b>Related Documents Requiring Revision/Related Revision Requests</b>	RMGRR172		
<b>Revision Description</b>	This Nodal Protocol Revision Request (NPRR) updates the name of the 814_18 Texas Standard Electronic Transaction (Texas SET) transaction from 'Establish/Delete CSA Request' to 'Establish/Change/Delete CSA Request' and adds new sections to		



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	the Protocols relating to administering requests to change end dates for active Continuous Service Agreements (CSAs).
<b>Reason for Revision</b>	<input checked="" type="checkbox"/> Addresses current operational issues. <input type="checkbox"/> Meets Strategic goals (tied to the <u>ERCOT Strategic Plan</u> or directed by the ERCOT Board). <input checked="" type="checkbox"/> Market efficiencies or enhancements <input type="checkbox"/> Administrative <input type="checkbox"/> Regulatory requirements <input type="checkbox"/> Other: (explain) <i>(please select all that apply)</i>
<b>Business Case</b>	<p>This NPRR is associated with the Texas SET V5.0 which is developed to:</p> <ul style="list-style-type: none"> <li>• Provide better information for Market Participants to communicate with one another;</li> <li>• Compress time associated with closure of Customer issues;</li> <li>• Assist Market Participants in delivering a better overall Customer experience;</li> <li>• Improve processes to address lessons learned from weather events (e.g., Hurricane Harvey and Winter Storm Uri); and</li> <li>• Include support for new technology advancements (e.g., Distributed Generation (DG)).</li> </ul> <p>Texas SET V4.0 was released in 2012. The retail changes that V5.0 proposes strengthens processes and mitigates the following:</p> <ul style="list-style-type: none"> <li>• During July 2021, over 1000 move outs were executed resulting in unauthorized disconnection of power due to a Competitive Retailer's (CR's) improper use of transactions. This NPRR restricts/prevents these lights-out situations from occurring which reduces negative impacts to Customers.</li> <li>• Prevents the unauthorized activation of a CSA after the contract has terminated.</li> <li>• Replaces current manual intervention that is required of Transmission and/or Distribution Service Providers (TDSPs) in the MarkeTrak application with a streamlined automated transactional solution, resulting in efficiencies that will be gained by quicker completion of <i>Inadvertent Gain</i> or <i>Customer Rescission</i> issues.</li> </ul>

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<b>PRS Decision</b>	<p>On 4/13/23, PRS voted unanimously to recommend approval of NPRR1168 as submitted. All Market Segments participated in the vote.</p> <p>On 5/10/23, PRS voted to endorse and forward to TAC the 4/13/23 PRS Report and 4/25/23 Impact Analysis for NPRR1168. There was one abstention from the Investor Owned Utility (IOU) (Lone Star Transmission) Market Segment. All Market Segments participated in the vote.</p>
<b>Summary of PRS Discussion</b>	<p>On 4/13/23, participants reviewed the 4/5/23 RMS comments.</p> <p>On 5/10/23, participants reviewed the 4/25/23 Impact Analysis.</p>
<b>TAC Decision</b>	<p>On 5/23/23, TAC voted to recommend approval of NPRR1168 as recommended by PRS in the 5/10/23 PRS Report. There was one abstention from the Independent Generator (Luminant) Market Segment. All Market Segments participated in the vote.</p>
<b>Summary of TAC Discussion</b>	<p>On 5/23/23, TAC reviewed the ERCOT Opinion, ERCOT Market Impact Statement, and Independent Market Monitor (IMM) Opinion for NPRR1168.</p>
<b>ERCOT Board Decision</b>	<p>On 6/20/23, the ERCOT Board voted unanimously to recommend approval of NPRR1168 as recommended by TAC in the 5/23/23 TAC Report.</p>

Opinions	
<b>Credit Review</b>	<p>ERCOT Credit Staff and the Credit Finance Sub Group (CFSG) have reviewed NPRR1168 and do not believe that it requires changes to credit monitoring activity or the calculation of liability.</p>
<b>Independent Market Monitor Opinion</b>	<p>The IMM has no opinion on NPRR1168.</p>
<b>ERCOT Opinion</b>	<p>ERCOT supports approval of NPRR1168.</p>
<b>ERCOT Market Impact Statement</b>	<p>ERCOT Staff has reviewed NPRR1168 and believes that it has a positive market impact by, both, addressing current operational issues and providing market efficiencies or enhancement by updating the name of the 814_18 Texas SET transaction from 'Establish/Delete CSA Request' to 'Establish/Change/Delete CSA Request' and adding new sections to the Protocols that describe how to administer requests to change end dates for active CSAs.</p>

## Board Report

Sponsor	
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Market Segment	Not Applicable

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Comments Received	
Comment Author	Comment Summary
RMS 040523	Endorsed NPRR1168 as submitted

Market Rules Notes
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Administrative changes to the language were made and authored as "ERCOT Market Rules."

Please note the baseline language in the following Section(s) has been updated to reflect the incorporation of the following NPRR(s) into the Protocols:

- NPRR1159, Related to RMGRR171, Changes to Transition Process That Require Opt-in MOU and EC That Are Designating POLR to Provide Mass Transition Methodology to ERCOT (incorporated 4/1/23)
  - Section 15.1.10.1
  - Section 19.3.1

Please note that the following NPRR(s) also propose revisions to the following Section(s):

- NPRR1173, Changes Consistent With the Options Available to an MOU and EC Entering Retail Competition in the ERCOT Market
  - Section 15.1.9.1
  - Section 15.1.10.1

Proposed Protocol Language Revision
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### 15 CUSTOMER REGISTRATION

- (1) ERCOT shall maintain a registration database of all metered and unmetered Electric Service Identifiers (ESI IDs) in Texas for Customer Choice.
- (2) ERCOT will notify the Public Utility Commission of Texas (PUCT) and the affected Competitive Retailer (CR) if a Transmission and/or Distribution Service Provider (TDSP) fails to meet its Customer switch responsibilities under the ERCOT Protocols.
- (3) All CRs with Customers in Texas, whether operating inside the ERCOT Region or not, shall be required to register their Customers in accordance with this Section.
- (4) All Customer registration processes will be conducted using the appropriate Texas Standard Electronic Transactions (TX SETs). Definitions of all TX SET codes referenced in this Section can be found in Section 19, Texas Standard Electronic Transaction. A reference to any TX SET transaction should be read as referring to the named transaction or its Market Information System (MIS) equivalent, if any. Transaction flow diagrams for Customer registration processing are posted on the ERCOT website.
- (5) ERCOT will reject any initiating transaction due to date reasonableness if the requested implementation date is of more than 90 days in the future or 270 days in the past. Initiating transactions are: 814\_01, Switch Request; 814\_16, Move In Request; and 814\_24, Move Out Request. ERCOT will reject an 814\_18, Establish/Change/Delete CSA Request, transaction with a requested start date of more than 90 days in the future or a requested start date in the past.
- (6) ERCOT will prioritize initiating or inbound transactions in the following manner:
  - (a) Level 1 – Same day 814\_16 transactions, same day 814\_24 transactions, 814\_01 transactions and 814\_20, ESI ID Maintenance Requests (Create), will be processed in one Retail Business Hour.
  - (b) Level 2 – Standard 814\_16 transactions and standard 814\_24 transactions will be processed in two Retail Business Hours.
  - (c) Level 3 – 867\_02, Historical Usage, 814\_20, ESI ID Maintenance Requests (Maintain and Retire), will be processed in four Retail Business Hours.
  - (d) Level 4 – All 814\_26, Historical Usage Requests, 814\_18, Establish/Change/Delete CSA Requests, and 814\_19, Establish/Change/Delete CSA Responses, will be processed in one Retail Business Day.
- (7) For transactions to flow through ERCOT, back-dated transactions for a market-approved corrective action must meet the date reasonableness test. Market Participants must work with ERCOT for any manual changes to transactions that fall outside these dates for

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market-approved corrective action. However, a TDSP will reject a back-dated transaction that is not part of a market-approved transaction.

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

### 15.1.5.1 Request to Terminate Service

- (1) When a CR receives notice that a Customer is moving out, the CR may terminate service to that ESI ID by submitting a Move-Out Request to ERCOT using the 814\_24, Move Out Request. Move outs will be considered same day, if the date requested is the same day the 814\_24 transaction is processed at ERCOT. Same day move outs will be forwarded to the TDSP within one Retail Business Hour of receipt by ERCOT. Standard move outs, those move outs not requesting same day services, will be forwarded to the TDSP within two Retail Business Hours of receipt by ERCOT. This transaction will remove the requester as the CR of Record for that ESI ID. If the submitting CR did not include the "Ignore CSA" flag on the move out, ERCOT will determine if the ESI ID associated with the Premise has a Continuous Service Agreement (CSA) CR. If there is a CSA on record, ERCOT will notify the CSA CR of the move out (refer to Section 15.1.9, Continuous Service Agreement CR Processing) using the 814\_22, CSA CR Move In Request, within two Retail Business Days of the scheduled meter read date, but not before the receipt of the TDSP's 814\_04, Enrollment Notification Response. If there is not a CSA CR, ERCOT will notify the TDSP to de-energize the ESI ID.

*[NPRR1095: Replace paragraph (1) above with the following upon system implementation:]*

- (1) When a CR receives notice that a Customer is moving out, the CR may terminate service to that ESI ID by submitting a Move-Out Request to ERCOT using the 814\_24, Move Out Request. Move outs will be considered same day, if the date requested is the same day the 814\_24 transaction is processed at ERCOT. Same day move outs will be forwarded to the TDSP within one Retail Business Hour of receipt by ERCOT. Move outs not requesting same day services, will be forwarded to the TDSP within two Retail Business Hours of receipt by ERCOT.
- (2) ERCOT will determine if the ESI ID associated with the Premise has a Continuous Service Agreement (CSA) CR.
- (a) If there is an active CSA with an end date after the move out date on record or a CSA with a start date prior to or equal to the requested date of the move out, ERCOT will notify the TDSP by sending the 814\_03, Enrollment Notification Request, with the move out indicator, within one Retail Business Hour for same day requests and two Retail Business Hours for move outs not requesting same day services. ERCOT will notify the CSA CR of the move out using the 814\_22, CSA CR Move In Request, within two Retail Business Days of the scheduled meter read date, but not before the receipt of the TDSP's 814\_04, Enrollment Notification Response.
- (b) If there is not an active CSA CR or a CSA with a start date prior to or equal to the

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requested date of the move out, ERCOT will notify the TDSP to de-energize the ESI ID by sending the 814\_24 transaction and will remove the requester as the CR of Record for that ESI ID.

- (3) When requesting to terminate service where a CSA exists, the CSA CR may terminate service to that ESI ID by submitting an 814\_24 transaction with the "Move Out CSA De-Energize" code to ERCOT. ERCOT will validate that the submitting CR is the current CSA CR of Record (or pending CSA CR for the move out date submitted). If the submitting CR is not the current CSA CR of Record, ERCOT will reject the 814\_24 transaction by sending the 814\_25, Move Out Response. Move outs will be considered same day if the date requested is the same day the 814\_24 transaction is processed at ERCOT. Same day move outs will be forwarded to the TDSP within one Retail Business Hour of receipt by ERCOT. Move outs not requesting same day services will be forwarded to the TDSP within two Retail Business Hours of receipt by ERCOT.

### 15.1.9.1 Request to Initiate Continuous Service Agreement in an Investor Owned Utility Service Territory

**Commented [JT1]:** Please note NPPR1173 also proposes revisions to this section.

- (1) When a CR establishes a CSA at an ESI ID, the CR will send an 814\_18, Establish/Change/Delete CSA Request, to ERCOT. ERCOT will determine if the ESI ID has a CSA on record. If there is a current CSA CR, ERCOT will send notice of CSA termination using the 814\_18, Establish/Change/Delete CSA Request, within one Retail Business Day of receipt of the 814\_18 transaction from the new CSA CR and will respond to the new CSA CR using the 814\_19, Establish/Change/Delete CSA Response, within one Retail Business Day of receipt of the 814\_18 transaction. If there is not a current CSA, ERCOT will respond to the new CSA CR using the 814\_19, Establish/Change/Delete CSA Response, within one Retail Business Day of receipt of the 814\_18 transaction.

**[NPPR1095: Replace paragraph (1) above with the following upon system implementation and renumber accordingly:]**

- (1) When a CR establishes a CSA at an ESI ID, the CR will send an 814\_18, Establish/Change/Delete CSA Request, to ERCOT. ERCOT will determine if the ESI ID has a CSA on record. If there is not a current CSA, ERCOT will respond to the new CSA CR using the 814\_19, Establish/Change/Delete CSA Response, within one Retail Business Day of receipt of the 814\_18 transaction. ERCOT will hold the CSA in a pending status until the start date of the CSA.
- (2) If there is a current CSA, ERCOT will respond to the new CSA CR using the 814\_19 transaction within one Retail Business Day of receipt of the 814\_18 transaction. ERCOT will hold the CSA in a pending status until the start date of the CSA and ~~On the start date of the new CSA,~~ ERCOT will send notice of CSA termination using the 814\_18 transaction to the current CSA, within one Retail Business Day.

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- (2) If a CSA CR wishes to establish CSAs with multiple ESI IDs, the CSA CR must submit an 814\_18 transaction for each ESI ID.

### **15.1.9.2 Request to Change Continuous Service Agreement End Date**

- (1) The CSA CR will send an 814\_18, Establish/Change/Delete CSA Request, to ERCOT on an ESI ID where the CSA CR is the active CSA CR of Record. ERCOT will update the pending end date for the active CSA and respond to the CR using the 814\_19, Establish/Change/Delete CSA Response, within one Retail Business Day of receipt of the 814\_18 transaction.

### **15.1.9.32 Request to Terminate Continuous Service Agreement**

- (1) The CSA CR will send an 814\_18, Establish/Change/Delete CSA Request, to ERCOT. ERCOT will respond to the CR using the 814\_19, Establish/Change/Delete CSA Response, within one Retail Business Day of receipt of the 814\_18 transaction.
- (2) If the CSA CR wishes to terminate CSAs with multiple ESI IDs, the CR must submit an 814\_18 transaction for each ESI ID.

### **15.1.9.43 Notice to Continuous Service Agreement Competitive Retailer of Enrollment Due to a Move Out**

- (1) If, during the processing of a Move-Out Request, ERCOT determines that a CSA CR exists for the ESI ID, ERCOT will notify the CSA CR of the move out (refer to Section 15.1.5, Service Termination (Move Out)) using the 814\_22, CSA CR Move In Request, within two Retail Business Days of the scheduled meter read date, but not before the receipt of the TDSP's 814\_04, Enrollment Notification Response. This request will contain all of the information necessary for the CSA CR to begin servicing the ESI ID, including the move out date.

***[NPRR1095: Replace paragraph (1) above with the following upon system implementation:]***

- (1) If, during the processing of a Move-Out Request, ERCOT determines that a CSA CR exists and has an end date after the requested date for the move out, ERCOT will notify the CSA CR of the move out (refer to Section 15.1.5, Service Termination (Move Out)) using the 814\_22, CSA CR Move In Request, within two Retail Business Days of the scheduled meter read date, but not before the receipt of the TDSP's 814\_04, Enrollment Notification Response. This request will contain all of the information necessary for the CSA CR to begin servicing the ESI ID, including the move out date.

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- (2) If the CSA CR requires historical usage information for the ESI ID, the CSA CR will submit a request using the 814\_26, Historical Usage Request, after receipt of the 867\_04, Initial Meter Read.

### 15.1.10.1 Request to Initiate Continuous Service Agreement

**Commented [JT2]:** Please note NPRR1173 also proposes revisions to this section.

- (1) When a CR establishes a CSA at an ESI ID, the CR will send an 814\_18, Establish/Change/Delete CSA Request, to ERCOT. This will be forwarded to the MOU/EC TDSP within one Retail Business Day, unless otherwise indicated in Retail Market Guide Section 8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market. ERCOT will send the 814\_18 transaction, and if an 814\_19, Establish/Change/Delete CSA Response, is not received from the MOU/EC TDSP within ten Business Days, ERCOT will cancel the CSA request and send an 814\_08, Cancel Request, to the requesting CSA CR and MOU/EC TDSP. Additional 814\_18 transactions received on the ESI ID while the first 814\_18 transaction is still pending will be rejected at ERCOT. If an 814\_18 transaction is received on an ESI ID with an existing CSA relationship, ERCOT will forward the 814\_18 transaction to the MOU/EC TDSP within one Retail Business Day, and upon receipt of the 814\_19 transaction (accept) from the MOU/EC TDSP, will send an 814\_18 transaction to the current CSA CR and an 814\_19 transaction to the new CSA CR within one Retail Business Day of receipt of the 814\_19 transaction from the MOU/EC TDSP.

**[NPRR1095: Replace paragraph (1) above with the following upon system implementation and renumber accordingly:]**

- (1) When a CR establishes a CSA at an ESI ID, the CR will send an 814\_18, Establish/Change/Delete CSA Request, to ERCOT. This will be forwarded to the MOU/EC TDSP within one Retail Business Day, unless otherwise indicated in Retail Market Guide Section 8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market. ERCOT will send the 814\_18 transaction, and if an 814\_19, Establish/Change/Delete CSA Response, is not received from the MOU/EC TDSP within ten Business Days, ERCOT will cancel the CSA request and send an 814\_08, Cancel Request, to the requesting CSA CR and MOU/EC TDSP. Additional 814\_18 transactions received on the ESI ID while the first 814\_18 transaction is still pending will be rejected at ERCOT. Upon receipt of the 814\_19 transaction (accept) from the MOU/EC TDSP, ERCOT will send an 814\_19 transaction to the new CSA CR within one Retail Business Day. ERCOT will hold the CSA in a pending status until the start date of the CSA.
- (2) If an 814\_18 transaction is received on an ESI ID with an existing CSA relationship, ERCOT will forward the 814\_18 transaction to the MOU/EC TDSP within one Retail Business Day, and upon receipt of the 814\_19 transaction (accept) from the MOU/EC TDSP, will send an 814\_19 transaction to the new CSA CR within one Retail Business Day of receipt of the 814\_19 transaction from the MOU/EC TDSP. ERCOT will hold the CSA in a pending status until the start date of the CSA. On the start date of the new CSA, ERCOT will send notice of the CSA termination using the 814\_18 transaction to the



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current CSA within one Retail Business Day.

- (2) If a CSA CR wishes to establish CSAs with multiple ESI IDs, the CSA CR must submit an 814\_18 transaction for each ESI ID.

### **15.1.10.2 Request to Change Continuous Service Agreement End Date**

- (1) The CSA CR will send an 814\_18, Establish/Change/Delete CSA Request, to ERCOT on an ESI ID where the CSA CR is the active CSA CR of Record. Upon receipt of an 814\_18 transaction, ERCOT will update the pending end date for the active CSA, send an 814\_19, Establish/Change/Delete CSA Response, within one Retail Business Day to the CSA CR, and forward the 814\_18 transaction to the TDSP within one Retail Business Day.

### **15.1.10.32 Request to Terminate Continuous Service Agreement**

- (1) The CSA CR will send an 814\_18, Establish/Change/Delete CSA Request, to ERCOT. Upon receipt of an 814\_18 transaction, ERCOT will terminate the CSA relationship, send an 814\_19, Establish/Change/Delete CSA Response, within one Retail Business Day to the CSA CR, and forward the 814\_18 transaction to the TDSP within one Retail Business Day. An 814\_18 transaction received while an 814\_18 Establish transaction is pending will delete the current CSA relationship at ERCOT, provided the CSA CR of the 814\_18 transaction and the current active CSA CR is the same.
- (2) If CSA CR wishes to terminate CSAs with multiple ESI IDs, the CSA CR must submit an 814\_18 transaction for each ESI ID.

### **15.1.10.43 Notice to Continuous Service Agreement Competitive Retailer of Enrollment Due to a Move Out**

- (1) If, during the processing of a Move-Out Request, ERCOT determines that a CSA CR exists for the ESI ID, ERCOT will notify the CSA CR of the move out (refer to Section 15.1.5, Service Termination (Move Out)) using the 814\_22, CSA CR Move In Request, within two Retail Business Days of the scheduled meter read date, but not before the receipt of the MOU/EC TDSP's 814\_04, Enrollment Notification Response. This request will contain all of the information necessary for the CSA CR to begin servicing the ESI ID including the move out date.
- (2) If the CSA CR requires historical usage information for the ESI ID, the CSA CR will submit a request using the 814\_26, Historical Usage Request, after receipt of the 867\_04, Initial Meter Read.

### **15.1.10.54 Notice to Continuous Service Agreement Competitive Retailer of Drop Due to a Move In**

- (1) An evaluation is done on the CSA CR two Retail Business Days prior to the scheduled meter read date, but not before receipt of the MOU/EC TDSP's 814\_04, Enrollment

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Notification Response. If ERCOT determines that there is a CSA CR or there is scheduled to be a CSA CR on the scheduled meter read date, ERCOT will submit to the CSA CR a notification using the 814\_06, Loss Notification.

- (2) If ERCOT has submitted a notification using the 814\_06 transaction to the CSA CR and then the TDSP sends the 814\_28, Complete Unexecutable or Permit Required, to ERCOT, ERCOT will notify the CSA CR by forwarding the 814\_28 transaction. The CSA CR will remain the CR of Record.

### 15.4.1.5 Electric Service Identifier Maintenance

- (1) The TDSP will notify ERCOT of any changes in information related to an ESI ID for which it is responsible. The TDSP will send changes to ERCOT using the 814\_20, ESI ID Maintenance Request. ERCOT will respond to the TDSP within four Retail Business Hours, using the 814\_21, ESI ID Maintenance Response. In addition, ERCOT will send all affected CRs notice of the changes using the 814\_20 transaction. The TDSP is responsible for the following data elements:

- (a) Service Address; city, state, zip;

*[NPRR1095: Replace paragraph (a) above with the following upon system implementation:]*

- (ba) Service Address; city, state, zip, county;

- (b) Load Profile Type;
- (c) Meter reading cycle or meter cycle by day of month;
- (d) Station ID;
- (e) DLF code;
- (f) Eligibility date;
- (g) Meter type;
- (h) Rate class and sub-class, if applicable;
- (i) Special needs indicator;
- (j) Meter type, identification number, number of dials and role for each meter at the ESI ID, if ESI ID is metered;
- (k) For unmetered ESI IDs, number and description of each unmetered device;
- (l) Premise type;

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- (m) Advanced Metering System (AMS) or Municipally Owned Utility (MOU) / Electric Cooperative (EC) Non-BUSIDRRQ IDR indicator, and
- (n) Switch hold indicator.

**[NPRR1095: Insert paragraph (o) below upon system implementation:]**

- (o) Metered service type description (if provided).

- (2) If the 814\_20 transaction is invalid, ERCOT will respond to the TDSP using the 814\_21 transaction within four Retail Business Hours of receipt of the 814\_20, with the exception of an 814\_20 transaction that is invalid because of "ESI ID Invalid or Not Found." In the case of "ESI ID Invalid or Not Found," ERCOT will hold the 814\_20 transaction and continue to retry the request at regular intervals for 48 hours counting only hours on Retail Business Days, but not only Business Hours. If the request remains invalid for 48 hours, the process will terminate and ERCOT will forward an 814\_21 transaction.

### **19.3.1 Defined Texas Standard Electronic Transactions**

#### **(1) Service Order Request (650\_01)**

This transaction set:

- (a) From the Competitive Retailer (CR) to the Transmission and/or Distribution Service Provider (TDSP) via point to point protocol, is used to initiate the original service order request, cancel request, or change/update request.
- (b) For every 650\_01, Service Order Request, there will be a 650\_02, Service Order Response.

#### **(2) Service Order Response (650\_02)**

This transaction set:

- (a) From the TDSP to the CR via point to point protocol, is used to send a response to the CR's original 650\_01, Service Order Request, that the transaction is complete, complete unexecutable, rejected, or requires a permit.
- (b) For every 650\_01 transaction, there will be a 650\_02 transaction.

#### **(3) Planned or Unplanned Outage Notification (650\_04)**

This transaction set:

- (a) From the TDSP to the CR via point to point protocol, is used to notify the CR of a suspension of delivery service or to cancel the suspension of delivery service.

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- (b) From Municipally Owned Utility/Electric Cooperative (MOU/EC) TDSP to CR via point to point protocol, is used to notify the CR of disconnect/reconnect of delivery service for non-payment of wires charges, unless otherwise indicated in Retail Market Guide Section 8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market.

### (4) **Planned or Unplanned Outage Response (650\_05)**

This transaction set is no longer valid as of Texas Standard Electronic Transaction (SET) 4.0.

### (5) **TDSP Invoice (810\_02)**

This transaction set:

From the TDSP to the CR via point to point protocol, is an invoice for wire charges as listed in each TDSP tariff (i.e., delivery charges, late payment charges, discretionary service charges, etc.). The 810\_02, TDSP Invoice, may be paired with an 867\_03, Monthly or Final Usage, to trigger the Customer billing process.

### (6) **MOU/EC Invoice (810\_03)**

This transaction set:

From the CR to the MOU/EC TDSP via point to point protocol, is an invoice for monthly energy charges, discretionary, and service charges for the current billing period, unless otherwise indicated in Retail Market Guide Section 8.1. The 810\_03, MOU/EC Invoice, will be preceded by an 867\_03, Monthly or Final Usage, to trigger the Customer billing process.

### (7) **Maintain Customer Information Request (814\_PC)**

This transaction set:

- (a) From a CR to the TDSP via point to point protocol, is used to maintain the information needed by the TDSP to verify the CR's end use Customer's identity (i.e., name, address and contact phone number) for a particular point of delivery served by the CR. A CR shall be required to provide TDSP with the information to contact the Customer and to continuously provide TDSP updates of changes in such information.
- (b) From the CR to the TDSP via point to point protocol, will be transmitted only after the CR has received the 867\_04, Initial Meter Read, from the TDSP for that specific move in Customer. Also, the CR will not transmit this transaction set and/or provide any updates to the TDSP after receiving the 867\_03, Monthly or Final Usage, final meter read for that specific move out Customer.

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- (c) From a MOU/EC TDSP to CR via point to point protocol, is used to provide the CR with updated Customer information (name, address, membership ID, home phone number, etc.) for a particular point of delivery served by both the MOU/EC TDSP and the CR and to continuously provide CR updates of such information, unless otherwise indicated in Retail Market Guide Section 8.1.

### (8) **Maintain Customer Information Response (814\_PD)**

This transaction set:

From the TDSP to the CR via point to point protocol, or from the CR to MOU/EC TDSP via point to point protocol, unless otherwise indicated in Retail Market Guide Section 8.1, is used to respond to the 814\_PC, Maintain Customer Information Request.

### (9) **Switch Request (814\_01)**

This transaction set:

From a new CR to ERCOT, is used to begin the Customer enrollment process for a switch.

### (10) **Switch Reject Response (814\_02)**

This transaction set:

From ERCOT to the new CR, is used by ERCOT to reject the 814\_01, Switch Request, based on incomplete or invalid information. This is a conditional transaction and will only be used as a negative response. If the 814\_02, Switch Reject Response, is not received from ERCOT, the new CR will receive the 814\_05, CR Enrollment Notification Response, from ERCOT.

### (11) **Enrollment Notification Request (814\_03)**

This transaction set:

- (a) From ERCOT to the TDSP, passes information from the 814\_01, Switch Request; 814\_16, Move In Request; or an 814\_24, Move Out Request, where a Continuous Service Agreement (CSA) exists.
- (b) The historical usage, if requested by the submitter of the initiating transaction, will be sent using the 867\_02, Historical Usage.
- (c) Will be initiated by ERCOT and transmitted to the TDSP in the event of a Mass Transition.
- (d) Will be initiated by ERCOT and transmitted to the TDSP in the event of an acquisition transfer.

### (12) **Enrollment Notification Response (814\_04)**

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This transaction set:

From the TDSP to ERCOT, is used to provide the scheduled meter read date that the TDSP has calculated and pertinent Customer and Premise information in response to an 814\_01, Switch Request; 814\_16, Move In Request; 814\_24, Move Out Request, where a CSA exists initiated by a CR or a Mass Transition or acquisition transfer of Electric Service Identifiers (ESI IDs) initiated by ERCOT. TDSPs will acknowledge the initiating CRs request for historical usage with this transaction but will send the usage using the 867\_02, Historical Usage.

(13) **CR Enrollment Notification Response (814\_05)**

This transaction set:

From ERCOT to the new CR, is essentially a pass through of the TDSP's 814\_04, Enrollment Notification Response, information. This transaction will provide the scheduled meter read date for the CR's 814\_01, Switch Request, or 814\_16, Move In Request.

(14) **Loss Notification (814\_06)**

This transaction set:

From ERCOT to the current CR, is used to notify a current CR of a drop initiated by an 814\_01, Switch Request, or drop notification due to a pending 814\_16, Move In Request, from a new CR.

(15) **Loss Notification Response (814\_07)**

This transaction set is no longer valid as of Texas SET 4.0.

(16) **Cancel Request (814\_08)**

This transaction set:

- (a) From ERCOT to the TDSP, is used to cancel an 814\_03, Enrollment Notification Request, or an 814\_24, Move Out Request.
- (b) From ERCOT to the current CR, is used to cancel an 814\_06, Loss Notification, (forced Move-Out or Switch Request), an 814\_24 transaction, or an 814\_11, Drop Response.
- (c) From ERCOT to the new CR, is used to cancel an 814\_01, Switch Request, an 814\_16, Move In Request, or an 814\_14, Drop Enrollment Request.
- (d) From the current CR to ERCOT, is used to cancel an 814\_24 transaction.
- (e) From the new CR to ERCOT, is used to cancel an 814\_01 or an 814\_16 transaction.

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- (f) From ERCOT to the CSA CR, is used to cancel an 814\_22, CSA CR Move In Request.
- (g) From ERCOT to the requesting CR/Provider of Last Resort (POLR), is used to cancel pending transactions involved in a Mass Transition.
- (h) From ERCOT to the gaining CR, is used to cancel pending transaction involved in an acquisition transfer.

### (17) **Cancel Response (814\_09)**

This transaction set:

- (a) From the TDSP to ERCOT, is used in response to the cancellation of an 814\_03, Enrollment Notification Request, or an 814\_24, Move Out Request.
- (b) From the current CR to ERCOT, is no longer valid as of Texas SET 4.0.
- (c) From the new CR to ERCOT, is no longer valid as of Texas SET 4.0.
- (d) From ERCOT to the current CR, is used in forwarding the response of the Customer cancel of an 814\_24 transaction.
- (e) From CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.
- (f) From ERCOT to the submitter of an 814\_08, Cancel Request, is used to reject the cancellation request.
- (g) From POLR to ERCOT, is no longer valid as of Texas SET 4.0.

### (18) **Drop Request (814\_10)**

This transaction set is no longer valid as of March 8, 2007 (Reference Project No. 33025, PUC Rulemaking Proceeding to Amend Commission Substantive Rules Consistent With §25.43, Provider of Last Resort (POLR)).

### (19) **Drop Response (814\_11)**

This transaction set:

- (a) From ERCOT to the current CR, is sent within one Retail Business Day to notify the CR that the request is invalid.
- (b) From ERCOT to the current CR, is used in response to a Mass Transition.
- (c) From ERCOT to the current CR, is used in response to an acquisition transition.

### (20) **Date Change Request (814\_12)**

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This transaction set:

- (a) From new CR to ERCOT, is used when the Customer requests a date change to the original 814\_16, Move In Request.
- (b) From ERCOT to the current CR, is used for a notification of the date change on the 814\_16 transaction, from the new CR.
- (c) From ERCOT to the TDSP, is used for notification of a move in or move out date change request.
- (d) From the current CR to ERCOT, is used when the Customer requests a date change to the original 814\_24, Move Out Request.
- (e) From ERCOT to the new CR, is used for notification of the date change on the 814\_24 transaction from the current CR.
- (f) From ERCOT to the CSA CR, is used for notification of the date change on the 814\_24 transaction only.

### (21) Date Change Response (814\_13)

This transaction set:

- (a) From ERCOT to new CR, is used to respond to the requested date change to the original move in date on the 814\_12, Date Change Request.
- (b) From the current CR to ERCOT, is no longer valid as of Texas SET 4.0.
- (c) From the CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.
- (d) From the TDSP to ERCOT, is used to respond to the requested date change to the original move in or move out date on the 814\_12 transaction.
- (e) From ERCOT to the current CR, is used to respond to the requested date change to the original move out date on the 814\_12 transaction.
- (f) From the new CR to ERCOT, is no longer valid as of Texas SET 4.0.

### (22) Drop Enrollment Request (814\_14)

This transaction set:

- (a) From ERCOT to the POLR or designated CR, is used in response to a Mass Transition.
- (b) From ERCOT to the gaining CR, is used in response to an acquisition transfer.

### (23) Drop Enrollment Response (814\_15)



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This transaction set is no longer valid as of Texas SET 4.0.

(24) **Move In Request (814\_16)**

This transaction set:

From the new CR to ERCOT, is used to begin the Customer enrollment process for a move in.

(25) **Move In Reject Response (814\_17)**

This transaction set:

From ERCOT to the new CR, is used by ERCOT to reject the 814\_16, Move In Request, based on incomplete or invalid information. This is a conditional transaction and will only be used as a negative response. If the 814\_17, Move In Reject Response, is not received from ERCOT, the CR will receive the 814\_05, CR Enrollment Notification Response.

(26) **Establish/Change/Delete CSA Request (814\_18)**

This transaction set:

- (a) From the new CSA CR to ERCOT, is used to establish the owner/landlords' new CSA CR in the registration system.
- (b) From the current CSA CR to ERCOT, is used to change an existing CSA CR end date.
- (c) From the current CSA CR to ERCOT, is used to remove an existing CSA CR from the registration system.
- (ed) From ERCOT to the current CSA CR, is used for notification that the owner/landlord has selected a new CSA CR.
- (de) From ERCOT to the MOU/EC TDSP, is used to validate the CSA relationship information in the MOU/EC TDSP's system, unless otherwise indicated in Retail Market Guide Section 8.1.
- (f) From ERCOT to the MOU/EC TDSP, is used for notification of a change in CSA end date, unless otherwise indicated in Retail Market Guide Section 8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market.
- (eg) From ERCOT to the MOU/EC TDSP, is used for notification of CSA deletion, unless otherwise indicated in Retail Market Guide Section 8.1.

(27) **Establish/Change/Delete CSA Response (814\_19)**

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This transaction set:

- (a) From ERCOT to the new CSA CR, is used to respond to the 814\_18, Establish/Change/Delete CSA Request, enrolling the new CSA CR in the registration system.
- (b) From ERCOT to the new CSA CR, is used to respond to the 814\_18 transaction changing the end date for the current CSA CR in the registration system.
- (c) From ERCOT to the current CSA CR, is used to respond to the 814\_18 transaction deleting the current CR from the registration system.
- (ed) From the current CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.
- (de) From the MOU/EC TDSP to ERCOT, is used to provide a response to the 814\_18 transaction, unless otherwise indicated in Retail Market Guide Section 8.1.

### (28) **ESI ID Maintenance Request (814\_20)**

This transaction set:

- (a) From the TDSP to ERCOT, is used to initially populate the registration system for conversion/opt-in.
- (b) From the TDSP to ERCOT, is used to communicate the addition of a new ESI ID, changes to information associated with an existing ESI ID, or retirement of an existing ESI ID.
- (c) From ERCOT to current CR and any pending CR(s), is notification of the TDSP's changes to information associated with an existing ESI ID.

### (29) **ESI ID Maintenance Response (814\_21)**

This transaction set:

- (a) From ERCOT to TDSP, is used to respond to the 814\_20, ESI ID Maintenance Request.
- (b) From the current CR and any pending CR(s) to ERCOT, is no longer valid as of Texas SET 4.0.
- (c) From the new CR to ERCOT, is no longer valid as of Texas SET 4.0.

### (30) **CSA CR Move In Request (814\_22)**

This transaction set:

From ERCOT to CSA CR, is used to start a CSA service for the ESI ID.

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### (31) **CSA CR Move In Response (814\_23)**

This transaction set:

From the CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.

### (32) **Move Out Request (814\_24)**

This transaction set:

- (a) From the current CR to ERCOT, is used for notification of a Customer's moveout request.
- (b) From ERCOT to the TDSP, is notification of the Customer's move out request. If a CSA exists on the ESI ID, then the 814\_03, Enrollment Notification Request, is sent instead of the 814\_24, Move Out Request.

### (33) **Move Out Response (814\_25)**

This transaction set:

- (a) From the TDSP to ERCOT to the current CR, is used to respond to the 814\_24, Move Out Request. If a CSA exists on the ESI ID and ERCOT sent the 814\_03, Enrollment Notification Request, instead of the 814\_24 transaction, the TDSP will then respond with the 814\_04, Enrollment Notification Response.
- (b) From ERCOT to the current CR, is used to respond to the 814\_24 transaction.

### (34) **Historical Usage Request (814\_26)**

This transaction set:

- (a) From the current CR to ERCOT, is used to request the historical usage for an ESI ID.
- (b) From ERCOT to the TDSP, it is a pass through of the current CR's 814\_26, Historical Usage Request.

### (35) **Historical Usage Response (814\_27)**

This transaction set:

- (a) From the TDSP to ERCOT, is used to respond to the 814\_26, Historical Usage Request.
- (b) From ERCOT to the current CR, is a pass through of the TDSP's response to the 814\_26 transaction.

### (36) **Complete Unexecutable or Permit Required (814\_28)**

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This transaction set:

- (a) For a move out, is from the TDSP to ERCOT, and from ERCOT to the current CR, to notify the current CR the move out was unexecutable. Upon sending this transaction, the TDSP closes the initiating move out transaction. The CR must initiate corrective action and resubmit the Move-Out Request.
- (b) For a move in, is from the TDSP to ERCOT, and from ERCOT to the new CR, or the current CR for energized accounts, to notify the CR that the work was complete unexecutable, or that a permit is required. Upon sending this transaction to notify the new CR of a complete unexecutable, the TDSP closes the initiating transaction. The new CR must initiate corrective action and resubmit the Move-In Request.
- (c) Upon sending the 814\_28 (PT) transaction to notify the new CR that a permit is required, ERCOT will allow the TDSP 20 Retail Business Days to send the 814\_04, Enrollment Notification Response, due to permit requirements. After the 20 Retail Business Days, if no 814\_04 transaction is received, ERCOT will then issue an 814\_08, Cancel Request. If the move in is cancelled due to permit not received, ERCOT will note the reason in the 814\_08 transaction.
- (d) For a switch, is from the TDSP to ERCOT, and from ERCOT to the new CR or current CR, to notify CRs that the work has been complete unexecutable.

### (37) Complete Unexecutable or Permit Required Response (814\_29)

This transaction set:

- (a) From ERCOT to the TDSP to reject the 814\_28, Complete Unexecutable or Permit Required.
- (b) From the CR (current CR for a move out or a new CR for a move in) to ERCOT, and from ERCOT to the TDSP is no longer valid as of Texas SET 4.0.

### (38) CR Remittance Advice (820\_02)

This transaction set:

- (a) From the CR to the TDSP, is used as a remittance advice concurrent with a corresponding payment to the TDSP banking institution for a dollar amount equal to the total of the itemized payments in the 820\_02, CR Remittance Advice. This transaction will reference the 810\_02, TDSP Invoice, by ESI ID. If payment and remittance are transmitted together to a financial institution, this implementation guide may be used as a baseline for discussion with the payer's financial institution. All "must use" fields in the 820\_02 transaction must be forwarded to the payer's financial institution and be supported by the payee's financial institution.

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- (b) A single payment sent via the bank and a single remittance sent to the TDSP can include multiple invoices, however a one to one correlation must exist between the payment submitted to the bank and the corresponding remittance advice to the TDSP.

### (39) **MOU/EC Remittance Advice (820\_03)**

This transaction set:

From the MOU/EC TDSP to the CR, is used as a remittance advice concurrent with a corresponding payment to the CR banking institution for a dollar amount equal to the total of the itemized payments in the 820\_03, MOU/EC Remittance Advice, unless otherwise indicated in Retail Market Guide Section 8.1. This transaction will reference the CR's Customer account number and ESI ID. If payment and remittance are transmitted together to a financial institution, this implementation guide may be used as a baseline for discussion with the payer's financial institution. All "must use" fields in the 820\_03 transaction, must be forwarded to the payer's financial institution and be supported by the payee's financial institution.

### (40) **Invoice or Usage Reject Notification (824)**

This transaction set:

- (a) From the CR to the TDSP, is used by the CR to reject and/or accept with exception the 810\_02, TDSP Invoice, sent by the TDSP.
- (b) From ERCOT to the TDSP, is used to reject the 867\_03, Monthly or Final Usage, transaction sent by the TDSP.
- (c) From the CR to ERCOT, is used to reject the 867\_03 transaction sent by ERCOT.
- (d) From the MOU/EC TDSP to the CR, is used to reject the 810\_03, MOU/EC Invoice, sent by the CR, unless otherwise indicated in Retail Market Guide Section 8.1.

### (41) **Historical Usage (867\_02)**

This transaction set:

- (a) From the TDSP to ERCOT, is used to report historical usage.
- (b) From ERCOT to the CR, is essentially a pass through of the TDSP's 867\_02, Historical Usage.

### (42) **Monthly or Final Usage (867\_03)**

This transaction set:

- (a) From the TDSP to ERCOT, is used to report monthly usage.

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(b) From ERCOT to the CR, is essentially a pass through of the TDSP's 867\_03, Monthly or Final Usage.

(c) From ERCOT to the TDSP or CR, is for ERCOT polled services.

### (43) Initial Meter Read (867\_04)

This transaction set:

(a) From the TDSP to ERCOT, is used to report the initial read associated with an 814\_01, Switch Request, or an 814\_16, Move In Request.

(b) From ERCOT to the new CR, is used to report the initial read associated with an 814\_01 or 814\_16 transaction.

### (44) Functional Acknowledgement (997)

This transaction set:

(a) From the receiver of the originating transaction to the sender of the originating transaction, is used to acknowledge the receipt of the originating transaction and indicate whether the transaction passed American National Standards Institute Accredited Standards Committee X12 (ANSI ASC X12) validation. This acknowledgement does not imply that the originating transaction passed TX SET validation. The CR, TDSP, or ERCOT shall respond with a 997, Functional Acknowledgement, within 24 hours of receipt of an inbound transaction.

(b) Provides a critical audit trail. All parties must send a 997 transaction for all Electronic Data Interchange (EDI) transactions. Parties will track and monitor acknowledgements sent and received.

### (45) Option 1 Outages: Outage Status Request (T0)

This transaction set:

From a CR to TDSP, is used to request outage status. This is not a required transaction for an Option 1 CR reporting unplanned outages.

### (46) Option 1 Outages: Trouble Reporting Request (T1)

This transaction set:

From a CR to TDSP, is used to report an outage or service irregularity requiring near Real-Time outage response. This is a required transaction for an Option 1 CR to electronically transmit to the TDSP for every valid outage or service irregularity reported.

### (47) Option 1 Outages: Trouble Report Acknowledgement (T2)

This transaction set:

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From a TDSP to CR, is used to acknowledge the receipt of a T1, Option 1 Outages: Trouble Reporting Request, with either an acceptance or a rejection response. This is a required transaction for the TDSP when an Option 1 CR utilizes the T1 transaction.

(48) **Option 1 Outages: Status Response (T3)**

This transaction set:

From a TDSP to CR, is used to provide status information for a previously submitted T0, Option 1 Outages: Outage Status Request, message. This is a required transaction for the TDSP when an Option 1 CR utilizes the T0 transaction.

(49) **Option 1 Outages: Trouble Completion Report (T4)**

This transaction set:

From a TDSP to CR, is used by the TDSP to notify the CR that the trouble condition has been resolved. This is a required transaction for the TDSP when an Option 1 CR utilizes the T1, Option 1 Outages: Trouble Reporting Request, transaction.

## ERCOT Impact Analysis Report

<b>NPRR Number</b>	<u>1168</u>	<b>NPRR Title</b>	<b>Related to RMGRR172, Texas SET V5.0 Continuous Service Agreements Changes</b>
<b>Impact Analysis Date</b>	April 25, 2023		
<b>Estimated Cost/Budgetary Impact</b>	None.		
<b>Estimated Time Requirements</b>	No project required. This Nodal Protocol Revision Request (NPRR) can take effect upon implementation of Retail Market Guide Revision Request (RMGRR) 172, Texas SET V5.0 Continuous Service Agreements Changes.		
<b>ERCOT Staffing Impacts (across all areas)</b>	Ongoing Requirements: No impacts to ERCOT staffing.		
<b>ERCOT Computer System Impacts</b>	No impacts to ERCOT computer systems.		
<b>ERCOT Business Function Impacts</b>	No impacts to ERCOT business functions.		
<b>Grid Operations &amp; Practices Impacts</b>	No impacts to ERCOT grid operations and practices.		

### Evaluation of Interim Solutions or Alternatives for a More Efficient Implementation

None offered.

### Comments

There are no additional impacts to this NPRR beyond what was captured in the Impact Analysis for RMGRR172.



## Board Report

<b>NOGRR Number</b>	<b><u>246</u></b>	<b>NOGRR Title</b>	<b>Related to NPRR1161, Clarify AVR Notification Requirements for IRRs</b>
<b>Date of Decision</b>	June 20, 2023		
<b>Action</b>	Recommended Approval		
<b>Timeline</b>	Normal		
<b>Proposed Effective Date</b>	Upon implementation of Nodal Protocol Revision Request (NPRR) 1161, Clarify AVR Notification Requirements for IRRs		
<b>Priority and Rank Assigned</b>	Not applicable		
<b>Nodal Operating Guide Sections Requiring Revision</b>	2.2.5, Automatic Voltage Regulators 2.7.3.4, QSE Responsibilities		
<b>Related Documents Requiring Revision/Related Revision Requests</b>	NPRR1161		
<b>Revision Description</b>	This Nodal Operating Guide Revision Request (NOGRR) clarifies that Intermittent Renewable Resources (IRRs) who remain synchronized to the ERCOT System but are not able to provide Reactive Power when not providing real power do not have to notify ERCOT other than the Real-Time telemetered status.		
<b>Reason for Revision</b>	<input checked="" type="checkbox"/> Addresses current operational issues. <input type="checkbox"/> Meets Strategic goals (tied to the <u>ERCOT Strategic Plan</u> or directed by the ERCOT Board). <input type="checkbox"/> Market efficiencies or enhancements <input type="checkbox"/> Administrative <input type="checkbox"/> Regulatory requirements <input type="checkbox"/> Other: (explain) <i>(please select all that apply)</i>		
<b>Business Case</b>	Some Market Participants reported to ERCOT that their procedures to comply with notification requirements related to Automatic Voltage Regulator (AVR) status changes would cause them to make daily or much more frequent voice calls to ERCOT that are not necessary		

## Board Report

	<p>following approval of NPRR1138, Communication of Capability and Status of Online IRRs at 0 MW Output. This clarification will prevent unnecessary voice notifications to ERCOT Operators.</p> <p>NPRR1138 requires the IRRs to telemeter a status of “Off” when the IRR is not producing real power output and is not capable of providing Reactive Power. It is normal for a unit that is Off-Line to have its AVR telemeter “Off” and no verbal notification made. The unique nature of IRRs remaining synchronized to the ERCOT System during night or no wind conditions technically meets the definition of “On-Line” and thus causes the need for clarification. Generation Resources that are capable of providing Reactive Power when not producing real power should still verbally notify ERCOT in addition to AVR telemetry as this is an abnormal operating status.</p>
<b>ROS Decision</b>	<p>On 3/2/23, ROS voted unanimously to recommend approval of NOGRR246 as submitted. All Market Segments participated in the vote.</p> <p>On 4/6/23, ROS voted to endorse and forward to TAC the 3/2/23 ROS Report as revised by ROS and the 2/7/23 Impact Analysis for NOGRR246. There was one abstention from the Independent Power Marketer (IPM) (SENA) Market Segment. All Market Segments participated in the vote.</p>
<b>Summary of ROS Discussion</b>	<p>On 3/2/23, participants reviewed NOGRR246.</p> <p>On 4/6/23, participants reviewed the Impact Analysis and discussed correction of a defined term.</p>
<b>TAC Decision</b>	<p>On 5/23/23, TAC voted to recommend approval of NOGRR246 as recommended by ROS in the 4/6/23 ROS Report. There was one abstention from the Independent Generator (Luminant) Market Segment. All Market Segments participated in the vote.</p>
<b>Summary of TAC Discussion</b>	<p>On 5/23/23, TAC reviewed the ERCOT Opinion, ERCOT Market Impact Statement, and Independent Market Monitor (IMM) Opinion for NOGRR246.</p>
<b>ERCOT Board Decision</b>	<p>On 6/20/23, the ERCOT Board voted unanimously to recommend approval of NOGRR246 as recommended by TAC in the 5/23/23 TAC Report.</p>

<b>Opinions</b>	
<b>Credit Review</b>	Not applicable

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<b>Independent Market Monitor Opinion</b>	IMM has no opinion on NOGRR246.
<b>ERCOT Opinion</b>	ERCOT supports approval of NOGRR246.
<b>ERCOT Market Impact Statement</b>	ERCOT Staff has reviewed NOGRR246 and believes the market impact for NOGRR246 will prevent unnecessary voice notifications to ERCOT Operators.

<b>Sponsor</b>	
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<b>Market Segment</b>	Not applicable

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<b>Comments Received</b>	
<b>Comment Author</b>	<b>Comment Summary</b>
None	

<b>Market Rules Notes</b>
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None

<b>Proposed Guide Language Revision</b>
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### 2.2.5 Automatic Voltage Regulators

- (1) A Resource Entity shall immediately notify its QSE and its interconnecting TO of any change in Automatic Voltage Regulator (AVR) status (i.e., AVR unavailability due to maintenance or failure and when the AVR returns to normal operation). A QSE shall immediately notify ERCOT, via telemetry and verbal notification, of any change in AVR

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status and shall supply AVR status logs to ERCOT upon request per Protocol Section 6.5.5.1, Changes in Resource Status. For each Generation Resource that is On-Line but not producing real power and is not capable of providing ~~Reactive~~ ~~p~~Power, each QSE must still telemeter its AVR status to ERCOT, but is not required to provide verbal notifications of its AVR status changes to ERCOT during these operating conditions.

- (2) Resource Entities shall conduct tests for the purpose of model verification on AVRs or verify AVR performance through comparison with operational data a minimum of every ten calendar years. All new Generation Resources shall conduct an AVR test as prescribed in paragraph (4) of Protocol Section 8.1.1.2.1.4, Voltage Support Service Qualification, within five years of the initial AVR test approved as part of the commissioning process. All subsequent tests shall be conducted on a ten year cycle. Additionally, if equipment characteristics are knowingly modified, an AVR test shall be conducted within 120 days of the modification. Industry accepted testing techniques shall be used for testing, measuring and calculating the modeling parameters. The test report must list the test(s) conducted or include the operational data used to verify the modeling parameters. Any models created from the test data must be a standard Power System Simulator for Engineering (PSS/E) dynamic model or ERCOT and Transmission Service Provider (TSP) approved user written model.
  - (a) Resource Entities will provide the test data or verified dynamic models to ERCOT by submittal to the Net Dependable Capability and Reactive Capability (NDCRC) application located on the MIS Secure Area or by updating its Resource Registration information respectively.
  - (b) All devices included in the AVR control system including but not limited to synchronous condensers, static Volt-Ampere reactive (VAR) compensators, static synchronous compensators (STATCOMs), and switchable shunt reactive devices required to meet Protocol Section 3.15, Voltage Support, shall be included in the AVR test and set to regulate the transmission level voltage at the Point of Interconnection Bus (POIB).

***[NOGRR204: Replace paragraph (2) above with the following upon system implementation of NPRR989:]***

- (2) Resource Entities shall conduct tests for the purpose of model verification on AVRs or verify AVR performance through comparison with operational data a minimum of every ten calendar years. All new Generation Resources and Energy Storage Resources (ESRs) shall conduct an AVR test as prescribed in paragraph (4) of Protocol Section 8.1.1.2.1.4, Voltage Support Service Qualification, within five years of the initial AVR test approved as part of the commissioning process. All subsequent tests shall be conducted on a ten year cycle. Additionally, if equipment characteristics are knowingly modified, an AVR test shall be conducted within 120 days of the modification. Industry accepted testing techniques shall be used for testing, measuring and calculating the modeling parameters. The test report must list the test(s) conducted or include the operational data used to verify the modeling parameters. Any models created from the test data must be a standard Power System Simulator for Engineering

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(PSS/E) dynamic model or ERCOT and Transmission Service Provider (TSP) approved user written model.

- (a) Resource Entities will provide the test data or verified dynamic models to ERCOT by submittal to the Net Dependable Capability and Reactive Capability (NDCRC) application located on the MIS Secure Area or by updating its Resource Registration information respectively.
- (b) All devices included in the AVR control system including but not limited to synchronous condensers, static Volt-Ampere reactive (VAr) compensators, static synchronous compensators (STATCOMs), and switchable shunt reactive devices required to meet Protocol Section 3.15, Voltage Support, shall be included in the AVR test and set to regulate the transmission level voltage at the Point of Interconnection Bus (POIB).

- (3) Resource Entities shall verify excitation systems model data upon initial installation, within 120 days of performance modifications, and a minimum of ten calendar years thereafter.
- (4) An exemption may be granted for the testing requirements listed in paragraphs (2) and (3) above if the Resource on which the AVR or excitation system is installed has an Annual Net Capacity Factor (ANCF) of 5% or less over the most recent three calendar years preceding the planned testing calendar year. ANCF is calculated as follows:

**Annual Total Net Generation in MWhr/(Annual Hours \* Average Seasonal Net Max Sustainable Rating) \* 100%**

Wherein:

Annual Hours = Number of hours in the calendar year being reported. Hours in mothball or retired status are not included in the hour total;

and

Average Seasonal Net Max Sustainable Rating = Average of the Seasonal Net Max Sustainable ratings submitted via the NDCRC application located on the MIS Secure Area.

- (a) At the end of this ten year timeframe, the current average three year ANCF (for years eight, nine, and ten) will be examined by ERCOT to determine if the exemption can be declared for the next ten year period. If no longer eligible for exemption based on the ANCF, then model verification must be completed within 365 calendar days of the date the capacity factor exemption expired. Under certain operating conditions, ERCOT may require a ten year test even if the current average three year ANCF is below the 5% threshold.

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- (5) Black Start designated units are not eligible for the ANCF exemption detailed in paragraph (4) above. If a Resource that had been granted an exemption detailed in paragraph (4) above is accepted for Black Start Service (BSS), the Resource has 365 days from the start date of BSS to submit modeling information detailed in paragraph (2) above.
- (6) Generation Resource AVR modeling information required in the ERCOT planning criteria shall be determined from actual Generation Resource testing described in these Operating Guides. Within 30 days of ERCOT's request, the results of the latest test performed shall be supplied to ERCOT and the TSP.

***[NOGRR204: Replace paragraph (6) above with the following upon system implementation of NPRR989:]***

- (6) Generation Resource or ESR AVR modeling information required in the ERCOT planning criteria shall be determined from actual Generation Resource or ESR testing described in these Operating Guides. Within 30 days of ERCOT's request, the results of the latest test performed shall be supplied to ERCOT and the TSP.

### 2.7.3.4 QSE Responsibilities

- (1) Each QSE shall ensure that any Generation Resource that it represents and that is required to provide VSS responds to any VSS Dispatch Instruction including VSS Dispatch Instruction to exceed its CURL or URL or TO Voltage Set Point instruction within the time requirements specified in paragraph (3)(b) of Section 2.2.10, Generation Resource Response Time Requirements, even if the new Voltage Set Point is within the tolerance band identified in paragraph (4) of Section 2.7.3.5, Resource Entity Responsibilities and Generation Resource Requirements. If the Resource Entity notifies the QSE that a Generation Resource cannot comply with the VSS Dispatch Instruction or TO Voltage Set Point instruction, either the Resource Entity or its QSE shall, as soon as practicable, notify the Entity that issued the instruction. The Resource Entity or its QSE shall provide the reason for not being able to comply and an estimated time for resolution, when known.
- (2) Each QSE representing a Generation Resource shall provide in Real-Time the desired Voltage Set Point and the associated POIB kV measurement to the Generation Resource.
- (3) Each QSE will continuously monitor the status of its Generating Resources' AVRs and PSSs.
- (4) Each QSE must, as soon as practicable, notify ERCOT, via telemetry and verbal notifications, when a Generation Resource experiences a change that affects its reactive capability, including any change to the operation mode of the Generation Resource's AVR. For each Generation Resource that is On-Line but not producing real power and is not capable of providing ~~Reactive~~ Power, each QSE must still telemeter its AVR status

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to ERCOT, but is not required to provide verbal notifications of its AVR status changes to ERCOT during these operating conditions.

*[NOGRR204: Replace Section 2.7.3.4 above with the following upon system implementation of NPRR989:]*

## 2.7.3.4 QSE Responsibilities

- (1) Each QSE shall ensure that any Generation Resource or ESR that it represents and that is required to provide VSS responds to any VSS Dispatch Instruction including VSS Dispatch Instruction to exceed its CURL or URL or TO Voltage Set Point instruction within the time requirements specified in paragraph (3)(b) of Section 2.2.10, Generation Resource and Energy Storage Resource Response Time Requirements, even if the new Voltage Set Point is within the tolerance band identified in paragraph (4) of Section 2.7.3.5, Resource Entity Responsibilities and Generation Resource and Energy Storage Resource Requirements. If the Resource Entity notifies the QSE that a Generation Resource or an ESR cannot comply with the VSS Dispatch Instruction or TO Voltage Set Point instruction, either the Resource Entity or its QSE shall, as soon as practicable, notify the Entity that issued the instruction. The Resource Entity or its QSE shall provide the reason for not being able to comply and an estimated time for resolution, when known.
- (2) Each QSE representing a Generation Resource or ESR shall provide in Real-Time the desired Voltage Set Point and the associated POIB kV measurement to the Generation Resource or ESR.
- (3) Each QSE will continuously monitor the status of its Resources' AVRs and PSSs.
- (4) Each QSE must, as soon as practicable, notify ERCOT via telemetry and verbal notifications, when a Generation Resource or ESR experiences a change that affects its reactive capability, including any change to the operation mode of the Generation Resource's or ESR's AVR. For each Generation Resource that is On-Line but not producing real power and is not capable of providing ~~r~~Reactive ~~p~~Power, each QSE must still telemeter its AVR status to ERCOT, but is not required to provide verbal notifications of its AVR status changes to ERCOT during these operating conditions.

## ERCOT Impact Analysis Report

<b>NOGRR Number</b>	<b><u>246</u></b>	<b>NOGRR Title</b>	<b>Related to NPPR1161, Clarify AVR Notification Requirements for IRRs</b>
<b>Impact Analysis Date</b>	February 7, 2023		
<b>Estimated Cost/Budgetary Impact</b>	None.		
<b>Estimated Time Requirements</b>	No project required. This Nodal Operating Guide Revision Request (NOGRR) can take effect upon implementation of Nodal Protocol Revision Request (NPPR) 1161.		
<b>ERCOT Staffing Impacts (across all areas)</b>	Ongoing Requirements: No impacts to ERCOT staffing.		
<b>ERCOT Computer System Impacts</b>	No impacts to ERCOT computer systems.		
<b>ERCOT Business Function Impacts</b>	No impacts to ERCOT business functions.		
<b>Grid Operations &amp; Practices Impacts</b>	No impacts to ERCOT grid operations and practices.		

### **Evaluation of Interim Solutions or Alternatives for a More Efficient Implementation**

None offered.

### **Comments**

There are no additional impacts to this NOGRR beyond what was captured in the Impact Analysis for NPPR1161.



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<b>RMGRR Number</b>	<b><u>172</u></b>	<b>RMGRR Title</b>	<b>Texas SET V5.0 Continuous Service Agreements Changes</b>
<b>Date of Decision</b>	June 20, 2023		
<b>Action</b>	Recommended Approval		
<b>Timeline</b>	Normal		
<b>Proposed Effective Date</b>	Upon implementation of PR409-01, TX SET 5_0 and System Change Request (SCR) 817, Related to NPPRR1095, MarkeTrak Validation Revisions Aligning with Texas SET V5.0		
<b>Priority and Rank Assigned</b>	Not applicable		
<b>Retail Market Guide Sections Requiring Revision</b>	<p>7.11.2.4.1, Losing Competitive Retailer Responsibilities in an Acquisition Transfer Event</p> <p>7.11.2.4.4, Gaining Competitive Retailer Responsibilities in an Acquisition Transfer</p> <p>7.19, Business Processes Related to Continuous Service Agreements (new)</p> <p>7.19.1, Removal of a Pending Continuous Service Agreement – IOU Territory (new)</p> <p>7.19.2, Removal of a Pending Continuous Service Agreement – MOU Territory (new)</p> <p>9, Appendix D1, Transaction Timing Matrix</p> <p>11.2.1.1, ERCOT Operating Rule 1 for Rejection: Same Day Scheduled Meter Read Date</p> <p>11.2.5.6, ERCOT Operating Rule 23: Cancel with Exception</p> <p>11.2.5.10, ERCOT Operating Rule 27: Duplicates</p> <p>11.2.5.12, ERCOT Operating Rule 29: Continuous Service Agreements (CSAs)</p> <p>11.2.5.13, ERCOT Operating Rule 30: Move Out to CSA</p> <p>11.4.5, REP Operating Rule 5: Establish Continuous Service Agreement After Move Out Results in De-energized Premise</p> <p>11.4.6, REP Operating Rule 6: Establish Continuous Service Agreement After Move Out Results in De-energized Premise</p>		
<b>Related Documents Requiring Revision/Related Revision Requests</b>	<p>Nodal Protocol Revision Request (NPPRR) 1168, Related to RMGRR172, Texas SET V5.0 Continuous Service Agreements Changes</p> <p>SCR817</p>		
<b>Revision Description</b>	This Retail Market Guide Revision Request (RMGRR) updates the		

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	name of the 814_18 Texas Standard Electronic Transaction (Texas SET) transaction from 'Establish/Delete CSA Request' to 'Establish/Change/Delete CSA Request' and adds new sections to the Retail Market Guide that describe how to cancel a pending Continuous Service Agreement (CSA) through MarkeTrak.
<b>Reason for Revision</b>	<input checked="" type="checkbox"/> Addresses current operational issues. <input type="checkbox"/> Meets Strategic goals (tied to the <u>ERCOT Strategic Plan</u> or directed by the ERCOT Board). <input checked="" type="checkbox"/> Market efficiencies or enhancements <input type="checkbox"/> Administrative <input type="checkbox"/> Regulatory requirements <input type="checkbox"/> Other: (explain) <i>(please select all that apply)</i>
<b>Business Case</b>	<p>This RMGRR is associated with Texas SET V5.0 which is developed to:</p> <ul style="list-style-type: none"> <li>• Provide better information for Market Participants to communicate with one another;</li> <li>• Compress time associated with closure of Customer issues;</li> <li>• Assist Market Participants in delivering a better overall Customer experience;</li> <li>• Improve processes to address lessons learned from weather events (e.g., Hurricane Harvey and Winter Storm Uri); and</li> <li>• Include support for new technology advancements (e.g., Distributed Generation (DG)).</li> </ul> <p>Texas SET V4.0 was released in 2012. The retail changes that Texas SET V5.0 proposes strengthen processes by addressing the following:</p> <ul style="list-style-type: none"> <li>• During July 2021, over 1000 move outs were executed resulting in unauthorized disconnection of power due to a Competitive Retailer's (CR's) improper use of transactions. This RMGRR restricts/prevents these lights-out situations from occurring which reduces negative impacts to Customers;</li> <li>• Prevents the unauthorized activation of a CSA after the contract has terminated; and</li> <li>• Replaces current manual intervention that is required of Transmission and/or Distribution Service Providers (TDSPs) in the MarkeTrak application with a streamlined automated</li> </ul>

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	transactional solution, resulting in efficiencies that will be gained by quicker completion of <i>Inadvertent Gain</i> or <i>Customer Rescission</i> issues.
<b>RMS Decision</b>	On 3/7/23, RMS voted unanimously to recommend approval of RMGRR172 as submitted. All Market Segments participated in the vote.  On 4/4/23, RMS voted unanimously to endorse and forward to TAC the 3/7/23 RMS Report and the 3/14/23 Impact Analysis for RMGRR172. The Independent Power Marketer (IPM) Market Segment did not participate in the vote.
<b>Summary of RMS Discussion</b>	On 3/7/23, participants reviewed RMGRR172.  On 4/4/23, participants reviewed the 3/14/23 Impact Analysis.
<b>TAC Decision</b>	On 5/23/23, TAC voted to recommend approval of RMGRR172 as recommended by RMS in the 4/4/23 RMS Report. There was one abstention from the Independent Generator (Luminant) Market Segment. All Market Segments participated in the vote.
<b>Summary of TAC Discussion</b>	On 5/23/23, TAC reviewed the ERCOT Opinion, ERCOT Market Impact Statement, and Independent Market Monitor (IMM) Opinion for RMGRR172.
<b>ERCOT Board Decision</b>	On 6/20/23, the ERCOT Board voted unanimously to recommend approval of RMGRR172 as recommended by TAC in the 5/23/23 TAC Report.

Opinions	
<b>Credit Review</b>	Not applicable
<b>Independent Market Monitor Opinion</b>	The IMM has no opinion on RMGRR172.
<b>ERCOT Opinion</b>	ERCOT supports approval of RMGRR172.
<b>ERCOT Market Impact Statement</b>	ERCOT Staff has reviewed RMGRR172 and believes that it has a positive market impact by both addressing current operational issues and providing market efficiencies or enhancement by updating the name of the 814_18 Texas SET transaction from 'Establish/Delete CSA Request' to 'Establish/Change/Delete CSA Request' and adding new sections to the Retail Market Guide that describe how to cancel a pending CSA through MarkeTrak.

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Sponsor	
<b>Name</b>	Kyle Patrick on behalf of Texas SET Working Group
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<b>Company</b>	NRG
<b>Phone Number</b>	713-304-0698
<b>Cell Number</b>	713-304-0698
<b>Market Segment</b>	Not Applicable

Market Rules Staff Contact	
<b>Name</b>	Jordan Troublefield
<b>E-Mail Address</b>	<a href="mailto:Jordan.Troublefield@ercot.com">Jordan.Troublefield@ercot.com</a>
<b>Phone Number</b>	512-248-6521

Comments Received	
<b>Comment Author</b>	<b>Comment Summary</b>
None	

Market Rules Notes
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Please note that the following RMGRR(s) also propose revisions to the following section(s):

- RMGRR174, Related to NPRR1173, Changes Consistent With the Options Available to an MOU and EC Entering Retail Competition in the ERCOT Market
  - Section 11.2.5.6

Proposed Guide Language Revision
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### **7.11.2.4.1      *Losing Competitive Retailer Responsibilities in an Acquisition Transfer Event***

- (1) Before ERCOT initiates transactions in an Acquisition Transfer, the Losing CR shall satisfy its responsibilities as outlined in paragraph (2) below.
- (2) The Losing CR will perform the following actions prior to the initial Acquisition Transfer event conference call, as scheduled by ERCOT in paragraph (3) of Section 7.11.2.4.2, ERCOT Responsibilities in an Acquisition Transfer:
  - (a) Confirm the Losing CR's current list of Transition/Acquisition contacts are on file with ERCOT (as designated on the Losing CR's ERCOT NCI form). It is the

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responsibility of the Losing CR to maintain accurate contact information on file with ERCOT. Additions and modifications to Transition/Acquisition contact information must be made by submitting an NCI form, as provided on the ERCOT website, to ERCOT Registration;

- (b) Work with the Gaining CR, PUCT, ERCOT and applicable TDSP(s) as early as possible to determine timeline for the transfer including the date of transaction submission and transfer completion;
- (c) Provide ERCOT with notice that the Losing CR has worked with the PUCT to begin the Acquisition Transfer event process;
- (d) Send the 650\_01, Service Order Request, to the TDSP to remove the switch hold from any ESI IDs involved in the Acquisition Transfer event.

NOTE: If the Losing CR has not provided the 650\_01 transaction(s) to the applicable TDSP(s) requesting switch hold removal(s) no later than one Retail Business Day prior to the Acquisition Transfer event conference call, the TDSP(s) will remove all switch hold(s) that are associated with the list of ESI IDs that the TDSP(s) received from ERCOT as soon as possible in an effort to prevent ERCOT's generated 814\_03, Enrollment Notification Request, from being rejected by the TDSP(s) due to switch hold.

- (e) Send the 814\_18, Establish/Change/Delete CSA Request, to cancel existing CSAs as necessary;
  - (f) Provide the list of ESI IDs to be transferred (as agreed to by the ALA) to the Gaining CR, ERCOT and applicable TDSP(s) using the file format specified in Section 9, Appendix F7, File Layout for Acquisition Transfer, indicating those ESI IDs using standard 814\_03 transaction timelines and those using self-selected 814\_03 transaction timelines. For Acquisition Transfers requesting a self-selected 814\_03 transaction, the Losing CR must indicate the self-selected Requested Date. The Requested Date is required to be no more than 90 days in the future;
- (3) Participate in the initial Acquisition Transfer event conference call, as described in paragraph (3) of Section 7.11.2.4.2, between ERCOT, PUCT, Gaining CR, and applicable TDSP(s) to make sure all parties are aware of the transfer;
  - (4) If the Losing CR provides the Customer billing contact information to the Gaining CR using the format in File 1, MITRCustomerInformation.csv, in Section 9, Appendix F6, Customer Billing Contact Information, or a mutually agreed upon file content and/or file format, the Losing CR does not need to submit the file to ERCOT as ERCOT is not responsible for providing this information to the Gaining CR;
  - (5) Following the initial Acquisition Transfer Event conference call, the Losing CR shall complete the following:
    - (a) Receive the 814\_11, Drop Response, from ERCOT

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- (b) Work with involved parties to resolve exception ESI IDs (i.e. clean up out-of-sync RLP of record associations, pending transaction questions, and any exceptions that may not have been included in the list of ESI IDs provided in the Acquisition Transfer file described in paragraph (2)(f) above);
  - (c) Work with affected parties to close MarkeTrak issues associated with ESI IDs to be transferred; and
- (6) Participate in any additional conference calls concerning the Acquisition Transfer event scheduled by ERCOT, as described in paragraph (5) of Section 7.11.2.4.2.

### **7.11.2.4.4      *Gaining Competitive Retailer Responsibilities in an Acquisition Transfer***

- (1) The Gaining CR will perform the following actions in an Acquisition Transfer event.
- (2) Prior to the initial Acquisition Transfer event conference call, as scheduled by ERCOT in paragraph (3) of Section 7.11.2.4.2, ERCOT Responsibilities in an Acquisition Transfer:
  - (a) Confirm accuracy of the Gaining CR's list of Transition/Acquisition contacts on file with ERCOT (as designated on the Gaining CR's ERCOT NCI form). It is the responsibility of the Gaining CR to maintain accurate contact information on file with ERCOT. Additions and modifications to Transition/Acquisition contact information must be made by submitting an NCI form, as provided on the ERCOT website, to ERCOT Registration;
  - (b) Verify accuracy of Gaining CR's DUNS # provided in the Acquisition Transfer file;
  - (c) Submit an 814\_18, Establish/Change/Delete CSA Request, for any CSA the Gaining CR they will be responsible for after the completion of the transfer and prior to the submission of any move outs;
- (3) Participate in the initial Acquisition Transfer event conference call between ERCOT, PUCT, Losing CR, and applicable TDSP as described in paragraph (3) of Section 7.11.2.4.2, to make sure all parties are aware of the transfer;
  - (a) Following the initial Acquisition Transfer event conference call:
    - (i) Receive the 814\_14, Drop Enrollment Request;
    - (ii) Work with involved parties to determine the process to be used for exception ESI IDs (i.e. clean up out-of-sync RLP of record associations, pending transaction questions, and any exceptions that may not have been included in the list of ESI IDs provided by the Losing CR in the Acquisition Transfer file described in paragraph (2)(f) of Section 7.11.2.4.1, Losing Competitive Retailer Responsibilities in an Acquisition Transfer event the Losing CR);

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- (iii) Work with ERCOT to ensure all affected ESI IDs have been transferred according to the Acquisition Transfer file; and
  - (iv) Send updated Customer information as received from the Losing CR in the Customer Billing Contact Information File 1, MTRCustomerInformation.csv, in Section 9, Appendix F6, Customer Billing Contact Information, to the TDSP using the 814\_PC, Maintain Customer Information Request.
- (4) Participate in any additional conference calls concerning the Acquisition Transfer event scheduled by ERCOT, including the final Acquisition Transfer event conference call confirming closure of Acquisition Transfer event, as scheduled by ERCOT in paragraph (5) of Section 7.11.2.4.2.

### **7.19 Business Processes Related to Continuous Service Agreements**

- (1) This Section provides Market Participants with market-approved guidelines for Continuous Service Agreements (CSAs).

#### **7.19.1 Removal of a Pending Continuous Service Agreement – IOU Territory**

- (1) The Competitive Retailer (CR) will create a Day-to-Day Market Rule subtype issue, assigned to ERCOT, and enter "CSACAN" in the required Market Rule field to indicate that the CR would like to cancel a CSA where the CSA start date is in the future.
- (2) ERCOT shall accept the MarkeTrak issue, cancel the pending CSA, and select "Complete" to indicate the requested action has been taken. The issue can then be "Closed" by the CR or will auto close in the system, requiring no further action by the CR after completion.

#### **7.19.2 Removal of a Pending Continuous Service Agreement – MOU Territory**

- (1) The CR will create a Day-to-Day Market Rule subtype issue, assigned to ERCOT, and enter "CSACAN" in the required Market Rule field to indicate that the CR would like to cancel a CSA where the CSA start date is in the future.
- (2) ERCOT shall accept the MarkeTrak issue and, upon review, assign the issue to the Municipally Owned Utility (MOU) Transmission and/or Distribution Service Provider (TDSP) for approval unless otherwise indicated in Section 8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market. Upon the MOU TDSP approval, the issue will be assigned back to ERCOT. ERCOT shall cancel the pending CSA and select "Complete" to indicate the requested action has been taken. The issue can then be "Closed" by the CR or will auto close in the system, requiring no further action by the CR after completion.

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### **ERCOT Retail Market Guide**

#### **Section 9: Appendices**

#### **Appendix D1: Transaction Timing Matrix**

**~~December 11, 2017~~TBD**



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### Appendix D1

#### Transaction Timing Matrix

*Reference: Section 7.7, Transaction Timing Matrix*

CR = Competitive Retailer

CSA = Continuous Service Agreement

TDSP = Transmission and/or Distribution Service Provider

Transaction	Business Process	From	To	Timing/ Business Rules	Example	Protocol Reference Section
814_01, Switch Request		CR	ERCOT	N/A		15.1.1, Submission of a Switch Request
814_02, Switch Reject Response		ERCOT	CR	One Retail Business Hour	814_01 received by ERCOT on Monday @ 1500 = Hour 0 814_02 sent to CR by Monday @ 1600 = Hour 1	15.1.1.8, Rejection of Switch Request
814_03, Enrollment Notification Request	Switch	ERCOT	TDSP	One Retail Business Hour	814_01 received by ERCOT on Monday @ 1500 = Hour 0 814_03 sent to TDSP by Monday @ 1600 = Hour 1	15.1.1.3, Switch Enrollment Notification Request to TDSP
814_03, Enrollment Notification Request	Same Day move out to CSA	ERCOT	TDSP	One Retail Business Hour	814_24 processed by ERCOT on Monday @ 1500 = Hour 0 814_03 sent to TDSP by Monday @ 1600 = Hour 1	15.1.5.3, Notification to Transmission and/or Distribution Service Provider of Move Out

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Transaction	Business Process	From	To	Timing/ Business Rules	Example	Protocol Reference Section
814_03, Enrollment Notification Request	Standard move out CSA	ERCOT	TDSP	Two Retail Business Hours	814_24 processed by ERCOT on Monday @ 1500 = Hour 0 814_03 sent to TDSP by Monday @ 1700 = Hour 2	15.1.5.3, Notification to Transmission and/or Distribution Service Provider of Move Out
814_03, Enrollment Notification Request	Same Day move in	ERCOT	TDSP	One Retail Business Hour	Priority 814_16 processed by ERCOT on Monday @ 1500 = Hour 0 814_03 sent to TDSP by Monday @ 1600 = Hour 1  (EXCEPTION: "Invalid ESI ID" requires 48 hours for ERCOT to reject.)	15.1.4.1, Move-In Request to Begin Electric Service  15.1.4.3, Notification to Transmission and/or Distribution Service Provider of Move In
814_03, Enrollment Notification Request	Standard move in	ERCOT	TDSP	One Retail Business Hour	Standard 814_16 processed by ERCOT on Monday @ 1500 = Hour 0 814_03 sent to TDSP by Monday @ 1600 = Hour 1  (EXCEPTION: "Invalid ESI ID" requires 48 hours for ERCOT to reject.)	15.1.4.1, Move-In Request to Begin Electric Service  15.1.4.3, Notification to Transmission and/or Distribution Service Provider of Move In

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Transaction	Business Process	From	To	Timing/ Business Rules	Example	Protocol Reference Section
814_04, Enrollment Notification Response		TDSP	ERCOT	Two Retail Business Days	814_03 received by TDSP on Monday @ 1500 = <b>Day 0</b> 814_04 sent to ERCOT by Wednesday @ 1700 = <b>Day 2</b>	<u><b>Move In</b></u> 15.1.4.4, Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)  <u><b>Move Out CSA</b></u> 15.1.5.4, Response to Enrollment Notification Request/Service Termination from Transmission and/or Distribution Service Provider  <u><b>Switch</b></u> 15.1.1.4, Response from TDSP to Registration Notification Request  <u><b>Mass Transition</b></u> 15.1.3.1, Mass Transition Process  <u><b>Acquisition Transfer</b></u> 15.1.3.2, Acquisition Transfer Process
814_05, CR Enrollment Notification Response	Same Day move in	ERCOT	CR	One Retail Business Hour	814_04 received by ERCOT on Monday @ 1500 – <b>Hour 0</b> 814_05 sent to CR by Monday @ 1600 – <b>Hour 1</b>	15.1.4.5, Response to Valid Move-In Request
814_05, CR Enrollment Notification Response	Standard move in	ERCOT	CR	One Retail Business Hour	814_04 received by ERCOT on Monday @ 1500 = <b>Hour 0</b> 814_05 sent to CR by Monday @ 1600 = <b>Hour 1</b>	15.1.4.5, Response to Valid Move-In Request
814_05, CR Enrollment Notification Response	Switch	ERCOT	CR	One Retail Business Day	814_04 received by ERCOT on Monday @ 1500 = <b>Day 0</b> 814_05 sent to CR by Tuesday @ 1700 = <b>Day 1</b>	15.1.1.5, Response to Valid Enrollment Request

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Transaction	Business Process	From	To	Timing/ Business Rules	Example	Protocol Reference Section
814_06, Loss Notification	Move in	ERCOT	CR	Two Retail Business Days PRIOR to effectuating date	<u>EXAMPLE 1:</u> Move in effectuating date is Wednesday, 6/10. 814_06 sent by 0800 on Monday, 6/8. <u>EXAMPLE 2:</u> Move in effectuating date is Monday, 7/10. 814_06 sent by 0800 on Thursday 7/5 (NOTE: Exclude Saturday & Sunday)	15.1.4.6, Loss Notification to Current Competitive Retailer
814_06, Loss Notification	Switch	ERCOT	CR	Two Retail Business Days PRIOR to effectuating date	<u>EXAMPLE 1:</u> Switch effectuating date is Friday, 8/10. 814_06 sent by 0800 on Wednesday, 8/8. <u>EXAMPLE 2:</u> Switch effectuating date is Tuesday, 9/9. 814_06 sent by 0800 on Friday, 9/3 (NOTE: Exclude Saturday & Sunday)	15.1.1.6, Loss Notification to Current Competitive Retailer of Drop Due to Switch (with date)
814_08, Cancel Request	CR initiated	CR	ERCOT	N/A	CR must send the Cancel on or before the day preceding the scheduled switch, move in, or move out date.	15.1.8, Cancellation of Registration Transactions
814_08, Cancel Request	CR initiated	ERCOT	TDSP	Two Retail Business Hours	814_08 received by ERCOT on Monday @ 1500 = Hour 0 814_08 sent to TDSP by Monday @ 1700 = Hour 2	15.1.8, Cancellation of Registration Transactions
814_08, Cancel Request	ERCOT initiated	ERCOT	CR TDSP	N/A	AFTER the 20 Business Day expiration OR the effectuating date of the switch/move in – TDSP has NOT sent the 814_04	<u>Switch</u> 15.1.1.4, Response from TDSP to Registration Notification Request  <u>Move In</u> 15.1.4.4, Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)  <u>Customer Objection</u> 15.1.1.4, Response from TDSP to Registration Notification Request

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Transaction	Business Process	From	To	Timing/ Business Rules	Example	Protocol Reference Section
814_09, Cancel Response		TDSP	ERCOT	One Retail Business Day	814_08 received by TDSP on Monday @ 1500 = Day 0 814_09 sent to ERCOT by Tuesday @ 1700 = Day 1	<b>Switch</b> 15.1.1.4, Response from TDSP to Registration Notification Request  <b>Move In</b> 15.1.4.4, Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)  <b>Move Out</b> 15.1.5.4, Response to Enrollment Notification Request/Service Termination from TDSP
814_09, Cancel Response		ERCOT	CR	Two Retail Business Hours	814_09 received by ERCOT on Monday @ 1500 = Hour 0 814_09 sent to CR by Monday @ 1700 = Hour 2	15.1.8, Cancellation of Registration Transactions
814_11, Drop Response	ERCOT reject	ERCOT	CR	One Retail Business Day	814_10 received by ERCOT on Monday @ 1500 = Day 0 814_11 reject sent to CR by Tuesday @ 1700 = Day 1	15.1.2, Response from ERCOT to Drop to Affiliate Retail Electric Provider Request
814_11, Drop Response	Transition Process	ERCOT	CR	One Retail Business Day	814_04 received by ERCOT on Monday @ 1500 = Day 0 814_11 sent to CR by Tuesday @ 1700 = Day 1	<b>Mass Transition</b> 15.1.3.1, Mass Transition Process  <b>Acquisition Transfer</b> 15.1.3.2, Acquisition Transfer Process
814_12, Date Change Request	CR initiated	CR	ERCOT	N/A	CR must send the Date Change on or before the day preceding the scheduled move in or move out date.	15.1.7, Move In or Move Out Date Change
814_12, Date Change Request	CR initiated	ERCOT	TDSP	Two Retail Business Hours	814_12 received by ERCOT on Monday @ 1500 = Hour 0 814_12 sent to TDSP by Monday @ 1700 = Hour 2	15.1.7, Move In or Move Out Date Change

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Transaction	Business Process	From	To	Timing/ Business Rules	Example	Protocol Reference Section
814_13, Date Change Response		TDSP	ERCOT	Two Retail Business Days	814_12 received by TDSP on Monday @ 1500 = Day 0 814_13 sent to ERCOT by Wednesday @ 1700 = Day 2	15.1.7, Move In or Move Out Date Change
814_13, Date Change Response		ERCOT	CR	Two Retail Business Hours	814_12 received by ERCOT on Monday @ 1500 = Hour 0 814_13 sent to CR by Monday @ 1700 = Hour 2	15.1.7, Move In or Move Out Date Change
814_14, Drop Enrollment Request	Transition Process	ERCOT	CR	One Retail Business Day	814_04 received from TDSP on Monday @ 1500 = Day 0 814_14 sent to POLR by Tuesday @ 1700 = Day 1	<u>Mass Transition</u> 15.1.3.1, Mass Transition Process  <u>Acquisition Transfer</u> 15.1.3.2, Acquisition Transfer Process
814_16, Move In Request	Same Day move in	CR	ERCOT	N/A		15.1.4.1, Move-In Request to Begin Electric Service
814_16, Move In Request	Standard move in	CR	ERCOT	N/A		15.1.4.1, Move-In Request to Begin Electric Service
814_17, Move In Reject Response	Same Day move in	ERCOT	CR	One Retail Business Hour	814_16 received by ERCOT on Monday @ 1500 = Hour 0 814_17 sent to CR by Monday @ 1600 = Hour 1  EXCEPTION: Move in that is invalid because of "Invalid ESI ID" requires 48 hours for ERCOT to reject.	15.1.4.2, Response to Invalid Move-In Request
814_17, Move In Reject Response	Standard move in	ERCOT	CR	One Retail Business Hour	814_16 received by ERCOT on Monday @ 1500 = Hour 0 814_17 sent to CR by Monday @ 1600 = Hour 1  EXCEPTION: Move in that is invalid because of "Invalid ESI ID" requires 48 hours for ERCOT to reject.	15.1.4.2, Response to Invalid Move-In Request

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Transaction	Business Process	From	To	Timing/ Business Rules	Example	Protocol Reference Section
814_18, <del>Establish/Change/Delete</del> CSA Request		CR	ERCOT	N/A		15.1.9.1, Request to Initiate Continuous Service Agreement  <u>15.1.10.1, Request to Initiate Continuous Service Agreement</u>
814_18, <del>Establish/Change/Delete</del> CSA Request		ERCOT	CR	<u>Within One Retail Business Day after the new CSA becomes active</u> <del>One Retail Business Day</del>	<del>814_18 received by ERCOT on Monday @ 1500 = Day 0</del> <del>814_18 sent to CR by Tuesday @ 1700 = Day 1</del>	15.1.9.1, Request to Initiate Continuous Service Agreement  <u>15.1.10.1, Request to Initiate Continuous Service Agreement</u>
814_18, <del>Establish/Change/Delete</del> CSA Request (MOU/IC)		ERCOT	TDSP	One Retail Business Day	814_18 received by ERCOT on Monday @ 1500 = Day 0 814_18 sent to CR by Tuesday @ 1700 = Day 1	15.1.10.1, Request to Initiate Continuous Service Agreement
814_19, <del>Establish/Change/Delete</del> CSA Response		ERCOT	CR	One Retail Business Day	814_18 received by ERCOT on Monday @ 1500 = Day 0 814_19 sent to CR by Tuesday @ 1700 = Day 1	15.1.9.1, Request to Initiate Continuous Service Agreement  <u>15.1.10.1, Request to Initiate Continuous Service Agreement</u>
814_20, ESIID Maintenance Request		TDSP	ERCOT	N/A		<u>Create</u> 15.4.1.4, New Electric Service Identifier Creation  <u>Maintain/Retire</u> 15.4.1.5, Electric Service Identifier Maintenance
814_20, ESIID Create/Maintain/Retire Request	Maintain	ERCOT	CR	Four Retail Business Hours	814_20 received by ERCOT on Monday @ 0800 = Hour 0 814_20 sent to CR by Monday @ 1200 = Hour 4	15.4.1.5, Electric Service Identifier Maintenance
814_21, ESIID Create/Maintain/Retire Response	Maintain or retire	ERCOT	TDSP	Four Retail Business Hours	814_20 received by ERCOT on Monday @ 0800 = Hour 0 814_20 sent to TDSP by Monday @ 1200 = Hour 4	15.4.1.5, Electric Service Identifier Maintenance

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Transaction	Business Process	From	To	Timing/ Business Rules	Example	Protocol Reference Section
814_21, ESI ID Create/Maintain/Retire Response	Create	ERCOT	TDSP	One Retail Business Hour	814_20 received by ERCOT on Monday @ 1500 = Hour 0 814_21 sent to TDSP by Monday @ 1600 = Hour 1	<u>Create</u> 15.4.1.4, New Electric Service Identifier Creation  <u>Maintain/Retire</u> 15.4.1.5, Electric Service Identifier Maintenance
814_22, CSA CR Move In Request		ERCOT	CSA CR	Two Retail Business Days PRIOR to effectuating date	<u>EXAMPLE 1:</u> Move out effectuating date is Wednesday, 6/10. 814_22 sent by 0800 on Monday, 6/8 <u>EXAMPLE 2:</u> Move out effectuating date is Monday, 7/10. 814_22 sent by 0800 on Thursday 7/5 (NOTE: Exclude Saturday & Sunday)	15.1.9.3, Notice to Continuous Service Agreement Competitive Retailer of Enrollment Due to a Move Out
814_24, Move Out Request	Move Out	CR	ERCOT	N/A		15.1.5.1, Request to Terminate Service
814_24, Move Out Request	Same Day Move Out	ERCOT	TDSP	One Retail Business Hour	814_24 received by ERCOT on Monday @ 1500 = Hour 0 814_24 sent to TDSP by Monday @ 1600 = Hour 1	15.1.5.3, Notification to Transmission and/or Distribution Service Provider of Move Out
814_24, Move Out Request	Standard Move Out	ERCOT	TDSP	Two Retail Business Hours	814_24 received by ERCOT on Monday @ 1500 = Hour 0 814_24 sent to TDSP by Monday @ 1700 = Hour 2	15.1.5.3, Notification to Transmission and/or Distribution Service Provider of Move Out
814_25, Move Out Response	ERCOT reject for Same Day Move Out	ERCOT	CR	One Retail Business Hour	814_24 processed by ERCOT on Monday @ 1500 = Hour 0 814_25 reject sent to CR by Monday @ 1600 = Hour 1  (EXCEPTION: "De- Energized ESI ID" requires 48 hours for ERCOT to reject.)	15.1.5.2, Response to Invalid Move-Out Request



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Transaction	Business Process	From	To	Timing/ Business Rules	Example	Protocol Reference Section
814_25, Move Out Response	ERCOT reject for Standard Move Out	ERCOT	CR	One Retail Business Hour	814_24 processed by ERCOT on Monday @ 1500 = Hour 0 814_25 reject sent to CR by Monday @ 1600 = Hour 1  (EXCEPTION: "De-Energized ESI ID" requires 48 hours for ERCOT to reject.)	15.1.5.2, Response to Invalid Move-Out Request
814_25, Move Out Response		TDSP	ERCOT	Two Retail Business Days	814_24 received by TDSP on Monday @ 1500 = Day 0 814_25 sent to ERCOT by Wednesday @ 1700 = Day 2	15.1.5.4, Response to Enrollment Notification Request/Service Termination from Transmission and/or Distribution Service Provider
814_25, Move Out Response		ERCOT	CR	Two Retail Business Hours	814_25 received by ERCOT on Monday @ 1500 = Hour 0 814_25 sent to CR by Monday @ 1700 = Hour 2	15.1.5.4, Response to Enrollment Notification Request/Service Termination from Transmission and/or Distribution Service Provider
814_26, Historical Usage Request		CR	ERCOT	N/A		15.1.1.2.2, Ad Hoc Requests for Historical Usage
814_26, Historical Usage Request		ERCOT	TDSP	One Retail Business Day	814_26 received by ERCOT on Monday @ 1500 = Day 0 814_26 sent to TDSP by Tuesday @ 1700 = Day 1	15.1.1.2.2, Ad Hoc Requests for Historical Usage
814_27, Historical Usage Response		TDSP	ERCOT	Two Retail Business Days	814_26 received by TDSP on Monday @ 1500 = Day 0 814_27 sent to ERCOT by Wednesday @ 1700 = Day 2	15.1.1.2.2, Ad Hoc Requests for Historical Usage
814_27, Historical Usage Response		ERCOT	CR	One Retail Business Day	814_27 received by ERCOT on Monday @ 1500 = Day 0 814_27 sent to CR by Tuesday @ 1700 = Day 1	15.1.1.2.2, Ad Hoc Requests for Historical Usage

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Transaction	Business Process	From	To	Timing/ Business Rules	Example	Protocol Reference Section
814_28, Complete Unexecutable or Permit Required	Unexecutable	TDSP	ERCOT	N/A		<p><b>Switch</b> 15.1.1.4, Response from TDSP to Registration Notification Request</p> <p><b>Move In</b> 15.1.4.4, Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)</p> <p><b>Move Out</b> 15.1.5.4, Response to Enrollment Notification Request/Service Termination from Transmission and/or Distribution Service Provider</p> <p><b>Completed Unexecutable</b> 15.1.4.6.1, Complete Unexecutable</p>
814_28, Complete Unexecutable or Permit Required	Unexecutable	ERCOT	CR	Two Retail Business Hours	814_28 received by ERCOT on Monday @ 1500 = Hour 0 814_28 sent to CR by Monday @ 1700 = Hour 2	<p><b>Switch</b> 15.1.1.4, Response from TDSP to Registration Notification Request</p> <p><b>Move In</b> 15.1.4.4, Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)</p> <p><b>Move Out</b> 15.1.5.4, Response to Enrollment Notification Request/Service Termination from Transmission and/or Distribution Service Provider</p>

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Transaction	Business Process	From	To	Timing/ Business Rules	Example	Protocol Reference Section
814_28, Complete Unexecutable or Permit Required	Permit	TDSP	ERCOT	Two Retail Business Days	814_03 received by TDSP on Monday @ 1500 = Day 0 814_28 sent to ERCOT by Wednesday @ 1700 = Day 2	15.1.4.4, Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)
814_28, Complete Unexecutable or Permit Required	Permit	ERCOT	CR	Two Retail Business Hours	814_28 received by ERCOT on Monday @ 1500 = Hour 0 814_28 sent to CR by Monday @ 1700 = Hour 2	15.1.4.4, Response to Enrollment Notification Request from Transmission and/or Distribution Service Provider (Move In)
814_29, Complete Unexecutable or Permit Required Response		ERCOT	TDSP	Two Retail Business Hours	814_29 received by ERCOT on Monday @ 1500 = Hour 0 814_29 sent to TDSP by Monday @ 1700 = Hour 2	15.1.4.6.1, Complete Unexecutable
867_02, Historical Usage		TDSP	ERCOT	Two Retail Business Days	814_03 received by TDSP on Monday @ 1500 = Day 0 867_02 sent to ERCOT by Wednesday @ 1700 = Day 2	<u>Switch</u> 15.1.1.2.1, Provision of Historical Usage with a Switch Request  <u>Ad Hoc</u> 15.1.1.2.2, Ad Hoc Requests for Historical Usage  <u>Move In</u> 15.1.4.1, Move-In Request to Begin Electric Service
867_02, Historical Usage		ERCOT	CR	Four Retail Business Hours	867_02 received by ERCOT on Monday @ 0800 = Hour 0 867_02 sent to CR by Monday @ 1200 = Hour 4	<u>Switch</u> 15.1.1.2.1, Provision of Historical Usage with a Switch Request  <u>Ad Hoc</u> 15.1.1.2.2, Ad Hoc Requests for Historical Usage  <u>Move In</u> 15.1.4.1, Move-In Request to Begin Electric Service

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Transaction	Business Process	From	To	Timing/ Business Rules	Example	Protocol Reference Section
867_03, Monthly or Final Usage	Final	TDSP	ERCOT	Within three Retail Business Days of the effectuating meter read		15.1.1.7, Completion of Switch Request and Effective Switch Date
867_03, Monthly or Final Usage	Final switch	ERCOT	CR	12 Hours	867_03F received by ERCOT on Monday @ 1800 = Hour 0 867_03F sent to CR by Tuesday @ 0600 = Hour 12	15.1.1.7, Completion of Switch Request and Effective Switch Date
867_03, Monthly or Final Usage	Final – move out	ERCOT	CR	Four Retail Business Hours	867_03 received by ERCOT on Monday @ 0800 = Hour 0 867_03 sent to CR by Monday @ 1200 = Hour 4	15.1.5.6, Completion of Move-Out Request and Effective Move Out Date
867_03, Monthly or Final Usage	Monthly	TDSP	ERCOT	No later than three Retail Business Days after the scheduled meter read cycle or scheduled meter cycle by day of the month for a point of delivery		15.3, Monthly Meter Reads
867_03, Monthly or Final Usage	Monthly	ERCOT	CR	12 Hours	867_03 received by ERCOT on Monday @ 1800 = Day 0 867_03 sent to CR by Tuesday @ 0600 = Hour 12	15.3, Monthly Meter Reads
867_04, Initial Meter Read		TDSP	ERCOT	Within three Retail Business Days of the effectuating meter read		15.1.1.7, Completion of Switch Request and Effective Switch Date
867_04, Initial Meter Read	Switch	ERCOT	CR	12 Hours	867_04 received by ERCOT on Monday @ 1800 = Hour 0 867_04 sent to CR by Tuesday @ 0600 = Hour 12	15.1.1.7, Completion of Switch Request and Effective Switch Date
867_04, Initial Meter Read	Move in	ERCOT	CR	Four Retail Business Hours	867_04 received by ERCOT on Monday @ 0800 = Hour 0 867_04 sent to CR by Monday @ 1200 = Hour 4	15.1.4.7.1, Standard Move-In Requests

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Transaction	Business Process	From	To	Timing/ Business Rules	Example	Protocol Reference Section
867_04, Initial Meter Read	Move out CSA	ERCOT	CR	Four Retail Business Hours	867_04 received by ERCOT on Monday @ 0800 = Hour 0 867_04 sent to CR by Monday @ 1200 = Hour 4	15.1.5.6, Completion of Move-Out Request and Effective Move Out Date

### 11.2.1.1 ERCOT Operating Rule 1 for Rejection: Same Day Scheduled Meter Read Date

- (1) ERCOT may reject an initiating transaction if the transaction has a Requested Meter Read Date (RMRD) that is the same as the Scheduled Meter Read Date (SMRD) on another scheduled transaction.
- (2) Standard Switch Requests are not rejected for Not First In (NFI) because there is no Requested Date for ERCOT to use for comparison purposes, except in the event there is already a standard Switch Request scheduled that does not have a Cancel Pending status and for which the SMRD is later than or equal to the First Available Switch Date (FASD) on the second standard Switch Request.
- (3) If the Transmission and/or Distribution Service Provider (TDSP) determines that based on Table 11.1, New Transactions Rejected for Not First In, below, the standard Switch Request creates a scheduling conflict, the TDSP shall send an 814\_04, Enrollment Notification Response, reject.

Table 11.1, New Transactions Rejected for Not First In

Scheduled	New Transaction	Rejected for Not First In
Move in	Move in	Yes
Move in	Self-selected switch	Yes
Move in	Move out	No
Move in	Standard switch	No
Move out	Move in	No
Move out	Self-selected switch	Yes
Move out	Move out	Yes
Move out	Standard switch	No
Switch	Move in	No
Switch	Self-selected switch	Yes
Switch	Move out	No
Switch	Standard switch	No
Mass Transition drop	Move in	No
Mass Transition drop	Self-selected switch	No
Mass Transition drop	Move out	No
Mass Transition drop	Standard switch	No
Acquisition Transfer	Move in	No
Acquisition Transfer	Self-selected switch	No

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Acquisition Transfer	Move out	No
Acquisition Transfer	Standard switch	No

***[RMGRR169: Replace paragraphs (2) and (3) above with the following upon system implementation of NPRR1095:]***

- (2) For a standard Switch Request, the First Available Switch Date (FASD) will be used for the evaluation. In the event there is already a standard Switch Request scheduled that does not have a Cancel Pending status and for which the SMRD is later than or equal to the FASD on the second standard Switch Request, the standard switch will be rejected for Not First In (NFI).
- (3) If the Transmission and/or Distribution Service Provider (TDSP) determines that based on Table 11.1, New Transactions Rejected for Not First In, below, the standard Switch Request creates a scheduling conflict, the TDSP shall send an 814\_04, Enrollment Notification Response, reject.

Table 11.1, New Transactions Rejected for Not First In

Scheduled	New Transaction	Rejected for Not First In
Move in	Move in	Yes
Move in	Self-selected switch	Yes
Move in	Move out	No
Move in	Standard switch	Yes
Move out	Move in	No
Move out	Self-selected switch	Yes
Move out	Move out	Yes
Move out	Standard switch	Yes
Switch	Move in	No
Switch	Self-selected switch	Yes
Switch	Move out	No
Switch	Standard switch	<del>No</del> Yes
Mass Transition drop	Move in	No
Mass Transition drop	Self-selected switch	No
Mass Transition drop	Move out	No
Mass Transition drop	Standard switch	No
Acquisition Transfer	Move in	No
Acquisition Transfer	Self-selected switch	No
Acquisition Transfer	Move out	No
Acquisition Transfer	Standard switch	No

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### 11.2.5.6 ERCOT Operating Rule 23: Cancel With Exception

**Commented [JT1]:** Please note RMGRR174 also proposes revisions to this section.

- (1) This rule allows the 20 Retail Business Day cancellation period for Move-In, Move-Out and Switch Requests starting with the day the initiating transaction is processed by ERCOT as a maximum, and establishes a minimum cancellation period of three Retail Business Days starting with the day the initiating transaction is processed by ERCOT.
  - (a) Inside these parameters, the waiting period for the TDSP Response (814\_04, Enrollment Notification Response, 814\_25, Move Out Response, or 814\_28, Complete Unexecutable or Permit Required) expires on the RMRD (FASD for standard Switch Requests).
  - (b) Transactions that reach the RMRD inside the minimum and maximum parameters and have not received a response transaction from the TDSP go into a Cancel Pending status and the 814\_08, Cancel Request, is sent to the TDSP.
  - (c) ERCOT will monitor the cancels for non-response by the TDSP and if no response is received within seven days, ERCOT will move the business process to "Cancelled" and will send the 814\_08 transactions to the TDSP and the submitting REP.
  - (d) TDSPs should recognize that all Backdated Transactions received by ERCOT will default to the three Retail Business Day minimum for the expected response transaction.
  - (e) If the TDSP returns an 814\_04 or 814\_25 transaction, ERCOT will change the status from Cancel Pending to "Scheduled" and will accept, but not require, the 814\_09, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Response.
  - (f) TDSPs will not send an 814\_09 transaction with the accept code on an 814\_08 transaction for a Cancel With Exception if they have sent the 814\_04 or 814\_25 transaction for the business process instead, TDSPs should send an 814\_09 transaction with the reject code.
- (2) Cancel With Exception allows a 20 Retail Business Day cancellation period for a Move-In Request in a Permit Pending status, starting with the day the 814\_28 transaction, with the Permit Required indicator, is processed by ERCOT.
  - (a) If after 20 Retail Business Days ERCOT has not received the 814\_04 transaction or 814\_28 transaction with the complete unexecutable indicator, ERCOT will move the order into a Cancel Pending status and the 814\_08 transaction is sent to the TDSP.
  - (b) ERCOT will monitor the cancels for non-response by the TDSP and if no response is received within seven days ERCOT will move the business process to "Cancelled" and will send the 814\_08 to the TDSP and the submitting REP.

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- (c) If the TDSP returns an 814\_04 transaction, ERCOT will change the status from Cancel Pending to "Scheduled" and will accept, but not require the 814\_09, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Response.
  - (d) TDSPs will not send an 814\_09 transaction with the accept code on an 814\_08 transaction for a permit not required if they have sent the 814\_04 transaction for the business process instead; TDSPs will send an 814\_09 transaction, with the reject code.
- (3) Cancel With Exception allows a 20 Retail Business Day cancellation period for the 814\_26, Historical Usage Requests, starting with the day the initiating transaction is processed at ERCOT.
- (a) If after 20 Retail Business Days ERCOT has not received an 814\_27, Ad Hoc Historical Usage Response, from the TDSP, ERCOT will move the business process to "Cancelled" and no 814\_08, Cancel Switch/Move-In/Move-Out/Mass Transition Drop Request, will be sent out.
- (4) Cancel With Exception allows a ten Retail Business Day cancellation period for CSA requests in a Municipally Owned Utility (MOU) or Electric Cooperative (EC) territory, starting with the day the initiating transaction is processed at ERCOT.
- (a) If after ten Retail Business Days ERCOT has not received an 814\_19, Establish/Change/Delete CSA Response, from the TDSP, ERCOT will move the business process to "Cancelled" and ~~no will send the 814\_08 transaction will be sent out to the Competitive Retailer (CR) and MOU/EC TDSP.~~

### 11.2.5.10 ERCOT Operating Rule 27: Duplicates

- (1) ERCOT will reject duplicate submissions of initiating transactions with reject transactions. There are three types of duplicates and each type will have a unique reject reason code.
- (a) Duplicate (DUP) - ERCOT will compare the original transaction ID, ESI ID, and the transaction type. If all three of these match to a previously received transaction from the same RFP, the transaction will be rejected. The transactions that will be rejected for duplicate are 814\_01, Switch Request, 814\_08, Cancel Request, 814\_12, Date Change Request, 814\_16, Move In Request, 814\_18, Establish/Change/Delete CSA Request, 814\_20, ESI ID Maintenance Request, 814\_24, Move Out Request, 814\_26, Historical Usage Request, and 814\_28, Complete Unexecutable or Permit Required.
  - (b) Duplicate Cancel Reason (DCR) - For the 814\_08 transaction, there will be an additional duplication validation. This will be done by comparing the reject reason, ESI ID and the original transaction ID to any other 814\_08 transaction



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received from the same REP for which ERCOT has not yet received a response from the TDSP.

- (c) Duplicate Original Transaction ID (DOT) - ERCOT will reject an initiating transaction if the original transaction ID matches an original transaction ID already submitted for the same ESI ID. This duplicate reject will apply to the 814\_01, 814\_16, 814\_18, 814\_20, 814\_24, and 814\_26 transactions.

*[RMGRR169: Insert Section 11.2.5.12 below upon system implementation of NPRR1095:]*

### **11.2.5.12 ERCOT Operating Rule 29: Continuous Service Agreements (CSAs)**

- (1) CSAs have a start date and end date.
  - (a) On the morning of the requested start date for the CSA, ERCOT will update the CSA to “active”, ending any previous CSA agreements. If a CSA agreement is ended, an ~~814\_19~~814\_18, Establish/Change/Delete CSA Response Request, will be sent to the previous CSA Competitive Retailer (CR).
  - (b) If the requested start date is equal to the current calendar date, ERCOT will update the CSA to “active”, ending any previous CSA agreements. If a CSA agreement is ended, an ~~814\_19~~814\_18 transaction will be sent to the previous CSA CR.
  - (c) On the morning of the requested end date for the CSA, ERCOT will update the CSA to “inactive”.

*[RMGRR169: Insert Section 11.2.5.13 below upon system implementation of NPRR1095:]*

### **11.2.5.13 ERCOT Operating Rule 30: Move Out to CSA**

- (1) In the event of a move out to CSA, ERCOT will use the start date and end date of all CSAs for the ESI ID to determine if a REP will be the CSA on the requested date of the move out.
  - (a) If a CSA CR has a start date prior to or equal to the requested date of the move out and does not have an end date after the requested date of the move out, ERCOT will send the 814\_03, Enrollment Notification Request, to the TDSP.
  - (b) If a CSA CR has an end date prior to the requested date of the move out, ERCOT will send the 814\_24, Move Out Request, to the TDSP.
- (2) ERCOT evaluates the CSA CR on the receipt of the Move-Out Request. ERCOT does not do any re-evaluation on the move out.

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### 11.4.5 REP Operating Rule 5: Establish Continuous Service Agreement After Move Out Results in De-energized Premise

- (1) If a REP submits an 814\_18, Establish/~~Change~~/Delete CSA Request, with the addition indicator on an ESI ID where a move out has been submitted but is not complete, the move out will complete as if the establish Continuous Service Agreement (CSA) was not in effect or pending to be in effect and the Premise will be De-energized if there was no prior CSA relationship. If there was a prior CSA relationship, the prior, or pending, CSA REP will be the REP of record after the move out.

### 11.4.6 REP Operating Rule 6: Establish Continuous Service Agreement After Move Out Results in De-energized Premise

- (1) If a REP submits an 814\_18, Establish/~~Change~~/Delete CSA Request, with the delete indicator on an ESI ID where a move out has been submitted, but is not complete, the move out will complete as if the establish CSA was still in effect and the CSA REP will be the REP of record after the move out.

## ERCOT Impact Analysis Report

<b>RMGRR Number</b>	<b><u>172</u></b>	<b>RMGRR Title</b>	<b>Texas SET V5.0 Continuous Service Agreements Changes</b>
<b>Impact Analysis Date</b>	March 14, 2023		
<b>Estimated Cost/Budgetary Impact</b>	None.		
<b>Estimated Time Requirements</b>	No project required. This Retail Market Guide Revision Request (RMGRR) can take effect following implementation of PR409-01, TX SET 5_0 and System Change Request (SCR) 817, Related to NPRR1095, MarkeTrak Validation Revisions Aligning with Texas SET V5.0.  See Comments		
<b>ERCOT Staffing Impacts (across all areas)</b>	Ongoing Requirements: No impacts to ERCOT staffing.		
<b>ERCOT Computer System Impacts</b>	No impacts to ERCOT computer systems.		
<b>ERCOT Business Function Impacts</b>	No impacts to ERCOT business functions.		
<b>Grid Operations &amp; Practices Impacts</b>	No impacts to ERCOT grid operations and practices.		

### Evaluation of Interim Solutions or Alternatives for a More Efficient Implementation

None offered.

### Comments

There are no additional budget or system impacts beyond what was captured in PR409-01.

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<b>VCMRR Number</b>	<b><u>031</u></b>	<b>VCMRR Title</b>	<b>Clarification Related to Variable Costs in Fuel Adders</b>
<b>Date of Decision</b>	June 20, 2023		
<b>Action</b>	Recommended Approval		
<b>Timeline</b>	Normal		
<b>Proposed Effective Date</b>	August 1, 2023		
<b>Priority and Rank Assigned</b>	Not Applicable		
<b>Verifiable Cost Manual Sections Requiring Revision</b>	1.4, Global Definitions 3.4, Additional Rules for Submitting Fuel Costs 3.5, Minimum Requirements Fee (delete)		
<b>Related Documents Requiring Revision/Related Revision Requests</b>	None		
<b>Revision Description</b>	<p>This Verifiable Cost Manual Revision Request (VCMRR):</p> <ul style="list-style-type: none"> <li>• Defines variable costs and clarifies that all cost components used to calculate a Filing Entity's fuel adder should also be based on variable costs;</li> <li>• Removes the minimum requirements fee cost category from the examples of cost categories that may be included in the fuel adder; and</li> <li>• Changes the review timeline detailed in paragraph (3) of Section 3.4 to give ERCOT the ability to review and follow up on more complex cost submissions.</li> </ul>		
<b>Reason for Revision</b>	<input checked="" type="checkbox"/> Addresses current operational issues. <input type="checkbox"/> Meets Strategic goals (tied to the <u>ERCOT Strategic Plan</u> or directed by the ERCOT Board). <input checked="" type="checkbox"/> Market efficiencies or enhancements <input type="checkbox"/> Administrative <input type="checkbox"/> Regulatory requirements		

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	<input type="checkbox"/> Other: (explain) <i>(please select all that apply)</i>
<b>Business Case</b>	<p>ERCOT has determined that a conflict exists between the Protocols and the Verifiable Cost Manual to the extent the Verifiable Cost Manual allows fixed costs to be used when calculating fuel adders. Paragraph (5)(a) of Protocol Section 5.6.1, Verifiable Costs, states that unit-specific verifiable costs may not include fixed costs, which are defined in that provision as “any cost that is incurred regardless of whether the unit is deployed or not.” Verifiable Cost Manual Sections 3.4 and 3.5 purport to allow minimum requirements fees to be included in the fuel adder. A minimum requirements fee is a fee charged for a certain guaranteed minimum amount of pipeline capacity. The fee is charged whether or not the total pipeline capacity is used and is therefore a fixed cost. Additionally, Section 3.4 includes a list of cost categories used in calculating the actual fuel adder such as storage and transportation fees, but does not clearly state that all costs submitted in those categories must be variable. This VCMRR aligns the Verifiable Cost Manual with the Protocols by removing references to a minimum requirements fee and by clarifying that all costs used to calculate fuel adders must be variable.</p> <p>Although Protocol Section 5.6.1.1, Verifiable Startup Costs, and Section 5.6.1.2, Verifiable Minimum-Energy Costs, both contemplate that verifiable startup and minimum energy costs may include a “fuel adder that compensates for the transportation and purchasing of spot fuel as described in the Verifiable Cost Manual,” that language does not affect the application of the requirement in Protocol Section 5.6.1 that those costs cannot be fixed. ERCOT therefore reads Protocol Sections 5.6.1.1 and 5.6.1.2 to provide that a fuel adder is permitted, but only if it is limited to recovery of variable costs.</p>
<b>WMS Decision</b>	<p>On 3/3/21, WMS voted unanimously via roll call to table VCMRR031 and refer the issue to the Resource Cost Working Group (RCWG). All Market Segments were present for the vote.</p> <p>On 4/5/23, WMS voted to recommend approval of VCMRR031 as submitted. There were 14 abstentions from the Cooperative (4) (LCRA, STEC, PEC, GSEC), Independent Generator (4) (Luminant, Avangrid, RWE, Constellation), Independent Power Marketer (IPM) (NG Renewables), Investor Owned Utility (IOU) (3) (AEPSC, CNP, TNMP) and Municipal (2) (Austin Energy, BTU) Market Segments. All Market Segments participated in the vote.</p> <p>On 5/3/23, WMS voted to endorse and forward to TAC the 4/5/23 WMS Report and the 8/3/21 Revised Impact Analysis for VCMRR031. There were 12 abstentions from the Cooperative (2)</p>

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	(STEC, PEC), Independent Generator (3) (Luminant, Avangrid, Constellation), IPM (3) (DC Energy, Tenaska, NG Renewables), IOU (3) (AEPSC, CNP, TNMP) and Municipal (Austin Energy) Market Segments. All Market Segments participated in the vote.
<b>Summary of WMS Discussion</b>	<p>On 3/3/21, there was no discussion.</p> <p>On 4/5/23, participants noted that the Public Utility Commission of Texas (PUCT) had recently ruled on Filing 51883, Complaint and Request for Emergency Relief by Luminant Energy Company LLC Against The Electric Reliability Council of Texas, Inc.</p> <p>On 5/3/23, there was no discussion.</p>
<b>TAC Decision</b>	On 5/23/23, TAC voted to recommend approval of VCMRR031 as recommended by WMS in the 5/3/23 WMS Report. There were two opposing votes from the Independent Generator (Calpine, Luminant) Market Segment, and ten abstentions from the Cooperative (4) (GSEC, LCRA, PEC, STEC), Independent Generator (2) (Jupiter Power, ENGIE), and Municipal (4) (DME, CSP Energy, Austin Energy GP&L) Market Segments. All Market Segments participated in the vote.
<b>Summary of TAC Discussion</b>	On 5/23/23, participants encouraged interested parties to attend the 5/24/23 Resource Cost Working Group (RCWG) for an initial discussion of a holistic approach to cost recovery.
<b>ERCOT Board Decision</b>	On 6/20/23, the ERCOT Board voted unanimously to recommend approval of VCMRR031 as recommended by TAC in the 5/23/23 TAC Report.

Opinions	
<b>Credit Review</b>	Not Applicable
<b>Independent Market Monitor Opinion</b>	IMM supports VCMRR031.
<b>ERCOT Opinion</b>	ERCOT supports approval of VCMRR031.
<b>ERCOT Market Impact Statement</b>	ERCOT Staff has reviewed VCMRR031 and believes the market impact for VCMRR031 will align the Verifiable Cost Manual with the Protocols by removing references to a minimum requirements fee and by clarifying that all costs used to calculate fuel adders must be variable.

Sponsor
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## Board Report

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<b>Market Segment</b>	Not Applicable

Market Rules Staff Contact	
<b>Name</b>	Brittney Albracht
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Comments Received	
<b>Comment Author</b>	<b>Comment Summary</b>
None	

<b>Market Rules Notes</b>
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Please note the following VCMRR(s) also propose revisions to the following section(s):

- VCMRR033, Excluding Exceptional Fuel Costs from Fuel Adders
  - Section 3.4
- VCMRR034, Excluding RUC Approved Fuel Costs from Fuel Adder
  - Section 3.4
- VCMRR035, Allow Verified Contractual Costs in Fuel Adder Calculation
  - Section 3.4
- VCRMM037, Related to NPRR1172, Fuel Adder Definition, Mitigated Offer Caps, and RUC Clawback
  - Section 3.4
  - Section 3.5

<b>Proposed Verifiable Cost Manual Language Revision</b>
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### 1.4 Global Definitions

- (1) Where this Manual uses the generic phrase “Verifiable Costs,” it is intended to refer to the sum of any applicable, Verified Operating and Maintenance Costs and any appropriate, Verified Fuel Costs. ERCOT itself calculates Fuel Costs, but does so using Fuel Consumption data that have been submitted and verified. Thus, the Fuel Cost

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component implied by the term “Verifiable Costs” should be interpreted to mean whichever of the following is contextually appropriate:

- (a) Fuel Consumption per-start (MMBtu/start)
  - (b) Fuel Consumption per-hour at LSL (MMBtu/hr)
  - (c) Fuel Consumption as determined from submitted heat rate (a measure of generator efficiency) data
- (2) The following are several abbreviations that are used throughout this Manual and the intended meaning of each:
- (a) “AIR Curve” denotes Average Heat Rate Curve
  - (b) “CCP” denotes Combined Cycle Plant
  - (c) “FIP” denotes Fuel Index Price
  - (d) “FOP” denotes Fuel Oil Price
  - (e) “IIR Curve” denotes Incremental Heat Rate Curve.
  - (f) “I/O Curve” denotes Input-Output Curve
  - (g) “LSL” denotes Low Sustained Limit
  - (h) “HSL” denotes High Sustained Limit
  - (i) “Manual” refers to this document, ERCOT’s Verifiable Cost Manual
  - (j) “MMBtu” denotes one-million British Thermal Units
  - (k) “O&M costs” denotes Operations and Maintenance costs.
  - (l) “QSE” denotes Qualifying Scheduling Entity
  - (m) “RUC” denotes the Reliability Unit Commitment
  - (n) “SGR” denotes Split Generation Resource
  - (o) “VOM” denotes Variable O&M
  - (p) “VCMS” denotes Verifiable Cost Management System
  - (q) “lb” denotes Pounds-Mass
  - (r) “WMS” Wholesale Market Subcommittee
  - (s) “LEL” denotes Low Emergency Limit
  - (t) “HEL” denotes High Emergency Limit
  - (u) “PPA” denotes Power Purchase and Tolling Agreements
  - (v) “Filing Entity” denotes the Entity which files Verifiable Cost data with ERCOT, whether a Qualified Scheduling Entity or a Resource Entity.
  - (w) “BC” denotes breaker close
  - (x) “VC” denotes Verifiable Costs



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- (y) "Shutdown Costs" denotes those fuel costs (including auxiliary boiler fuel and auxiliary-equipment fuel or electrical power requirements but excluding normal plant heating) which are incurred within three hours after Breaker Open.
- (z) "Variable costs" are costs that are not fixed costs as defined in paragraph (5) of Protocol Section 5.6, RUC Cost Eligibility.

### 3.4 Additional Rules for Submitting Fuel Costs

**Commented [BA1]:** Please note VCMRR033, VCMRR034, VCMRR035, and VCMRR037 also propose revisions to this section.

- (1) Filing Entities that have been approved for verifiable costs will receive a default fuel adder of \$0.50/MMBtu, unless the Filing Entity elects to submit an actual fuel adder (\$/MMBtu) for each Resource for verification and approval by ERCOT. For a coal-fired or lignite-fired Resource, the default fuel adder will be set quarterly to the maximum of \$0.50/MMBtu or the Coal Fuel Adder (CF)(\$/MMBtu), where CF is determined by ERCOT quarterly as described in Section 14, Appendices, Appendix 11, Procedure for Determining the Fuel Adder for Coal and Lignite Resources with Approved Verifiable Costs. The default fuel adder will remain the default amount specified above until the Filing Entity establishes an actual fuel adder in those verifiable costs and the Filing Entity must continue to provide actual fuel costs as prescribed in paragraph (2) below. The fuel adder is included in the value of X for the Resource (VOXR) as described in Section 14, Appendix 6, Calculation and Application of Proxy Heat Rate and the Value of X for the Resource.
- (2) Any Filing Entity that submits an actual fuel adder must provide documentation that establishes the historical variable costs for fuel, ~~including~~ transportation, spot fuel, storage, and any additional verifiable cost associated with fuel contracts that can be easily differentiated from the standard commodity cost of fuel and clearly attributable to the Resource for the period. The fuel adder for a rolling 12-month period is the difference between the Filing Entity's average fuel price paid (including ~~all~~ only variable fees) during the period and the fuel price utilized by ERCOT for the corresponding Resource. The Filing Entity shall provide rolling 12-month supporting data to verify total fuel price for all purchased volumes to support the actual Resource fuel consumption. Data to support these costs should include, but are not limited to, accounting ledger entries, invoices, and copies of fuel contracts. In addition, the actual costs used to calculate the fuel adder may include variable costs associated with, but are not limited to, the following categories: transportation, commodity, deliveries, storage, injection, withdrawal, ~~and imbalance, and minimum requirements fees~~. Other variable costs not described herein may be included ~~and if~~ approved by ERCOT.
- (3) Review and approval of fuel costs follows the same timeline as verifiable costs; however, ERCOT may require additional time to verify the fuel costs based on the complexity of the submission. In such case, ERCOT will notify the Filing Entity ~~within 15 Business Days of submission~~ if additional time is needed. For clarification on the submission timeline for the fuel adder, please see the table below. The fuel adder will be implemented the first day of the month after fuel costs have been approved.

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Submission Months	Submission Period	<u>ERCOT Review and Approval Period</u> <sup>1</sup>
March of previous year to February of current year	April	May-June
September of previous year to August of current year	October	November-December

### ~~3.5 Minimum Requirements Fee~~

- ~~(1) A cost incurred by a Resource for transporting less fuel than the minimum required volume for the given time period, based on the contract terms.~~
- ~~(2) Represents a portion of the total costs of the fuel adder.~~
- ~~(3) Allocated to the total volume of fuel transported per the terms of the contract. The fee will be calculated as shown below:~~

$$\text{MRF } (\$/\text{MMBtu}) = \text{TMRFD } (\$) / \text{TF } (\text{MMBtu})$$

~~Where:~~

~~MRF = Minimum Requirements Fee~~

~~TMRFD = Total Minimum Requirements Fee Dollars~~

~~TF = Total Fuel Transported to storage, to a Resource net of supply from storage, and for third-party sales net of supply from storage.~~

<sup>1</sup> ERCOT will approve fuel adders during the Review Period unless it determines additional time is needed.

## Revised ERCOT Impact Analysis Report

<b>VCMRR Number</b>	<b><u>031</u></b>	<b>VCMRR Title</b>	<b>Clarification Related to Variable Costs in Fuel Adders</b>
<b>Impact Analysis Date</b>	August 3, 2021		
<b>Estimated Cost/Budgetary Impact</b>	None.		
<b>Estimated Time Requirements</b>	No project required. This Verifiable Cost Manual Revision Request (VCMRR) can take effect upon Public Utility Commission of Texas (PUCT) approval.		
<b>ERCOT Staffing Impacts (across all areas)</b>	Ongoing Requirements: No impacts to ERCOT staffing.		
<b>ERCOT Computer System Impacts</b>	No impacts to ERCOT computer systems.		
<b>ERCOT Business Function Impacts</b>	No impacts to ERCOT business functions.		
<b>Grid Operations &amp; Practices Impacts</b>	No impacts to ERCOT grid operations and practices.		

### Evaluation of Interim Solutions or Alternatives for a More Efficient Implementation

None offered.

### Comments

None

## Administrative Nodal Protocol Revision Request

<b>NPRR Number</b>	<b><u>1187</u></b>	<b>NPRR Title</b>	<b>Administrative Change for August 1, 2023 Nodal Protocols – Clarifications to the Managed Capacity Declaration Form</b>
<b>Date Posted</b>	June 23, 2023		
<b>Status</b>	Administrative Change		

<b>Nodal Protocol Sections Requiring Revision</b>	23, Form C, Managed Capacity Declaration
<b>Related Documents Requiring Revision/Related Revision Requests</b>	None
<b>Revision Description</b>	<p>This Administrative Nodal Protocol Revision Request (NPRR) clarifies information required of Market Participants when filling out a Managed Capacity Declaration form, which is used to allow each Resource Entity to inform ERCOT of the Decision Making Entity (DME) that controls each Resource that the Resource Entity owns.</p> <p>Specifically, Market Participants often leave the Resource Unit Code blank or incomplete, so language has been added to point the Market Participant to the Resource Unit Code names used when the Resource was registered, such as in the Resource Integration and Ongoing Operations (“RIOO”) system.</p> <p>Market Participants often leave the DME column blank; language has been added to indicate that this field should not be left blank.</p> <p>The DME Data Universal Numbering System Number (DUNS #) is often left blank; language has been added to direct the Market Participant to consult Dun &amp; Bradstreet to determine the correct DUNS #.</p> <p>A “General Comments” section has been added for Market Participants to share other pertinent information with ERCOT, such as if they are switching DMEs, sending in a correction, etc.</p> <p>For new Resources, ERCOT can make the changes effective on the first “Production Load Date (PLD)” after the Market Participant’s preferred effective date and therefore proposes language requesting the preferred effective date be provided by the Market Participant.</p>
<b>Reason for Revision</b>	<input type="checkbox"/> Addresses current operational issues.