|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Sect. # | Section | Subsection | Updated | Location of Content in Previous TMTP | Draft Approved |
| 1 | Overview |  | 08/19/2015 | 1.1 & 1.3 | Y |
|  | | Certification Plan | 08/19/2015 |  | Y |
| Revision | 08/19/2015 |  | Y |
| 2 | Pre Flight Activities |  | 08/19/2015 |  | Y |
|  |  | New CRs | 08/19/2015 |  | Y |
|  |  | Existing CRs and TDSPs | 08/19/2015 |  | Y |
|  |  | CRs Adding a DUNS +4 | 08/19/2015 |  | Y |
|  |  | New TDSP | 08/19/2015 |  | Y |
|  |  | NOIE | 08/19/2015 |  | Y |
|  |  | Standards | 08/19/2015 |  | Y |
|  | |  |  |  |  |
| 3 | Flight Responsibilities |  | 08/19/2015 |  | Y |
|  |  | Flight Breakdown | 08/19/2015 | Build Content--NRG |  |
|  | | Prior to Certification Testing | 08/19/2015 |  | Y |
| During Certification Testing | 08/19/2015 |  | Y |
| Post Certification Testing | 08/19/2015 |  | Y |
|  | | Flight Administrator | 08/19/2015 |  | Y |
|  | | Escalation Procedures |  | Build Content—ERCOT - complete |  |
|  | | Retail Testing Website | 08/19/2015 |  | Y |
|  | | Testing to Production Checklist |  | Build Content – ERCOT – complete |  |
| 4 | Flight Requirements |  | 08/20/2015 |  | Y |
|  | | Flight Schedule | 08/20/2015 | Build Content – NRG |  |
|  | | **In-Flight Period** | 08/20/2015 |  | Y |
|  | | TEXAS SET Implementation Guide Changes | 08/20/2015 | Review Content—TX SET |  |
| New MP | 08/20/2015 | Review Content—TX SET | Y |
| New Service Territory | 7/7/15 | Review Content—TX SET |  |
| MP Changes to NESP |  | Review Content—TX SET |  |
| **Ad Hoc Period** | 08/20/2015 |  | Y |
| Current MP adds DUNS by CERT REP |  | Review Content—TX SET |  |
| Current MP changes to Established SP |  | Review Content—TX SET |  |
| Bank Change | 7/7/15 | Review Content—TX SET |  |
| Change of Service Provider | 7/20/2015 | Review Content—TX SET | Y |
| Additional Functionality |  | Review Content—TX SET |  |
| System Change | 7/7/15 | Review Content—TX SET 2, |  |
| **Other Testing Requiremnts** |  | Review Content—TX SET |  |
| NOIE | 7/7/15 | Build Content—ERCOT – completed |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| 5 | Appendices |  |  |  |  |

Texas Market Test Plan

1. **Overview**

**Certification Plan**

Market Participants must be certified to conduct business in the Texas Electric Choice Market. The purpose of this document is to define the market plan for testing commercial operations systems and business processes to support the Texas Electric Choice Market. This document covers all testing requirements and procedures between ERCOT and the Market Participants (MPs) and Point-to-Point testing between MPs. The Texas Market Test Plan applies to Market Participants doing business in the Texas Electric Choice Market.

The Texas Market Test Plan addresses the following:

Flight Requirements for Market Participants and ERCOT

Flight Administrator and Success Criteria

Flight Guidelines

Flight Details and Phases

Testing Scenarios for Certification in the Texas Market

Market Participants and ERCOT must adhere to the Nodal Protocols paying close attention to:

* Protocol 15 – Customer Registration.
* Protocol 16 – Registration and Qualification of Market Participants.
* Protocol 19 - Texas Standard Electronic Transaction.

Entities are obligated to comply with the Texas Market Test Plan.  In the event of a conflict between the Texas Market Test Plan and the ERCOT Protocols or Public Utility Commission of Texas (PUCT) Substantive Rules, the ERCOT Protocols and PUCT Substantive Rules take precedence over the Texas Market Test Plan.

Each MP in the Texas Electric Choice Market has specific requirements that shall be met before it will be allowed to begin production processing. The ERCOT Protocols and PUCT rules specify many of these requirements in detail. Market Participants shall thoroughly understand these requirements.

Additional certification requirements that fall outside the scope of this document may be specified by the PUCT and/or ERCOT.

* + Revision

Texas SET is responsible for maintaining and updating the information in this document as defined in Protocol Section 19.8, Retail Market Testing. Revisions to the Texas Market Test Plan shall be reviewed by the Texas SET Working Group and approved by the Retail Market Subcommittee.

1. **Pre-Flight Activities**

The following pre-flight activities shall be met before a Market Participant enters flight certification.

New CRs

* Apply for and receive a Dun and Bradstreet number (DUNS)
* Submit the appropriate registration form to ERCOT and application fee
* If registering as a retail electric provider (REP), apply for REP certification with the [Public Utility Commission of Texas](http://www.puc.state.tx.us/industry/electric/business/rep/Rep.aspx)
* Submit the Testing Worksheet (TW) found on the [ERCOT Retail Testing Website](http://etod.ercot.com)
* Send an “Intent to Test” email to participate in the next test flight to [RetailMarketTesting@ercot.com](mailto:RetailMarketTesting@ercot.com) from the Authorized Representative or Backup Authorized Representative
* Work with Client Services on next steps to entering the Texas Electric Choice Market.

Existing CRs and TDSPs

* Send an “Intent to Test” email to participate in the next test flight to [RetailMarketTesting@ercot.com](mailto:RetailMarketTesting@ercot.com) from the Authorized Representative or Backup Authorized Representative
* Submit a completed or updated Testing Worksheet online. Trading Partners are required to document specific details of any manually assisted processes in the Testing Worksheet.

CRs Adding a DUNS +4

An existing CR testing a “DUNS + 4” entity shall refer to the TMTP section 3.3.3 and:

* Submit the appropriate registration form to ERCOT and application fee
* If registering as a retail electric provider (REP), apply for REP certification with the [Public Utility Commission of Texas](http://www.puc.state.tx.us/industry/electric/business/rep/Rep.aspx)
* Submit a completed or updated Testing Worksheet online. Trading Partners are required to document specific details of any manually assisted processes in the Testing Worksheet
* Send an “Intent to Test” email to participate in the next test flight to [RetailMarketTesting@ercot.com](mailto:RetailMarketTesting@ercot.com) from the Authorized Representative or Backup Authorized Representative

New TDSP

* Apply for and receive a Dun and Bradstreet number (DUNS)
* Submit the appropriate registration form to ERCOT
* Submit a completed or updated Testing Worksheet online. Trading Partners are required to document specific details of any manually assisted processes in the Testing Worksheet
* Send an “Intent to Test” email to participate in the next test flight to [RetailMarketTesting@ercot.com](mailto:RetailMarketTesting@ercot.com) from the Authorized Representative or Backup Authorized Representative
* Work with Client Services on next steps to entering the Texas Electric Choice Market.

NOIE

Non-Opt-In Entities (NOIE) who plan to submit their usage to ERCOT via NAESB will be required to test in one of ERCOT’s test flights in order to do so.

* Submit a completed or updated Testing Worksheet online. Trading Partners are required to document specific details of any manually assisted processes in the Testing Worksheet
* Send an “Intent to Test” email to participate in the next test flight to [RetailMarketTesting@ercot.com](mailto:RetailMarketTesting@ercot.com) from the Authorized Representative or Backup Authorized Representative

**Standards**

* MPs participating in the Texas Electric Choice Market must use Texas Standard Electronic Transactions (SET)/ANSI X12 EDI which will be transported using NAESB EDM. For more information on those standards refer to the Texas SET Implementation Guides and the Texas Data Transport Working Group (TDTWG) NAESB EDM v1.6 Implementation Guide for retail operations.
* MPs cannot refuse to test the basic processes necessary to ensure that the central retail systems operated by ERCOT are functioning properly, and that the retail systems operated by the MPs interface properly with both ERCOT’s systems and other MPs’ systems. MPs may elect to not participate in testing optional processes as identified in this document but will inform their trading partners (TPs) and the Market Flight Administrator in advance. Automated internal processes are required when testing. Any areas that require manually assisted processes shall be documented in advance in the Testing Worksheet and communicated to testing partners at the beginning of the testing cycle.
* All entities participating in ERCOT’s certification testingwill use dedicated test environments that are representative of their production environments.
* All parties shall send Functional Acknowledgements (FA/997) for all EDI transactions during testing. Functional Acknowledgements provide a critical audit trail, and all parties shall monitor acknowledgements sent and received.

1. **Flight Responsibilities**

Responsibilities specific to testing and validating Market Participant’s systems and processes are contained in this section. The following responsibilities shall be met before a Market Participant receives certification that its systems are ready to go into production with its trading partners.

### Flight Breakdown

### Prior to Testing

### Competitive Retailer

* Implement a dedicated test system that closely resembles production. Receive, review, and load the test ESI IDs and associated zip codes from TDSP.
* Review Testing FAQs (see Appendix B).

### TDSP

* Establish Test Bed of ESI IDs and zip codes; include enough ESI IDs to cover all required scripts for each of the CRs (See Appendix D).
* Provide ERCOT and CRs with all required Test Bed data.
* Review Testing FAQs prior to testing (see Appendix B).

### ERCOT

* Review Testing FAQs prior to testing (see Appendix B).

Receive, review, and load the test ESI IDs and associated zip codes from TDSP.

During Certification Testing (Occurs during Business Hours on a Retail Business Day)

### CR

* Establish technical connectivity with ERCOT and TDSP trading partner. Connectivity schedules are arranged by the dates stated in the Approved Test Flights document, located on the Retail Testing Website and ERCOT.com
* Participate in testing conference calls as designated by the Flight Administrator.
* Adhere to the established test schedule by sending transactions on the given day in accordance with the corresponding Test Script. If the CR cannot complete its assigned tasks, the CR will need to contact their ERCOT testing team representative and/or trading partner testing representative.
* Notify trading partner testing representative(s) when transactions are sent and received.
* MP shall contact the ERCOT testing team representative and/or trading partner testing representative in the event transactions are not received in accordance with the corresponding Test Script.
* Update status on the testing checklist.

### TDSP

* Establish technical connectivity with ERCOT and CR trading partners. Connectivity schedules are arranged by the dates stated in the Approved Test Flights document, located on the Retail Testing Website and ERCOT.com
* Participate in testing conference calls as designated by the Flight Administrator.
* Adhere to the established test schedule by sending transactions by the given day in accordance with the corresponding Test Script. If the TDSP cannot complete its assigned tasks, the TDSP will need to contact its ERCOT testing team representative and/or trading partner testing representative.
* Notify trading partners when you send and receive test transactions.
* Update status on the testing checklist.
* Contact its ERCOT testing team representative and/or trading partner testing representative in the event transactions are not received in accordance with the corresponding Test Script.

### ERCOT

* Establish technical connectivity with TDSP and CR trading partners. Connectivity schedules are arranged by the dates stated in the Approved Test Flights document, located on the Retail Testing Website and ERCOT.com
* Participate in testing conference calls as designated by the Flight Administrator.
* Adhere to the established test schedule.
* ERCOT testing team representative will contact the affected MPs in the event they are unable to send transactions in accordance with the corresponding Test Script.
* Notify the MPs when you send and receive transactions.
* ERCOT testing team representative will contact the affected MPs in the event they did not receive transactions in accordance with the corresponding Test Script.
* Update status on the testing checklist.

Production

### CR

* Trading partner agreements may not be required for a party to begin testing but will be required prior to moving into production. This will be determined by individual TDSP
* Receive certification letter from ERCOT.
* Continue to work with the PUCT, TDSPs, and ERCOT Client Services to complete any additional requirements prior to going into production.

### TDSP

* Receive certification letter from ERCOT.
* Continue to work with the PUCT, CRs, and ERCOT Client Services to complete any additional requirements prior to going into production.

### ERCOT

* Distribute certification letters.
* Assist MPs with production migration.

## **Flight Administrator Requirements**

The Flight Administrator will act as a neutral facilitator throughout the testing effort and is the final authority on all levels of Business Process Certification among trading partners, including the verification that a party has successfully passed testing and is eligible to go into production. At any time during flight testing, an MP that is not meeting testing expectations may be advised by the Flight Administrator to withdraw from the flight.

Primary duties for the Flight Administrator will be to:

* Follow escalation procedures set forth in the TMTP.
* Moderate testing and report on test status including progress and issues to ERCOT, Retail Market Subcommittee (RMS), Texas SET, other appropriate committees, and/or the PUCT.
* Verify testing eligibility of MPs with ERCOT.
* Ensure that the Market Participant’s Testing Worksheets are updated with the current testing contacts which are displayed on the Texas Retail Testing Website.
* Ensure TW is completed online by all testing MPs by signup deadline.
* Ensure that MPs participating in the Flight have completed all Requirements necessary prior to Testing, as found in Section 5.2.1 of this document.
* Develop a consolidated list of FAQs and post on the Texas Retail Testing Website.
* Attend Texas SET meetings or send appropriate representation.
* Review and provide input to Texas SET agenda prior to meetings.
* Assist in facilitation of Texas SET meetings.
* Assist Texas SET in developing a standard Test Plan for Point-to-Point and End-to-End business processes.
* Assist Texas SET in developing Test Scripts.
* Facilitate End-to-End testing between ERCOT and MPs and Point-to-Point business processes between trading partners.
* Facilitate flight conference calls as needed with MPs.
* Ensure MPs meet critical date deadlines and/or checkpoint success.
* Act as an issue resolution agent for technical and process issues between all MPs.
* Confirm that MPs have completed certification testing.
* Verify adherence to TX SET standards by all MPs and ERCOT.
* Maintain current flight testing status on the Texas Retail Testing website.
* Adhere to RMS approved flight tasks/timelines.

**Escalation Procedures**

Parties shall work through problems and issues first with their trading partners. If an MP cannot meet a critical date and/or checkpoint success, the Flight Administrator will hold an informal follow up call with the MP.  If the MP is still failing to meet a critical date and/or checkpoint success, the Flight Administrator will escalate the issue to the appropriate party, including the Executive Contact as listed on the Testing Worksheet (TW).

If ERCOT cannot meet a critical date and/or checkpoint success, MP shall contact the Texas SET Chair.  Texas SET Chair will complete a follow up call with Flight Administrator, and if ERCOT is still failing to meet a critical date and/or checkpoint success, Texas SET Chair will contact RMS Chair and appropriate ERCOT Senior Management.

If issues cannot be resolved in these forums, then parties are required to submit a Marketplace Issue form, found in Appendix C, to the Market Flight Administrator.  This form is used by the Flight Administrator to frame the issue for further clarification and mediation.

The Flight Administrator will hold the initial call on the issue and will report resolution to RMS or other appropriate committees.  When necessary, other parties will be engaged by the Flight Administrator to resolve the issue including TX SET transaction experts, Texas SET members, and others.  Details regarding the parties involved in the issue will remain confidential.

If resolution is not achieved, the issue will be escalated through appropriate ERCOT committees and to the ERCOT Board if required.  The PUCT will have the final authority on the issue.  The process is intended to resolve issues at the lowest possible level and in a fair and equitable manner for all MPs.

**Retail Testing Website**

* + The Flight Administrator maintains a Texas Retail Testing website (RTW) that details the current status of the testing process. The URL address for this website can be found in Appendix B.
  + This website includes:
    - Link to the Texas Market Test Plan (TMTP)
    - Test Scripts
    - Link to the Approved Texas Retail Market Test Flight Schedule Timelines
    - Updates on changes or special circumstances concerning Retail Market Flight Testing
    - Link to Texas SET page of the ERCOT website containing Texas SET meeting schedule
    - Testing contact lists (Compiled from contacts on TWs)
    - Frequently Asked Questions (FAQs) on the Testing Process
    - Testing Status - Each organization will be able to obtain a status of the testing process, including its own status. Information will be secured by organization.
    - Market Links
    - File Cabinet for significant testing materials
    - Testing Worksheet (TW)
  + **Testing Worksheet (TW)**
    - Each MP completes a Testing Worksheet (TW) online. This worksheet includes basic contact information, as well as specific testing communications information, required for effective testing The Testing Worksheet also contains production data. It also identifies processes that will be tested including optional functions that the MP will use in their business plan and which they plan to test.
    - The TW link can be found in Appendix A.
    - **Contacts**
    - Parties shall provide daily and emergency contact information for the test lead and the test lead alternate. Issue Resolution procedures require that an executive level contact also be provided.
    - At least one Business Contact shall be an employee of the Market Participant, not a vendor or service provider.
    - **Exceptions to the Test Plan**
    - Parties cannot arbitrarily require other parties to test certain features, scenarios or scripts, nor can they arbitrarily refuse to test certain features, scenarios or scripts. This Test Plan details full-testing requirements for MPs. There are legitimate scenarios where a party will not support a feature or scenario that is identified in a test script. In these cases, a party can claim an ‘exception to the Test Plan’. These exceptions shall be documented in the TW, and shall be approved by the Flight Administrator. The Flight Administrator will review exceptions on a case-by-case basis to determine the impact on the Marketplace. Parties that claim “approved” exceptions will not be required to test those features. Once approved, this information will be shared with trading partners.
    - **Manually-Assisted Processes**
    - Automated internal processes are required when testing. Any areas that require manually assisted processes shall be documented in advance in the Testing Worksheet and communicated to testing partners at the beginning of the testing cycle. ANSI X12-formatted files shall never be altered manually. This information will be documented in advance on the Testing Worksheet and shared with trading partners.

**Testing to Production Checklist**

Once testing has been completed the MP should access the Testing to Production Checklist located on the Texas Retail Market Testing page on ERCOT.com (<http://www.ercot.com/services/rq/lse/trt>)

ERCOT and TDSPs are responsible for reviewing and updating the Testing to Production Checklists annually. Any updates should be sent to clientservices@ercot.com

1. **Flight Definitions, Requirements and Schedule**

Pursuant to PUCT rules, any entity intending to participate in the Texas Market must successfully certify their retail commercial applications through Texas Retail Market testing and maintain that certification in accordance with TX SET Version upgrades.

**Flight Schedule**

Text here

The following sections will address many of the scenarios an MP will have to test. The flight administrator will be the final authority to determine an MP’s ability to test and which testing period will apply.

**In-Flight Period**

MPs are required to test the following enhancements during the “In-Flight” period of approved market Flight Schedule.

**New Market Participant**

All new MPs shall certify their retail commercial applications during the “In-Flight” period of a scheduled market test flight.

**TEXAS SET Implementation Guide Changes**

All market participants, including ERCOT, shall complete required certification through Texas Retail Market testing as defined by Texas SET when a new TX SET/ANSI X12 EDI Version Release is approved by the Market.

**New Service Territory/ New Trading Partnership**

All new trading partnerships shall go through the “In-Flight” testing process as prescribed in the TMTP during a scheduled market test flight.

**Market Participant Changes to a Non-Established Service Provider**

A Market Participant who has successfully completed testing in the Texas Marketplace with the current TX SET version may choose to move from their Market Interface Service Provider to another Market Interface Service Provider. If the new Market Interface Service Provider has not successfully completed certification testing for another Market Participant in the service territory in question this “Non-Established Service Provider” is required to execute tests during a scheduled market test flight. Market Interface Service Provider is a term used to refer to an MP’s internal organization or an outsourced company that provides both connectivity and translation services for an MP.

An MP that chooses to use a Market Interface Service Provider that has not successfully completed certification testing is required to contact the Market Flight Administrator to determine what tests they are responsible for executing during the next scheduled market test flight.

An MP may not switch to a Non-Established Market Interface Service Provider as an “Emergency”. A switch to a Non-Established Market Interface Service Provider by an MP is not considered “Ad Hoc Testing” and does require full Texas Retail Market testing.

**Ad Hoc Period**

“Ad Hoc Testing” allows current MPs to test minor enhancements to their systems or processes that do not impose undue risk to the Market. This Ad Hoc testing can be performed either during the “In-Flight” or Ad Hoc period per the approved flight schedule. These guidelines address, but are not limited to, the following systems or process enhancements that could be considered applicable for “Ad Hoc Testing”.

**Current Market Participant adds a New Additional DUNS by Certified REP**

A Market Participant who is certified in the Texas Marketplace with the current TX SET version determines that they need to establish a new Additional DUNS by Certified REP (DUNS or DUNS + 4) under that MP’s existing umbrella. In this instance the certified Market Participant in a specific service territory is simply adding a new trade name and DUNS number that will be utilizing the same Load Serving Entity (“LSE”), same banking relationships, same back-end systems, same TDSP territories, same functionality, and the same Established EDI Provider. If any of these criteria differ from the original DUNS, the CR will need to test during the flight and use the New CR track.

**Current Market Participant Changes to an “Established” Service Provider**

A Market Participant who has successfully completed testing in the Texas Marketplace with the current TX SET version determines that they need to change their Market Interface Service Provider to another Market Interface Service Provider that is currently serving another Market Participant in a specified service territory or to an “Established Service Provider.”

If they choose to use a Service Provider that has not successfully completed certification testing for another Market Participant in the service territory in question or a “Non-Established Service Provider” they will be required to complete In-Flight-Testing. MPs cannot test with two different Service Providers in the same flight. If a MP chooses to test for a change of Service Provider during a TX SET Version Release, that MP must use that same Service Provider in production.

**Bank Changes**

Trading partners shall be notified when changes occur with the banking institutions they use. The changes may be caused by any number of reasons including bank mergers or upgrades to newer releases of ANSI standards. These changes may result in new routing codes, account numbers, format changes to the remittance advice or other changes that would affect one party’s ability to deliver and/or reconcile invoices and payments. When such changes occur, it the responsibility of the party whose bank made the change to initiate testing with their trading partners.

**Change of Service Provider**

Service Provider is a term used to refer to an MP’s internal organization or an outsourced company that provides both connectivity and translation services for an MP. MPs are required to test a Service Provider change during a Test Flight.

**Additional Functionality**

* + Continuous Service Agreement (CSA)

**System Change**

During the normal course of Marketplace operations, companies will need to make changes to their systems, including connectivity systems, translation systems, and other back-end systems including billing, metering, customer information, etc. Once a party has qualified and is in production in the Marketplace, changes to systems can have a significant impact on trading partners and the Marketplace.

System Change Assumptions:

* An MP shall do sufficient internal testing, including regression testing, to minimize the impact of changes on its TPs.
* An MP shall communicate to its TPs clearly and early regarding changes to systems. This includes advance notice of the change and planned implementation date.
* An MP shall identify a ‘back-out’ strategy where appropriate in case problems as a result of changes cannot be resolved quickly.
* While many changes to systems will be intentional and planned, there are emergency scenarios, such as a system failure, where advanced planning and notice are not possible.

System Change Categories

Connectivity System Changes and/or Updates

Connectivity is defined as the systems used to send and/or receive files to/from your trading partners. These include NAESB EDM for CR/TDSP/ERCOT communications as well as changes in security keys, and DUNS numbers.

Connectivity Change Checklist

1. Communicate the planned changes of communication systems to the Market Participant testing contact listed in the Testing Worksheet (TW) on the website, in accordance with sign-up for an approved Texas Retail Market testing.
2. Send new Testing Worksheet (TW) and new Trading Partner Agreements to TPs where necessary, including changes to DUNS, IP address, name change, or any other change to the information on the Testing Worksheet (TW).
3. Complete the change during the approved In-Flight Texas Retail Market testing or in accordance with the Out-of-Flight Texas Retail Market testing requirements set forth above and schedule migration date with each trading partner. If connectivity is the only change for that trading partner the migration date is not dependent upon the end of the Texas Retail Market testing.

Major changes to communication protocols may require more rigorous testing. Specific requirements for testing these changes will be defined within the specifications for the new communication protocol.

Translator System Changes and/or Updates

Translators or systems used to perform the data transformation that create EDI ANSI X12 files may be changed or require upgrades. These changes pose significant risks to individual participants and the marketplace as a whole. All participants in the market shall therefore address these changes with a clear understanding that;

* ERCOT and market participants shall take responsibility for any changes they make in their data transformation system(s) and test with trading partners when they perceive a risk.
* ERCOT and market participants shall do internal testing to help minimize the risk to the market.
* Best practices include regression testing of translator changes using historical data.

Back-end System Changes and/or Updates

A company’s “back-end system” is defined as any part of an MP system that exists behind the connectivity protocol (NAESB, FTP, HTTPS, etc.) and the Market Interface Service Provider. Once the data passes through the communication interface and the Market Interface Service Provider, the data enters the back-end system. Because each MP's back-end system architecture is different, back-end systems could include, but are not limited to the business process management system, billing system, or the data management system (database).

ERCOT and other MPs are required to take responsibility for any changes they make in their back-end system(s) and, if a potential risk is perceived, shall test with trading partners to minimize that risk. MPs shall follow change management best practices, including extensive internal testing, regression testing on historical data, etc.

ERCOT and MPs are not required to test when changes are made to their back-end system(s). As part of the company’s internal testing procedures, they may request to test with all, some, or none of their trading partners; however, it is considered good business practice for MPs and ERCOT to communicate any changes, replacements, and/or upgrades to their trading partners.

**Other testing requirements**

Non Opt In Entity

NOIE (Non Opt In Entity) Testing is different from normal Flight Testing. It uses a script spreadsheet in place of the RTW for tracking script progress. NOIEs are not bound to the Flight Schedules, but must test between Blackout Periods. The Flight Administrator is the final authority on testing availability and timelines. NOIEs will test submitting usage through NAESB. NOIE testing will include the following

* Connectivity Testing
* Spring and Fall DST
* Overlaps
* Cancels and Rebills

5. Appendices

## **Appendix A - Testing Worksheet**

The Testing Worksheet can be found online at:

<https://etod.ercot.com/tw/TestingWorksheetOverview.asp>

## **Appendix B - Resources**

The Texas Retail Testing website (RTW) can be found online at:

<https://etod.ercot.com/>

The TX SET Implementation Guidelines, Transaction Names and Swimlane Diagrams can be found online at:

<http://www.ercot.com/mktrules/guides/txset/index.html>

Protocols can be found at:

<http://www.ercot.com/mktrules/nprotocols/>

ERCOT Registration information can be found at:

<http://www.ercot.com/services/rq/index.html>

The Master Flight Calendar can be found online at:

<https://etod.ercot.com/DailyAgenda.asp?Method=E2E>

The FAQ spreadsheet provides questions and answers relating to Retail Testing and it can be found online at:

<https://etod.ercot.com/FAQs.xls>

**Appendix C - Marketplace Issue Resolution Form**

|  |  |
| --- | --- |
| Issue Title: | |
| Date Identified: |  |
| Date Submitted: | Submitted by: |
| Parties Affected by Issue: | |

|  |
| --- |
| **Position 1** |
| Parties supporting Position 1: |
| Position 1 Summary of Supporting Logic (include any legislation, standards, etc.) |
| Position 1 Recommendations: |
| **Position 2** |
| Parties supporting Position 2: |
| Position 2 Summary of Supporting Logic (include any legislation, standards, etc.) |
| Position 2 Recommendations: |
| **Flight Administrator Position** |
| Comments: |
| Recommendation: |
| Status: |

## **Appendix D - Texas Retail Market Test Bed Load Form**

The Texas Retail Market Test Bed Load form can be found online (login required) at:

<https://etod.ercot.com/FileCabinet.asp>

## **Appendix E - Testing Requirements Matrix**

The Testing Requirements Matrix can be found online (login required) at:

<https://etod.ercot.com/FileCabinet.asp>

## **Appendix F – Glossary of Terms & Acronyms Used in this Document not defined in Section 2 of the ERCOT Protocols**

* Additional DUNS by Certified REP – determined by a Market Participant who is certified in the Texas Marketplace with the current TX SET version; involves adding a new trade name and DUNS Number for a Market Participant in a specific service territory.
* Existing Market Participant, Existing CR, and Current Market Participant - for use in the TMTP is defined as an MP that has successfully completed a previous flight test for the current TX SET release and has not terminated their relationship with ERCOT.

New Market Participant or New CR for use in the TMTP is defined as a MP that has not successfully completed a previous flight test for the current TX SET release or has terminated their relationship with ERCOT.

* ANSI X12 - The American National Standards Institute X12 standard relates to shared ways of defining formats and procedures for exchanging documents.
* EDI Provider - used for testing purposes by a Market Participant who is certified in the Texas Marketplace with the current TX SET version.
* Established Service Provider - an organization or company that provides both connectivity and translation services to another Market Participant in the same service territory and that has successfully tested in the Marketplace provided they tested using the current TX SET version.
* Market Interface Service Provider - refers to a Market Participant’s internal organization or an outsourced company that provides both connectivity and translation services for an MP.
* NAESB EDM – North American Energy Standards Board Electronic Delivery Mechanism
* Non-Established Market Interface Service Provider - refers to a Market Participant’s internal organization or an outsourced company that provides both connectivity and translation services for an MP that has not successfully completed certification testing for another Market Participant in the service territory in question.
* Specified Ad Hoc Testing – refers to “emergency” testing to institute a particular change to a Market Participant’s systems or processes; these changes cannot impose undue risk to the Market.
* Trading Partner - TP – Companies which exchange EDI documents

## **Appendix G – Approved Test Flights Schedule**

The schedule for Approved Test Flights can be found online at:

<https://etod.ercot.com/>

## NEED TO ADD TO DOC

* **Purpose and Scope**
  + **Testing Guidelines**

Pursuant to PUCT rules, any entity intending to participate in the Texas Market must successfully certify their retail commercial applications through Texas Retail Market testing and maintain that certification in accordance with TX SET Version upgrades. Market Testing can be categorized as three types: In-Flight, Adhoc testing, and Emergency Changes. In-Flight Texas Retail Market testing and Adhoc Testing consist of market approved scheduled Texas Retail Market testing. There are a defined number of test flights and adhoc periods adopted by Texas SET and approved each year by the Retail Market Subcommittee, as directed by the PUCT. Adhoc Flight Texas Retail Market testing is considered only for those changes for an existing CR listed under Adhoc Testing.

**Emergency Out-of-Flight Changes**

There are a number of scenarios that may dictate emergency action to resolve production problems. Emergency Out-of-Flight Change testing guidelines address situations like:

 System failures, disaster recovery, and/or business resumption plan execution.

 Failure of internal or subcontracted entities - There are a number of situations that may require a party to quickly replace an entity because of production failures.

* The party requesting the Out-of-Flight Texas Retail Market testing has the final discretion on what constitutes a failure providing they choose to use a Market Interface Service Provider that has successfully completed certification testing with another Market Participant in the specified service territory.
* If the MP chooses to use a Market Interface Service Provider that has not successfully completed certification testing for another Market Participant in the service territory in question, the MP will be directed to enter the next scheduled Flight Test.

 Current bank used by Market Participant goes out of business.

If a Market Participant encounters a situation that can be categorized by one of the above-mentioned scenarios, their request for testing shall be made as outlined in the Timing Guidelines.

##### Emergency Change Testing Checklist

* 1. Provide new Testing Worksheets (TW) to all trading partners (as required by test flight).
  2. Complete the Connectivity Test Scripts as defined by Texas SET.
  3. Complete the Penny Test Script as defined by Texas SET.
  4. Complete the Basic Enrollment Script(s) as defined by Texas SET, at the discretion of the Market Flight Administrator.

Emergency changes considered for Out–of-Flight Texas Retail Market testing do not include market-wide emergency changes that may occur due to a PUCT Ruling.

**Definitions**

Market Interface Service Provider is a term used to refer to an MP’s internal organization or an outsourced company that provides both connectivity and translation services for an MP. An “Established Service Provider” is defined as an organization or company that provides both connectivity and translation services to another Market Participant in the same service territory and that has successfully tested in the Marketplace provided they tested using the current TX SET version. This includes changes to internal organizations, external subcontractors, and/or external companies and service providers. Refer to as Service Provider.

‘Service Provider’ is a vague term that can refer to many different types of entities used by MPs in the Marketplace. These could include connectivity, translation, testing, billing, metering, etc.

‘Translator systems’ include any hardware, software, and system configuration used to create the ANSI X12-compliant files sent to TPs. It does not include mapping.

 ‘Connectivity systems’ include any hardware, software and system configuration (excluding URL) used to deliver files to and from a TP. It includes the NAESB-based electronic delivery mechanisms (EDM).

 Market Interface Service Provider is a term used to refer to an MP’s internal organization or an outsourced company that provides both connectivity and translation services for an MP.