**Texas Market Test Plan**

**October 1, 2015**

Texas Market Test Plan

[1 OVERVIEW 3](#_Toc433195564)

[**1.1** **Certification Plan** 3](#_Toc433195565)

[2 PRE-FLIGHT ACTIVITIES 4](#_Toc433195566)

[3 Standards 6](#_Toc433195567)

[4 Flight Responsibilities 6](#_Toc433195568)

[*4.1.1*  *Prior to Testing* 6](#_Toc433195569)

[*4.1.2* *During ERCOT’s Technical Certification Testing (Occurs during Business Hours on a Retail Business Day)* 7](#_Toc433195570)

[*4.1.3* *Production* 8](#_Toc433195571)

[5 Flight Administrator Requirements 9](#_Toc433195572)

[6 Escalation Procedures 10](#_Toc433195573)

[7 Retail Testing Website 10](#_Toc433195574)

[7.1 Testing Worksheet 11](#_Toc433195575)

[*7.1.1* *Contacts* 11](#_Toc433195576)

[*7.1.2* *Exceptions to the Test Plan* 12](#_Toc433195577)

[*7.1.3* *Manually-Assisted Processes* 12](#_Toc433195578)

[7.2 Testing to Production Checklist 12](#_Toc433195579)

[8 Flight Definitions, Requirements and Schedule 12](#_Toc433195580)

[8.1 Flight Schedule 12](#_Toc433195581)

[8.2 In-Flight Period 13](#_Toc433195582)

[*8.2.1* *New Market Participant* 13](#_Toc433195583)

[*8.2.2*  *Retail Market Subcommittee (RMS) Approved Market Enhancements* 13](#_Toc433195584)

[*8.2.3* *New Service Territory/ New Trading Partnership* 13](#_Toc433195585)

[*8.2.4* *Market Participant Changes to a Non-Established Market Interface Service Provider* 13](#_Toc433195586)

[8.3 Ad Hoc Period 14](#_Toc433195587)

[*8.3.1* *Current Market Participant adds a new additional Data Universal Numbering System (DUNS) Number by certified Retail Electric Provider (REP)* 14](#_Toc433195588)

[*8.3.2* *New Service Territory/ New Trading Partnership* 14](#_Toc433195589)

[*8.3.3* *Current Market Participant Changes to an “Established” Market Interface Service Provider* 14](#_Toc433195590)

[*8.3.4* *Bank Changes* 14](#_Toc433195591)

[*8.3.5* *Additional Functionality* 15](#_Toc433195603)

[8.4 System Change 15](#_Toc433195604)

[8.5 Emergency or Out-of-Flight Changes 15](#_Toc433195605)

[8.6 Other testing requirements 16](#_Toc433195606)

[9 Appendices 16](#_Toc433195607)

[Appendix A - Testing Worksheet 16](#_Toc433195608)

[Appendix B - Resources 16](#_Toc433195609)

[Appendix D - Texas Retail Market Test Bed Load Form 17](#_Toc433195610)

[Appendix E - Testing Requirements Matrix 17](#_Toc433195611)

[Appendix F – Glossary of Terms & Acronyms Used in this Document not defined in Section 2 of the ERCOT Protocols 17](#_Toc433195612)

[Appendix G – Approved Test Flights Schedule 18](#_Toc433195613)

#  OVERVIEW

## **Certification Plan**

1. 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 and Point-to-Point testing between Market Participants. The Texas Market Test Plan (TMTP) applies to Market Participants doing business in the Texas Electric Choice Market.
2. The TMTP addresses the following:

(a) Flight Requirements for Market Participants and ERCOT

(b) Flight Administrator and Success Criteria

(c) Flight Guidelines

(d) Flight Details and Phases

(e) Testing Scenarios for Certification in the Texas Market

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

(a) Protocol Section 15, Customer Registration.

(b) Protocol Section 16, Registration and Qualification of Market Participants.

(c) Protocol Section 19, Texas Standard Electronic Transaction.

1. Entities are obligated to comply with the TMTP.  In the event of a conflict between the TMTP and the ERCOT Protocols or Public Utility Commission of Texas (PUCT) Substantive Rules, the ERCOT Protocols and PUCT Substantive Rules take precedence over the TMTP.
2. Each Market Participant 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.
3. Additional certification requirements that fall outside the scope of this document may be specified by the PUCT and/or ERCOT.
	1. **Texas Market Test Plan Revision**
4. The Texas Standard Electronic Transaction (Texas SET) Working Group is responsible for maintaining and updating the information in this document, the Texas Market Test Plan (TMTP), as defined in Protocol Section 19.8, Retail Market Testing. Revisions. Changes to the TMTP shall be reviewed by the Texas SET Working Group and approved by the Retail Market Subcommittee (RMS).

#  PRE-FLIGHT ACTIVITIES

1. The following pre-flight activities shall be met before a Market Participant enters flight certification:
2. New Competitive Retailers (CRs):
3. Apply for and receive a Data Universal Numbering System (DUNS) Number;
4. Submit the appropriate registration form to ERCOT and application fee;
5. 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) (PUCT)
6. Submit the Testing Worksheet found on the [ERCOT Retail Testing Website](http://etod.ercot.com);
7. Send an “Intent to Test” email to participate in the next test flight to RetailMarketTesting@ercot.com from the Authorized Representative or Backup Authorized Representative; and
8. Work with Client Services on next steps to entering the Texas Electric Choice Market.
9. Existing CRs and Transmission and/or Distribution Service Providers (TDSPs):
10. Send an “Intent to Test” email to participate in the next test flight to RetailMarketTesting@ercot.com from the Authorized Representative or Backup Authorized Representative; and
11. 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.
12. CRs Adding a DUNS +4:
13. 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;
14. If registering as a REP, apply for REP certification with the [PUCT](http://www.puc.state.tx.us/industry/electric/business/rep/Rep.aspx);
15. 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; and
16. Send an “Intent to Test” email to participate in the next test flight to RetailMarketTesting@ercot.com from the Authorized Representative or Backup Authorized Representative.
17. New TDSP:
18. Apply for and receive a DUNS Number;
19. Submit the appropriate registration form to ERCOT;
20. 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;
21. Send an “Intent to Test” email to participate in the next test flight to RetailMarketTesting@ercot.com from the Authorized Representative or Backup Authorized Representative; and
22. Work with Client Services on next steps to entering the Texas Electric Choice Market.
23. Non-Opt-In Entity (NOIE):
24. NOIEs who plan to submit their usage to ERCOT via North American Energy Standards Board (NAESB) will be required to test in one of ERCOT’s test flights in order to do so;
25. Send an “Intent to Test” email to participate in the next test flight to RetailMarketTesting@ercot.com from the Authorized Representative or Backup Authorized Representative; and
26. 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.

#  Standards

1. Market Participants participating in the Texas Electric Choice Market must use Texas Standard Electronic Transactions (TX SETs)/ the American National Standards Institute X12 (ANSI X12) Electronic Data Interchange (EDI) which will be transported using the North American Energy Standards Board (NAESB) Electronic Delivery Mechanism (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.
2. Market Participants 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 Market Participants interface properly with both ERCOT’s systems and other Market Participants’ systems. Market Participants may elect to not participate in testing optional processes as identified in this document but will inform their trading partners 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.
3. All entities participating in ERCOT’s technical certification testing will use dedicated test environments that are representative of their production environments.
4. 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.

#  Flight Responsibilities

1. Responsibilities specific to testing and validating Market Participants’ 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.

**4.1 Flight Breakdown**

### *4.1.1 Prior to Testing*

1. Prior to testing, Competitive Retailers (CRs) shall:
2. Implement a dedicated test system that closely resembles production. Receive, review, and load the test Electric Service Identifiers (ESI IDs) and associated zip codes from Transmission and/or Distribution Service Provider (TDSP); and
3. Review Testing FAQs (see Appendix B, Resources).
4. Prior to testing, TDSPs shall:
5. Establish Test Bed of Electric Service Identifiers (ESI IDs) and zip codes; includes enough ESI IDs to cover all required scripts for each of the CRs (See Appendix D, Texas Retail Market Test Bed Load Form);
6. Provide ERCOT and CRs with all required Test Bed data; and
7. Review Testing FAQs prior to testing (see Appendix B).
8. Prior to testing, ERCOT shall:
9. Review Testing FAQs prior to testing (see Appendix B); and
10. Receive, review, and load the test ESI IDs and associated zip codes from TDSP.

### *4.1.2 During ERCOT’s Technical Certification Testing (Occurs during Business Hours on a Retail Business Day)*

1. During certification testing, CRs shall
2. 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;
3. Participate in testing conference calls as designated by the Flight Administrator;
4. 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;
5. Notify trading partner testing representative(s) when transactions are sent and received;
6. Market Participant 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; and
7. Update status on the testing checklist.
8. During ERCOT’s technical certification testing, TDSPs shall:
9. 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;
10. Participate in testing conference calls as designated by the Flight Administrator;
11. 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;
12. Notify trading partners when you send and receive test transactions;
13. Update status on the testing checklist; and
14. 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.
15. During ERCOT’s technical certification testing, ERCOT shall:
16. 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;
17. Participate in testing conference calls as designated by the Flight Administrator;
18. Adhere to the established test schedule;
19. ERCOT testing team representative will contact the affected Market Participants in the event they are unable to send transactions in accordance with the corresponding Test Script;
20. Notify the Market Participants when you send and receive transactions;
21. ERCOT testing team representative will contact the affected Market Participants in the event they did not receive transactions in accordance with the corresponding Test Script; and
22. Update status on the testing checklist.

### *4.1.3 Production*

1. During production, CRs shall:
2. Complete all trading partner agreements required prior to moving into production. This will be determined by the individual TDSP.
3. Receive certification letter from ERCOT.
4. Continue to work with the PUCT, TDSPs, and ERCOT Client Services to complete any additional requirements prior to going into production.
5. During production, TDSPs shall:
6. Receive certification letter from ERCOT; and
7. Continue to work with the Public Utility Commission of Texas (PUCT), CRs, and ERCOT Client Services to complete any additional requirements prior to going into production.
8. During production, ERCOT shall:
9. Distribute certification letter; and
10. Assist Market Participants with production migration.

#  Flight Administrator Requirements

1. 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, a Market Participant that is not meeting testing expectations may be advised by the Flight Administrator to withdraw from the flight.
2. Primary duties for the Flight Administrator will be to:
3. Follow escalation procedures set forth in the Texas Market Test Plan (TMTP);
4. Moderate testing and report on test status including progress and issues to ERCOT, Retail Market Subcommittee (RMS), Texas Standard Electronic Transaction (Texas SET) Working Group, other appropriate subcommittees as needed, and/or the Public Utility Commission of Texas (PUCT) as needed;
5. Verify testing eligibility of Market Participants with ERCOT;
6. Ensure that the Market Participant’s Testing Worksheets are updated with the current testing contacts which are displayed on the Texas Retail Testing Website;
7. Ensure the Testing Worksheet is completed online by all testing Market Participants by signup deadline;
8. Ensure that Market Participants participating in the Flight have completed all requirements necessary prior to Testing, as found in Section 4.1.1 of this document;
9. Develop a consolidated list of FAQs and post on the Texas Retail Testing Website;
10. Attend Texas SET Working Group meetings or send appropriate representation;
11. Review and provide input to Texas SET Working Group agenda prior to meetings;
12. Assist in facilitation of Texas SET Working Group meetings;
13. Assist Texas SET Working Group in developing a standard Test Plan for point-to-point and end-to-end business processes;
14. Assist Texas SET Working Group in developing Test Scripts;
15. Facilitate end-to-end testing between ERCOT and Market Participants and point-to-point business processes between trading partners;
16. Facilitate flight conference calls as needed with Market Participants;
17. Ensure Market Participants meet critical date deadlines and/or checkpoint success;
18. Act as an issue resolution agent for technical and process issues between all Market Participants;
19. Confirm that Market Participants have completed ERCOT’s technical certification testing;
20. Verify adherence to TX SET standards by all Market Participants and ERCOT;
21. Maintain current flight testing status on the Texas Retail Testing website; and
22. Adhere to the RMS approved flight tasks/timelines.

#  Escalation Procedures

1. Market Participants shall attempt to work through any issues with their Trading Partners. The Flight Administrator may be contacted to assist in resolution of the issue if the Market Participants are unable to resolve their issues. If a resolution cannot be found, the Flight Administrator will determine if the Market Participants should retest in a subsequent flight. In the event the Market Participants is being unresponsive, the Flight Administrator will contact the Executive Contact as listed on the Testing Worksheet. If resolution is not achieved, the issue will be escalated through appropriate Technical Advisory Committee (TAC) subcommittee.
2. If ERCOT has a testing issue, the Texas Standard Electronic Transaction (Texas SET) Working Group leadership may be contacted to assist in resolution. Texas SET leadership may contact the Retail Market Subcommittee (RMS) leadership and ERCOT senior management if appropriate.

#  Retail Testing Website

1. The Flight Administrator maintains a Texas Retail Testing website that details the current status of the testing process. The URL address for this website can be found in Appendix B, Resources.
2. This website includes:
3. Link to the Texas Market Test Plan (TMTP);
4. Test Scripts;
5. Link to the Approved Texas Retail Market Test Flight Schedule Timelines;
6. Updates on changes or special circumstances concerning Retail Market Flight Testing;
7. Link to Texas Standard Electronic Transaction (Texas SET) Working Group page of the ERCOT website containing Texas SET Working Group meeting schedule;
8. Testing contact lists (Compiled from contacts on Testing Worksheets);
9. Frequently Asked Questions (FAQs) on the Testing Process;
10. 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;
11. Market Links;
12. File Cabinet for significant testing materials; and
13. Testing Worksheet.
	1. Testing Worksheet
14. Each Market Participant completes a Testing Worksheet 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 Market Participant will use in their business plan and which they plan to test.
15. The Testing Worksheet link can be found in Appendix A, Testing Worksheet.

### *7.1.1 Contacts*

1. 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.
2. At least one Business Contact shall be an employee of the Market Participant, not a vendor or Market Interface Service Provider.

### *7.1.2 Exceptions to the Test Plan*

1. 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 Market Participants. 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 Testing Worksheet, 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.

### *7.1.3 Manually-Assisted Processes*

1. 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. The American National Standards Institute X12 (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.
	1. Testing to Production Checklist
2. Once testing has been completed, the Market Participant 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>)
3. ERCOT and Transmission and/or Distribution Service Providers (TDSPs) are responsible for reviewing and updating the Testing to Production Checklists annually. Any updates should be sent to clientservices@ercot.com.

#  Flight Definitions, Requirements and Schedule

1. Pursuant to Public Utility Commission of Texas (PUCT) rules, any entity intending to participate in the Texas Electric Choice Market must successfully certify their retail commercial applications through Texas Retail Market testing and maintain that certification in accordance with Texas Standard Electronic Transaction (TX SET) version upgrades.
	1. Flight Schedule
2. The Texas Standard Electronic Transaction (Texas SET) Working Group will draft a Flight Schedule to be recommended for approval at the Retail Market Subcommittee (RMS). The Flight Schedule will inform Market Participants of the dates and tasks for each Flight. The approved Flight Schedule is posted to the ERCOT Website and may also be found in Appendix B, Resources, of this document.
	1. In-Flight Period
3. Market Participants are required to test the following enhancements during the “In-Flight” period of approved market Flight Schedule.

### *8.2.1 New Market Participant*

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

### *8.2.2 Retail Market Subcommittee (RMS) Approved Market Enhancements*

1. All Market Participants, including ERCOT, shall complete required certification through Texas Retail Market testing including, but not limited to:
2. Retail Market Guide Changes;
3. Texas Standard Electronic Transaction(Texas SET) Working Group Enhancements;
4. Public Utility Commission of Texas (PUCT) Rule Makings; and
5. Market-wide Software Upgrades.

### *8.2.3 New Service Territory/ New Trading Partnership*

(1) All new Municipally Owned Utility (MOU)/Electric Cooperative (EC) Transmission and/or Distribution Service Providers (TDSP) trading partnerships shall go through the “In-Flight” testing process as prescribed in the Texas Market Test Plan (TMTP) during a scheduled market test flight.

### *8.2.4 Market Participant Changes to a Non-Established Market Interface Service Provider*

1. A Market Participant that chooses to change to a new Market Interface Service Provider (MISP) that has not successfully completed ERCOT’s technical certification testing for another Market Participant in the service territory in question is considered a “Non-Established Service Provider”.
2. A Market Participant 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 a Market Participant is not considered for “Ad Hoc Testing” and does require full Texas Retail Market testing. This Market Participant is required to execute tests during an “In-flight” market test flight.
	1. Ad Hoc Period
3. “Ad Hoc Testing” allows current Market Participants 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”.

### *8.3.1 Current Market Participant adds a new additional Data Universal Numbering System (DUNS) Number by certified Retail Electric Provider (REP)*

(1) A Market Participant who has completed ERCOT’s technical certification testing in the Texas Marketplace with the current Texas Standard Electronic Transaction (TX SET) version determines that they need to establish a new additional DUNS by certified REP (DUNS or DUNS + 4) under that Market Participant’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 Transmission and/or Distribution Service Provider (TDSP) territories, same functionality, and the same Established EDI Provider. If any of these criteria differ from the original DUNS, the Competitive Retailer (CR) will need to test during the “In-flight” period and use the New CR track.

### *8.3.2 New Service Territory/ New Trading Partnership*

(1) A Current Market Participant who has completed ERCOT’s technical certification testing in the Texas Marketplace with the current Texas Standard Electronic Transaction (TX SET) version is adding an Investor Owned Utility (IOU) TDSP trading partnership.

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

(1) A Market Participant who has completed testing certification 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.”

(2) Market Participants cannot test with two different Service Providers in the same flight. If a Market Participant chooses to test for a change of Service Provider during a TX SET Version Release, that Market Participant must use that same Service Provider in production.

### *8.3.4 Bank Changes*

1. 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 American National Standards Institute (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 is the responsibility of the party whose bank made the change to initiate testing with their trading partners during either Ad-Hoc or “in-Flight” periods.
2.
3.
4.
5.
6.
7.
8.
9. 1.
	2.
	3.

### *8.3.5 Additional Functionality*

1. Market Participants may test additional functionality that could include the following:
	1. Continuous Service Agreement (CSA)
	2. Public Utility Commission of Texas (PUCT) Option Changes
	3. System Change
2. In the event Market Participants need to make changes to their market-facing systems used for connectivity, translation, and other back-end processes, testing may be required in either the “In-Flight” or Ad-hoc period. It is considered good business practice for Market Participants and ERCOT to perform internal testing to help minimize the risk to the market and communicate any changes to their trading partners as defined in the Commercial Operations Market Guide, Appendix A, Market Notice Communication Process. Any market-facing system changes may require updates to the affected Market Participant’s Testing Worksheet.
3. Connectivity System Changes and/or Updates- Changes to market-facing systems used to send/receive files to/from trading partners including North American Energy Standards Board (NAESB) Electronic Delivery Mechanism (EDM) communications and changes to security keys will require testing in either the “In-Flight” or Ad-hoc period.
4. Translator System Changes and/or Updates- When translators or data transformation systems that create EDI ANSI X12 files are changed or upgraded, testing may be required in either the “In-Flight” or Ad-hoc period.
5. Back-end System Changes and/or Updates- ERCOT and Market Participants are not required to test when changes are made to their back-end system(s). A Market Participant may request to test with all, some, or none of their trading partners during “In-Flight” or Ad-hoc periods.
	1. Emergency or Out-of-Flight Changes
6. There are a number of scenarios that may dictate emergency action to resolve production problems. Emergency or Out-of-Flight Change testing guidelines address situations like:
7. System failures;
8. Disaster recovery;
9. Business resumption plan execution;
10. Failure of internal or subcontracted entities; and

(i) If the Market Participant chooses to use a Market Interface Service Provider that has not successfully completed ERCOT’s technical certification testing for another Market Participant in the service territory in question, the Market Participant will be directed to enter the next scheduled Flight Test.

1. Current bank used by a Market Participant goes out of business.
	1. Other testing requirements
2. Non Opt-In Entity (NOIE)

NOIE Testing is different from normal Flight Testing. It uses a script spreadsheet in place of the Texas Retail Testing website 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 North American Energy Standards Board (NAESB). NOIE testing will include the following:

1. Connectivity testing;
2. Spring and Fall Daylight Savings Time (DST);
3. Usage overlaps; and
4. Cancels and rebills.

#  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 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.

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.

EDM- Electronic Delivery Mechanism

Established Market Interface 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.

Existing Market Participant, Existing CR, and Current Market Participant - for use in the TMTP is defined as a Market Participant that has successfully completed a previous flight test for the current TX SET release and has not terminated their relationship with ERCOT.

Market Interface Service Provider - refers to a Market Participant’s internal organization or an outsourced company that provides both connectivity and translation services for a Market Participant.

NAESB – North American Energy Standards Board

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

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 a Market Participant that has not successfully completed ERCOT’s technical certification testing for another Market Participant in the service territory in question.

TMTP- Texas Market Test Plan

Trading Partner- Companies which exchange EDI documents

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.

# Appendix G – Approved Test Flights Schedule

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

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