

Commercial Operations Market Guide

November 1, 2007

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Section 1: Purpose

September 1, 2007

1 PURPOSE.....1

1 PURPOSE

- (1) The Commercial Operations Market Guide (“COPMG”) contains information for Market Participants that describes the processes through which ERCOT commercial operations market data is translated into financial settlements. These processes include, but are not limited to, the application of load profiles, data aggregation, data extract variance resolutions, Transmission Congestion Rights (“TCR”) settlements, Qualified Scheduling Entity (“QSE”) settlements, invoicing and dispute resolution. Commercial operations market data includes, but is not limited to, ESI ID and Resource ID data, registration information, load profiles, aggregated load and generation values, data extracts and market operations data.
- (2) The COPMG is not a substitute for the ERCOT Protocols or the Public Utility Commission of Texas (“PUC”) Substantive Rules. Each Market Participant shall comply with the ERCOT Protocols and the PUC Substantive Rules. In the event of a conflict between the ERCOT Protocols or PUC Substantive Rules, the ERCOT Protocols and PUC Substantive Rules take precedence over the COPMG.
- (3) The COPMG may be updated monthly. The most recent version of the COPMG is posted on the ERCOT website.

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Section 2: Definitions and Acronyms

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2 DEFINITIONS AND ACRONYMS

Relevant terms and definitions used in this document can be found in ERCOT Protocols Section 2, Definitions and Acronyms. Full text of the document is available on the ERCOT website. Section 2.1 and 2.2 contain definitions and acronyms for terms not defined in the ERCOT Protocols.

2.1 Definitions

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2.2 Acronyms

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Section 3: Process for Commercial Operations Market Guide Revision

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3 PROCESS FOR COMMERCIAL OPERATIONS MARKET GUIDE REVISION

3.1 Introduction

- (1) A request to make additions, edits, deletions, revisions, or clarifications to the COPMG, including any attachments and exhibits to the COPMG, is called a “Commercial Operations Market Guide Revision Request” (COPMGRR). Except as specifically provided in other Sections of the COPMG, this Section shall be followed for all COPMGRRs. ERCOT Members, Market Participants, PUCT Staff, ERCOT Staff, and any other entities are required to utilize the process described herein prior to requesting, through the PUCT or other Governmental Authority, that ERCOT make a change to the COPMG, except for good cause shown to the PUCT or other Governmental Authority.
- (2) All decisions of the COPS Communication Working Group (CCWG), as defined below, the Commercial Operations Subcommittee (COPS), the Technical Advisory Committee (TAC) and the ERCOT Board of Directors (Board) with respect to any COPMGRR shall be posted to the public area of the MIS within three Business Days of the date of the decision. All such postings shall be maintained on the public area of the MIS for at least 180 days from the date of posting.
- (3) The “next regularly scheduled meeting” of the CCWG, COPS, the TAC or the Board shall mean the next regularly scheduled meeting for which required notice can be timely given regarding the item(s) to be addressed, as specified in the appropriate Board or committee procedures.
- (4) Throughout the COPMG, references are made to the ERCOT Protocols. ERCOT Protocols supersede COPMG and any COPMGRR must be compliant with the ERCOT Protocols. The ERCOT Protocols are subject to the revision process outlined in ERCOT Protocols Section 21, Process for Protocol Revision.
- (5) ERCOT Staff may make non-substantive corrections at any time during the processing of a particular COMPGRR. Under certain circumstances, however, the COPMG can also be revised by ERCOT Staff rather than using the COPMGRR process outlined in this section.
 - (a) This type of revision is referred to as an “Administrative COPMGRR” or “Administrative Changes” and shall consist of non-substantive corrections, such as typos (excluding grammatical changes), internal references (including table of contents), improper use of acronyms, and references to ERCOT Protocols, PUCT Substantive Rules, the Public Utility Regulatory Act (PURA), North American Electric Reliability Corporation (NERC) regulations, Federal Energy Regulatory Commission (FERC) rules, etc.
 - (b) ERCOT shall post such Administrative COPMGRRs to the MIS and distribute the COPMGRRs to the CCWG at least ten Business Days before implementation. If no interested party submits comments to the Administrative COPMGRR, ERCOT

Staff shall implement the Administrative COMPGRR according to Section 3.7, Revision Implementation. If any interested party submits comments to the Administrative COPMGRR, then the Administrative COPMGRR shall be processed in accordance with the COPMGRR process outlined in this Section.

3.2 Submission of a Commercial Operations Market Guide Revision Request

The following Entities may submit a COPMGRR:

- (a) Any Market Participant;
- (b) Any Entity that is an ERCOT Member;
- (c) PUCT Staff;
- (d) ERCOT Staff; and
- (e) Any other Entity that resides (or represents residents) in Texas or operates in the Texas electricity market.

3.3 Commercial Operations Subcommittee Communication Working Group

- (1) The COPS shall assign a working group ("COPS Communications Working Group" or "CCWG") to review and recommend action on formally submitted COPMGRRs, provided that:
 - (a) CCWG's meetings are open to ERCOT Staff, ERCOT Members, Market Participants, and the PUCT Staff; and
 - (b) Each Market Segment is allowed to participate.
- (2) Where additional expertise is needed, the CCWG may refer a COPMGRR to other working groups or task forces of COPS for review and comment on the COPMGRR. Suggested modifications—or alternative modifications if a consensus recommendation is not achieved by a non-voting working group or task force—to the COPMGRR should be submitted by the chair or the chair's designee on behalf of the working group or task force as comments on the COPMGRR for consideration by CCWG. However, the CCWG shall retain ultimate responsibility for the processing of all COPMGRRs.
- (3) The CCWG has the ultimate responsibility for ensuring that the COPMG is compliant with the ERCOT Protocols. As such, the CCWG will monitor all changes to the ERCOT Protocols and initiate any COPMGRRs necessary to bring the COPMG in conformance with the ERCOT Protocols. The CCWG will also initiate an ERCOT Protocol Revision Request (PRR) if such a change is necessary to accommodate a proposed COPMGRR prior to proceeding with that COPMGRR.

- (4) ERCOT shall consult with the chair of the CCWG to coordinate and establish the meeting schedule for the CCWG or other assigned working groups. The CCWG shall meet at least once per month, unless no COPMGRRs were submitted during the prior 24 days, and shall ensure that reasonable advance notice of each meeting, including the meeting agenda, is posted to the MIS.

3.4 Commercial Operations Market Guide Revision Procedure

3.4.1 *Review and Posting of Commercial Operations Market Guide Revision Requests*

- (1) COPMGRRs shall be submitted electronically to ERCOT by completing the designated form provided on the MIS.
- (2) The COPMGRR shall include the following information:
 - (a) Description of requested revision;
 - (b) Reason for the suggested change;
 - (c) Impacts and benefits of the suggested change on ERCOT market structure, ERCOT operations, and Market Participants, to the extent that the submitter may know this information;
 - (d) COPMGRR Impact Analysis (IA) (applicable only for a COPMGRR submitted by ERCOT Staff);
 - (e) List of affected COPMG Sections and subsections;
 - (f) General administrative information (organization, contact name, etc.); and
 - (g) Suggested language for requested revision.
- (3) ERCOT shall evaluate the COPMGRR for completeness and shall notify the submitter, within five Business Days of receipt, if the COPMGRR is incomplete, including the reasons for such status. ERCOT may provide information to the submitter that will correct the COPMGRR and render it complete. An incomplete COPMGRR shall not receive further consideration until it is completed. In order to pursue the revision requested, a submitter must submit a completed version of the COPMGRR with the deficiencies corrected.
- (4) If a submitted COPMGRR is complete or once a COPMGRR is corrected, ERCOT shall post a complete COPMGRR to the public area of the MIS and distribute the COPMGRR to the CCWG within three Business Days.

3.4.2 *Withdrawal of a Commercial Operations Market Guide Revision Request*

- (1) By providing notice to the CCWG, the submitter of a COPMGRR may withdraw the COPMGRR at any time prior to a recommendation of approval of the COPMGRR by the CCWG. ERCOT shall post a notice of the submitter's withdrawal of a COPMGRR on the public area of the MIS within one Business Day of the submitter's notice to CCWG.
- (2) The submitter of a COPMGRR may request withdrawal of a COPMGRR after its approval by CCWG. Such withdrawal must be approved by the COPS (if it has not yet been considered by COPS) or by the TAC (if it has been recommended for TAC approval by COPS but not yet considered by the TAC).
- (3) Once approved by the TAC, a COPMGRR cannot be withdrawn.

3.4.3 *Communication Working Group Review and Action*

- (1) Any interested party may comment on the COPMGRR.
- (2) To receive consideration, comments must be delivered electronically to ERCOT in the designated format provided on the public area of the MIS within 21 days from the posting date of the COPMGRR. Comments submitted after the due date of the 21-day comment period may be considered at the discretion of CCWG after these comments have been posted. Comments submitted in accordance with the instructions on the MIS—regardless of date of submission—shall be posted to the public area of the MIS and distributed electronically to the CCWG within three Business Days of submittal.
- (3) The CCWG shall review the COPMGRR at its next regularly scheduled meeting after the end of the 21-day comment period, if the 21-day comment period ends less than three Business Days prior to the next regularly scheduled CCWG meeting, the CCWG shall review the COPMGRR at the following regularly scheduled CCWG meeting. At such meeting, the CCWG may take action to:
 - (a) Recommend approval of the COPMGRR as submitted or modified;
 - (b) Recommend rejection of the COPMGRR;
 - (c) If no consensus can be reached, present options for COPS consideration;
 - (d) Defer action on the COPMGRR; or
 - (e) Request that COPS refer the COPMGRR to another subcommittee, working group, or task force.
- (4) Within three Business Days after CCWG takes action (other than deferral), ERCOT shall issue a report (“CCWG Recommendation Report”) to COPS reflecting the CCWG action and post the same to the MIS. The CCWG Recommendation Report shall contain the following items:

- (a) Identification of submitter;
- (b) Modified COPMG language proposed by the CCWG;
- (c) Identification of authorship of comments;
- (d) Proposed effective date(s) of the COPMGRR;
- (e) Recommended action; and
- (f) A recommended priority and rank for any COPMGRRs requiring a system change project.

3.4.4 *Comments to the Communication Working Group Recommendation Report*

- (1) Any interested party may comment on the CCWG Recommendation Report. To receive consideration, comments on the CCWG Recommendation Report must be delivered electronically to ERCOT in the designated format provided on the public area of the MIS. Comments received regarding the CCWG Recommendation Report after three Business Days prior to the next regularly scheduled CCWG meeting may be considered at the discretion of the CCWG chair.
- (2) Within three Business Days of receipt of comments related to the CCWG Recommendation Report, ERCOT shall post such comments to the MIS. The comments shall include identification of the commenting Entity.
- (3) Comments submitted in accordance with the instructions on the public area of the MIS — regardless of date of submission — shall be posted to the public area of the MIS and distributed electronically to the COPS and CCWG within three Business Days of submittal.
- (4) COPS shall review the CCWG Recommendation Report and any posted comments to the Recommendation Report at its next regularly scheduled meeting. Comments must be posted seven days prior to the next regularly scheduled COPS meeting. Comments posted after the due date may be considered at the discretion of the COPS chair.

3.4.5 *Impact Analysis for Commercial Operations Market Guide Revision Request*

- (1) ERCOT shall complete an IA based on the submitted CCWG Recommendation Report and will report the IA's results to CCWG at the next scheduled CCWG meeting.
- (2) The IA shall include:
 - (a) An estimate of any cost and budgetary impacts to ERCOT;
 - (b) The estimated amount of time required to implement the proposed COPMGRR;

- (c) The identification of alternatives to the original proposed language that may result in more efficient implementation; and
- (d) The identification of any manual workarounds that may be used as an interim solution.

3.4.6 *Communication Working Group Review of Impact Analysis*

- (1) After ERCOT posts the results of the IA, CCWG shall review the IA at its next regularly scheduled meeting. CCWG may revise its CCWG Recommendation Report after considering the information included in the IA.
- (2) If CCWG revises its Recommendation Report, a revised CCWG Recommendation Report shall be issued by CCWG to COPS and posted on the MIS. Additional comments received regarding the revised CCWG Recommendation Report shall be accepted up to three Business Days prior to the COPS meeting at which the COPMGRR is scheduled for consideration. If CCWG revises its recommendation, ERCOT shall update the IA and issue the updated IA at least three Business Days prior to the regularly scheduled COPS meeting. If a longer review period is required for ERCOT Staff to update the IA, ERCOT Staff shall submit a schedule for completion of the IA to the COPS chair.

3.4.7 *Commercial Operations Subcommittee Review and Action*

- (1) COPS shall consider any COPMGRRs that CCWG has submitted to COPS for consideration for which both a CCWG Recommendation Report has been posted and an IA based on such CCWG recommendation (as updated if modified by CCWG under Section 3.4.6, Communication Working Group Review of Impact Analysis) has been posted on the public area of the MIS for at least three days. The following information must be included for each COPMGRR considered by COPS:
 - (a) The CCWG Recommendation Report and IA; and
 - (b) Any comments timely received in response to the CCWG Recommendation Report.
- (2) COPS shall take one of the following actions regarding the CCWG Recommendation Report:
 - (a) Recommend approval of the COPMGRR as recommended in the CCWG Recommendation Report or as modified by COPS;
 - (b) Reject the COPMGRR; or
 - (c) Remand the COPMGRR to the CCWG with instructions.

- (3) If COPS recommends approval of a COPMGRR, ERCOT shall prepare a COPS Recommendation Report, issue the report to the TAC and post the report on the public area of the MIS within three Business Days of the COPS recommendation concerning the COPMGRR. The COPS Recommendation Report shall contain the following items:
- (a) Identification of the submitter of the COPMGRR;
 - (b) Modified COPMG language proposed by COPS;
 - (c) Identification of the authorship of comments;
 - (d) Proposed effective date(s) of the COPMGRR;
 - (e) Recommended priority and rank for any COPMGRR requiring a change to ERCOT's systems;
 - (f) CCWG recommendation; and
 - (g) COPS recommendation.

3.4.8 ERCOT Impact Analysis Based on Commercial Operations Subcommittee Recommendation Report

For COPMGRRs not designated urgent, ERCOT shall review the COPS Recommendation Report and update the IA as soon as practicable, but no later than seven days prior to the next regularly scheduled TAC meeting, unless a longer period is warranted due to the complexity of the changes proposed by COPS. ERCOT shall issue the updated IA (if any) to the TAC and post it on the public area of the MIS within three Business Days of issuance. If a longer review period is required for ERCOT Staff to update the IA, ERCOT Staff shall submit a schedule for completion of the IA to the COPS and TAC chairs.

3.4.9 Protocol Revision Subcommittee Review of Project Prioritization

At its next regularly scheduled meeting, the Protocol Revision Subcommittee ("PRS") shall recommend to TAC an assignment of a Project Priority for each COPMGRR recommended for approval by COPS that requires a change in ERCOT's computer systems.

3.4.10 Technical Advisory Committee Review and Action

- (1) Upon recommendation for approval of a COPMGRR by the COPS and issuance of an IA by ERCOT to the TAC, the TAC shall review the COPS Recommendation Report and the IA at its next regularly scheduled meeting; provided that the IA is available for distribution to the TAC at least seven days in advance of the TAC meeting.
- (2) The TAC shall take one of the following actions regarding the COPS Recommendation Report:

- (a) Approve the COPS Recommendation Report as originally submitted or as modified by the TAC;
 - (b) Reject the COPS Recommendation Report; or
 - (c) Remand the COPS Recommendation Report to COPS with instructions.
- (3) If the COPS Recommendation Report is approved by the TAC, as recommended by COPS or as modified by the TAC, the TAC shall review and approve or modify the proposed effective date.
- (4) If TAC approves a COPMGRR and it does not require an ERCOT project for implementation, or rejects a COPMGRR, ERCOT shall prepare a TAC Action Report and post it on the public area of the MIS within three Business Days. The TAC Action Report shall contain the following items:
- (a) Identification of the submitter of the COPMGRR;
 - (b) Identification of the authorship of comments;
 - (c) Proposed effective date(s) of the COPMGRR;
 - (d) Procedural history;
 - (f) COPS recommendation; and
 - (g) TAC Action.
- (5) The Chair of TAC shall report the results of all votes by TAC related to COPMGRRs to the Board at its next regularly scheduled meeting.
- (6) TAC shall consider the Project Priority of each COPMGRR requiring a change to ERCOT's computer systems and make recommendations to the Board. If TAC recommends approval of a COPMGRR that requires an ERCOT project that can be funded in the current ERCOT budget cycle based upon its priority and ranking, ERCOT shall prepare a TAC Recommendation Report, issue the report to the Board and post the report on the MIS within three Business Days of the TAC recommendation concerning the COPMGRR. The TAC Recommendation Report shall contain the following items:
- (a) Identification of the submitter of the COPMGRR;
 - (b) Modified COPMG language proposed by TAC, if applicable;
 - (c) Identification of the authorship of comments;
 - (d) Proposed effective date(s) of the COPMGRR;
 - (e) Priority and Rank of the COPMGRR;

- (f) COPS recommendation; and
 - (g) TAC Recommendation.
- (7) If TAC recommends approval of a COPMGRR that requires a project for implementation that cannot be funded within the current ERCOT budget cycle, ERCOT shall prepare a TAC Recommendation Report and post the report on the MIS within three Business Days of the TAC recommendation concerning the COPMGRR. ERCOT shall assign the approved COPMGRR to the “Unfunded Project List” until the Board approves an annual ERCOT budget in a manner that indicates funding would be available in the new budget cycle to implement the project if approved by the Board; in such case, the TAC Recommendation Report would be provided at the next Board meeting following such budget approval for the Board’s consideration under Section 3.4.11, ERCOT Board Review and Action.
- (8) Notwithstanding the above, a COPMGRR in the Unfunded Project List may be removed from the list and provided to the Board for approval, as set forth in Protocol Section 21.9, Review of Project Prioritization, Review of Unfunded Project List, and Annual Budget Process. ERCOT shall maintain the Unfunded Project List to track projects that cannot be funded in the current ERCOT budget cycle. Any COPMGRR approved by TAC but assigned to the Unfunded Project List may be challenged by appeal as set forth in Section 3.5, Appeal of Decision.

3.4.11 *ERCOT Board Review and Action*

The Board shall review all COPMGRRs that impact ERCOT systems or staffing and can be funded in the current ERCOT budget cycle based upon its priority and ranking. The Board shall take one of the following actions regarding COPMGRRs recommended by TAC that have such impacts:

- (a) Approve the TAC recommendation as originally submitted or as modified by the Board;
- (b) Reject the TAC recommendation; or
- (c) Remand the TAC recommendation to TAC with instructions.

3.5 *Appeal of Decision*

- (1) With reference to a decision by CCWG, any ERCOT Member, Market Participant, the PUCT Staff or ERCOT Staff may appeal directly to the COPS. Such appeal to the COPS must be submitted to ERCOT within ten Business Days after the date of the relevant decision. Appeals made after this time shall be rejected. Appeals to the COPS shall be posted on the public area of the MIS within three Business Days and placed on the agenda of the next available regularly scheduled COPS meeting, provided that the appeal

is provided to ERCOT at least 11 days in advance of the COPS meeting; otherwise the appeal will be heard by the COPS at the next regularly scheduled COPS meeting.

- (2) With reference to a decision by COPS, any ERCOT Member, Market Participant, the PUCT Staff or ERCOT Staff may appeal directly to the TAC. Such appeal to the TAC must be submitted to ERCOT within ten Business Days after the date of the relevant decision. Appeals made after this time shall be rejected. Appeals to the TAC shall be posted on the public area of the MIS within three Business Days and placed on the agenda of the next available regularly scheduled TAC meeting, provided that the appeal is provided to ERCOT at least 11 days in advance of the TAC meeting; otherwise the appeal will be heard by the TAC at the next regularly scheduled TAC meeting.
- (3) With reference to a decision by TAC, any ERCOT Member, Market Participant, the PUCT Staff or ERCOT Staff may appeal directly to the Board. Such appeal to the Board must be submitted to ERCOT within ten Business Days after the date of the relevant decision. Appeals made after this time shall be rejected. Appeals to the Board shall be posted on the public area of the MIS within three Business Days and placed on the agenda of the next available regularly scheduled Board meeting, provided that the appeal is provided to the ERCOT General Counsel at least 11 days in advance of the Board meeting; otherwise the appeal will be heard by the Board at the next regularly scheduled Board meeting.
- (4) Any ERCOT Member, Market Participant or PUCT Staff may appeal any decision of the Board regarding the COPMGR to the PUCT or other Governmental Authority. Such appeal to the PUCT or other Governmental Authority must be made within 35 days of the date of the relevant decision. If the PUCT or other Governmental Authority rules on the COPMGR, ERCOT shall post the ruling on the MIS.

3.6 Urgent Requests

- (1) The party submitting a COPMGR may request that the COPMGR be considered on an urgent basis (“Urgent”) only when the submitter can reasonably show that an existing Commercial Operations Market Guide provision is impairing or could imminently impair ERCOT System reliability or wholesale or retail market operations, or is causing or could imminently cause a discrepancy between a settlement formula and a provision of the ERCOT Protocols.
- (2) If a submitter requests Urgent status for a COPMGR, COPS may designate the COPMGR for Urgent consideration if, the COPS determines that such COPMGR requires immediate attention due to:
 - (a) Serious concerns about ERCOT System reliability or market operations under the unmodified language or
 - (b) The crucial nature of settlement activity conducted pursuant to any settlement formula; and

- (c) Is of a nature that allows for rapid implementation without negative consequence to the reliability and integrity of the ERCOT System or market operations.
- (3) The Urgent COPMGRR and IA (if available) shall be considered at the earliest regularly scheduled CCWG meeting, or at a special meeting called by the CCWG chair to consider the Urgent COPMGRR, if such a meeting can occur before the next regularly scheduled COPS meeting. If CCWG recommends approval of the Urgent COPMGRR, ERCOT shall submit a CCWG Recommendation Report to the COPS within three Business Days after CCWG takes action.
- (4) The Urgent COPMGRR and IA shall be considered at the next regularly scheduled COPS meeting, or at a special meeting called by the COPS chair to consider the Urgent COPMGRR. If COPS recommends approval of the Urgent COPMGRR, ERCOT shall submit a COPS Recommendation Report to the TAC within three Business Days after COPS takes action. The COPS chair may request action from COPS to accelerate or alter the procedures described herein, as needed, to address the urgency of the situation.
- (5) Notice of an Urgent COPMGRR pursuant to this subsection shall be posted on the MIS.

3.7 Revision Implementation

- (1) For COPMGRRs with no impact to ERCOT systems or staffing, ERCOT shall implement COPMGRRs on the first day of the month following TAC approval, unless otherwise provided in the TAC Action Report for the approved COPMGRR.
- (2) For COPMGRRs with impacts to ERCOT systems or staffing, ERCOT shall implement COPMGRRs on the first day of the month following Board approval, unless otherwise provided in the Board Action Report for the approved COPMGRR.
- (3) ERCOT shall implement an Administrative COPMGRR on the first day of the month following the end of the ten Business Day posting requirement as outlined in Section 3.1, Introduction.

Commercial Operations Market Guide

Section 4: Market Notice Communication Process

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4 MARKET NOTICE COMMUNICATION PROCESS 4-1

4 MARKET NOTICE COMMUNICATION PROCESS

From time to time ERCOT communicates information to the market via email notifications for scheduled releases, planned and unplanned service outages, business processing failures and other general information. ERCOT shall communicate information to the market as specified in Appendix A, Market Notice Communication Process, which includes Tables 1-9.

Table 1: ERCOT Service/System Affected

Table 2: Market Notice Tracking Codes

Table 3: Planned Release Notifications

Table 4: Planned Maintenance Notifications

Table 5: Business Processing Failures Notifications

Table 6: Notification of Outage During Business Hours

Table 7: Notification of Outage Outside of Business Hours

Table 8: Email Notification Subscription Lists

Table 9: Additional Email Notification Lists Matrix

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Section 5

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Section 11: Extracts and Reports

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11 EXTRACTS AND REPORTS

- (1) ERCOT provides reports and extracts to assist Market Participants (MPs) in understanding data relating to energy and Ancillary Services, market prices, retail and wholesale activity, Load Profiling, Metering, Data Aggregation, Settlements, and the market in general. Extracts and reports provide supplemental data to allow MPs a view into ERCOT's operational and commercial systems. Extract data is provided in raw form to facilitate loading of data into a database. Reports are in a formatted presentation which facilitates stand-alone reading.
- (2) As a service to the market, ERCOT publishes guides regarding the use of data extracts and applications on the public MIS, which is located at <http://www.ercot.com/services/userguides/index.html>. In order to better relay available information, a summary document of extracts and reports is maintained by ERCOT and the Data Extracts Working Group. This document, the Extract and Report Matrix, is available at <http://www.ercot.com/committees/board/tac/cops/dewg/index.html>. Market Participants interested in scheduling extracts and reports should contact their ERCOT Account Manager to receive information on how to use the ERCOT Extract Scheduler on Texas Market Link (TML).

11.1 *Delivery Point*

Each report or extract is delivered via one or more delivery points:

- (1) Texas Market Link (TML) – When information being provided is private and protected, reports and extracts are generally delivered via the TML. The TML is available to registered MPs, ERCOT and the PUCT. A Digital Certificate is required for each user of the TML, and is used to secure private information for MPs and to identify users to ERCOT. Digital Certificates may be obtained from the User Security Administrator (USA) for each MP.
- (2) ERCOT.com – ERCOT.com is the standard delivery point for public information. Most public reports and extracts are also available through the TML.
- (3) File Transfer Protocol (FTP) – A MP FTP site may be established to receive large reports. This point of delivery is used for the 867_03 Activity Report. ERCOT Retail Client Services has information regarding this delivery point.
- (4) Application Programmatic Interface (API) – A published specification intended to support automated interaction of systems between Market Participants and ERCOT.
- (5) Email – Email is not a standard delivery point and is typically only used for ad hoc report or historical extract requests that are no longer available on TML.

11.2 *Type of Delivery Element*

The data extracts provided by ERCOT are composed of two elements.

- (1) The first is a Data Definition Language (DDL) file, which contains the Structured Query Language (SQL) scripts necessary to build database tables designed to hold the extracted data.
- (2) The second element of a data extract comprises the data itself. The data is provided in a Comma Separated Value (CSV) format. A CSV file or set of CSV files is zipped to reduce the overall size of the delivered object and posted to the appropriate delivery location. Once retrieved, the files can be extracted from the Zip file and loaded into the MP's database. Two common forms of extracts are as follows:
 - (a) **Initial** – An initial extract contains data that is relatively static. In other words, this data is required for the MP's database to function properly, but the data does not change on a daily basis. As the name implies, the initial data must be used to initialize a new database before any other data can be loaded. When extracts are delivered for the first time, there is usually an initial file containing multiple days of data to bring each MP up to a specific point in time, after which they will begin receiving daily extract files.
 - (b) **Daily** – A daily extract contains mostly transactional data that does change on a daily basis. As new dimensional data is added to ERCOT's systems, such as new billing determinants or new congestion management zones, these public records are also provided to MPs through the daily extract.

Commercial Operations Market Guide

Appendix A: Market Notice Communication Process

September 1, 2007

Appendix A

Definition of Terms - For the purposes of Appendix A the following definitions prevail:

Business Area – Indicates the type of Market Participant affected (Market-Wide, Wholesale, or Retail).

Email Notification Subscription Lists - To subscribe to the appropriate list, go to <http://lists.ercot.com/cgi-bin/majordomo>.

Escalation – Escalation of Notifications based on duration of event and cross-system impact.

Notice Content – Dependent on the phase of the notice, duration and complexity of the issue. Minimal content may include the service that is unavailable and the time the issue was identified. Standard content provides start and stop times for the issue, actions taken to resolve the issue or progress of service restoration and follow-up information, if needed. All notification timing refers to calendar days, unless specified as Business Days.

Phases of Notification – Communication phase –

- I. **Initial notice** may contain only minimal content which is defined as the service that is not available and the time the issue was identified.
- II. **Follow-up notices** may have multiple updates depending on duration of event and will contain progress reports and impacts.
- III. **Completion notice** will provide a timeline for the end of the event but may not contain root cause analysis or actions taken to restore service.
- IV. **Final notice** will provide root cause and describe the mitigation action taken to resolve the issue within seven days following the end of the event.
- V. **Lessons Learned and Mitigation Action notice** will be sent at the end of the event plus a reasonable time for completion of root cause analysis, not to exceed 45 days without at least an interim report.

Types of Notifications

Planned Scheduled Release - second weekend of each month – 1200 Saturday until 0000 Monday (36 hours) as defined by the Retail Transaction Processing Service Availability Document, located on the Public MIS.

Planned Maintenance Outage - first, third and fourth Sunday of each month – 0800 until 2000 (12 hours) as defined by the Retail Transaction Processing Service Availability Document, located on the MIS.

Unplanned Outage or Business Processing Failures - unplanned events that occur during Business Hours or during Non-Business Hours.

Table 1: ERCOT Service/System Affected			
Business Area	Service/System	Description	Requirement
Market-Wide	Data Retrieval	Public and Private extracts	
Market-Wide	Data Storage	Storage of archive data used for extracts	
Market-Wide	Digital Certificate Administration	Ability for USAs to enroll, pick up, renew and delete Digital Certificates	
Market-Wide	E-Mail Communications	Phone call updates to primary contacts if email is down	
Market-Wide	Forecasted Profiles	Load Profile Forecasts, Back-casts (Operational postings)	Protocol Section 18.3.3
Market-Wide	Forecasted Transmission Loss Factors (TLF)	Forecasted TLF for each 15 minute settlement interval of each Operating Day.	Protocol Section 13.2.1
Market-Wide	EPS Metering	Polling of EPS Meters	Protocol Section 10
Market-Wide	Commercial Programmatic Interface	PI, Commercial API, PI App, Automatic download of commercial information	
Market-Wide	Public Market Information	Public information required to be posted (Scheduling Info, A/S Info, Other Commercially Significant Info, Current System Conditions)	Protocol Section 12
Market-Wide	Renewable Energy Program	View, sort, batch, or singly identify RECs to transfer or retire	Protocol Section 14
Market-Wide	TCR information	Billing and invoicing of TCR, TCR auctions and monthly information on shift factors	Protocol Section 7.5
Market-Wide	TML	Service to provide access to MP specific information on ERCOT's portal, plus sub services	Use most stringent criteria for all services under TML.
Market-Wide	ERCOT Website	Public MIS	
Market-Wide	Phone Lines	Commercial phone lines (Example: Helpdesk)	
Retail	EDI Electronic Delivery Mechanism/NAESB	Method used to connect and transmit electronic data	NAESB Protocols require notification if delay of > 15 minutes

Table 1: ERCOT Service/System Affected

Business Area	Service/System	Description	Requirement
Retail	Retail Siebel Batch	Retail Siebel Batch must complete by 6 AM in order to meet guaranteed window for stacking. Expectation is Market Notice sent if batch does not complete by 6 AM	
Retail	Retail Testing	Ability to provide services to the retail test flights	
Retail	Retail Transaction Variances	Transactional issues and inquiries submitted to the MarkeTrak system.	
Retail	Retail Transaction Processing	Retail Transactions are processed by ERCOT during Retail business days/hours. (Paperfree, TCH, Siebel)	The most stringent Business Processing timeline for Retail Transactions is 1 Retail Business hour after processing the initiating transaction. (Section 15)
Retail	TML Retail Components	Delete CSA, Establish CSA, Create Drop, Create Enrollment, Create Move-In, Create Move-Out, Find ESIID, Find Transactions.	
Wholesale	Market Operations API	Scheduling A/S and Energy, Bids and Info query via API, Deployments, and Notices.	
Wholesale	Market Operations Test Environment	Provide testing and qualifications to MPs	Protocol Section 16
Wholesale	Operational Notifications	BES Requirement, A/S Obligations, Congestion Notifications, EECF Notifications	
Wholesale	Operational Telemetry	SCADA, Real time telemetry.	
Wholesale	Transmission/ Generation Outage Requests	Transmission and Generation outage requests and information	Protocol Section 8
Wholesale	Settlement Statement and Invoices	Creation posting and collection of Statements and Invoices	Protocol Sections 9.2, 9.3 and 9.4
Wholesale	Settlement Disputes/ Service Requests	Entry and retrieval of Settlement Dispute from TML, Create Service Request, Find Service Request. (This includes Electrical System Modifications Requests)	Protocol Section 9.5
Wholesale	Market Operations TML	Scheduling A/S and Energy, Bids and Info query via TML	
Wholesale	Wide Area Network	Secure Connectivity to EROCT, Hotline	

Table 2: Market Notice Tracking Codes			
	Unique Identifier	Notice Date	Sequence Number
W = Wholesale	A = First topic notice of a day	February 27, 2007 = 022707	01 = initial notice
R= Retail	B = Second topic notice of a day	March 15, 2007 = 031507	02 = second notice (update)
M = Market-Wide	C = Third topic notice of a day, <i>etc.</i>	April 3, 2007 = 040307	03 = third notice (update)

Tracking Code Example 1:

R-A022707-01 (Retail, First topic notice for February 27, 2007, initial notice) R-A022707-02 (Follow-up same day)

R-A022707-03 (Follow-up next day)

Tracking Code Example 2:

R-B022707-01 (Retail, Second topic for February 27, 2007, initial notice)

Tracking Code Example 3:

M-A022707-01 (Market-Wide, First topic for February 27, 2007, initial notice)

W-A022707-01 (Wholesale, First topic for February 27, 2007, initial notice)

Sample Notice 1:

Subject: R-A022107-01 Planned Outage –Retail

NOTICE DATE: February 21, 2007

NOTICE TYPE: R-A022107-01 Planned Outage – Retail

SHORT DESCRIPTION: ERCOT has scheduled a maintenance outage on Sunday, March 4, 2007

INTENDED AUDIENCE: Market Participants

DAY AFFECTED: Sunday, March 4, 2007 from 8:00 AM to 8:00 PM

LONG DESCRIPTION: ERCOT has a planned maintenance outage scheduled from 8:00 AM to 8:00 PM on Sunday, March 4, 2007.

ADDITIONAL INFORMATION: During the outage the following functions will be affected . . .

Sample Notice 2:

Subject: R-A022107-02 UPDATE: Planned Outage –Retail

NOTICE DATE: February 28, 2007

NOTICE TYPE: R-A022107-02 UPDATE: Planned Outage – Retail

SHORT DESCRIPTION: ERCOT has not changed plans to have a scheduled maintenance outage on Sunday, March 4, 2007

INTENDED AUDIENCE: Market Participants

DAY AFFECTED: Sunday, March 4, 2007 from 8:00 AM to 8:00 PM

LONG DESCRIPTION: ERCOT has a planned maintenance outage scheduled from 8:00 AM to 8:00 PM on Sunday, March 4, 2007.

ADDITIONAL INFORMATION: During the outage the following functions will be affected:

Table 3: Planned Release Notifications			
Timing of Market Notification	Phases of Notice	Notice Content	Listserv
30 Days Prior to Release	I – Initial General Market Notification	Standard Content + Background Material	Distribution lists and Primary and Secondary contacts
Ten Days Prior to Release	II –Follow-Up	Same as Previous	Same as Previous
One Day Prior to Release	II –Follow-Up	Same as Previous	Same as Previous
End of Event as soon as possible (ASAP)	III – Completion	Completion	Same as Previous

Table 4: Planned Maintenance Notifications			
Timing of Market Notification	Phases of Notice	Notice Content	Listserv
Target three Days Prior to Maintenance	I – Initial General Market Notification	Standard Content + Background Material	Distribution lists and Primary and Secondary contacts
Target one Day Prior to Maintenance	II –Follow-Up	Same as Previous	Same as Previous
End of Event ASAP	III – Completion	Completion	Same as Previous

Table 5: Business Processing Failures Notifications				
Timing of Market Notification	Phases of Notice	Escalation	Notice Content	Listserv
Business Day 1 ASAP	I – Initial General Market Notification	None	Minimal	Distribution lists and Primary and Secondary contacts
By close of business (COB) Day 2	II –Follow-Up	None	Standard content + email applicable MP spreadsheets as available	Same as previous + Market Participant Specific
End of Event Occurring before Escalation begins	IV – Final	None	Normal Processing /Root Cause	Same as previous + Market Participant Specific
By COB Day 3	II – Follow-Up	Yes	Same as previous + updates	Same as previous + Subcommittees + TAC + Market Participant Specific
By COB Day 4	II - Follow-Up	Yes	Same as previous + updates	Same as previous +
Business Day 5 and beyond	II –Follow-Up	None	Market Participant Specific	Market Participant Specific
End of Event	IV – Final	Yes	Normal Processing /Root Cause	Same as last General + escalation lists if required
End of Event + Reasonable Time for Completion of Root Cause Analysis not to exceed 45 days without at least an interim report.	V – Lessons Learned & Mitigation Action	Subcommittee Update	Same as previous + lessons learned and mitigation actions; additional follow- up communications	Appropriate Committees

Table 6: Notification of Outage During Business Hours

Duration of Outage	Timing of Market Notification	Phases of Notice	Escalation	Notice Content	Listserv
> 30 minutes	Upon implementation of SCR 748, ERCOT logs outage and post instance to webpage.				
	Business Day 1 ASAP after notification	I – Initial Notification	None	Minimal	Distribution lists and Primary and Secondary contacts
	By COB Day 1	II - Follow-Up	None	Standard content	Same as previous
	Business Day 2 by 0900	II – Follow-Up	None	Same as previous + updates	Same as previous
	ASAP After Restoration	III – Completion	Same as last message sent	Minimal	Same as last message sent.
	End of Outage	III – Completion	None	Service restored	Same as last message sent.
	By COB Day 2	II – Follow-Up and Initiate Daily Conference Calls to begin on Day 3	Yes	Same as previous + conference call information	Same as previous + Subcommittees + TAC
	Business Day 3 by 0900	II - Follow-Up	Yes	Same as previous	Same as previous
	By COB Day 3	II - Follow-Up	Yes	Same as previous	Same as previous
	End of Outage	III – Completion	Same as last message sent	Service restored	Same as last message sent.
	End of Outage + seven days	IV –Final	Subcommittee Update	Same as previous + mitigation actions; additional follow-up communications	Appropriate Committees
	End of Outage + Reasonable Time for Completion of Root Cause Analysis not to exceed 45 days without at least an interim report.	V – Lessons Learned & Mitigation Action	Subcommittee Update	Same as previous + lessons learned and mitigation actions; additional follow-up communications	Appropriate Committees

Table 7: Outage Outside of Business Hours

Duration of Outage	Timing of Market Notification	Phases of Notice	Escalation	Notice Content	Listserv
> 30 minutes	<i>Upon implementation of SCR 748, ERCOT logs outage and post instance to webpage.</i> If ERCOT IT and Business, Client Services determines a weekend/holiday outside of business hours event to be of major significance, initial market notices will be sent ASAP with follow-up notifications as necessary.				
	Business Day 1 by 0900	I – Initial Notification	None	Minimal	Distribution lists and Primary and Secondary contacts
	Business Day 1- If Outage Restoration complete by 0900, then by 1200	I – Initial Notification and IV - Final	None	Standard content	Same as previous
	By COB Day 1	II - Follow-Up	None	Standard content	Same as previous
	Business Day 2 by 0900	II – Follow-Up	None	Same as previous + updates	Same as previous
	ASAP After Restoration	III – Completion	Same as last message sent	Minimal	Same as last message sent.
	End of Outage	III – Completion	None	Service restored	Same as last message sent.
	By COB Day 2	II – Follow-Up and Initiate Daily Conference Calls to begin on Day 3	Yes	Same as previous + conference call information	Same as previous + Subcommittees + TAC
	Business Day 3 by 0900	II - Follow-Up	Yes	Same as previous	Same as previous
	By COB Day 3	II - Follow-Up	Yes	Same as previous	Same as previous
	End of Outage	III – Completion	Same as last message sent	Service restored	Same as last message sent.
	End of Outage + seven days	IV – Final	Sub-committee Update	Same as previous + mitigation actions; additional follow-up communications	Appropriate Committees
	End of Outage + Time for Completion of Root Cause Analysis not to exceed 45 days without at least an interim report.	V – Lessons Learned & Mitigation Action	Sub-committee Update	Same as previous + lessons learned and mitigation actions; additional follow-up communications	Appropriate Committees

Table 8: Email Notification Subscription Lists		
Distribution List Name	Mailing List Name	List Description
<i>General</i>	Notice_General@lists.ercot.com	Notices of a general nature intended for distribution to the ERCOT Market, but not applicable to any other specific mailing list.
<i>System Outages/Releases/Testing – Wholesale</i>	Notice_Release_Wholesale@lists.ercot.com	Notices concerning system outages or upgrade releases and testing that affect Wholesale Market functions.
<i>System Outages/Releases – Retail</i>	Notice_Release_Retail@lists.ercot.com	Notices concerning system outages or upgrade releases that affect Retail Market functions.
<i>Testing - Retail</i>	Notice_Testing_Retail@lists.ercot.com	Distribution list for information regarding Market Participant testing with respect to Retail Test Flights and Retail Systems Testing.
<i>Retail Processing</i>	Notice_Retail_Processing@lists.ercot.com	Notices concerning the processing of retail transactions.
<i>Operations</i>	Notice_Operations@lists.ercot.com	Notices concerning Power Operations and technical issues at ERCOT
<i>Extracts - Wholesale</i>	Notice_Extracts_Wholesale@lists.ercot.com	Notices of interest to any Wholesale parties utilizing Data Extracts and reports, including procedures, postings or changes.
<i>Extracts -Retail</i>	Notice_Extracts_Retail@lists.ercot.com	Notices of interest to any Retail parties utilizing Data Extracts and reports, including procedures, postings or changes.
<i>Legal Notification</i>	Notice_Legal_Notification@lists.ercot.com	Notices to the ERCOT Market of a legal nature
<i>TCR</i>	Notice_TCR@lists.ercot.com	Notices concerning Transmission Congestion Rights.
<i>PRR/SCR</i>	Notice_PRR_SCR@lists.ercot.com	Notices of System Change that include the implementation of Protocol Revision Requests or System Change Requests.
<i>Settlements – Public</i>	Notice_Settlements@lists.ercot.com	Notices concerning the

Table 8: Email Notification Subscription Lists		
		Wholesale Settlements issued by ERCOT that are public in nature.
<i>Contracts/RFP</i>	Notice_Contracts@lists.ercot.com	Notices of Requests for Proposal and Requests for Information that are issued by ERCOT and contracted services such as Reliability Must Run and Black Start.
<i>Market and Power Operations Bulletins</i>	Notice_Bulletins@lists.ercot.com	Distribution list for Market Operations Bulletins, Power Operations Bulletins.
<i>Training</i>	Notice_Training@lists.ercot.com	Distribution list for notices of ERCOT provided training events.

Table 9: Additional Email Notification Lists Matrix	
External Mailing List: Notices sent to these lists.....	Internal Mailing List:will also be sent to these ERCOT maintained lists
General	Entire Mail Container - If Necessary
System Outages/Releases/Testing – Wholesale	QSE Project Managers, QSE Primary Contacts as necessary
System Outages/Releases – Retail	RMC, CRPC, TDSPPC
Testing - Retail	RMC, CRPC, TDSPPC, TTPT, (Entire Mail Container as necessary)
Retail Processing	RMC, CRPC, TDSPPC
Extracts - Wholesale	QSE Financial Contacts
Extracts -Retail	RMC, CRPC, TDSPPC
Legal Notification	QSE,LSE,RES,TDSP Primary Contacts, as appropriate
TCR	QSE,LSE,RES,TDSP Primary Contacts, as appropriate
PRR/SCR	QSE,LSE,RES,TDSP Primary Contacts, as appropriate
Settlements – Public	QSE Financial Contacts
Contracts/RFP	QSE,LSE,RES,TDSP Primary Contacts, as appropriate
Operations	QSE Project Managers, QSE Primary Contacts as necessary
Market and Power Operations Bulletins	QSE Project Managers
Market and Power Operations Bulletins	QSE,LSE,RES,TDSP Primary Contacts, as appropriate
Training	RMC, CRPS, TDSPPC, RMS