

# Board Report

## ERCOT Nodal Protocols

### Section 23

#### Form I: Resource Entity Application for Registration

TBD February 1, 2022

#### RESOURCE ENTITY APPLICATION FOR REGISTRATION

This application is for approval as a Resource Entity by the Electric Reliability Council of Texas Inc. (ERCOT) in accordance with the ERCOT Protocols. Information may be inserted electronically to expand the reply spaces as necessary. The completed, executed application will be accepted by ERCOT via email to [MPRegistration@ercot.com](mailto:MPRegistration@ercot.com) (.pdf version), via facsimile to (512) 225-7079, or via mail to Market Participant Registration, 8000 Metropolis Drive (Building E), Suite 100, Austin, Texas 78744. In addition to the application, ERCOT must receive an application fee in the amount of \$500. If you need assistance filling out this form, or if you have any questions, please call (512) 248-3900.

This application must be signed by the Authorized Representative, Backup Authorized Representative or an Officer of the company listed herein, as appropriate. ERCOT may request additional information as reasonably necessary to support operations under the ERCOT Protocols.

#### PART I – ENTITY INFORMATION

<b>Legal Name of the Applicant:</b>	
<b>Legal Address of the Applicant:</b>	Street Address:
	City, State, Zip:
<b>DUNS<sup>1</sup> Number:</b>	

<sup>1</sup>Defined in Section 2.1, Definitions.

#### **1. Authorized Representative (“AR”).** Defined in Section 2.1, Definitions.

<b>Name:</b>		<b>Title:</b>	
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<b>Address:</b>					
<b>City:</b>		<b>State:</b>		<b>Zip:</b>	
<b>Telephone:</b>			<b>Fax:</b>		
<b>Email Address:</b>					

**2. Backup AR.** *(Optional)* This person may sign any form for which an AR's signature is required and will perform the functions of the AR in the event the AR is unavailable.

<b>Name:</b>			<b>Title:</b>		
<b>Address:</b>					
<b>City:</b>		<b>State:</b>		<b>Zip:</b>	
<b>Telephone:</b>			<b>Fax:</b>		
<b>Email Address:</b>					

**3. Type of Legal Structure.** (Please indicate only one.)

<input type="checkbox"/> Individual	<input type="checkbox"/> Partnership	<input type="checkbox"/> Municipally Owned Utility
<input type="checkbox"/> Electric Cooperative	<input type="checkbox"/> Limited Liability Company	<input type="checkbox"/> Corporation
<input type="checkbox"/> Other: _____		

If Applicant is not an individual, provide the state in which the Applicant is organized, \_\_\_\_\_, and the date of organization: \_\_\_\_\_.

**4. User Security Administrator (USA).** As defined in Section 16.12, User Security Administrator and Digital Certificates, the USA is responsible for managing the Market Participant's access to ERCOT's computer systems through Digital Certificates.

<b>Name:</b>			<b>Title:</b>		
<b>Address:</b>					
<b>City:</b>		<b>State:</b>		<b>Zip:</b>	
<b>Telephone:</b>			<b>Fax:</b>		
<b>Email Address:</b>					

**5. Backup USA.** *(Optional)* This person may perform the functions of the USA as defined in the ERCOT Protocols in the event the USA is unavailable.

<b>Name:</b>			<b>Title:</b>		
<b>Address:</b>					
<b>City:</b>		<b>State:</b>		<b>Zip:</b>	
<b>Telephone:</b>			<b>Fax:</b>		
<b>Email Address:</b>					

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**6. Cybersecurity.** This contact is responsible for communicating Cybersecurity Incidents.

<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>			
<b>Telephone:</b>		<b>Fax:</b>	
<b>Email Address:</b>			

**7. Compliance Contact.** This person is responsible for compliance related issues.

<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>			
<b>Telephone:</b>		<b>Fax:</b>	
<b>Email Address:</b>			

**8. Proposed commencement date for service:** \_\_\_\_\_.

## **PART II – ADDITIONAL REQUIRED INFORMATION**

**1. Officers.** ERCOT will obtain the names of all individuals and/or entities listed with the Texas Secretary of State as having binding authority for the Applicant. ERCOT will use this list of individuals to determine who can execute such documents as the Standard Form Market Participant Agreement (Section 22, Attachment A), Amendment to Standard Form Market Participant Agreement (Section 22, Attachment C), Digital Certificate Audit Attestation, etc. Alternatively, additional documentation (Articles of Incorporation, Board Resolutions, Delegation of Authority, Secretary's Certificate, etc.) can be provided to prove binding authority for the Applicant.

**2. Affiliates and Other Registrations.** Provide the name, legal structure, and relationship of each of the Applicant's affiliates, if applicable. See Section 2.1, Definitions, for the definition of "Affiliate." Please also provide the name and type of any other ERCOT Market Participant registrations held by the Applicant. *(Attach additional pages if necessary.)*

**3. Qualified Scheduling Entity (QSE) Acknowledgment.** Provide all information requested in Attachment A and have the document executed by both parties. Resource Entities representing Generation Resources or Load Resources shall designate a QSE qualified to represent the Resources. Resource Entities with Settlement Only Generators (SOGs) shall designate any qualified QSE.

Affiliate Name (or name used for other ERCOT registration)	Type of Legal Structure (partnership, limited liability company, corporation, etc.)	Relationship (parent, subsidiary, partner, affiliate, etc.)

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### **PART III – SIGNATURE**

I affirm that I have personal knowledge of the facts stated in this application and that I have the authority to submit this application form on behalf of the Applicant. I further affirm that all statements made and information provided in this application form are true, correct and complete, and that the Applicant will provide to ERCOT any changes in such information in a timely manner.

Signature of AR, Backup AR or Officer:	
Printed Name of AR, Backup AR or Officer:	
Date:	

### **Attachment A – QSE Acknowledgment**

#### **Acknowledgment by Designated QSE for Scheduling and Settlement Responsibilities with ERCOT**

The Applicant below has named the QSE listed below as its designated QSE to represent the Applicant for scheduling and Settlement transactions with ERCOT.

The Applicant's designated QSE, listed below, hereby acknowledges that it does represent the Applicant and that it shall be responsible for the Applicant's scheduling and Settlement transactions with ERCOT pursuant to the ERCOT Protocols.

The requested effective date for such representation is: \_\_\_\_\_\*\*

or

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*\*\* Actual effective date will depend on time needed to implement the relationship in ERCOT systems once ERCOT has received all necessary information (a minimum of three Business Days), and may be later than the requested effective date. ERCOT will notify the parties of the actual effective date.*

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Establish partnership at the earliest possible date ☐

Acknowledgment by **QSE**:

Signature of Authorized Representative ("AR") for QSE:	
Printed Name of AR:	
Email Address of AR:	
Date:	
Name of Designated QSE:	
DUNS of Designated QSE:	

Acknowledgment by **Applicant**:

Signature of AR for MP:	
Printed Name of AR:	
Email Address of AR:	
Date:	
Name of MP:	
DUNS No. of MP:	

***[NPRR995: Replace Section 23, Form I above with the following upon system implementation:]***

## **RESOURCE ENTITY APPLICATION FOR REGISTRATION**

This application is for approval as a Resource Entity by the Electric Reliability Council of Texas Inc. (ERCOT) in accordance with the ERCOT Protocols. Information may be inserted electronically to expand the reply spaces as necessary. The completed, executed application will be accepted by ERCOT via email to [MPRegistration@ercot.com](mailto:MPRegistration@ercot.com) (.pdf version), via facsimile to (512) 225-7079, or via mail to Market Participant Registration, 8000 Metropolis Drive (Building E), Suite 100, Austin, Texas 78744. In addition to the application, ERCOT must receive an application fee in the amount of \$500. If you need assistance filling out this form, or if you have any questions, please call (512) 248-3900.

This application must be signed by the Authorized Representative, Backup Authorized Representative or an Officer of the company listed herein, as appropriate. ERCOT may request

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additional information as reasonably necessary to support operations under the ERCOT Protocols.

## **PART I – ENTITY INFORMATION**

<b>Legal Name of the Applicant:</b>	
<b>Legal Address of the Applicant:</b>	Street Address:
	City, State, Zip:
<b>DUNS' Number:</b>	

<sup>1</sup>Defined in Section 2.1, Definitions.

### **1. Authorized Representative (“AR”).** Defined in Section 2.1, Definitions.

<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>		<b>Telephone:</b>	
<b>Fax:</b>		<b>Email Address:</b>	

**2. Backup AR.** *(Optional)* This person may sign any form for which an AR’s signature is required and will perform the functions of the AR in the event the AR is unavailable.

<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>		<b>Telephone:</b>	
<b>Fax:</b>		<b>Email Address:</b>	

### **3. Type of Legal Structure.** (Please indicate only one.)

- ☐ Individual      ☐ Partnership      ☐ Municipally Owned Utility  
☐ Electric Cooperative      ☐ Limited Liability Company      ☐ Corporation  
☐ Other: \_\_\_\_\_

If Applicant is not an individual, provide the state in which the Applicant is organized, \_\_\_\_\_, and the date of organization: \_\_\_\_\_.

**4. User Security Administrator (USA).** As defined in Section 16.12, User Security Administrator and Digital Certificates, the USA is responsible for managing the Market Participant’s access to ERCOT’s computer systems through Digital Certificates.

<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>		<b>Telephone:</b>	
<b>Fax:</b>		<b>Email Address:</b>	

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<b>Telephone:</b>		<b>Fax:</b>	
<b>Email Address:</b>			

**5. Backup USA.** *(Optional)* This person may perform the functions of the USA as defined in the ERCOT Protocols in the event the USA is unavailable.

<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>			
<b>Telephone:</b>		<b>Fax:</b>	
<b>Email Address:</b>			

**6. Cybersecurity.** This contact is responsible for communicating Cybersecurity Incidents.

<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>			
<b>Telephone:</b>		<b>Fax:</b>	
<b>Email Address:</b>			

**7. Compliance Contact.** This person is responsible for compliance related issues.

<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>			
<b>Telephone:</b>		<b>Fax:</b>	
<b>Email Address:</b>			

**8. Proposed commencement date for service:** \_\_\_\_\_.

## **PART II – ADDITIONAL REQUIRED INFORMATION**

**1. Officers.** ERCOT will obtain the names of all individuals and/or entities listed with the Texas Secretary of State as having binding authority for the Applicant. ERCOT will use this list of individuals to determine who can execute such documents as the Standard Form Market Participant Agreement (Section 22, Attachment A), Amendment to Standard Form Market Participant Agreement (Section 22, Attachment C), Digital Certificate Audit Attestation, etc. Alternatively, additional documentation (Articles of Incorporation, Board Resolutions, Delegation of Authority, Secretary's Certificate, etc.) can be provided to prove binding authority for the Applicant.

**2. Affiliates and Other Registrations.** Provide the name, legal structure, and relationship of each of the Applicant's affiliates, if applicable. See Section 2.1, Definitions, for the definition

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of “Affiliate.” Please also provide the name and type of any other ERCOT Market Participant registrations held by the Applicant. *(Attach additional pages if necessary.)*

**3. Qualified Scheduling Entity (QSE) Acknowledgment.** Provide all information requested in Attachment A and have the document executed by both parties. Resource Entities representing Generation Resources or Load Resources shall designate a QSE qualified to represent the Resources. Resource Entities with Settlement Only Generators (SOGs) or Settlement Only Energy Storage Systems (SOESSs) shall designate any qualified QSE.

<b>Affiliate Name</b> (or name used for other ERCOT registration)	<b>Type of Legal Structure</b> (partnership, limited liability company, corporation, etc.)	<b>Relationship</b> (parent, subsidiary, partner, affiliate, etc.)

### **PART III – SIGNATURE**

I affirm that I have personal knowledge of the facts stated in this application and that I have the authority to submit this application form on behalf of the Applicant. I further affirm that all statements made and information provided in this application form are true, correct and complete, and that the Applicant will provide to ERCOT any changes in such information in a timely manner.

Signature of AR, Backup AR or Officer:	
Printed Name of AR, Backup AR or Officer:	
Date:	

### **Attachment A – QSE Acknowledgment**

#### **Acknowledgment by Designated QSE for Scheduling and Settlement Responsibilities with ERCOT**

The Applicant below has named the QSE listed below as its designated QSE to represent the Applicant for scheduling and Settlement transactions with ERCOT.



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The Applicant's designated QSE, listed below, hereby acknowledges that it does represent the Applicant and that it shall be responsible for the Applicant's scheduling and Settlement transactions with ERCOT pursuant to the ERCOT Protocols.

The requested effective date for such representation is: \_\_\_\_\_\*\*

or

Establish partnership at the earliest possible date ☐

Acknowledgment by **QSE**:

Signature of Authorized Representative ("AR") for QSE:	
Printed Name of AR:	
Email Address of AR:	
Date:	
Name of Designated QSE:	
DUNS of Designated QSE:	

Acknowledgment by **Applicant**:

Signature of AR for MP:	
Printed Name of AR:	
Email Address of AR:	
Date:	
Name of MP:	
DUNS No. of MP:	

## ERCOT Nodal Protocols

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\*\* Actual effective date will depend on time needed to implement the relationship in ERCOT systems once ERCOT has received all necessary information (a minimum of three Business Days), and may be later than the requested effective date. ERCOT will notify the parties of the actual effective date.

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## Section 23

### Form J: Transmission and/or Distribution Service Provider Application for Registration

February 1, 2022

Date Received: \_\_\_\_\_

#### TRANSMISSION AND/OR DISTRIBUTION SERVICE PROVIDER (TDSP) APPLICATION FOR REGISTRATION

This application is for approval as a Transmission Service Provider (TSP), Distribution Service Provider (DSP), or both TSP and DSP by Electric Reliability Council of Texas Inc. (ERCOT) in accordance with the ERCOT Protocols. Information may be inserted electronically to expand the reply spaces as necessary. ERCOT will accept the completed, executed application via email to [MPRegistration@ercot.com](mailto:MPRegistration@ercot.com) (.pdf version), via facsimile to (512) 225-7079, or via mail to Market Participant Registration, 8000 Metropolis Drive (Building E), Suite 100, Austin, Texas 78744. In addition to the application, ERCOT must receive an application fee in the amount of \$500. If you need assistance filling out this form, or if you have any questions, please call (512) 248-3900.

This application must be signed by the Authorized Representative (“AR”), Backup Authorized Representative or an Officer of the company listed herein, as appropriate. ERCOT may request additional information as reasonably necessary to support operations under the ERCOT Protocols.

#### PART I – COMPANY INFORMATION

<b>Legal Name of the Applicant:</b>	
<b>Legal Address of the Applicant:</b>	Street Address:

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	City, State, Zip:
<b>DUNS' Number:</b>	

<sup>1</sup>Defined in Section 2.1, Definitions.

**Type:** TSP ☐ DSP ☐ Both ☐ as reflected on Standard Form Agreement

## 1. Authorized Representative (“AR”). Defined in Section 2.1, Definitions.

<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>		<b>Telephone:</b>	
<b>Fax:</b>		<b>Email Address:</b>	

**2. Backup AR.** *(Optional)* This person may sign any form for which an AR’s signature is required and will perform the functions of the AR in the event the AR is unavailable.

<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>		<b>Telephone:</b>	
<b>Fax:</b>		<b>Email Address:</b>	

## 3. Type of Legal Structure. (Please indicate only one.)

☐ Individual ☐ Partnership ☐ Municipally Owned Utility  
☐ Electric Cooperative ☐ Limited Liability Company ☐ Corporation  
☐ Other: \_\_\_\_\_

If Applicant is not an individual, provide the state in which the Applicant is organized, \_\_\_\_\_, and the date of organization: \_\_\_\_\_

**4. User Security Administrator (USA).** As defined in Section 16.12, User Security Administrator and Digital Certificates, the USA is responsible for managing the Market Participant’s access to ERCOT’s computer systems through Digital Certificates.

<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>		<b>Telephone:</b>	
<b>Fax:</b>		<b>Email Address:</b>	

**4a.** ☐ By checking this box, Applicant hereby requests that ERCOT evaluate Applicant’s eligibility to opt out of the requirement that Market Participant designate a USA and receive Digital Certificates, and affirms the following:

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**Section 1. (a)** Applicant is applying to register with ERCOT as either a Municipally Owned Utility (MOU) or an Electric Cooperative (EC), and as a DSP and/or Load Serving Entity (LSE).

**Section 2. (b)** Applicant is not, and will not, be designated as a Transmission Operator with ERCOT.

**Section 3. (c)** Applicant understands that by opting out, it will not be granted access to portions of the ERCOT Market Information System (MIS) that require Digital Certificate Access.

**Section 4. (d)** Applicant understands that it can cancel any approved opt-out request, designate a USA, and begin receiving Digital Certificates by properly completing Section 23, Form E, Notice of Change of Information, and meeting the requirements under Section 16.12.

**Section 5. (e)** If determined ineligible, Applicant must designate a USA, receive Digital Certificates and comply with requirements under Protocol Section 16.12.

**5. Backup USA. (Optional)** This person may perform the functions of the USA as defined in the ERCOT Protocols in the event the USA is unavailable.

<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>		<b>Telephone:</b>	
<b>Fax:</b>			
<b>Email Address:</b>			

**6. Cybersecurity.** This contact is responsible for communicating Cybersecurity Incidents.

<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>		<b>Telephone:</b>	
<b>Fax:</b>			
<b>Email Address:</b>			

**7. TSP 24x7 Control or Operations Center.** As defined in the ERCOT Protocols, the 24x7 Control or Operations Center is responsible for operational communications and shall have sufficient authority to commit and bind the TSP.

<b>Desk Name:</b>			
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>		<b>Telephone:</b>	
<b>Fax:</b>			
<b>Email Address:</b>			

**8. Compliance Contact.** This person is responsible for compliance related issues.

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<b>Name:</b>		<b>Title:</b>	
<b>Address:</b>			
<b>City:</b>		<b>State:</b>	
<b>Zip:</b>		<b>Telephone:</b>	
<b>Fax:</b>		<b>Email Address:</b>	

## PART II – ASSET REGISTRATION

1. Provide Generation Load Metering Point and TDSP Read Generation information as required on the ERCOT Generation Load Metering Point(s) & TDSP Read Generation Registration Form. The form is located at <http://www.ercot.com/services/rq/tdsp/index.html>. The completed form should be attached to, and submitted with, the TDSP Registration Application.

2. Provide status of registering MOU or EC:

☐ **Opt-In MOU or EC** – An EC or MOU that offers Customer Choice.

☐ **Non-Opt-In Entity (NOIE)** – An EC or MOU that does not offer Customer Choice.

## PART III – ADDITIONAL REQUIRED INFORMATION

**1. Officers.** ERCOT will obtain the names of all individuals and/or entities listed with the Texas Secretary of State as having binding authority for the Applicant. ERCOT will use this list of individuals to determine who can execute such documents as the Standard Form Market Participant Agreement (Section 22, Attachment A), Amendment to Standard Form Market Participant Agreement (Section 22, Attachment C), Digital Certificate Audit Attestation (DCAA), etc. Alternatively, additional documentation (Articles of Incorporation, Board Resolutions, Delegation of Authority, Secretary’s Certificate, etc.) can be provided to prove binding authority for the Applicant.

**2. Affiliates and other Registrations.** Provide the name, legal structure, and relationship of each of the Applicant’s affiliates, if applicable. See Section 2.1, Definitions, for the definition of “Affiliate.” Please also provide the name and type of any other ERCOT Market Participant registrations held by the Applicant. *(Attach additional pages if necessary.)*

Affiliate Name (or name used for other ERCOT registration)	Type of Legal Structure (partnership, limited liability company, corporation, etc.)	Relationship (parent, subsidiary, partner, affiliate, etc.)

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### **PART IV – SIGNATURE**

I affirm that I have personal knowledge of the facts stated in this application and that I have the authority to submit this application form on behalf of the Applicant. I further affirm that all statements made and information provided in this application form are true, correct and complete, and that the Applicant will provide to ERCOT any changes in such information in a timely manner.

Signature of AR, Backup AR or Officer:	
Printed Name of AR, Backup AR or Officer:	
Date:	

## Revised ERCOT Impact Analysis Report

<b>NPRR Number</b>	<b><u>1153</u></b>	<b>NPRR Title</b>	<b>ERCOT Fee Schedule Changes</b>
<b>Impact Analysis Date</b>	December 13, 2022		
<b>Estimated Cost/Budgetary Impact</b>	Between \$20k and \$30k		
<b>Estimated Time Requirements</b>	<p><u>Phase 1:</u> No project required. This Nodal Protocol Revision Request (NPRR) can take effect following Public Utility Commission of Texas (PUCT) prioritization and approval.</p> <p><u>Phase 2:</u> The timeline for implementing this NPRR is dependent upon PUCT prioritization and approval.</p> <p>Estimated project duration: 3 to 5 months</p> <p>See Comments</p>		
<b>ERCOT Staffing Impacts (across all areas)</b>	<p>Implementation Labor: 100% ERCOT; 0% Vendor</p> <p>Ongoing Requirements: No impacts to ERCOT staffing.</p>		
<b>ERCOT Computer System Impacts</b>	<p>The following ERCOT systems would be impacted:</p> <ul style="list-style-type: none"> <li>• Resource Integration and Ongoing Operations (RIOO) 98%</li> <li>• Channel Management Systems 1%</li> <li>• ERCOT Website and MIS Systems 1%</li> </ul>		
<b>ERCOT Business Function Impacts</b>	ERCOT will update its business processes to implement this NPRR.		
<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

Phase 1 will implement changes to the following ERCOT Fee Schedule sections:

- ERCOT System Administration fee
- Private Wide Area Network (WAN) fees
- Map Sale fees
- Subordinate QSE (Sub-QSE) Application fee

## Revised ERCOT Impact Analysis Report

- Resource Entity Application fee
- Actual Costs associated with Information Requests
- ERCOT Labor Costs for Information Requests
- ERCOT Training fees for courses that award Continuing Education Hours (CEHs)
- Cybersecurity Monitor fee for Non-ERCOT Utilities that participate in the Texas Cybersecurity Monitor Program
- Transmission and/or Distribution Service Providers (TDSPs)

Phase 2 will implement changes to the following ERCOT Fee Schedule sections:

- ERCOT Load Resource registration and Generator Interconnection or Modification fees
- Full Interconnection Study (FIS) Application fee



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<b>NPRR Number</b>	<u>1158</u>	<b>NPRR Title</b>	<b>Remove Sunset Date for Weatherization Inspection Fees</b>
<b>Date of Decision</b>	February 28, 2023		
<b>Action</b>	Recommended Approval		
<b>Timeline</b>	Normal		
<b>Proposed Effective Date</b>	April 1, 2023		
<b>Priority and Rank Assigned</b>	Not Applicable		
<b>Nodal Protocol Sections Requiring Revision</b>	ERCOT Fee Schedule		
<b>Related Documents Requiring Revision/Related Revision Requests</b>	None		
<b>Revision Description</b>	This Nodal Protocol Revision Request (NPRR) eliminates the Weatherization Inspection fee's sunset date on the ERCOT Fee Schedule and changes the invoicing period of such fees from a quarterly to a semiannual basis.		
<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 type="checkbox"/> Market efficiencies or enhancements <input checked="" type="checkbox"/> Administrative <input checked="" type="checkbox"/> Regulatory requirements <input type="checkbox"/> Other: (explain) <i>(please select all that apply)</i>		
<b>Business Case</b>	ERCOT hosted a Weatherization Inspection Fee Workshop on September 19, 2022 to discuss the appropriate methodology for the assessment of weatherization inspection fees. Suggested methodologies included charging the fee to Load, which ERCOT Staff believes is inconsistent with direction received from the ERCOT		

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	<p>Board, or to charge the fee only to Resources Entities that undergo an inspection and prepare individual invoices reflecting actual costs, which would cause a significant increase in administrative burden for ERCOT Staff. As ERCOT is required to inspect all Generation Resources within a three-year period, there is reason to spread costs across all Resource Entities. While there was a suggestion to change the fee structure from being based on a Resource Entity's Megawatt (MW) capacity to its metered generation per Megawatt Hour (MWh), ERCOT Staff believes that MW capacity more accurately reflects the amount of effort involved in conducting an inspection; a Resource that may have low metered generation during a given time period still requires the same amount of inspection effort as a similarly sized Resource with a higher amount of metered generation.</p> <p>After considering stakeholder input, ERCOT Staff believes that the current methodology is the best option, but proposes that inspection fee invoicing be changed from quarterly to semiannually to reduce administrative impacts.</p>
<b>PRS Decision</b>	<p>On 1/17/23, PRS voted unanimously to recommend approval of NPRR1158 as submitted. All Market Segments participated in the vote.</p> <p>On 2/9/23, PRS voted unanimously to endorse and forward to TAC the 1/17/23 PRS Report and 12/15/22 Impact Analysis for NPRR1158. All Market Segments participated in the vote.</p>
<b>Summary of PRS Discussion</b>	<p>On 1/17/23, ERCOT Staff reviewed NPRR1158.</p> <p>On 2/9/23, participants reviewed the 12/15/22 Impact Analysis.</p>
<b>TAC Decision</b>	<p>On 2/20/23, TAC voted unanimously to recommend approval of NPRR1158 as recommended by PRS in the 2/9/23 PRS Report. All Market Segments participated in the vote.</p>
<b>Summary of TAC Discussion</b>	<p>On 2/20/23, TAC reviewed the ERCOT Opinion, ERCOT Market Impact Statement, and Independent Market Monitor (IMM) Opinion for NPRR1158.</p>
<b>ERCOT Board Decision</b>	<p>On 2/28/23, the ERCOT Board voted unanimously to recommend approval of NPRR1158 as recommended by TAC in the 2/20/23 TAC Report.</p>

### Opinions

## Board Report

<b>Credit Review</b>	ERCOT Credit Staff and the Market Credit Working Group (MCWG) have reviewed NPRR1158 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 NPRR1158.
<b>ERCOT Opinion</b>	ERCOT supports approval of NPRR1158.
<b>ERCOT Market Impact Statement</b>	ERCOT Staff has reviewed NPRR1158 and believes it has a positive market impact by improving regulatory requirements through the elimination of the Weatherization Inspection fee's sunset date on the ERCOT Fee Schedule and adjusting the invoicing period of related fees from a quarterly to a semiannual basis.

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

<b>Market Rules Staff Contact</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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Please note that the following NPRR(s) also propose revisions to the following Section(s):

- NPRR1067, Market Entry Qualifications, Continued Participation Requirements, and Credit Risk Assessment
  - ERCOT Fee Schedule

# Board Report

- NPPRR1153, ERCOT Fee Schedule Changes
  - ERCOT Fee Schedule

## Proposed Protocol Language Revision

### ERCOT Fee Schedule

*Effective August 1, 2022 TBD*

The following is a schedule of ERCOT fees currently in effect.

Description	Nodal Protocol Reference	Calculation/Rate/Comment
ERCOT System Administration fee	9.16.1	\$0.555 per MWh to fund ERCOT activities subject to Public Utility Commission of Texas (PUCT) oversight. This fee is charged to all Qualified Scheduling Entities (QSEs) based on Load represented.
Private Wide Area Network (WAN) fees	9.16.2	Actual cost of using third party communications network - Initial equipment installation cost not to exceed \$25,000, and monthly network management fee not to exceed \$1,500.
ERCOT Generation Interconnection fee (Not Refundable)	NA	Application to interconnect generation to the ERCOT System. \$5,000 (less than or equal to 150MW) \$7,000 (greater than 150MW)
Full Interconnection Study (FIS) Application fee (Not Refundable)	NA	\$15 per MW – to support ERCOT system studies and coordination. Applicable MW amount per Planning Guide Section 5, Generator Interconnection or Modification.
Map Sale fees	NA	\$20 - \$40 per map request (by size)
Qualified Scheduling Entity (QSE) Application fee	9.16.2	\$500 per Entity
Competitive Retailer (CR) Application fee	9.16.2	\$500 per Entity
Congestion Revenue Right (CRR) Account Holder Application fee	9.16.2	\$500 per Entity
Independent Market Information System Registered Entity (IMRE) fee	9.16.2	\$500 per Entity
Weatherization Inspection fees	NA	Resource Entities with Generation Resources or Energy Storage Resources (ESRs) and Transmission Service Providers (TSPs) shall pay fees to ERCOT for costs related to weatherization inspections

# Board Report

conducted pursuant to 16 Texas Administrative Code (TAC) § 25.55 as provided below.

TSPs shall pay an inspection fee of \$3,000 for each of their substations or switching stations that are inspected.

Each Resource Entity with Generation Resources or ESRs shall pay an inspection fee calculated as the ~~Quarterly~~Semiannual Generation Resource Inspection Costs \* (Resource Entity MW Capacity/Aggregate MW Capacity). ERCOT will perform this calculation ~~for each twice per calendar year quarter~~ and gather the necessary MW capacity data for that ~~quarter six-month period~~ on one of the last 15 Business Days at the end of the ~~quarter~~period. Terms used in this formula are defined as follows:

~~Quarterly~~Semiannual Generation Resource Inspection Costs = the sum of outside services costs, ERCOT internal costs, and overhead costs related to weatherization inspections, less inspection fees that will be invoiced to TSPs, ~~for that quarter six-month period~~.

Resource Entity MW Capacity = the total MW capacity associated with a Resource Entity with Generation Resources or ESRs. To calculate these amounts, ERCOT will query the Resource Integration and Ongoing Operations-Resource Services (“RIOO-RS”) for a report that lists the total MW capacity (real power rating) for all generation assets associated with each Resource Entity.

Aggregate MW Capacity = the total of all the Resource Entity MW Capacity amounts. To calculate this amount, ERCOT will query the RIOO-RS for a report that lists the total MW capacity (real power rating) for all Generation Resources and ESRs associated with all Resource Entities.

ERCOT will issue Invoices semiannually in the months of January and July for the preceding six-month period~~the first month following each calendar quarter~~ to the Resource Entities and TSPs that owe inspection fees. Payment of the fee will be due within 30 days of the Invoice date and late payments will incur 18% annual interest. Entities that fail to pay their Invoice on time will be publicly reported in a filing with the PUCT. Further payment terms and instructions will be included on the Invoice.

~~[NPRR1107: Delete “Weatherization Inspection fees” above on July 31, 2023.]~~

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fee

NA

\$0.15 per page in excess of 50 pages

## ERCOT Impact Analysis Report

<b>NPRR Number</b>	<b><u>1158</u></b>	<b>NPRR Title</b>	<b>Remove Sunset Date for Weatherization Inspection Fees</b>
<b>Impact Analysis Date</b>	December 15, 2022		
<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.

## Board Report

<b>NPRR Number</b>	<b><u>1159</u></b>	<b>NPRR Title</b>	<b>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</b>
<b>Date of Decision</b>	February 28, 2023		
<b>Action</b>	Recommended Approval		
<b>Timeline</b>	Normal		
<b>Proposed Effective Date</b>	Upon implementation of Retail Market Guide Revision Request (RMGRR) 171, Changes to Transition Process That Require Opt-in MOU and EC That Are Designating POLR to Provide Mass Transition Methodology to ERCOT		
<b>Priority and Rank Assigned</b>	Not applicable		
<b>Nodal Protocol Sections Requiring Revision</b>	15.1.10.1, Request to Initiate Continuous Service Agreement 19.3.1, Defined Texas Standard Electronic Transactions		
<b>Related Documents Requiring Revision/Related Revision Requests</b>	RMGRR171		
<b>Revision Description</b>	This Nodal Protocol Revision Request (NPRR) provides needed references to the Retail Market Guide to account for Texas Standard Electronic Transaction (TX SET) processing options for Municipally Owned Utility (MOU) or Electric Cooperative (EC) service areas, in alignment with RMGRR171.		
<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>		

## Board Report

<b>Business Case</b>	These changes support options available to an MOU/EC for retail transaction processes upon entry into retail competition.
<b>PRS Decision</b>	On 1/17/23, PRS voted unanimously to recommend approval of NPRR1159 as submitted. All Market Segments participated in the vote.  On 2/9/23, PRS voted unanimously to endorse and forward to TAC the 1/17/23 PRS Report and 12/22/22 Impact Analysis for NPRR1159. All Market Segments participated in the vote.
<b>Summary of PRS Discussion</b>	On 1/17/23, ERCOT Staff reviewed NPRR1159.  On 2/9/23, participants reviewed the 12/22/22 Impact Analysis.
<b>TAC Decision</b>	On 2/20/23, TAC voted unanimously to recommend approval of NPRR1159 as recommended by PRS in the 2/9/23 PRS Report. All Market Segments participated in the vote.
<b>Summary of TAC Discussion</b>	On 2/20/23, TAC reviewed the ERCOT Opinion, ERCOT Market Impact Statement, and Independent Market Monitor (IMM) Opinion for NPRR1159.
<b>ERCOT Board Decision</b>	On 2/28/23, the ERCOT Board voted unanimously to recommend approval of NPRR1159 as recommended by TAC in the 2/20/23 TAC Report.

<b>Opinions</b>	
<b>Credit Review</b>	ERCOT Credit Staff and the Market Credit Working Group (MCWG) have reviewed NPRR1159 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 NPRR1159.
<b>ERCOT Opinion</b>	ERCOT supports approval of NPRR1159.
<b>ERCOT Market Impact Statement</b>	ERCOT Staff has reviewed NPRR1159 and believes it has a positive market impact by addressing current operational issues through the application of references to the Retail Market Guide into the Protocols in order to account for TX SET processing options for MOU and EC services area, in alignment with RMGRR171.

<b>Sponsor</b>
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# Board Report

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<b>Market Segment</b>	Not applicable

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Comments Received	
<b>Comment Author</b>	<b>Comment Summary</b>
RMS 011123	Endorsed NPRR1159 as submitted

Market Rules Notes
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None

Proposed Protocol Language Revision
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## 15.1.10.1 Request to Initiate Continuous Service Agreement

- (1) When a CR establishes a CSA at an ESI ID, the CR will send an 814\_18, Establish/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/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.

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***[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/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/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 current CSA.

- (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.

## ***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:

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(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.

(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 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

# Board Report

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.
- (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.

# Board Report

- (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)**

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.

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- (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.
- (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)**

# Board Report

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)**

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.

# Board Report

## (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)

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/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 remove an existing CSA CR from the registration system.
- (c) From ERCOT to the current CSA CR, is used for notification that the owner/landlord has selected a new CSA CR.
- (d) 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.
- (e) From ERCOT to the MOU/EC TDSP, is used for notification of CSA deletion, unless otherwise indicated in Retail Market Guide Section 8.1.



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## (27) Establish/Delete CSA Response (814\_19)

This transaction set:

- (a) From ERCOT to the new CSA CR, is used to respond to the 814\_18, Establish/Delete CSA Request, enrolling the new CSA CR in the registration system.
- (b) From ERCOT to the current CSA CR, is used to respond to the 814\_18 transaction deleting the current CR from the registration system.
- (c) From the current CSA CR to ERCOT, is no longer valid as of Texas SE.
- (d) 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.

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

# Board Report

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)**

This transaction set:

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- (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.
- (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

# Board Report

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.

## ERCOT Impact Analysis Report

<b>NPRR Number</b>	<b><u>1159</u></b>	<b>NPRR Title</b>	<b>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</b>
<b>Impact Analysis Date</b>	December 22, 2022		
<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 implementation of Retail Market Guide Revision Request (RMGRR) 171, Changes to Transition Process That Require Opt-in MOU and EC That Are Designating POLR to Provide Mass Transition Methodology to ERCOT.		
<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 RMGRR171.

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<b>PGRR Number</b>	<b><u>102</u></b>	<b>PGRR Title</b>	<b>Dynamic Operation Model Improvement</b>
<b>Date of Decision</b>	February 28, 2023		
<b>Action</b>	Recommended Approval		
<b>Timeline</b>	Normal		
<b>Proposed Effective Date</b>	April 1, 2023		
<b>Priority and Rank Assigned</b>	Not applicable		
<b>Planning Guide Sections Requiring Revision</b>	5.5, Generator Commissioning and Continuing Operations 6.2, Dynamics Model Development		
<b>Related Documents Requiring Revision/Related Revision Requests</b>	Dynamics Working Group Procedure Manual		
<b>Revision Description</b>	This Planning Guide Revision Request (PGRR) adds a requirement for Resource Entities and Interconnecting Entities (IEs) to provide operations dynamic model quality test results that demonstrate appropriate performance for submitted operations dynamic models, and makes non-substantive clarifying changes.		
<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 checked="" type="checkbox"/> Other: (explain) Improves dynamic mode quality in alignment with Reliability and Operations Subcommittee (ROS) goals. <i>(please select all that apply)</i>		
<b>Business Case</b>	This PGRR is aligned with PGRR075, Dynamic Model Quality Requirement, and PGRR085, Dynamic Model Improvements, to		

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	<p>continuously improve dynamic modeling processes. The expected benefits of these revisions are to provide clarification and to ensure:</p> <ul style="list-style-type: none"> <li>• High quality and accurate models in operations dynamic assessment; and</li> <li>• Consistency of simulations across planning and operations software platforms.</li> </ul>
<b>ROS Decision</b>	<p>On 11/7/22, ROS voted unanimously to recommend approval of PGRR102 as submitted. All Market Segments participated in the vote.</p> <p>On 12/1/22, ROS voted unanimously to endorse and forward to TAC the 11/7/22 ROS Report and 10/21/22 Impact Analysis for PGRR102. All Market Segments participated in the vote.</p>
<b>Summary of ROS Discussion</b>	<p>On 11/7/22, ERCOT Staff presented PGRR102. Participants commented that model quality testing is needed for the Transient Security Assessment Tool (TSAT).</p> <p>On 12/1/22, participants reviewed the 10/21/22 Impact Analysis for PGRR102.</p>
<b>TAC Decision</b>	<p>On 1/24/23, TAC voted unanimously to recommend approval of PGRR102 as recommended by ROS in the 12/1/22 ROS Report. All Market Segments participated in the vote.</p>
<b>Summary of TAC Discussion</b>	<p>On 1/24/23, TAC reviewed the ERCOT Opinion, ERCOT Market Impact Statement, and Independent Market Monitor (IMM) Opinion for PGRR102.</p>
<b>ERCOT Board Decision</b>	<p>On 2/28/23, the ERCOT Board voted unanimously to recommend approval of PGRR102 as recommended by TAC in the 1/24/23 TAC Report.</p>

Opinions	
<b>Credit Review</b>	Not applicable
<b>Independent Market Monitor Opinion</b>	IMM has no opinion on PGRR102.
<b>ERCOT Opinion</b>	ERCOT supports approval of PGRR102.
<b>ERCOT Market Impact Statement</b>	ERCOT Staff has reviewed PGRR102 and believes the market impact for PGRR102 improves the dynamic modeling processes that will result in high quality and accurate models in operations dynamic

# Board Report

	assessment, and consistency of simulations across planning and operations software platforms.
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Comments Received	
Comment Author	Comment Summary
None	

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

- PGRR103, Establish Time Limit for Generator Commissioning Following Approval to Synchronize
  - Section 5.5

Proposed Guide Language Revision
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## 5.5 Generator Commissioning and Continuing Operations

- (1) Each Interconnecting Entity (IE) shall meet the conditions established by ERCOT before proceeding to Initial Energization, Initial Synchronization, and commercial operations. These conditions may require proof of meeting applicable ERCOT requirements, which may include, but are not limited to, reactive capability, Voltage Ride-Through (VRT) standards, dynamic model template submission, Automatic Voltage Regulator (AVR),



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Primary Frequency Response (PFR), Power System Stabilizer (PSS), Subsynchronous Resonance (SSR) models, and telemetry.

- (2) No later than 30 days following the Resource Commissioning Date, the IE shall submit updates to the resource dynamic planning and operations models based on “as-built” or “as-tested” data and provide a plant verification report as required by paragraph (5)(b) of Section 6.2, Dynamics Model Development. Pursuant to paragraph (5)(c) of Section 6.2, the IE shall include any necessary model updates ~~shall be accompanied~~ with model quality tests.
- (3) During continuing operations:
  - (a) Pursuant to paragraph (5)(c) of Section 6.2, the Resource Entity shall include any necessary model updates ~~shall be accompanied by~~ with model quality tests.
  - (b) The Resource Entity shall provide ERCOT with a plant verification report as required by paragraph (5)(b) of Section 6.2 at the following times:
    - (i) No later than 30 days after implementing a settings change as required by paragraph (7) of Section 6.2;
    - (ii) No earlier than 12 months and no later than 24 months following the later of the Resource Commissioning Date or March 1, 2021; and
    - (iii) A minimum of every ten years.

## 6.2 Dynamics Model Development

- (1) To adequately simulate dynamic and transient events in the ERCOT System, it is necessary to establish and maintain dynamics data and simulation-ready study cases representing the dynamic capability and frequency characteristics of machines and equipment connected to the ERCOT System.
- (2) Dynamics data is the network data and mathematical models required in accordance with the Reliability and Operations Subcommittee (ROS)-approved Dynamics Working Group Procedure Manual for simulation of dynamic and transient events in the ERCOT System.
- (3) For Resource Entities, dynamics data includes the data needed to represent the dynamic and transient response of Resource Entity-owned devices and/or Loads including but not limited to generating units, plants, and other equipment when connected to the ERCOT System including the data for any privately owned transmission system or collection system used to connect the Resource to the ERCOT System.
- (4) For Transmission Service Providers (TSPs), dynamics data needed to represent the dynamic and transient capability of TSP-owned devices including but not limited to Load shedding relays, protective relays, FACTS devices (e.g., SVC, STATCOMs), Direct Current Ties (DC Ties), variable-frequency transformers, automatically switched shunts, and transformers with automatic load tap changers.

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- (5) The owner of the generator Facility or dynamic device shall provide appropriate dynamics data to ERCOT, including the data for a planned Facility, in accordance with the Dynamics Working Group Procedure Manual. The dynamic data shall include the following:
- (a) A model with parameters that accurately represent the dynamics of the device and that is compatible with the current version of the planning and operations model software as described in the Dynamics Working Group Procedure Manual. If a user written model is provided:
    - (i) ~~The data shall also include a~~ A model manual containing a technical description of the model characteristics, including descriptions for all model parameters and variables, a list of which parameters are commonly tuned for site-specific settings, and a description of procedures and considerations for using the model in dynamic simulations, including steady state representation and limitations for model adequacy and usability in the planning and operations model software; and
    - (ii) The user-written model shall allow the user to determine the allocation of machine identifiers (bus numbers, bus names, machine IDs etc.) without restriction.
  - (b) Verification reports that support the model data based on documented field settings shall be provided as specified in the Dynamics Working Group Procedure Manual for Generation Resources, Energy Storage Resources (ESRs), and for Transmission Elements represented by a dynamic model. The reports shall demonstrate that the model parameters which are commonly tuned match site-specific settings implemented in the field. For new Generation Resources and ESRs, these reports shall be provided as required in paragraph (2) of Section 5.5, Generator Commissioning and Continuing Operations. For existing Generation Resources and ESRs, these reports shall be provided as required in paragraph (3) of Section 5.5. For Transmission Elements represented by a dynamic model, these reports shall be provided no later than two years following energization of new equipment and updated a minimum of every ten years.
  - (c) Results of model quality tests and associated simulation files that demonstrate acceptable performance of the models in the planning model and operations software as described in the Dynamics Working Group Procedure Manual. ~~The Facility owner shall be provided updated information whenever it provides a new or updated dynamic model is provided to ERCOT representing a Generation Resource, ESR, or Transmission Element. The purpose of these tests is to ensure the quality of the provided dynamic data and models for use in numerous system studies and ensure consistency across planning and operations software platforms.~~ Therefore, the Facility owner shall also assess sufficient sensitivities, including but not limited to Voltage Set Point at the Point of Interconnection (POI), real power output, and Reactive Power output to ensure acceptable model performance over the entire range of operating conditions. The Facility owner

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~~shall provide a~~ An explanation shall be provided for review if model responses do not match.

- (i) ~~Facility owners shall include a~~ All site-specific dynamic models required to representing the Facility shall be included in the model quality tests. ~~Facility owners can perform t~~ These tests can be performed in a simple test system without requiring ERCOT System information.
- (ii) For Intermittent Renewable Resource (IRR) equipment aggregated together to form an IRR in accordance with paragraph (12) of Protocol Section 3.10.7.2, Modeling of Resources and Transmission Loads, the dynamic model shall represent the aggregated IRR.
- (iii) Results for the following model quality tests shall be provided to demonstrate acceptable model performance. Additional details about each test, including the set up and description of desirable response, are included in the Dynamics Working Group Procedure Manual.
  - (A) Flat start test: A no-disturbance test shall be performed to demonstrate appropriate model initialization and the Facility's dynamic response under a no-disturbance condition.
  - (B) Small voltage disturbance test: A voltage step increase and decrease shall be applied to the POI to demonstrate the Facility's dynamic response.
  - (C) Large voltage disturbance test:
    - (1) For IRRs, ESRs, and inverter-based transmission equipment, the high and low Voltage Ride-Through (VRT) profiles as described in Nodal Operating Guide Section 2.9.1, Additional Voltage Ride-Through Requirements for Intermittent Renewable Resources, shall be applied to the POI to demonstrate the Facility's dynamic response.
    - (2) For Resources other than IRRs, ESRs, and inverter-based equipment, a fault shall be applied to the POI to demonstrate the Facility's dynamic response.
  - (D) Small frequency disturbance test: A frequency step increase and decrease shall be applied to the POI to demonstrate the Facility's dynamic response.
  - (E) System strength test: The model for IRRs and inverter-based Resources shall be tested under a few equivalent short circuit ratios, as described in the Dynamics Working Group Procedure Manual. This tests the robustness of the model to varying system conditions.

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- (d) Inverter-Based Resources (IBRs) shall provide results of the unit model validation to demonstrate that the PSCAD model, as described in the Dynamics Working Group Procedure Manual, accurately represents the dynamic responses of all inverter-based dynamic devices within the Facility. This validation is not intended to be site-specific; rather it is intended to be a hardware type test, where models representing different inverter hardware are benchmarked for accuracy. Validation results for a specific model of inverter can be submitted for multiple uses of that model of inverter.
  - (i) The validation results shall be included when submitting a PSCAD model to ERCOT.
  - (ii) Results for the following unit model validation tests shall be provided to demonstrate model accuracy. Additional details about each test are included in the Dynamics Working Group Procedure Manual.
    - (A) Step change in voltage;
    - (B) Large voltage disturbance (VRT tests);
    - (C) System strength test;
    - (D) Phase angle jump test; and
    - (E) Subsynchronous test.
- (6) Dynamics data for a planned Facility will be updated by the Facility owner upon completion of the design for the Facility.
- (7) Updated dynamics data for an existing Facility shall be provided to ERCOT when field tests, inspections, or other information demonstrates that the dynamics data should be changed to accurately represent the dynamic characteristics of the Facility.
- (8) Dynamics Data is considered Protected Information pursuant to Protocol Section 1.3, Confidentiality.
- (9) Dynamics data shall be provided with the legal authority to provide the information to all TSPs. If any of the information is considered Protected Information, the Facility owner shall indicate as such.

## ERCOT Impact Analysis Report

<b>PGRR Number</b>	<b><u>102</u></b>	<b>PGRR Title</b>	<b>Dynamic Operation Model Improvement</b>
<b>Impact Analysis Date</b>	October 21, 2022		
<b>Estimated Cost/Budgetary Impact</b>	None.		
<b>Estimated Time Requirements</b>	No project required. This Planning Guide Revision Request (PGRR) 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>RMGRR Number</b>	<b><u>171</u></b>	<b>RMGRR Title</b>	<b>Changes to Transition Process That Require Opt-in MOU and EC That Are Designating POLR to Provide Mass Transition Methodology to ERCOT</b>
<b>Date of Decision</b>	February 28, 2023		
<b>Action</b>	Recommended Approval		
<b>Timeline</b>	Normal		
<b>Proposed Effective Date</b>	April 1, 2023		
<b>Priority and Rank Assigned</b>	Not applicable		
<b>Retail Market Guide Sections Requiring Revision</b>	<p>7.11.1, Transition Process of Competitive Retailer's Electric Service Identifiers to Provider of Last Resort or Designated Competitive Retailer Pursuant to P.U.C. SUBST. R. 25.43, Provider of Last Resort (POLR) or CR Voluntarily Leaving the Market</p> <p>8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market</p> <p>9, Appendix J7, Mass Transition Allocation Methodology (new)</p> <p>9, Appendix J8, Attestation to Confirm Mass Transition Allocation Methodology (new)</p>		
<b>Related Documents Requiring Revision/Related Revision Requests</b>	Nodal Protocol Revision Request (NPRR) 1159, Related to RMGRR171, Changes to Transition Process That Require Opt-in MOU or EC That Are Designating POLR to Provide Mass Transition Methodology to ERCOT		
<b>Revision Description</b>	<p>This Retail Market Guide Revision Request (RMGRR):</p> <ul style="list-style-type: none"> <li>Revises Section 7.11.1 to add new paragraph (2) that establishes the process that an opt-in Municipally Owned Utility (MOU) or opt-in Electric Cooperative (EC) without an affiliated Provider of Last Resort (POLR) that has not delegated authority to designate POLRs to the Public Utility Commission of Texas (PUCT), as applicable, follows to provide its initial POLR allocation methodology and updates and to confirm such allocation methodology;</li> <li>Revises Section 8.1, Table 1, MOU/EC General Information and Retail Processing Specifications, to show Protocol sections applicable to certain retail transactions and processes in opt-in MOU/EC Transmission and/or Distribution Service Provider</li> </ul>		

## Board Report

	<p>(TDSP) service territories corresponding to business processes of each MOU/EC TDSP;</p> <ul style="list-style-type: none"> <li>• Adds new Section 9, Appendix J7, to establish the form that an opt-in MOU or opt-in EC that does not have an affiliated POLR uses to submit to ERCOT its initial and updated Mass Transition allocation methodology as addressed in revised paragraph (2) of Section 7.11.1; and</li> <li>• Adds new Section 9, Appendix J8, to establish the form that an opt-in MOU or opt-in EC that does not have an affiliated POLR uses to submit to ERCOT its attestation to confirm its Mass Transition methodology.</li> </ul>
<b>Reason for Revision</b>	<p><input checked="" type="checkbox"/> Addresses current operational issues.</p> <p><input type="checkbox"/> Meets Strategic goals (tied to the <u>ERCOT Strategic Plan</u> or directed by the ERCOT Board).</p> <p><input type="checkbox"/> Market efficiencies or enhancements</p> <p><input type="checkbox"/> Administrative</p> <p><input type="checkbox"/> Regulatory requirements</p> <p><input type="checkbox"/> Other: (explain) (please select all that apply)</p>
<b>Business Case</b>	<p>This RMGRR supports an MOU/EC decision process upon entry into retail competition.</p> <p>The change to Section 7.11.1 requires that opt-in MOUs/ECs without an affiliated POLR and who have not delegated authority to designate POLR to the PUCT, provide their Mass Transition allocation methodology to ERCOT 30 days prior to its effective date. This change also requires updates or confirmation of the methodology every two years.</p> <p>The change to Section 8.1 communicates elections made by MOU/EC TDSPs for the retail transaction processing options.</p> <p>The new Section 9, Appendix J7 and Appendix J8, support the revised Mass Transition allocation methodology submission process in Section 7.11.1 through establishing new forms for those submissions.</p>
<b>RMS Decision</b>	<p>On 1/10/23, RMS voted unanimously to recommend approval of RMGRR171 as revised by RMS. All Market Segments participated in the vote.</p>

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	On 2/7/23, RMS voted unanimously to endorse and forward to TAC the 1/10/23 RMS Report and the 12/22/22 Impact Analysis for RMGRR171. All Market Segments participated in the vote.
<b>Summary of RMS Discussion</b>	<p>On 1/10/23, participants noted comments are being developed regarding dual billing and are expected to be submitted in time for review at the February 7, 2023 RMS meeting.</p> <p>On 2/7/23, participants discussed the 1/26/23 LRITF comments and noted that additional comments are being developed for consideration at the February 20, 2023 TAC meeting.</p>
<b>TAC Decision</b>	On 2/20/23, TAC voted unanimously to recommend approval of RMGRR171 as recommended by RMS in the 2/7/23 RMS Report. All Market Segments participated in the vote.
<b>Summary of TAC Discussion</b>	On 2/20/23, TAC reviewed the ERCOT Opinion, ERCOT Market Impact Statement, and Independent Market Monitor (IMM) Opinion for RMGRR171.
<b>Board Decision</b>	On 2/28/23, the ERCOT Board voted unanimously to recommend approval of RMGRR171 as recommended by TAC in the 2/20/23 TAC Report.

Opinions	
<b>Credit Review</b>	Not applicable
<b>Independent Market Monitor Opinion</b>	The IMM has no opinion on RMGRR171.
<b>ERCOT Opinion</b>	ERCOT supports approval of RMGRR171.
<b>ERCOT Market Impact Statement</b>	ERCOT Staff has reviewed RMGRR171 and believes it has a positive market impact by addressing current operational issues through the establishment of a process for opt-in MOUs and ECs without an affiliated POLR to follow in order to provide their initial POLR allocation methodologies, methodology updates, and confirmations.

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<b>Company</b>	ERCOT



# Board Report

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Market Segment	Not applicable

Market Rules Staff Contact	
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Comments Received	
Comment Author	Comment Summary
LRITF 012623	Proposed language to allow considerations of dual billing applications within the Lubbock territory upon opening to retail competition, if necessary

Market Rules Notes
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None

Proposed Guide Language Revision
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## **7.11.1 Transition Process of Competitive Retailer's Electric Service Identifiers to Provider of Last Resort or Designated Competitive Retailer Pursuant to P.U.C. SUBST. R. 25.43, Provider of Last Resort (POLR) or CR Voluntarily Leaving the Market**

- (1) This Section 7.11.1 outlines a transition process that can be used when such circumstances exist pursuant to P.U.C. SUBST. R. 25.43, Provider of Last Resort (POLR), referred to herein as a "Mass Transition," and may include ESI IDs that are transferred to a designated CR as a result of an acquisition pursuant to P.U.C. SUBST. R. 25.493, Acquisition and Transfer of Customers from one Retail Electric Provider to Another.

- (2) Each opt-in Municipally Owned Utility (MOU) or opt-in Electric Cooperative (EC) without an affiliated POLR provider that has not delegated authority to designate POLRs to the Public Utility Commission of Texas (PUCT), as applicable to opt-in ECs, must provide its initial POLR allocation methodology to ERCOT no later than 30 days prior to the Customer Choice opt-in date using Section 9, Appendix J7, Mass Transition Allocation Methodology. Should the opt-in MOU or opt-in EC determine the allocation methodology must be changed at any time, such updates must be provided to ERCOT no later than 30 days prior to its effective date or at a time prior to the initiation of a Mass Transition as defined in Section 7.11.1.1, Mass Transition Initiation. All updates to the

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allocation methodology must be provided using Appendix J7. Confirmation of all allocation methodologies must be submitted to ERCOT prior to January 1<sup>st</sup> of each odd numbered year using Section 9, Appendix J8, Attestation to Confirm Mass Transition Allocation Methodology.

- (32) Market Participants that wish to transfer Customers for reasons other than P.U.C. SUBST. R. 25.43 should contact ERCOT Client Relations and the Public Utility Commission of Texas (PUCT) Staff.
- (43) Per Protocol Section 16.1.1, Re-Registration as a Market Participant, any Market Participant that has had its Customers dropped via the Mass Transition process must provide to ERCOT a new Data Universal Numbering System (DUNS) Number (DUNS #) to re-register as a Market Participant with ERCOT.
- (54) For the purpose of a Mass Transition and the associated timeline, the following definitions shall apply:
  - (a) Notification Date - Date on which ERCOT sends the initial Mass Transition Market Notice to affected parties informing them that a Mass Transition will occur as a result of a Market Participant default, also known as the pre-Launch stage in the process.
  - (b) Calendar Day 0 - Date that ERCOT sends 814\_03, Enrollment Notification Request. This can be on the Notification Date.
  - (c) Mass Transition Date - Scheduled Meter Read Date (SMRD) will be equal to Calendar Day 0 plus two days and will be the date requested in the 814\_03 transaction from ERCOT to the TDSP. POLRs will be responsible for ESI IDs no earlier than the Mass Transition Date.
- (65) The processes described in this Section presume that a decision to transfer the ESI IDs has already been made by ERCOT as a result of a Market Participant's default of the Standard Form Market Participant Agreement with ERCOT.
- (76) ERCOT may coordinate periodic testing with Market Participants of Mass Transition processes as defined in this Section and Section 11, Solution to Stacking.

## **8.1 Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market**

- (1) In the ERCOT Region, there are Transmission and/or Distribution Service Providers (TDSPs) which are categorized as Municipally Owned Utilities (MOUs) and/or Electric Cooperatives (ECs). General information and processing elections for the MOU/ECs can be found in Table 1, MOU/EC General Information and Retail Processing Specifications.
- (2) Differences between the MOU/EC TDSP market and the Investor Owned Utility (IOU) TDSP market are identified in their respective tariffs.

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- (3) For current tariff information, refer to P.U.C. SUBST. R. 25, Appendix V, Tariff for Competitive Retailer Access of a Municipally Owned Utility or Electric Cooperative, and subsection (d)(1), Figure: 16 of P.U.C. SUBST. R. 25.214, Terms and Conditions of Retail Delivery Service Provided by Investor Owned Transmission and Distribution Utilities, on the Public Utility Commission of Texas (PUCT) website or the TDSP.
- (4) Notable differences between the IOU TDSP market and the MOU/EC TDSP market include, but are not limited to the following:
  - (a) ~~Billing~~—Billing may be consolidated billing or separate billing (based on Customer Choice) in a MOU/EC TDSP territory versus consolidated billing only by the Competitive Retailer (CR) in an IOU TDSP territory. The MOU/EC TDSP could choose to delegate the consolidated billing to the CR or contract with a third party.
  - (b) ~~Outage Reporting~~—Differences in who the Customer calls to report an outage or make a service request; ~~and~~
  - (c) ~~Customer Protection~~—In an IOU TDSP territory, the PUCT Customer protection rules apply. However, in a MOU/EC territory, the specific MOU/EC utility service rules apply, which in many cases are different from the PUCT Customer protection rules such as the due date of the bill; ~~and~~
  - (d) Continuous Service Agreement (CSA) transactions may be processed differently at ERCOT depending on the ~~Retail~~ ~~p~~Processing ~~s~~Specifications of the MOU/EC as indicated in Table 1 below; and
  - (e) Allocation of Electric Service Identifiers (ESI IDs) during a Mass Transition may follow different processes based on the ~~Retail~~ ~~p~~Processing ~~selection~~Specifications of the MOU/EC as noted in Section 7.11.2, Acquisition and Transfer of Customers from one Retail Electric Provider to Another.

**Table 1. MOU/EC General Information and Retail Processing Specifications**

MOU/EC	<del>General Call Center</del> <u>Nueces</u>	<del>Website</del> <u>Lubbock Power and Light</u>
<del>NEC</del> <u>General Call Center</u>	361-387-2581	<u>www.nueceselectric.org</u> <del>TBD</del>
<u>Website</u>	<u>www.nueceselectric.org</u>	<u>www.lpandl.com</u>
<u>Continuous Service Agreement (814_18/814_19)</u>	<u>Protocol Section(s)</u> <u>15.1.10, Continuous Service Agreement Competitive Retailer Processing in Municipally</u>	<u>Protocol Section(s)</u> <u>15.1.9, Continuous Service Agreement CR Processing</u> <u>19.3.1</u> • <u>Paragraph (26)(a)-(c)</u>

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<u>MOU/EC</u>	<u><del>General Call Center</del>Nueces</u>	<u><del>Website</del>Lubbock Power and Light</u>
	<u>Owned Utility/Electric Cooperative Service Territory</u>  <u>19.3.1, Defined Texas Standard Electronic Transactions</u> <ul style="list-style-type: none"> <li>• <u>Paragraph (26)(d)-(e)</u></li> <li>• <u>Paragraph (27)(d)</u></li> </ul>	<ul style="list-style-type: none"> <li>• <u>Paragraph (27)(a)-(b)</u></li> </ul>
<u>Outage Notification (650_04)</u>	<u>Protocol Section(s)</u>  <u>19.3.1</u> <ul style="list-style-type: none"> <li>• <u>Paragraph (3)(b)</u></li> </ul>	<u>Protocol Section(s)</u>  <u>19.3.1</u> <ul style="list-style-type: none"> <li>• <u>Paragraph (3)(a)</u></li> </ul>
<u>TDSP Invoice (810_03/810_02)</u>	<u>810_03</u>  <u>Protocol Section(s)</u>  <u>19.3.1</u> <ul style="list-style-type: none"> <li>• <u>Paragraph (6)</u></li> </ul>	<u>810_02</u>  <u>Protocol Section(s)</u>  <u>19.3.1</u> <ul style="list-style-type: none"> <li>• <u>Paragraph (5)</u></li> </ul>
<u>Maintain Customer Information Request (814_PC/814_PD)</u>	<u>Protocol Section(s)</u>  <u>19.3.1</u> <ul style="list-style-type: none"> <li>• <u>Paragraph (7)(c)</u></li> <li>• <u>Paragraph (8)</u></li> </ul>	<u>Protocol Section(s)</u>  <u>19.3.1</u> <ul style="list-style-type: none"> <li>• <u>Paragraph (7)(a)-(b)</u></li> <li>• <u>Paragraph (8)</u></li> </ul>
<u>Remittance Advice (820_03/820_02)</u>	<u>820_03</u>  <u>Protocol Section(s)</u>  <u>19.3.1</u> <ul style="list-style-type: none"> <li>• <u>Paragraph (39)</u></li> </ul>	<u>820_02</u>  <u>Protocol Section(s)</u>  <u>19.3.1</u> <ul style="list-style-type: none"> <li>• <u>Paragraph (38)</u></li> </ul>
<u>Invoice or Usage Reject Notification (824)</u>	<u>Protocol Section(s)</u>  <u>19.3.1</u> <ul style="list-style-type: none"> <li>• <u>Paragraph (40)(d)</u></li> </ul>	<u>Protocol Section(s)</u>  <u>19.3.1</u> <ul style="list-style-type: none"> <li>• <u>Paragraph (40)(a)</u></li> </ul>
<u>Membership ID</u>	<u>Required</u>	<u>Not Used</u>

## ERCOT Retail Market Guide

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## Section 9: Appendices

### Appendix J7: Mass Transition Allocation Methodology

TBD

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## Appendix J7

### Mass Transition Allocation Methodology

*Reference: Paragraph (2) of Section 7.11.1, Transition Process of Competitive Retailer's Electric Service Identifiers to Provider of Last Resort or Designated Competitive Retailer Pursuant to P.U.C. SUBST. R. 25.43, Provider of Last Resort (POLR) or CR Voluntarily Leaving the Market*

**Note:** This Mass Transition Allocation Methodology must be provided by each opt-in Municipally Owned Utility (MOU) or opt-in Electric Cooperative (EC) without an affiliated Provider of Last Resort (POLR) that has not delegated authority to designate POLRs to the Public Utility Commission of Texas (PUCT).

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Name of MOU/EC \_\_\_\_\_

Effective Date \_\_\_\_\_

Methodology (or specify that it is included as an attachment) \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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#### MOU/EC AUTHORIZATION

I affirm that I am an authorized representative of \_\_\_\_\_ (MOU/EC Name) and that the specified methodology should be used by ERCOT in accordance with Retail Market Guide Section 7.11.1.



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(Employee Name)

## ERCOT Retail Market Guide

### Section 9: Appendices

#### Appendix J8: Attestation to Confirm Mass Transition Allocation Methodology

TBD

### Appendix J8

#### Attestation to Confirm Mass Transition Allocation Methodology

*Reference: Paragraph (2) of Section 7.11.1, Transition Process of Competitive Retailer's  
Electric Service Identifiers to Provider of Last Resort or Designated Competitive*

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Retailer Pursuant to P.U.C. SUBST. R. 25.43, Provider of Last Resort (POLR) or CR Voluntarily Leaving the Market

**Note:** Confirmation of the Mass Transition Allocation Methodology provided to ERCOT must be provided annually by each opt-in Municipally Owned Utility (MOU) or opt-in Electric Cooperative (EC) in areas of ERCOT in which Customer Choice is in effect, who do not have an affiliated Provider of Last Resort (POLR), and who have not delegated authority to designate POLRs to the Public Utility Commission of Texas (PUCT). If the Methodology currently on file has changes, please submit the form in Section 9, Appendix J7, Mass Transition Allocation Methodology, specifying the new effective date.

## **MOU/EC ATTESTATION**

I affirm that I am an authorized representative of \_\_\_\_\_ (MOU/EC Name) and that the Mass Transition Allocation Methodology previously filed with ERCOT and effective on \_\_\_\_\_ (Effective Date of Methodology) should continue to be used by ERCOT in accordance with Retail Market Guide Section 7.11.1.

\_\_\_\_\_  
(Employee Name)

\_\_\_\_\_  
(Attestation Date)

## ERCOT Impact Analysis Report

<b>RMGRR Number</b>	<b><u>171</u></b>	<b>RMGRR Title</b>	<b>Changes to Transition Process That Require Opt-in MOU and EC That Are Designating POLR to Provide Mass Transition Methodology to ERCOT</b>
<b>Impact Analysis Date</b>	December 22, 2022		
<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 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>	ERCOT will update its business processes to implement this RMGRR.		
<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.