***Retail Market Continuity***

***8/18/16; 9/22/16***

***Assumptions:***

1. Once it is determined that ERCOT is experiencing an extended unplanned outage, Market Participants shall follow the processes outlined in Retail Market Guide Section 7.10, Extended Unplanned Outage.
   * Additional details for specific market processes will be communicated via Retail Market Conference Call and a checklist for market processes needed to maintain market continuity will be reviewed on the Conference Call. (Use RMG reference section in matrix below for help)
2. TDSPs operating under Non-Standard Tariff timelines for Move Ins & Move Outs:

*TDU Tariffs 6.1.3 – “Company shall complete performance of the service on the requested date, provided: (1) the requested date is a Business Day; (2) Company receives the order by 5:00 PM CPT on a Business Day; and (3) the order is received at least two Business Days prior to the requested date.*

*Company may treat an order received after 5:00 PM CPT on a Business Day, or on a day that is not a Business Day, as received by 5:00 PM CPT on the next Business Day. If the order is received by Company less than two Business Days prior to the requested date, Company shall complete performance of the service within two Business Days after the date the order is received.”*

1. Once the unplanned extended outage has concluded:

* ERCOT & MPs will need a period of ‘stabilization’ to ensure all parties are sync’d.
* Retail Market Call:
  + Expectation is for ERCOT to tell MPs how & when to send EDI transactions on Retail Market Conf Call.
  + ERCOT prefers to have transaction sent in sequential order (First-in, first-out “FIFO”)
  + ERCOT to provide transaction’s current status, and request MPs feedback on desired outcome for transactions ‘in review’ or ‘scheduled’ status.
  + TDSPs would queue 814 & 867 transactions for ERCOT and coordinate transactional staging efforts.

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| Not urgent but necessary: need to develop checklist outlining Retail Market Call procedures for different scenarios. | ***If only ERCOT is out, the document below is applied.***  ***If ERCOT + TDSP are impacted, what is the process?***  ***If ERCOT + TDSP + CR are impacted, what is the process?*** |

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| ***Action/Transaction*** | ***RMG Reference*** | ***Processes During Outage*** | ***Processes After Outage*** | ***Comments*** |
| ***Move-Ins – 814\_16*** | 7.10.1 | CRs to use existing Safety Net MVI process during ERCOT Extended Unplanned Outage.   * CRs to push out requested date 2 BD on MVI requests * MVI Requested Date shall only be a non-AMS operational day (M-F, no Sat) * Other details related to MVIs will be discussed on the Retail Market Conference Call, depending on each particular scenario. | Retail Market Conference Call:   * Is the Safety Net process still required?   + Is the 2 BD notice still required by TDSPs? * When is it expected for normal 814\_16 MVI transactions to resume? * What transactions should MPs release to ERCOT? And in what order? |  |
| Date Change (814\_12) | 7.4.1.1 (3) (b) | Will only accept for Scheduled MVIs – CRs to use the Emergency Cancellation process in 7.4.1.1 (3) (b) for both MVI date change and MVI cancels.  CRs will perform ‘date change’ for Scheduled MVIs through a spreadsheet and resend a new MVI via a subsequent follow-up spreadsheet | Retail Market Conference Call:   * MUST COMMUNICATE: All 814\_12 & 814\_08 transactions should be sent to ERCOT in sequential order. * When is it expected for normal 814\_08 Cancel transactions to resume? * What transactions should MPs release to ERCOT? |  |
| Cancellations (814\_08) | 7.4.1.1 (3)(b) | Will only accept for Scheduled MVIs – CRs to use the Emergency Cancellation process in 7.4.1.1 (3) (b) for both MVI date change and MVI cancels.  CRs will perform ‘date change’ for Scheduled MVIs through a spreadsheet and resend a new MVI via a subsequent follow-up spreadsheet | Retail Market Conference Call:   * MUST COMMUNICATE: All 814\_12 & 814\_08 transactions should be sent to ERCOT in sequential order. * When is it expected for normal 814\_08 Cancel transactions to resume? * What transactions should MPs release to ERCOT? |  |
| Tampering & DPP Switch-Hold ***Removals for New MVI*** | 7.10.3  (SH process when MT systems down) | RMG 7.10.3 Process:  1) CR to check GLOBAL Switch Hold lists posted on TDSP FTPS  2) CR sends Safety Net MVI list  3) TDSP checks for Switch Hold Flag   * If SH present, TDSPs will Reject MVI to CR   5) CR initiates the regular SH removal process (NOS documentation, etc)  6) CR sends documentation to TDSP via email  7) Once a determination to remove, TDSP will lift Switch Hold  8) CR to resend the ESIID on a subsequent Safety Net MVI list.  9) TDSP to update the Global Switch Hold list for next day. | Retail Market Call:   * Once it is determined that 814\_20 activity can resume, TDSPs will begin sending 814\_20s to update Switch Hold status. * Before such time, CRs to continue using Global Switch Hold Lists on the TDSP FTPS. |  |
| Tampering & DPP Switch-Hold Add/Removal ***Updates*** | 7.10.4  (650 process application of SH without ERCOT systems available) | 1) CR to verify add/delete Switch Hold per Global Switch Hold list posted on the TDSP FTP site.  2) CR to send 650\_01 Switch Hold Add/Remove request  3) TDSP to send 650\_02 Acknowledgment transaction (note: 814\_20s cannot be sent/received due to ERCOT outage)  4) TDSP to update Global Switch Hold list for next day. | Retail Market Call:   * Once it is determined that 814\_20 activity can resume, TDSPs will begin sending 814\_20s to update Switch Hold status. * Before such time, CRs to continue using Global Switch Hold Lists on the TDSP FTPS. |  |
| ***Move-Outs - 814\_24***  ***\*\* Safety Net Move Outs might not be used on day 1 - it must be determined on the Retail Market Conference Call if/when Safety Net Move Outs should begin and associated details specific to performing Move Outs.\*\**** | 7.10.2 | CRs to use existing Safety Net MVO process during ERCOT Extended Unplanned Outage.   * CRs to push out requested date 2 BD on MVO requests * MVO Requested Date shall only be a non-AMS operational day (M-F, no Sat) * Other details related to MVOs will be discussed on the Retail Market Conference Call, depending on each particular scenario. | Retail Market Conference Call:   * Is the Safety Net process still required?   + Is the 2 BD notice still required by TDSPs? * When is it expected for normal 814\_24 MVO transactions to resume? * What transactions should MPs release to ERCOT? And in what order? |  |
| Date Change (814\_12) | 7.10.2.2 (4) | Will only accept for Scheduled MVOs – CRs to use the Emergency Cancellation process in 7.10.2.2 (4) for both MVO date change and MVO cancels.  CRs will perform ‘date change’ for Scheduled MVOs through a spreadsheet and resend a new MVO via a subsequent follow-up spreadsheet | Retail Market Conference Call:   * MUST COMMUNICATE: All 814\_12 & 814\_08 transactions should be sent to ERCOT in sequential order. * When is it expected for normal 814\_08 Cancel transactions to resume? * What transactions should MPs release to ERCOT? |  |
| Cancellations (814\_08) | 7.10.2.2(4) | Will only accept for Scheduled MVOs – CRs to use the Emergency Cancellation process in 7.10.2.2 (4) for both MVO date change and MVO cancels.  CRs will perform ‘date change’ for Scheduled MVOs through a spreadsheet and resend a new MVO via a subsequent follow-up spreadsheet | Retail Market Conference Call:   * MUST COMMUNICATE: All 814\_12 & 814\_08 transactions should be sent to ERCOT in sequential order. * When is it expected for normal 814\_08 Cancel transactions to resume? * What transactions should MPs release to ERCOT? |  |
| MVO to CSA | 7.10.2(1)(b) | Suspend all CSA activities  Note: For MVO to CSA, once outage is restored, 814\_24 request from CR will be an 814\_03 (from ERCOT); therefore, an exact Safety Net MVO request and corresponding 814\_24 EDI transaction may not be available to be reconciled. |  |  |
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| ***Switch Request – 814\_01*** |  | All Switch activity will be suspended – reconciliation efforts during an extended outage is very difficult.  Must communicate on the Retail Market Conference Call:  CRs shall not send a Switch request via Safety Net as a Move In. |  |  |
| * Cancellations 814\_08 |  |  |  |  |
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| **Usage Data** |  |  |  |  |
| * Initial 867\_04 |  | TDSPs to suspend outbound 867\_04.  CRs will not be able to process 867\_04 due to not receiving 814\_05. |  |  |
| * Monthly/Final 867\_03 |  | TDSPs - Only send for active ESIID associated with a ROR |  | Possible solution: develop point-to-point 867\_03/03F method btwn CR and TDSP? |
| * AMS – LSE Data |  | Today: AMS LSE files would continue as normal from TDSP 🡪 SMT.  TDSPs would hold AMS LSE files specifically pointed to the ERCOT IP address but would still send AMS LSE files pointed to the SMT IP address as normal. | Post-outage cleanup process:  TDSPs will coordinate with ERCOT to determine the staging process needed to sync LSE files with associated 867 usage and any 814 transactions. | TDSP concern: Data storage concerns for holding multiple days of LSE files and transactions. TDSPs are unlikely to hold 14 days worth of AMS LSE files. However, TDSPs can still send AMS LSE files to SMT, leaving CRs an avenue to retrieve AMS LSE data if needed. |
| ***MarkeTrak*** | Add reference to RMG section with MarkeTrak outage work around | ERCOT confirms that MarkeTrak would be completely down for the entirety of the unplanned outage.  Other than Switch Hold Removal - Are there other processes usually handled via MarkeTrak that need to have stand-alone processes in place? No. | Retail Market Conference Call:   * Is MarkeTrak available? If not, when? * Which subtypes are available for use? * MPs should not use MarkeTrak for clean-up until directed via Retail Market Conference Call. |  |
| ***Invoices*** |  |  |  |  |
| * TDSP Invoice to CR 810\_02 |  | TDSPs to only send for *active ESIID* associated with a ROR during the outage. | Retail Conference Call:   * Decision to make when CRs to cease using Safety Net MVIs * If EDIs are to resume, how should TDSPs begin sending 867\_04 & 810\_02s for *non-active ESIIDs (new MVIs)* | Assumption is that 810s and 867s go in pairs. Therefore, any point-to-point method for 867s would need to incorporate 810s.   * Can TDSPs utilize the FTPS to post 810/867 pairs? TDSPs would post the actual .edi transaction for CRs to pull down and consume. * If TDSPs post to the FTPS, are all CRs able to process the transactions through their systems? * Late Fees: would be determined on a case-by-case basis by TDSPs |
| * MOU/EC Invoice 810\_03 |  |  |  | CRs may create an 810\_03 based off the 867\_03, but if 867\_03 is impacted/down, CRs cannot create 810\_03.  Can MOU/EC send point-to-point? If so, that would solve this problem. |
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| ***ESI ID Create/Maintenance/Retire*** |  | All TDSPs will suspend outbound 814\_20 activity. Re-sync process for 814\_20s between TDSPs and ERCOT will be determined for each scenario on the Retail Market Call.  Note for all information normally received on the 814\_20s during an outage:  CRs can use the CRIP/REPDesk portals for 814\_20 Create/Maintain/Retire details because TDSP 814\_20 outbound activity will be suspended. | For all 814\_20 related transactions –  Retail Market Call:   * ERCOT to determine when 814\_20 activity can resume, and how TDSPs should send 814\_20s. |  |
| * ***Create ESI ID (814\_20)*** |  | Customer contacts TDSP to create a new ESIID.  Once created, ESIIDs can be found on each TDSP’s CRIP/REPDesk portal in lieu of 814\_20. |  |  |
| * ***Maintenance (814\_20)*** |  |  |  |  |
| * ***Retire (814\_20)*** |  |  |  |  |
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| ***824 Invoice and Usage Rejects*** |  | Assuming 810\_02 already sent, but ERCOT goes down before 867\_03 is sent, how to handle this?  9/22 - Possible solution: If TDSPs can use the point-to-point 867/810 solution, and one of the paired transaction(s) is still unavailable, CR would identify the transaction(s) needed, and TDSP would re-drop as available. |  |  |
| ***Flight Testing*** |  |  |  |  |
| * Active | x | Suspend and restart flight testing in contingency period after unplanned outage has concluded.  ERCOT anticipates needing 1-3 weeks to stabilize following the Black Start and may just cancel impacted flights altogether. |  | What happens if CR needs certification before end of year, but outage occurs at end of year, and last flight of year is impacted?  *ERCOT would coordinate with Flight participants to determine whether to delay or cancel.* |
| * Inactive, but scheduled | x | Suspend, delay, or cancel |  |  |
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| ***ERCOT Reporting*** |  | ERCOT will not be able to produce Market Reports & Extracts during an unplanned extended system outage. | Would all depend on the queue of transactions and data ERCOT would process from the Market and would need to develop an expected elapsed time before Reports & Extracts can be used as normal by Market Participants. |  |
| * Market Reports and Extracts |  |  | Once ERCOT systems are restored, Reports & Extracts should resume almost immediately, but fully processing the backlog of transactions will likely impact the initial reports first generated. |  |
| * Supplement AMS Interval Data Extract |  |  | Depends on processing of AMS LSE files from TDSPs. |  |
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| **Smart Meter Texas (SMT)** |  |  |  |  |
| * AMS – LSE Data |  | TDSPs would continue sending AMS LSE files to SMT as normal. | Could be used as a secondary database for AMS LSE reconciliation, if needed. |  |

**Additional Issues to be discussed on October 20th :**

* How to handle backdated transactions? Which transactions can be backdated?
* Releasing Transactions from Backlog
  + Date Sequenced (oldest first)?
  + Staging of Backlogged Transactions
* Reconciliation of out of synch conditions
* Exception Handling
  + How to process date sensitive transactions where rejects may occur due to transactions processes as backdated.
  + How do you cancel or date change a transaction in the past?
* Payments of Invoices