



ERCOT Compliance Template #1 24/7 Staffing Requirements

Introduction

Identifies the requirement to have and maintain a 24/7 operations center established by QSEs.

Principle

This Protocol requires that QSEs have and maintain a twenty four (24) hour, seven (7) day a week control site for the purpose of communicating with ERCOT. It is imperative that this be maintained for the scheduling and deployment of ancillary services and reliable operation of the ERCOT system.

References

Protocol 4.3.4- Operations of the Qualified Scheduling Entity

Operating Guides 3.1.3.1-Scheduling Center Requirement

Description

QSEs must provide personnel in a 24/7 facility that has the authority to make decisions and follow instructions from ERCOT System operations

Applicable to:

This Template is applicable to Qualified Scheduling Entities.

Measurement

A QSE shall provide training documentation that confirms that Operators meet the criteria of providing personnel that are trained and able to communicate, follow instructions and make decisions on behalf of the QSE Entity.

Measuring Process

ERCOT Compliance may ask for documentation during an audit or site visit or other times as deemed necessary by ERCOT. An ERCOT audit will include questions to real time operations staff designed to verify that the staff is knowledgeable in their duties.

Exceptions:

None

Levels of Non-Compliance

Level 1

On a first occurrence of non-compliance, ERCOT Compliance will send a letter to and make telephone contact with the Operational Contact for the QSE that is found to be non-compliant. That QSE will be given ten (10) business days to provide a written statement and/or evidence as to why further disciplinary action should not be taken. Information submitted by the QSE shall document the non-compliance event and the extent the QSE is responsible for the event. To the extent the QSE acknowledges responsibility the QSE shall detail what plan is in place to see that this, or a similar event, does not re-occur. After the above ten (10) business days the non-compliance event will be posted on the ERCOT Compliance Web Site.

Level 2

If a second non-compliance event occurs within six (6) months after corrective actions are completed for the Level 1 Compliance Action, or when adequate corrective actions in response to a Level 1 Compliance Action are not met, then ERCOT Compliance will send a letter to and make telephone contact with the Contact of Record in the Standard Form Agreement of the QSE stating ERCOT's position. A copy of this letter will be sent to the Director of Market Oversight Division (MOD) of the Public Utility Commission of Texas (PUCT). The QSE will be given ten (10) business days to respond with an action plan and a time frame to remedy the non-compliance. After the above ten (10) business days the non-compliance event will be posted on the ERCOT Compliance Web Site.

Level 3

This is applied if a third (or more) non-compliance event occurs within six (6) months after corrective actions are completed for the Level 2 Compliance Action, an issue remains unresolved after a Level 2 Compliance Action, or if an event appears to have extreme reliability consequences as to warrant immediate implementation of a Level 3 Compliance Action. Upon initiation of a Level 3 Compliance Action, a complaint will be filed by ERCOT Compliance with the PUCT. Privileges of the non-compliant QSE to provide ancillary services in the ERCOT system may be revoked. All actions taken by ERCOT in this regard will be posted on the ERCOT Compliance Web Site.

Document Revisions

ISSUE/DATE	REASON FOR ISSUE
Rev. 1.0/4/1/04	R. Potts