Commercial Operations Market Guide

May 1, 2010

Commercial Operations Market Guide

Section 1: Purpose

September 1, 2007

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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 ("PUCT") Substantive Rules. Each Market Participant shall comply with the ERCOT Protocols and the PUCT Substantive Rules. In the event of a conflict between the ERCOT Protocols or PUCT Substantive Rules, the ERCOT Protocols and PUCT 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.

Commercial Operations Market Guide

Section 2: Definitions and Acronyms

September 1, 2007

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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

[This section intentionally left blank.]

2.2 Acronyms

[This section intentionally left blank.]

Commercial Operations Market Guide

Section 3: Organizational Structure

August 1, 2009

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3 ORGANIZATIONAL STRUCTURE

3.1 Electric Reliability Council of Texas

The functions of ERCOT are outlined in ERCOT Protocol Section 1.2, Functions of ERCOT. In addition, Customer registration information can be found in ERCOT Protocol Section 15, Customer Registration. As part of the certification process Competitive Retailers (CRs) and Transmission and/or Distribution Service Providers (TDSPs) must complete ERCOT registration requirements as described in Protocol Section 16, Registration and Qualification of Market Participants.

3.1.1 ERCOT Wholesale Client Services

(1) ERCOT's Wholesale Client Services department is available to assist with Market Participant questions and provide education as needed on wholesale issues. Wholesale Account Managers act as the liaison between ERCOT and Market Participants as the primary contact for all wholesale market operational questions and issues and are responsible for maintaining business relationships with all Market Participants to facilitate any issue resolution. Wholesale Account Managers also address the needs of Market Participants during the registration/qualification process and actively participate in the stakeholder process to communicate and resolve issues, and monitor the rules of the market to assist Market Participants with any questions/issues. Wholesale Account Managers are also responsible for researching and resolving Settlement disputes. Wholesale Client Services is also responsible for generating and distributing market notices, Market Participant registration, and market education/training.

(2) In addition, the Wholesale Client Services department also assists with the following:

(a) ERCOT Protocols;

(b) Market Participant registration information;

(c) ERCOT tools such as *www.ercot.com* and the Market Information System (MIS);

(d) Scheduling;

(e) Reports and extracts;

(f) Training needs; and

(g) Facilitation and general issue resolution.

(3) Existing Market Participants should contact their assigned Wholesale Account Manager. Potential new Market Participants may call the general ERCOT Client Services phone number at (512) 248-3900 or contact ERCOT Client Services via e-mail at *ClientRelations@ercot.com*.

3.1.2 ERCOT Retail Client Services

The functions of ERCOT's Retail Client Services department are outlined in Retail Market Guide Section 5.1, ERCOT Retail Client Services and Help Desk.

3.1.3 Helpdesk

The ERCOT Helpdesk is available as a 24x7 technical support resource. Any technical issues with ERCOT systems should be reported to the Helpdesk. For technical questions about automated communications, connectivity issues such as North American Energy Standards Board Electronic Delivery Mechanism (NAESB EDM) or MIS, information technology support, data, and system administration issues, Market Participants should call or e-mail ERCOT's 24-hour Helpdesk at (512) 248-6800 or *helpdesk@ercot.com*.

3.2 Commercial Operations Subcommittee (COPS) Working Groups

(1) The Commercial Operations Subcommittee (COPS), reporting to the Technical Advisory Committee (TAC), addresses the processes through which ERCOT market data is translated into Settlements. Commercial operations includes the application of Load Profiles, Data Aggregation, data extract variances; Congestion Revenue Rights (CRRs) Settlements; Qualified Scheduling Entity (QSE) Settlements; invoicing; and dispute resolution.

(2) COPS helps improve commercial operations by integrating the retail variance and wholesale market Settlements processes, including dispute resolution. COPS also addresses the Settlement Calendar; Settlement-related performance metrics and tracking; Market Participant data needs for shadow Settlements; and the market's overall needs for data extracts, delivery and presentation.

(3) COPS has several working groups that are in place to allow Market Participants the opportunity to participate in developing business rules and practices that govern the commercial operations of the ERCOT electric market. These working groups are described below. Additional information about the working groups is available on the ERCOT website.

3.2.1 COPS Communication Working Group (CCWG)

The COPS Communication Working Group (CCWG), reporting to COPS, is responsible for the development, review and maintenance of the ERCOT Commercial Operations Market Guide (COPMG), with its primary focus on Settlements between ERCOT and QSEs. CCWG is also responsible for advising ERCOT on the content, format and frequency of communication, which is used by ERCOT to ensure that all Market Participants receive timely and accurate market information regarding commercial operations, market rules and system changes.

3.2.2 Settlement and Extracts Working Group (SEWG)

The Settlement and Extracts Working Group (SEWG), reporting to COPS, is responsible for ensuring COPS involvement in extracts, data delivery, data presentation and reports for financial Settlement and Data Aggregation processes. SEWG focuses on aiding ERCOT and Market Participants in reviewing financial Settlement and Data Aggregation System (DAS) design and operations; providing a forum to discuss issues addressing Settlement; and reviewing the details and requirements and data extracts and reports.

3.2.3 Profiling Working Group (PWG)

(1) The Profiling Working Group (PWG), reporting to COPS, acts as a forum in which Market Participants may help facilitate changes to the market rules pertaining to Load Profiling issues as reflected in the ERCOT Protocols and the Load Profiling Guide (LPG).

(2) PWG is involved in all policy issues and some operational aspects of Load Profiling. Among its responsibilities, PWG develops and maintains the LPG; reviews requested changes to Load Profiles, Load Profiling methodologies, and the implementation of the Load Profiling process; reviews and makes recommendations for changes to the Profile Decision Tree; helps define Weather Zones and Load Profile Types; evaluates the impact of Interval Data Recorder (IDR) meter requirements; reviews Time Of Use (TOU) profiling techniques; and coordinates with ERCOT in developing Load Profiles for particular Customer segments.

3.2.4 Task Forces

COPS may form ad hoc task forces with representation on each task force being appointed or approved by COPS. The members of the task force elect a chair and vice chair, subject to confirmation by COPS, for a one-year term on a calendar year basis or until the task force is no longer required. COPS will direct these task forces and make assignments as necessary.

Commercial Operations Market Guide

Section 4: Process for Commercial Operations Market Guide Revision

October 1, 2009

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4 PROCESS FOR COMMERCIAL OPERATIONS MARKET GUIDE REVISION

4.1 Introduction

(1) A request to make additions, edits, deletions, revisions, or clarifications to the Commercial Operations Market Guide (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, Public Utility Commission of Texas (PUCT) Staff, ERCOT, 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 with respect to any COPMGRR shall be posted to the public area of the Market Information System (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 ERCOT 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 ERCOT Board or committee procedures.

(4) Throughout the COPMG, references are made to the ERCOT Protocols. ERCOT Protocols supersede the COPMG and any COPMGRR must be compliant with the ERCOT Protocols. The ERCOT Protocols are subject to the revision process outlined in Protocol Section 21, Process for Protocol Revision.

(5) ERCOT 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 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

shall implement the Administrative COMPGRR according to Section 4.7, 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.

4.2 Submission of a Commercial Operations Market Guide Revision Request

The following Entities may submit a Commercial Operations Market Guide Revision Request (COPMGRR):

(a) Any Market Participant;

(b) Any Entity that is an ERCOT Member;

(c) Public Utility Commission of Texas (PUCT) Staff;

(d) ERCOT; and

(e) Any other Entity that resides (or represents residents) in Texas or operates in the Texas electricity market.

4.3 Commercial Operations Subcommittee Communication Working Group

(1) The Commercial Operations Subcommittee (COPS) shall assign a working group ("COPS Communications Working Group" or "CCWG") to review and recommend action on formally submitted Commercial Operations Market Guide Revision Requests (COPMGRRs), provided that:

(a) CCWG's meetings are open to ERCOT, ERCOT Members, Market Participants, and the Public Utility Commission of Texas (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 Market Information System (MIS).

4.4 Commercial Operations Market Guide Revision Procedure

4.4.1 Review and Posting of Commercial Operations Market Guide Revision Requests

(1) Commercial Operations Market Guide Revision Requests (COPMGRRs) shall be submitted electronically to ERCOT by completing the designated form provided on the Market Information System (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 (applicable only for a COPMGRR submitted by ERCOT);

(e) List of affected Commercial Operations Market Guide (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 COPS Communications Working Group (CCWG) within three Business Days.

4.4.2 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 Commercial Operations Subcommittee (COPS) (if it has not yet been considered by COPS) or by the Technical Advisory Committee (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.

4.4.3 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.

4.4.4 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.

4.4.5 Impact Analysis for Commercial Operations Market Guide Revision Request

(1) ERCOT shall complete an Impact Analysis based on the submitted CCWG Recommendation Report and will report the Impact Analysis's results to CCWG at the next scheduled CCWG meeting.

(2) The Impact Analysis 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.

4.4.6 Communication Working Group Review of Impact Analysis

(1) After ERCOT posts the results of the Impact Analysis, CCWG shall review the Impact Analysis at its next regularly scheduled meeting. CCWG may revise its CCWG Recommendation Report after considering the information included in the Impact Analysis.

(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 Impact Analysis and issue the updated Impact Analysis at least three Business Days prior to the regularly scheduled COPS meeting. If a longer review period is required for ERCOT to update the Impact Analysis, ERCOT shall submit a schedule for completion of the Impact Analysis to the COPS chair.

4.4.7 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 Impact Analysis based on such CCWG recommendation (as updated if modified by CCWG under Section 4.4.6, 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 Impact Analysis; and

(b) Any comments timely received in response to the CCWG Recommendation Report.

(2) The quorum and voting requirements for COPS action are set forth in the Technical Advisory Committee Procedures. In considering action on a CCWG Recommendation Report, COPS may:

(a) Recommend approval of the COPMGRR as recommended in the CCWG Recommendation Report or as modified by COPS;

(b) Reject the COPMGRR;

(c) Defer decision on the COPMGRR;

(d) Remand the COPMGRR to the CCWG with instructions; or

(e) Refer the COPMGRR to another COPS working group or task force with instructions.

(3) If a motion is made to recommend approval of a COPMGRR and that motion fails, the COPMGRR shall be deemed rejected by COPS unless at the same meeting COPS later votes to recommend approval of, remand, or refer the COPMGRR. The rejected COPMGRR shall be subject to appeal pursuant to Section 4.5, Appeal of Action.

(4) 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.

4.4.8 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 Impact Analysis 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 Impact Analysis (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 to update the Impact Analysis, ERCOT shall submit a schedule for completion of the Impact Analysis to the COPS and TAC chairs.

4.4.9 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.

4.4.10 Technical Advisory Committee Review and Action

(1) Upon recommendation for approval of a COPMGRR by the COPS and issuance of an Impact Analysis by ERCOT to the TAC, the TAC shall review the COPS Recommendation Report and the Impact Analysis at its next regularly scheduled meeting; provided that the Impact Analysis is available for distribution to the TAC at least seven days in advance of the TAC meeting.

(2) The quorum and voting requirements for TAC action are set forth in the Technical Advisory Committee Procedures. In considering action on a COPS Recommendation Report, TAC shall:

(a) Approve the COPS Recommendation Report as originally submitted or as modified by the TAC;

(b) Reject the COPS Recommendation Report;

(c) Defer decision on the merits of the COPS Recommendation Report;

(d) Remand the COPS Recommendation Report to COPS with instructions; or

(e) Refer the COPS Recommendation Report to another TAC subcommittee or a TAC working group or task force with instructions.

(3) If a motion is made to approve a COPS Recommendation Report and that motion fails, the COPMGRR shall be deemed rejected by TAC unless at the same meeting TAC later votes to approve, remand or refer the COPS Recommendation Report. The rejected COPMGRR shall be subject to appeal pursuant to Section 4.5, Appeal of Action.

(4) 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.

(5) 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.

(6) The chair of TAC shall report the results of all votes by TAC related to COPMGRRs to the ERCOT Board at its next regularly scheduled meeting.

(7) TAC shall consider the Project Priority of each COPMGRR requiring a change to ERCOT's computer systems and make recommendations to the ERCOT 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 ERCOT 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.

(8) 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 ERCOT 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 ERCOT Board; in such case, the TAC Recommendation Report would be provided at the next ERCOT Board meeting following such budget approval for the ERCOT Board's consideration under Section 4.4.11, ERCOT Board Review and Action.

(9) Notwithstanding the above, a COPMGRR on the Unfunded Project List may be removed from the list and provided to the ERCOT 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 4.5, Appeal of Action.

4.4.11 ERCOT Board Review and Action

The ERCOT 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 quorum and voting requirements for ERCOT Board action are set forth in the ERCOT Bylaws. In considering action on a TAC Recommendation Report, the ERCOT Board shall:

(a) Approve the TAC Recommendation Report as originally submitted or as modified by the ERCOT Board;

(b) Reject the TAC Recommendation Report;

(c) Defer decision on the merits of the TAC Recommendation Report; or

(d) Remand the TAC Recommendation Report to TAC with instructions.

If a motion is made to approve a TAC Recommendation Report and that motion fails, the COPMGRR shall be deemed rejected by the ERCOT Board unless at the same meeting the ECOT Board later votes to approve or remand the TAC Recommendation Report. The rejected COPMGRR shall be subject to appeal pursuant to Section 4.5, Appeal of Action.

4.5 Appeal of Action

(1) Any ERCOT Member, Market Participant, the Public Utility Commission of Texas (PUCT) Staff or ERCOT may appeal directly to the Commercial Operations Subcommittee (COPS), any COPS Communication Working Group (CCWG) action regarding a Commercial Operations Market Guide Revision Request (COPMGRR).

Such appeal to the COPS must be submitted to ERCOT within ten Business Days after the date of the relevant CCWG appealable event. Appeals made after this time shall be rejected. Appeals to the COPS shall be posted on the public area of the Market Information System (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. An appeal of a COPMGRR to COPS suspends consideration of the COPMGRR until the appeal has been decided by COPS.

(2) Any ERCOT Member, Market Participant, the PUCT Staff or ERCOT may appeal directly to the Technical Advisory Committee (TAC), any COPS action regarding a COPMGRR. Such appeal to the TAC must be submitted to ERCOT within ten Business Days after the date of the relevant COPS appealable event. 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. An appeal of a COPMGRR to TAC suspends consideration of the COPMGRR until the appeal has been decided by TAC.

(3) Any ERCOT Member, Market Participant, the PUCT Staff or ERCOT may appeal directly to the ERCOT Board, any TAC action regarding a COPMGRR. Such appeal to the ERCOT Board must be submitted to ERCOT within ten Business Days after the date of the relevant TAC appealable event. Appeals made after this time shall be rejected. Appeals to the ERCOT 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 ERCOT Board meeting, provided that the appeal is provided to the ERCOT General Counsel at least 11 days in advance of the ERCOT Board meeting; otherwise the appeal will be heard by the ERCOT Board at the next regularly scheduled ERCOT Board meeting. An appeal of a COPMGRR to the ERCOT Board suspends consideration of the COPMGRR until the appeal has been decided by the ERCOT Board.

(4) Any ERCOT Member, Market Participant or PUCT Staff may appeal any decision of the ERCOT Board regarding the COPMGRR 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 appealable event. If the PUCT or other Governmental Authority rules on the COPMGRR, ERCOT shall post the ruling on the MIS.

4.6 Urgent Requests

(1) The party submitting a Commercial Operations Market Guide Revision Request (COPMGRR) may request that the COPMGRR be considered on an urgent basis ("Urgent") only when the submitter can reasonably show that an existing Commercial Operations Market Guide (COPMG) 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 COPMGRR, Commercial Operations Subcommittee (COPS) may designate the COPMGRR for Urgent consideration if, the COPS determines that such COPMGRR 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 Impact Analysis (if available) shall be considered at the earliest regularly scheduled COPS Communication Working Group (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 Impact Analysis 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 Technical Advisory Committee ("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 Market Information System (MIS).

4.7 Revision Implementation

(1) For Commercial Operations Market Guide Revision Requests (COPMGRRs) with no impact to ERCOT systems or staffing, ERCOT shall implement COPMGRRs on the first day of the month following Technical Advisory Committee (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 ERCOT 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 4.1, Introduction.

Commercial Operations Market Guide

Section 5: Market Notice Communication Process

September 1, 2007

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5 MARKET NOTICE COMMUNICATION PROCESS 1

5 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 6

November 1, 2007

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Commercial Operations Market Guide

Section 7

November 1, 2007

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Commercial Operations Market Guide

Section 8: ERCOT Settlement and Invoice Process

February 1, 2010

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8 ERCOT SETTLEMENT AND INVOICE PROCESS 8-1

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8.1.1 Overview *8-1*
8.1.2 Types of Ad Hoc Invoices *8-2*
8.1.3 Method of Communication *8-3*
8.1.4 Timing of Communication *8-3*
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8 ERCOT SETTLEMENT AND INVOICE PROCESS

[Placeholder]

[COPMGRR015: Replace Section 8, ERCOT SETTLEMENT AND INVOICE PROCESS, above, with the following upon system implementation:]

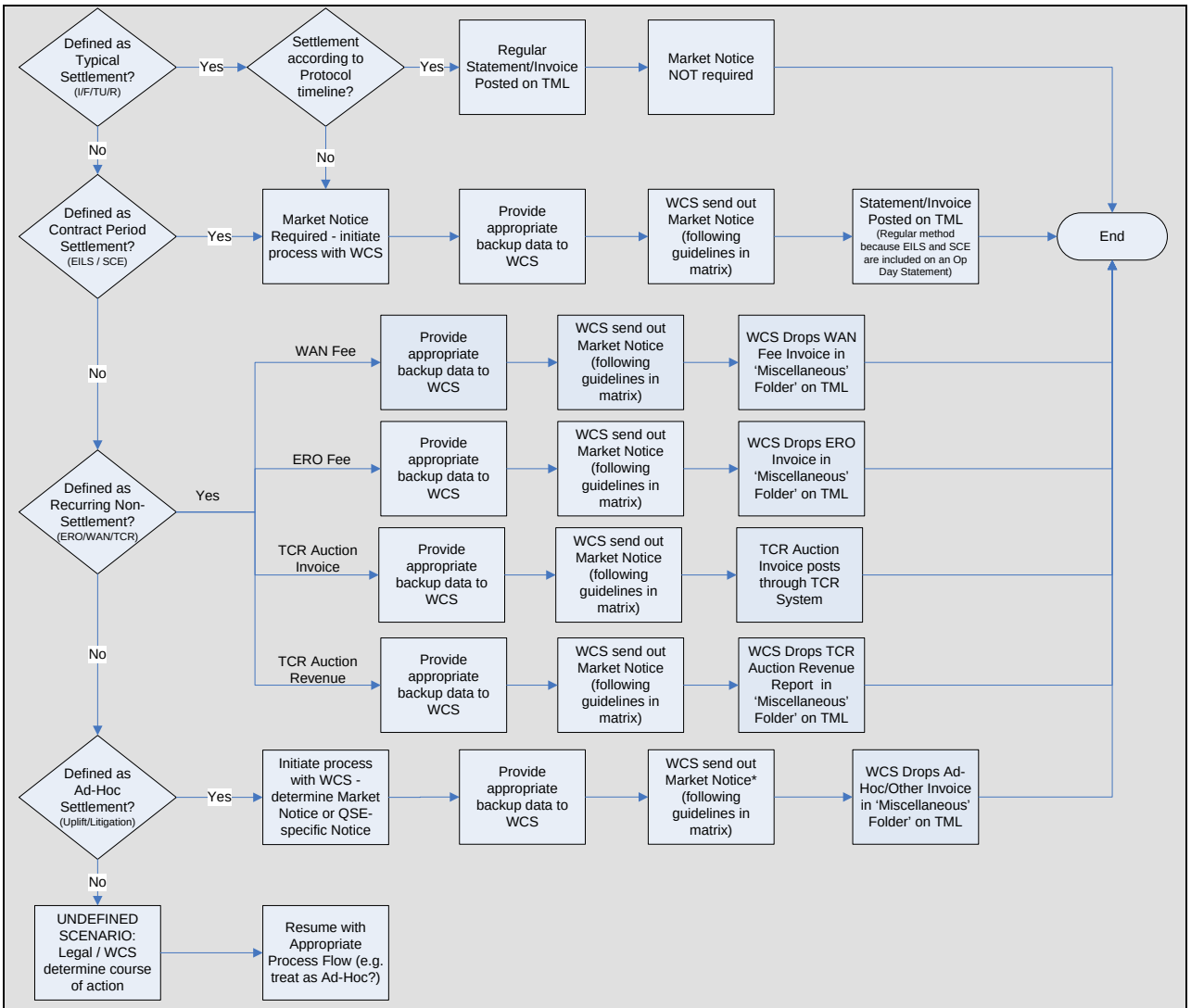
8 ERCOT SETTLEMENT AND INVOICE PROCESS

8.1 Invoice Process

The process for receiving the ERCOT weekly Invoice based on Settlement Statements are documented in Protocol Section 9.3, Settlement Invoice. This Section explains the process for Invoices that are not settled according to the Protocol timeline.

8.1.1 Overview

The following figure illustrates the process flow of ERCOT's Invoice process, including the ad hoc Invoice process.



* Note: It is ERCOT Legal's opinion that a Market Notice may not be possible in all cases. WCS will work with legal to make sure that every attempt is made to craft a message that provides notice to the market while respecting confidentiality requirements.

8.1.2 Types of Ad Hoc Invoices

The following are types of Settlements that will be invoiced on an ad hoc basis:

(1) Contract Period

These are Settlements based on a contract period instead of an operating date.

(a) Schedule Control Error (SCE); and

(b) Emergency Interruptible Load Service (EILS).

(2) Recurring Non-Settlement Related Charges

These are routine, non-standard Settlements.

(a) Wide Area Network (WAN) fee;

(b) Electric Reliability Organization (ERO) fee;

(c) Transmission Congestion Rights (TCR) auction Invoice; and

(d) TCR auction revenue.

(3) Ad Hoc Settlement

These are Settlements that occur infrequently and are not a part of standard operations.

(a) Uplift of short pays; and

(b) Litigation.

(4) Undefined Scenarios

These are Settlements for any scenario that is not defined as a typical Settlement that usually originates from the following groups:

(a) ERCOT Legal;

(b) ERCOT Wholesale Client Services (WCS); and

(c) ERCOT Finance.

8.1.3 Method of Communication

The method of communication varies depending on the type of ad hoc Invoice. Although ERCOT WCS will send out Market Notices for ad hoc Invoice circumstances, whenever possible, they are unable to commit to providing Notice in every circumstance. In all scenarios, the following Authorized Representatives registered with ERCOT will receive an email regarding the Invoice. These Authorized Representatives will receive an email from ClientRelations@ercot.com.

(1) Primary Authorized Representative;

(2) Backup Authorized Representative;

(3) Accounts payable; and

(4) Accounts payable backup.

8.1.4 Timing of Communication

ERCOT WCS will send the Market Notice in advance of the Invoice, as many days as possible.

However, there could be potential situations when ERCOT WCS is unable to provide a sufficient Market Notice.

8.1.5 Content of Communication

If there is sufficient time, the communication from ERCOT will contain as much detail as possible. In circumstances where an extremely quick turn-around time is required, there may be a need to send a Notice that is light on content but provides an advanced warning of the ad hoc Settlement.

(1) The subject line of the Market Notice will indicate the appropriate urgency and action.

(2) If the ad hoc Invoice does not impact all Qualified Scheduling Entities (QSEs), the Market Notice will define the parameters by which a QSE can determine whether or not they should receive an Invoice (e.g., "all QSEs with Load in February 2005 will receive this Invoice, adjustments made to reflect QSEs with Load who have exited the market " or "all QSEs who were short-paid in March 2003 will receive payment").

(3) The signature within the Market Notice will include the standard ERCOT signature/contact information.

(4) The Market Notice will indicate when the Invoice will be posted and where the Invoice will be posted. Normally, the Invoice will be posted in the “Miscellaneous” folder on the Market Information System (MIS).

8.1.6 Market Participants

Each Market Participant should ensure that the accounting contacts registered with ERCOT are current to ensure that the Invoices are received and paid in a timely manner.

Commercial Operations Market Guide

Section 9

November 1, 2007

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Commercial Operations Market Guide

Section 10: Extracts and Reports

November 1, 2007

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10 EXTRACTS AND REPORTS 1

10.1 Delivery Point 1
10.2 Type of Delivery Element 2

10 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).

10.1 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.

10.2 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

Section 11: Disputes and Data Extract Variances

November 1, 2009

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11.1 ERCOT Disputes....3
11.1.1 Overview....3
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11.1.3 Dispute Access....8
11.1.4 Dispute Items....8
11.1.5 Valid Dispute Statuses and Resolutions....9
11.1.6 Dispute Reporting....9
11.2 Data Extract Variances....10
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11 DISPUTES AND DATA EXTRACT VARIANCES

11.1 ERCOT Disputes

[Placeholder]

[COPMGRR012: Replace Section 11.1, ERCOT Disputes, above, with the following upon system implementation:]

11.1 ERCOT Disputes

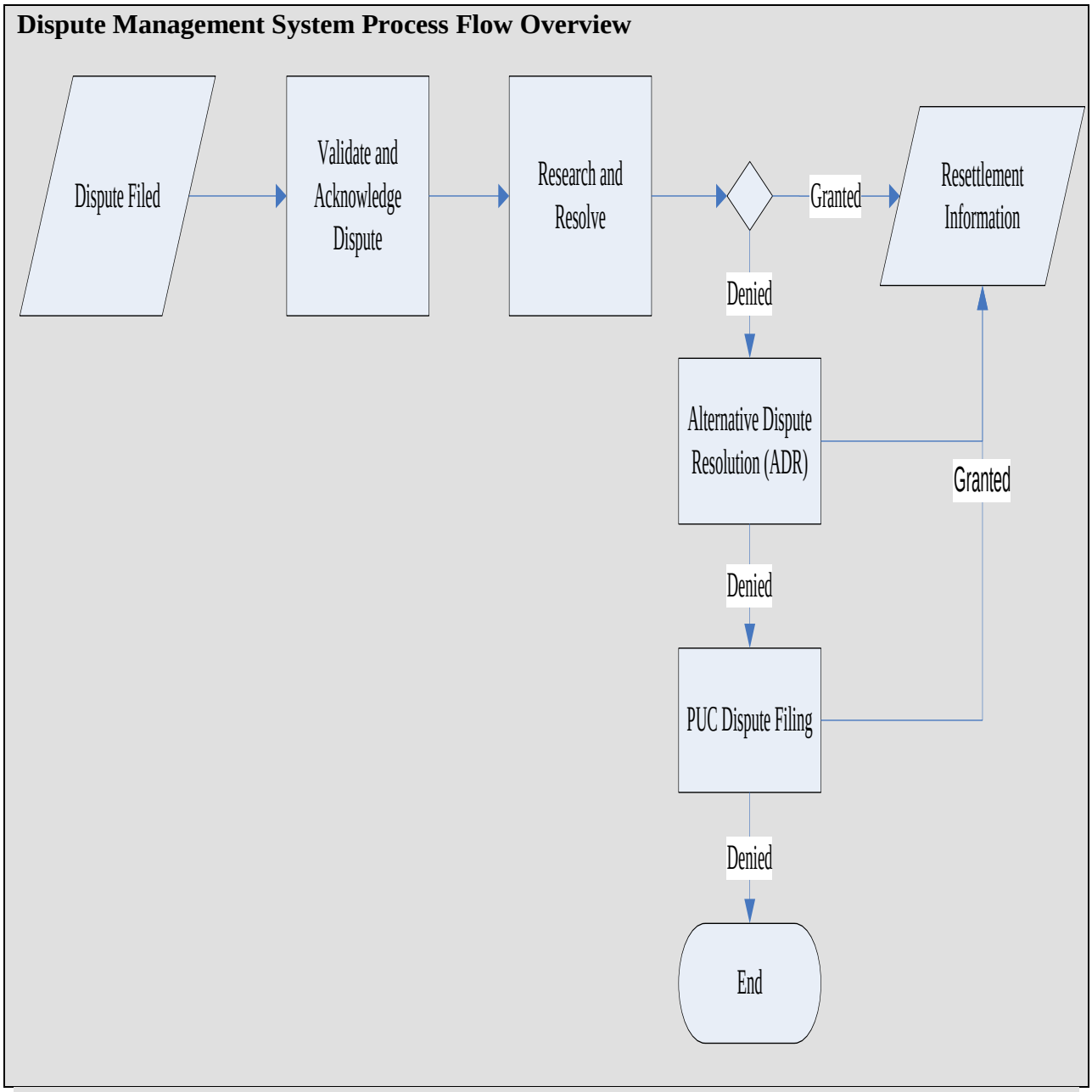
Section 9, Settlement and Billing, of the ERCOT Protocols describes the various requirements for the implementation and maintenance of the Dispute Management Process. Qualified Scheduling Entities (QSEs) in the Day-Ahead Market (DAM) and Real-Time Market (RTM) and QSEs and Congestion Revenue Right (CRR) Account Holders for the DAM, RTM, and CRR markets are responsible for the review of their Settlement Statements and Settlement Invoices to verify the accuracy of the Settlement data used to produce the Settlement Statement and Settlement Invoice. Recipients must submit any dispute related to the Settlement Statement or Settlement Invoice data. All communication to ERCOT and from ERCOT concerning disputes must be through either the Market Information System (MIS) certified dispute tool or other electronic communications. Recipients shall be able to file the dispute, create the dispute-associated activities and view the progress of the dispute.

In accordance with Protocols, ERCOT will issue Resettlement Statements as soon as possible due to data error other than prices that result in an impact greater than two percent (2%) of the total payments due to ERCOT, otherwise ERCOT will wait until the next scheduled Settlement. Protocol Sections 9.2.5, DAM Resettlement Statement, and 9.5.6, RTM Resettlement Statement, describes the timing of resettlements due to Settlement and Billing Disputes.

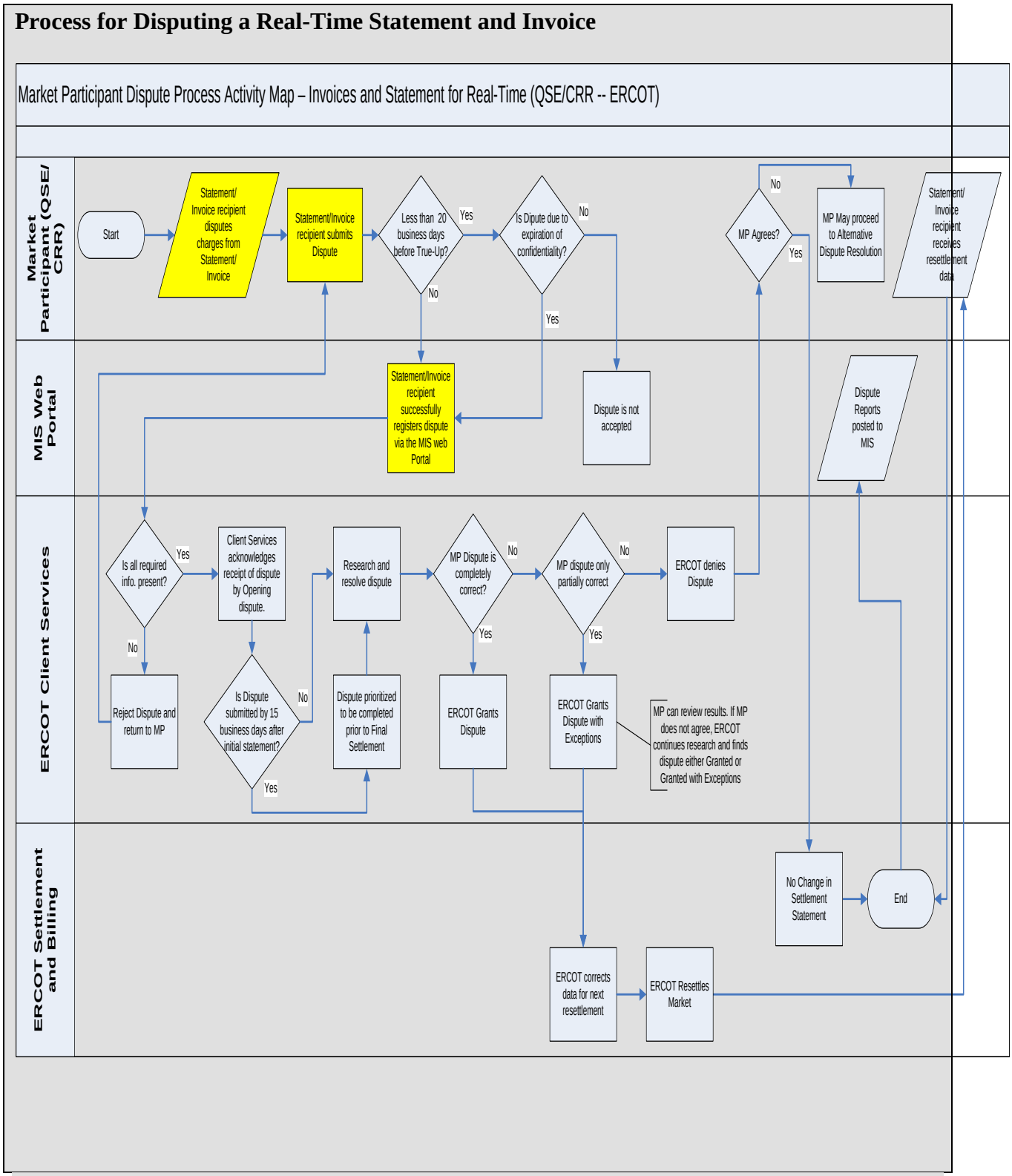
11.1.1 Overview

The following figures illustrate an overview of the process flow of the Dispute Management System, detailed process flows based on the type of statement being disputed, and the process for denied disputes. Protocol Section 9, Settlement and Billing, also describes the timing of disputes.

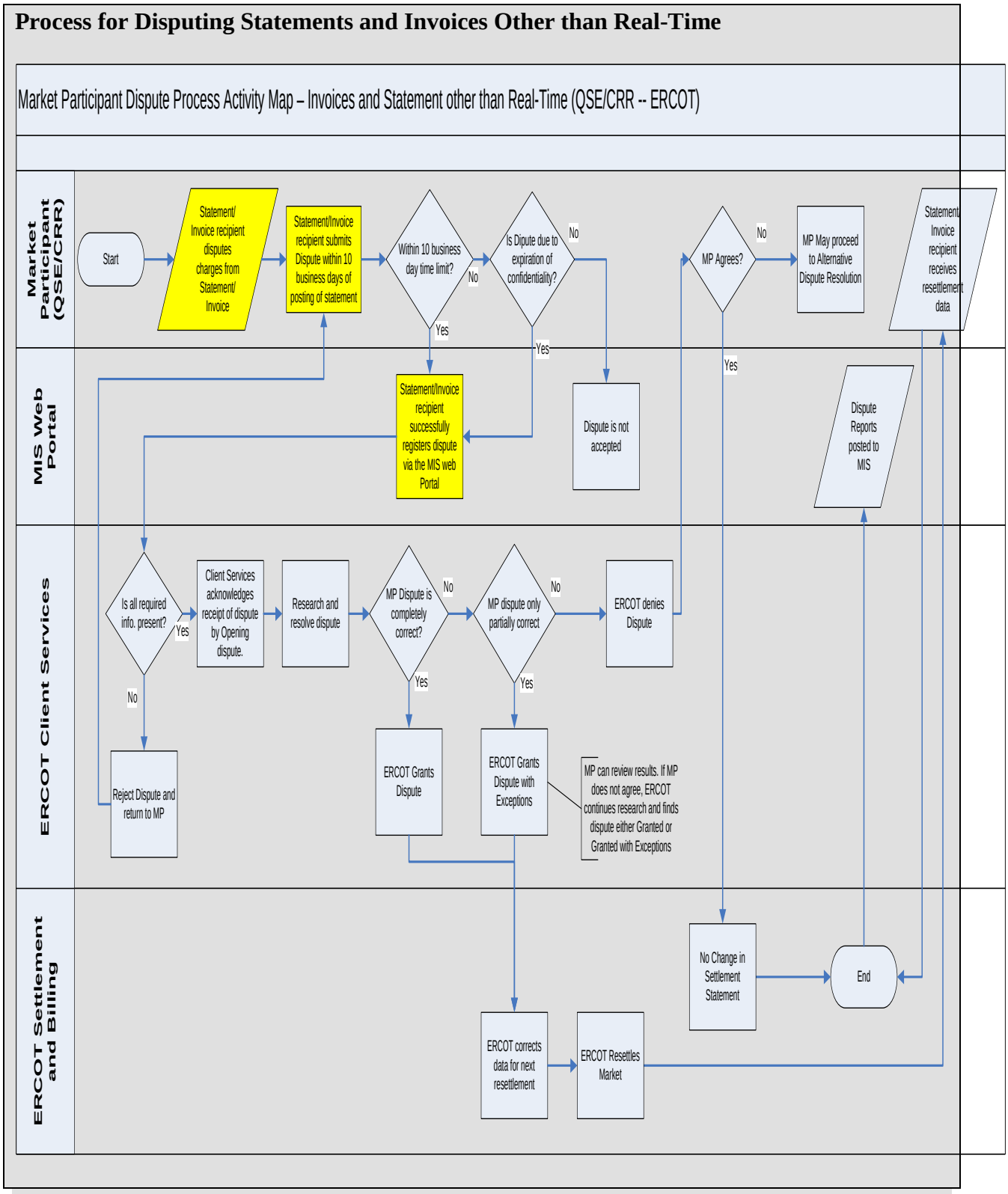
Dispute Management System Process Flow Overview



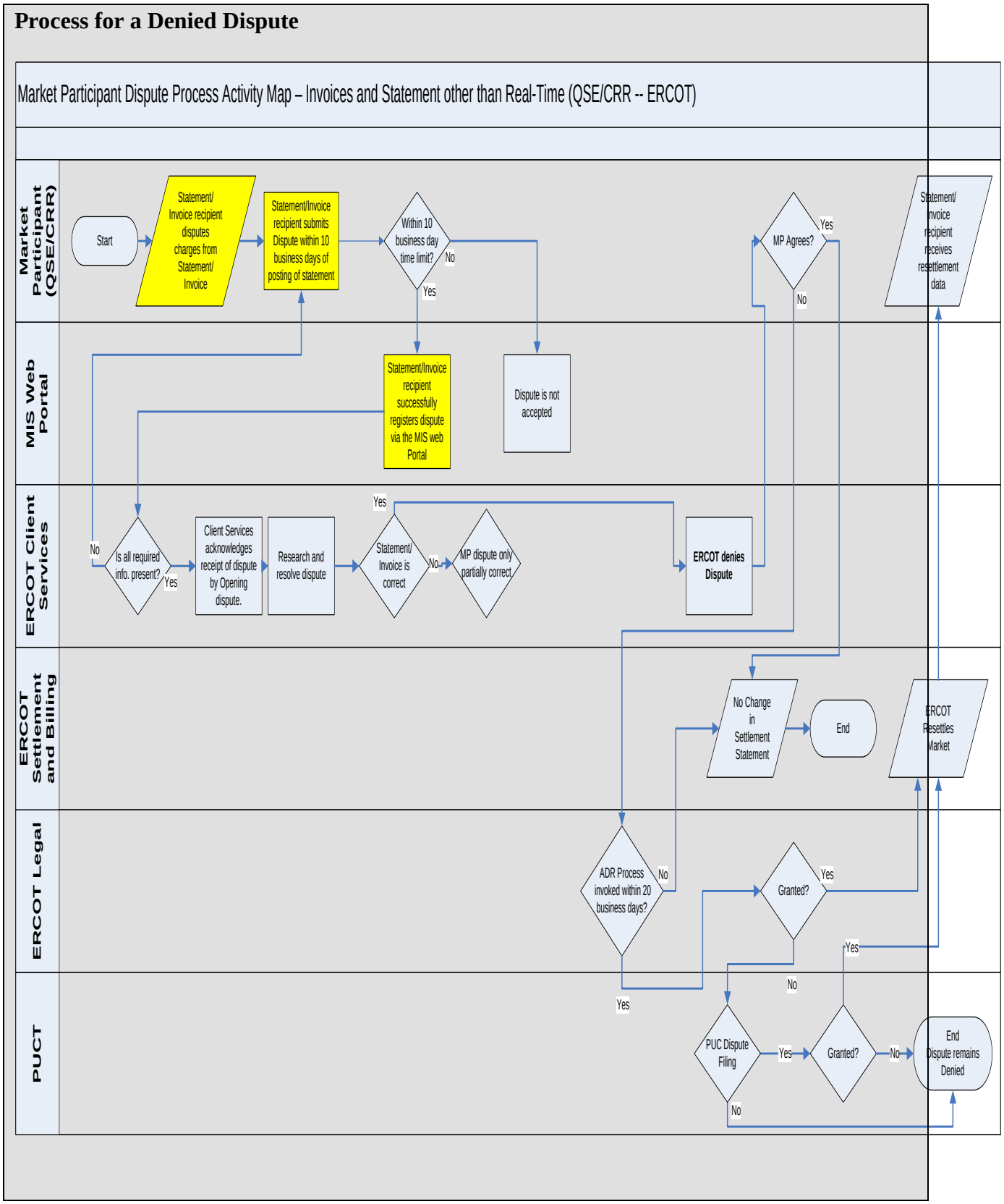
Process for Disputing a Real-Time Statement and Invoice



Process for Disputing Statements and Invoices Other than Real-Time



Process for a Denied Dispute



11.1.2 Settlement Calendar

The Settlement Calendar provides the dates by which ERCOT will post, process payments, and administer disputes for Settlement Statements and Invoices, including:

(1) Settlement Statements for the DAM and RTM; and

(2) DAM, RTM, Late Fee, CRR and CRR Auction Revenue Distribution (CARD).

The Settlement Calendar is provided as an extract and can be found on the MIS under Settlements Information (Public) and on the ERCOT public website. Supporting information for the Settlement calendar (i.e. the Data Definition Language and Extensible Markup Definitions) are also available on both the MIS and the ERCOT public website.

11.1.3 Dispute Access

There are two methods available for filing a dispute, MIS Web Portal and Application Programming Interface (API).

(1) MIS Web Portal – The web portal user interface utilizes the Market Participant's digital certificate for authentication. The disputes area can be found by navigating to the on Markets/Settlements landing page or the applications home page. From either page, you can open the dispute application, based on roles, Create Nodal Settlement Dispute or Find Nodal Settlement Disputes.

Market Participants also have the ability to search for or view disputes using the 'Find Nodal Settlement Disputes' function on the Graphic User Interface (GUI). Disputes may be viewed and searched for by dispute ids and various other criteria.

(2) API – Allows you to utilize a third-party application to submit your disputes to and from ERCOT. See the External Interfaces Specification (EIP) document on the ERCOT.com Website for the API technical requirements.

11.1.4 Dispute Items

The following are a list of the statements and Invoices items that can be disputed. For invoices, the items not listed on the statements can be disputed such as interest.

(1) DAM Statement;

(2) DAM Resettlement Statement;

(3) DAM Invoice;

(4) DAM Late Fee Invoice;

(5) RTM Initial Statement;

(6) RTM Final Statement;

(7) RTM True-up Statement;

(8) Any RTM Resettlement Statement issued after the RTM True-Up Statement;

(9) RTM Invoice;

(10) RTM Uplift Invoice;

(11) CRR Auction Invoice;

(12) CARD Invoice; and

(13) CRR Balancing Account Invoice.

11.1.5 Valid Dispute Statuses and Resolutions

An automatic Notification will be sent to the disputing Entity if there is a change in the dispute resolution or dispute status.

Statuses:

(1) Not Started – The initial status of the dispute when it is submitted to ERCOT.

(2) Open – ERCOT has begun to work on the issue.

(3) Alternative Dispute Resolution (ADR) – The Market Participant begins the ADR process once ERCOT has denied a dispute.

(4) Closed – The dispute has been resolved.

(5) Withdrawn – Market Participant withdraws the dispute.

Resolutions:

(1) Granted – ERCOT grants the dispute and the adjustments display on the next Settlement Statement for the Operating Day.

(2) Granted with Exceptions – ERCOT grants a partial adjustment of the disputed amount. The Market Participant is notified of the exception(s).

(3) Denied – ERCOT rejects the dispute. An automatic Notification will be sent to the disputing Market Participant.

11.1.6 Dispute Reporting

ERCOT will post to the MIS a summary level dispute report and a Market Participant specific (certified) dispute extract.

MP Dispute Extract – This certified extract provides QSEs and CRR Account Holders with the current status of all of their Entity specific disputes that are not closed or withdrawn, as well as all disputes closed or withdrawn within the last 120 days.

ERCOT Summary Dispute Report – This report is a summary by Operating Day , status and market type (DAM, RTM) with resolution and count of disputes, as disputes move to a 'Closed' or 'Withdrawn' status, the data will remain available on the report for 30 days before' rolling off'.

11.2 Data Extract Variances

11.2.1 Overview

The Data Extract Variance or "DEV" is a type of MarkeTrak used to assist in the expedited resolution of ESI ID level data variances between ERCOT and Market Participant systems. The DEV should only be utilized after transactions have been attempted by comparing the information provided in the daily ERCOT ESI ID Service History & Usage Extract (727 Data Extract) and the Market Participants internal system data. The ESI ID Service History & Usage Extract is provided by ERCOT through the Market Information System (MIS). The Data Definition Language (DDL) description file for this extract is located on the ERCOT.com website under DDLs. Manual intervention will only be accepted after all other resolution paths have been exhausted.

If a variance submitted according to the ERCOT MarkeTrak User Guide is not resolved prior to the True-up Settlement, a Market Participant may seek correction of the ESI ID service history, usage information and resettlement pursuant to the provisions of Protocols Section 20, Alternative Dispute Resolution Procedure. The True-up Settlement timelines and variance request deadlines are available on the True-Up Settlement and Variance Request Calendar located on ERCOT.com, http://www.ercot.com.

For more information on types and subtypes of DEV issues and the DEV resolution process refer to the Retail Market Guide (RMG) Section 7.1.3, MarkeTrak Data Extract Variance Processes and the MarkeTrak Users Guide, Sections 5, DEV LSE and 6, Non LSE DEV available on ERCOT.com, http://www.ercot.com.

The MarkeTrak User Guide can be found on ERCOT.com:

(1) Select Services.

(2) Select Client Services.

(3) Select MarkeTrak Information.

(4) Select MarkeTrak Users Guide.

Commercial Operations Market Guide

Section 12: Renewable Energy Credits

May 1, 2010

12 RENEWABLE ENERGY CREDITS (RECs) 1

12.1 Purpose and History *1*
12.1.1 PUCT *1*
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12.1.3 REC Trading Program Overview *2*
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12 RENEWABLE ENERGY CREDITS (RECs)

The State of Texas Renewable Energy Credit Trading Program is addressed in ERCOT Protocol Section 14, State of Texas Renewable Energy Credit Trading Program.

In support of the State of Texas' goals related to installation of generating capacity from renewable energy technologies, ERCOT administers the Renewable Energy Credit (REC) Trading Program. As part of the REC Trading Program each competitive Retail Entity with Load in Texas is assigned an annual REC requirement.

12.1 Purpose and History

The State of Texas Renewable Energy Credit (REC) Trading Program was developed as a result of legislative action in Senate Bill 7, Texas Electricity Energy Restructuring. The objective of this part of Senate Bill 7 was to increase the capacity of renewable resource generation in Texas to 2,880 MWs by the year 2009 from an already existing 880 MWs.

The State of Texas' REC Trading Program was extended and expanded on September 1, 2005 as a result of legislative action in Senate Bill 20, 79th Legislature, 1st Called Session (2005), which amended Public Utility Regulatory Act (PURA) § 39.904, relating to the *Goal for Renewable Energy*. Senate Bill 20 increased the goal of capacity of renewable resource generation in Texas to 5,880 MWs by 2015 and 10,000 MWs by 2025. Senate Bill 20 also stipulates a goal that 500 MWs of the target MWs will be from non-wind renewable generation. This goal is to further promote solar power and biomass technologies.

Due to the optimum locations of Wind-powered Generation Resources (WGRs) in Texas, transmission Congestion can limit the flow of renewable generation to the ERCOT Transmission Grid. In July 2007, the Public Utility Commission of Texas (PUCT) announced its approval for additional transmission lines that can deliver 10,000 more MWs of renewable power by 2012. The goal of the Energy Transmission Plan is to increase transmission capacity to get clean energy from remote areas to cities. Competitive Renewable Energy Zones (CREZs) were designated in the optimum areas in the state and it is to these locations that electric transmission infrastructure will be constructed.

12.1.1 PUCT

For more information on the PUCT ruling and goals see P.U.C. SUBST. R. 25.173, Goal for Renewable Energy.

12.1.2 Renewable Resource Generation

Renewable resource generation is generation that is not derived from fossil fuels, waste products from fossil fuels, or waste products from inorganic sources. Renewable resource generation technology relies on an energy source that is naturally regenerated, for example, the sun, wind, geothermal, hydroelectric, tidal energy, biomass, and biomass-based waste products.

12.1.3 REC Trading Program Overview

The statewide Texas REC Trading Program applies to competitive Retail Entities that offer Customer Choice, as defined by the P.U.C. SUBST. R. 25.173, Goal for Renewable Energy, including:

(1) Retail Electric Providers (REPs);

(2) Opt-in Municipally Owned Utilities (MOUs) and distribution Cooperatives;

(3) Investor Owned Utilities (IOUs) that have unbundled pursuant to PURA Chapter 39, Restructuring of Electric Utility Industry.

Competitive Retail Entities are required to obtain and retire RECs based on their Load Ratio Share (LRS) of the competitive retail Load served in Texas, and the annual statewide REC mandate.

Any renewable resource generator, as defined by the P.U.C. SUBST. R. 25.173, in Texas can earn RECs.

The statewide Texas REC Trading Program is open to anyone wanting to trade (buy or sell) RECs.

Opt-out Notice – Beginning with the 2008 Compliance Period, a Customer receiving electrical service at transmission-level voltage (60 kV or higher or that receives electric service directly through a utility-owned substation that is connected to the transmission network at 60 kV or higher) who files an opt-out notice with the PUCT and provides the information to ERCOT for the applicable Compliance Period shall have its Load excluded from the Renewable Portfolio Standard (RPS) calculation. For detailed information about the opt-out notice exemption see P.U.C. SUBST. R. 25.173, Goal for Renewable Energy. Renewable resource generators wishing to participate are required to be certified by the PUCT. The PUCT certification forms are available at the PUCT's website at http://www.puc.state.tx.us/electric/business/rec/rec.cfm. See ERCOT Protocol Section 14, State of Texas Renewable Energy Credit Trading Program, for reporting requirements of REC generators and REC offset generators and the process for the awarding of RECs.

12.1.3.1 Participant Responsibilities

Participant responsibilities for ERCOT, the PUCT, REC generators, competitive Retail Entities, and other Entities are described in ERCOT Protocol Section 14, State of Texas Renewable Energy Credit Trading Program. Other Entities may participate if they are legal Entities in the State of Texas, sign an agreement with ERCOT to participate in the market, and establish a REC trading account with ERCOT.

12.1.4 REC Attributes and Uses

Attributes of RECs, including how they are defined and how they are described by vintage year, quarter, technology type, resource, facility identification, quantity, and REC number, may be

found in ERCOT Protocol Section 14, State of Texas Renewable Energy Credit Trading Program.

RECs have a useful life of three Compliance Periods. A Compliance Period is a calendar year beginning January 1 and ending December 31 of a year in which RECs are required to be retired by a competitive Retail Entity. See the ERCOT Protocol Section 14 for an example.

Uses for RECs include, but are not limited to:

(1) Annual RPS compliance requirements for competitive Retail Entities.

(2) Financial instrument tradable on the REC market.

(3) PUCT labeling initiative: RECs can be used for verification of advertising claims for green power programs.

12.1.5 REC Offsets

See ERCOT Protocol Section 14, State of Texas Renewable Energy Credit Trading Program, for more information on how generators qualified for REC offsets prior to June 1, 2001 in the REC Trading Program.

12.2 Determining RPS Requirements for Retail Entities

As the Renewable Energy Credit (REC) Trading Program Administrator, ERCOT determines the annual Renewable Portfolio Standard (RPS) requirement for each competitive Retail Entity in Texas using the formulas set forth in Protocol Section 14, State of Texas Renewable Energy Credit Trading Program.

12.2.1 Timing for Notification of Final RPS Requirement (FRR) and Mandatory Retirement

As set forth in subsection (n)(1) of P.U.C. SUBST. R.25.173, Goal for Renewable Energy, ERCOT will notify each competitive Retail Entity of its total final adjusted RPS requirement for the previous Compliance Period on January 31st.

As set forth in subsection (n)(2) of P.U.C. SUBST. R.25.173, each competitive Retail Entity must submit to ERCOT a quantity of RECs equal to its Final RPS Requirement (FRR) for the previous Compliance Period by March 31st. This is done by retiring the RECs in the competitive Retail Entity's REC trading account.

12.2.2 ERCOT Reporting to the PUCT and PUCT Penalties and Enforcement

See Protocol Section 14, State of Texas Renewable Energy Credit Trading Program, for more information about ERCOT reporting to the Public Utility Commission of Texas (PUCT) and PUCT penalties and enforcement.

12.2.3 Process for Determining RPS Requirements for Competitive Retailers

First, a Statewide RPS Requirement (SRR) is determined, using the Annual Capacity Target (ACT), the number of hours in a year, 8,760 hours, and the Capacity Conversion Factor (CCF). Plus, the Compliance Premiums used for the previous year's mandate are added back into the SRR. See Section 12.2.4, Public Data, below for more information on the CCF.

Second, a Preliminary RPS Requirement for each competitive Retail Entity is determined, using the SRR, the sales of the specific competitive Retail Entity, Customer Retail Sales (CRSRES), in MWhs, to Texas Customers during the Compliance Period excluding opt-out noticed Customer Loads, and the Total Sales (TS) of all competitive Retail Entities, in MWhs, to Texas Customers during the Compliance Period, excluding opt-out noticed Customer Loads. The sum of the Preliminary RPS Requirement for all competitive Retail Entities will equal the SRR.

Third, ERCOT determines the Adjusted RPS Requirement (ARR) due to offsets assigned to competitive Retail Entities, using the Preliminary RPS Requirement and the Total Offsets. The competitive Retail Entity is entitled to Eligible Offsets (EOs) received during the Compliance Period. ERCOT also determines the Total Usable Offsets (TUO), using the SRR and the sum of all of the ARRs.

Last, ERCOT determines the FRR for each competitive Retail Entity, using the ARR, TUO, CRSRES, TS, and any previous year's adjustments.

This is an iterative process that will solve until the optimal allocation is reached with all FRRs resolved to the nearest whole REC.

12.2.4 Public Data

A Texas REC trading account is not required to access the following public data:

(1) Total Competitive Energy Sales in Texas.

The Total Competitive Energy Sales in Texas can be found at https://www.texasrenewables.com under 'Public Reports' under 'Load' is the Total Competitive Energy sales in Texas. Total Competitive Energy Sales is the total un-Adjusted Metered Load (AML) of all competitive retail sales of competitive Retail Entities (in MWh) to Texas Customers. The Load meter data is provided by year, both monthly and year-to-date, and is updated each month by ERCOT. The posted values will change as Load changes with consecutive settlements and will become constant when used in the FRR calculation.

(2) Current Capacity Conversion Factor (CCF).

ERCOT revises the CCF every two years. The CCF is used in the calculation to determine the SRR. The SRR is used in the calculations to determine the Preliminary RPS Requirement for competitive Retail Entities, the TUOs, and the FRR. The current CCF may be found at https://www.texasrenewables.com located on the REC Message Board.

(3) Quarterly/Annual Renewable Energy Generation in Texas by Technology Type.

The Quarter & Annual Renewable Energy Generation in Texas by Technology Type can be found at https://www.texasrenewables.com under Public Reports under Generator is the Quarter & Annual Renewable Energy Generation in Texas by Technology Type. Other Public Information available includes:

(a) List of account holders;

(b) Accounts by type;

(c) Accounts by technology type;

(d) REC generators, repowered Facilities;

(e) Existing/New Capacity;

(f) Quarter and Annual Renewable Energy Generation in Texas by technology type; and

(g) REC message board.

12.3 Texas REC Trading Program and User's Guide

The texasrenewables.com website provides a secure portal for Renewable Energy Credit (REC) Trading Account Holders to manage their REC inventory. Account holders may view, sort, batch or singly identify RECs to transfer or retire. All activities are available online, including account registration. There are no limits on the number of REC trading accounts. All data is available online for at least three years.

The texasrenewables.com website may be accessed directly at https://texasernewables.com or from the ERCOT website under VIEW OTHER ERCOT WEBSITES and Renewable Energy Credits.

12.3.1 Texas REC User's Guide

Texas REC User's Guide is available on the texasrenewables.com website, under the headings Public Reports and Help Guide. The User's Guide outlines the functionality of the REC Trading Program including account management, generator, and aggregator registration and how to submit generator meter data.

12.3.2.1 Micro-generators and REC Aggregators

Registration and the reporting of production meter data for micro-generators and REC aggregators are addressed in paragraph (q) of P.U.C. SUBST. R. 25.173, Goal for Renewable Energy. Micro-generators are encouraged to find an aggregation company to associate themselves with; however, if they choose, they may register and participate on their own.

12.3.2 REC Trading Program Account Holder Assistance

Contact the ERCOT RPS Administrator via email, Info@ercot.com, for REC Trading Account Holder assistance.

The Help function, located at the top right of the screen, in the Texas-REC Trading Program is an excellent online reference.

Commercial Operations Market Guide

Appendix A: Market Notice Communication Process

July 1, 2009

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 (see Table 1, ERCOT System/Service Affected).

Email Notification Subscription Lists – To subscribe to the appropriate list, go to http://lists.ercot.com (see Table 8, Email Notification Subscription Lists).

Escalation – Escalation of Notifications is 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 will include the service that is unavailable and may include the time the issue was identified, if known. 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 Outage/Processing Impact Notifications

1. **Planned Scheduled Release** – fourth weekend of each month – 1200 Saturday until 0000 Monday (36 hours) as defined by the Retail Market IT Services SLA , located on http://www.ercot.com/services/sla/

2. **Planned Maintenance Outage** – first and second Sunday of each month – 0600 until 2100 (15 hours) and third and fifth Sunday of each month – 0800 until 2000 (12 hours)as defined by the Retail Market IT Services SLA located at http://www.ercot.com/services/sla/

3. **Unplanned Outage or Business Processing Impacts** - unplanned events that occur during Business Hours or during Non-Business Hours. Exceptions for extended maintenance and release windows will be requested by ERCOT at a Commercial Operations Subcommittee (COPS) and/or Retail Market Subcommittee (RMS) meeting

(as appropriate) prior to the extended Outage. Unplanned Retail and Wholesale system Outages will be identified on ERCOT.com under the "View Data And Reports" category heading. A red flag icon will appear immediately to the right of the "Notices" header when an ERCOT Retail or Wholesale system is currently unavailable. This flag will be removed when the Retail or Wholesale system has been restored. If the Outage occurs outside of normal Business Hours, ERCOT will generate an automated Market Notice that will communicate the unplanned system Outage to the market. If the Outage occurs during normal Business Hours, ERCOT may generate an automated Market Notice that will communicate the unplanned system Outage to the market. These system generated Notices will be sent to the Notice_Release_Retail@lists.ercot.com and/or the Notice_Release_Wholesale@lists.ercot.com mailing lists. ERCOT will generate a Follow-up Notice during normal business hours in these instances if the Outage lasts 30 minutes or longer.

a. **Data Extract and Report Incidents** – Certain extracts and reports are subject to a Service Level Agreement (SLA). These extracts and reports can be found in the Extract and Report Information file posted in the Settlement and Extracts Working Group (SEWG) section of the ERCOT website. This file contains where each extract or report is posted (Delivery Point), whether it is public or Market Participant-specific, on what timeline (how often posted), and the assigned SLA Level.

   Incidents impacting the timeliness, completeness, or accuracy of SLA Level-1 data extracts and reports are reported in the Extract and Report Incident Log (named ERCOT IT Incident Summary Data Extracts & Reports). The log will be updated monthly and made available by the 15th day of the following month, on the COPS website on www.ercot.com.

   For incidents involving SLA Level-1 data extracts impacting ten or more Market Participants or as determined by ERCOT to warrant full market notification a Market Notice will be sent. Incidents involving SLA Level-1 data extracts will be reported via Market Notice process in the following manner:

   1) A Market Notice will be sent out if incident involves extracts posted with missing data or incorrect data (completeness or accuracy). See Appendix A for details on content.

   2) A Market Notice will be sent if incident involves timeliness of SLA Level-1 extract later than 23:59 or otherwise specified by protocol. Such incidents will be reported on the Extract and Report Incident Log on a monthly basis.

      All incidents not reported via Market Notice process will be included on the Extract and Report Incident Log.

   3) These incidents will be identified on www.ercot.com under the "View Data And Reports" category heading. A red flag icon will appear immediately to the right of the "Notices" header to facilitate communication of the issue to the market. This flag will be removed when the extract issue has been resolved. If the extract issue occurs outside of normal Business Hours, ERCOT will generate an automated Market Notice that will communicate

the issue to the market. These automated Notices will be sent to the Notice_Release_Retail@lists.ercot.com and/or the Notice_Release_Wholesale@lists.ercot.com mailing lists. ERCOT will generate a Follow-up Notice during normal Business Hours to provide additional details when warranted.

For incidents involving data extracts other than SLA Level-1, ERCOT will determine whether to report via Market Notice, depending on the number of Market Participants impacted, interrelated incidents, and duration and frequency of incidents at ERCOT's discretion. All incidents, including those not reported via Market Notice process, will be included on Extract and Report Incident Log.

Coding of Notices

Notice Codes – Market Notices that are not system generated will be given a unique identification code that identifies, at a high level the impacted Market Segment (Retail, Wholesale or Market), the date and sequence of the Notice and the number of Notices in a series a particular Notice represents. This code will appear in the Notice Type section of the Notice (See Table 2, Market Notice Tracking Codes).

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, Load Profiles
Market-Wide	Forecasted Transmission Loss Factors (TLF)	Forecasted TLF for each 15 minute settlement interval of each Operating Day.	Protocol Section 13.2.1, Forecasted Transmission Loss Factors
Market-Wide	EPS Metering	Polling of EPS Meters.	Protocol Section 10, Metering
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 Information System
Market-Wide	Renewable Energy Program	View, sort, batch, or singly identify RECs to transfer or retire.	Protocol Section 14, State of Texas Renewable Energy Credit Trading Program

Table 1: ERCOT Service/System Affected			
Business Area	**Service/System**	**Description**	**Requirement**
Market-Wide	TCR information	Billing and invoicing of TCR, TCR auctions and monthly information on shift factors.	Protocol Section 7.5, Transmission Congestion Rights
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	MIS Public Area.	
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
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 one Retail Business Hour after processing the initiating transaction. (Protocol Section 15, Customer Registration)
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 Market Participants.	Protocol Section 16, Registration and Qualification of Market Participants
Wholesale	Operational Notifications	BES Requirement, A/S Obligations, Congestion Notifications, EECP Notifications.	
Wholesale	Operational Telemetry	SCADA, Real time telemetry.	
Wholesale	Transmission/ Generation Outage Requests	Transmission and Generation outage requests and information.	Protocol Section 8, Planned Outages and Maintenance Outages of Transmission and Resource Facilities

Table 1: ERCOT Service/System Affected			
Business Area	**Service/System**	**Description**	**Requirement**
Wholesale	Settlement Statement and Invoices	Creation posting and collection of Statements and Invoices.	Protocol Sections 9.2, Settlement Statements, 9.3, Settlement Invoice, and 9.4, Payment Process
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, Settlement and Billing Dispute Process
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**
System Generated	N/A	N/A	N/A
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, *etc.*	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: System Generated Notice

Subject: INITIAL NOTICE - System Outage – Texas Market Link

NOTICE DATE: 12/29/08 13:10:39

NOTICE TYPE: Initial Texas Market Link Notice

INTENDED AUDIENCE: LSEs and TDSPs

DAY AFFECTED: 12/29/08 13:00:04

DESCRIPTION: ERCOT is currently experiencing an outage of Texas Market Link.

ERCOT is working on resolving this issue and will provide additional information as it becomes available.

CONTACT: If you have any questions, please contact your ERCOT Account Manager. You may also call the general ERCOT Client Services phone number at (512) 248-3900 or contact ERCOT Client Services via e-mail at ClientRelations@ercot.com.

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

Sample Notice 2: Non System Generated Notice

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 . . .

CONTACT: If you have any questions, please contact your ERCOT Account Manager. You may also call the general ERCOT Client Services phone number at (512) 248-3900 or contact ERCOT Client Services via e-mail at ClientRelations@ercot.com.

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

Sample Notice 3: Non System Generated Notice

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:

CONTACT: If you have any questions, please contact your ERCOT Account Manager. You may also call the general ERCOT Client Services phone number at (512) 248-3900 or contact ERCOT Client Services via e-mail at ClientRelations@ercot.com.

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

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	ERCOT logs outage, posts instance to webpage, and may send a system generated Notice to Notice_Release_Retail@lists.ercot.com and/or Notice_Release_Wholesale@lists.ercot.com				
	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	***ERCOT logs outage, posts instance to webpage,*** and sends a system generated Notice to Notice_Release_Retail@lists.ercot.com and/or Notice_Release_Wholesale@lists.ercot.com If ERCOT IT and Business, Client Services determines a weekend/holiday outside of Business Hours event to be of major significance, Initial Notices will be sent as soon as possible 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
General	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.
System Outages/Releases/Testing – Wholesale	Notice_Release_Wholesale@lists.ercot.com	Notices concerning system outages or upgrade releases, testing, and system generated Notices that affect Wholesale Market functions.
System Outages/Releases – Retail	Notice_Release_Retail@lists.ercot.com	Notices concerning system outages, upgrade releases, and system generated Notices that affect Retail Market functions.
Testing - Retail	Notice_Testing_Retail@lists.ercot.com	Distribution list for information regarding Market Participant testing with respect to Retail Test Flights and Retail Systems Testing.
Retail Processing	Notice_Retail_Processing@lists.ercot.com	Notices concerning the processing of retail transactions.
Operations	Notice_Operations@lists.ercot.com	Notices concerning Power Operations and technical issues at ERCOT
Extracts - Wholesale	Notice_Extracts_Wholesale@lists.ercot.com	Notices of interest to any Wholesale parties utilizing Data Extracts and reports, including procedures, postings or changes.
Extracts -Retail	Notice_Extracts_Retail@lists.ercot.com	Notices of interest to any Retail parties utilizing Data Extracts and reports, including procedures, postings or changes.
Legal Notification	Notice_Legal_Notification@lists.ercot.com	Notices to the ERCOT Market of a legal nature
TCR	Notice_TCR@lists.ercot.com	Notices concerning Transmission Congestion Rights.
PRR/SCR	Notice_PRR_SCR@lists.ercot.com	Notices of System Change that include the implementation of Protocol Revision Requests or System Change Requests.
Settlements – Public	Notice_Settlements@lists.ercot.com	Notices concerning the Wholesale Settlements issued by ERCOT that are public in nature.
Contracts/RFP	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.
Market and Power Operations Bulletins	Notice_Bulletins@lists.ercot.com	Distribution list for Market Operations Bulletins, Power

Table 8: Email Notification Subscription Lists		
		Operations Bulletins.
Training	Notice_Training@lists.ercot.com	Distribution list for Notices of ERCOT provided training events.

Table 9: Additional Email Notification Lists Matrix	
External Mailing List: Non system generated 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