**High Level Business Requirements:**

**Texas SET 5.0 Market Requirements**

**Version 1.7**

Document Revisions

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| --- | --- | --- | --- |
| Date | Version | Description | Author(s) |
| 6/15/2022 | 1.0 | Initial draft | Kathryn Thurman |
| 6/16/2022 | 1.1 | Reviewed initial draft with market through FR2.4. Added additional examples for Move Outs | Kathryn Thurman |
| 7/20/2022 | 1.2 | Reviewed FR 2.5 through 2.8 with market.  | Kathryn Thurman |
| 8/29/2022 | 1.3 | Added details for file upload from SCR. Added CC2022-837 & CC2020-819. Updated CSA End Date to Optional. | Kathryn Thurman |
| 9/1/2022 | 1.4 | Accepted redlines 2.3 – 2.8 | Kathryn Thurman |
| 9/14/2022 | 1.5 | MCT meeting | Kathryn Thurman |
| 9/14/2022 | 1.6 | Redlines accepted | MCT |
| 10/27/2022 | 1.7 | Minor Updates, clarification to Metered Service type and updates for TXSETCC816  | Kathryn Thurman |
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NOTE: Any reference to ERCOT Protocols is referring to the language in NPRR1095

# Project Overview

## Background

The following document outlines the high-level market requirements for the Texas SET V5.0 upgrade. Included in this release are modifications as necessitated by the following:

* NPRR 1095 – Texas SET V5.0 Changes
* RMGRR 169 – Related to NPRR1095, Texas SET V5.0 Changes
* Outstanding Change Controls identified and approved by the Texas Set Working Group
* SCR 823 – ERCOT’s Mass System “County Name” File Updates for Texas SET v5.0 Implementation

## Requirements Overview

|  |  |
| --- | --- |
| **High Level Requirement #** | **Description of Requirement** |
| [1](#MassAcq) | [CSA Start and End Dates](#_CSA_Start_and)  |
| [2](#SwitchHold) | [Move Outs with CSA](#SwitchHold) |
| [3](#CriticalCare) | [Switches rejected for NFI](#CriticalCare) |
| [4](#AMSFlag) | [County and Metered Service](#AMSFlag) |
| [5](#SameDayMVO) | [Inadvertent Changes](#SameDayMVO) |
| [6](#SameDaySwitch) | [New Reject Codes and Reject Reasons](#SameDaySwitch) |
| [7](#_Same_Day_Move) | [Sync MIS API and GUI](#_Same_Day_Move) |
| [8](#_Date_Change_Window) | [Other Texas SET Change Controls](#ChangeControls) |
| [9](#_Date_Change_Window) | [Electric](#ChangeControls) CoOp CSAs |

## Change Control Overview

|  |  |  |
| --- | --- | --- |
| **Change Control #** | **FRs** | **Description of Requirement** |
| 2011-794 | FR8.1 | Make the "Unmetered Service Type" found in the REF~PRT segment "Optional" for the TDSP when the information is available at the time the 814\_20 Create transaction is established and communicated to ERCOT. |
| 2012-798 | FR2.19FR2.20 | Updating the 814\_24 to allow only the CSA CR to submit the REF~2W and create new reject reason for ERCOT |
| 2019-809 | FR8.2 | Requesting a new Construction Hold Pending Code (CHP) to the 814\_04 and 814\_05 to help REPs identify the reason for potential delays on a MVI request |
| 2020-815 | FR8.3FR8.4 | Update the 650\_01 Guide as a result of the market recommendations following Hurricane Harvey |
| 2020-816 | FR8.3FR8.4FR8.5 | Update the 650\_02 Guide as a result of the market recommendations following Hurricane Harvey |
| 2020-817 | FR8.6 – FR8.11 | Update the 650\_04 Guide as a result of the market recommendations following Hurricane Harvey |
| 2020-818 | FR8.12 | Update the 814\_28 Guide as a result of the market recommendations following Hurricane Harvey |
| 2020-819 | FR8.13 to FR8.15 | Clarify REF~4P and REF~IX are not provided when NM109 is NONE or UNMETERED in the 814\_20 |
| 2020-821 | FR4.1FR4.6 | Add necessary data elements to transactions to allow the submission of County to be communicated |
| 2020-827 | FR8.16FR8.23 | Allow Competitive Retailer to provide customer's email to TDSP |
| 2021-828 | FR1.1FR1.2FR1.16 to FR1.18 | Add DTM Start and End segments to the 814\_18 Establish/Delete CSA Request and the 814\_19 Establish/Delete CSA Response. |
| 2021-829 | FR5.1 to FR5.4 | Add a new indicator to indicate regain due to Inadvertent Gain/Loss and Right of Rescission |
| 2021-830 | FR1.3FR1.27FR6.1 to 6.29 | Add additional Reject Codes and Reject Reasons to provide more descriptive rejects |
| 2021-831 | FR4.3 FR4.4 FR4.10 | Add new REF segment in order to provide Meter Service Type |
| 2021-832 | FR5.5 to FR5.7 | To support Change Control 2021-829 for Inadvertent Gain/Loss or Customer Rescission this change control adds 3 new rejection reasons |
| 2021-833 | 1.3 1.17 1.22 | Add new Reject codes to the 814\_19 for support of the new CSA Start and End dates added in Change Control 2021-828 |
| 2021-834 | FR8.21 | Add specific Unexecutable codes to provide detailed explanations rather than just "T018" for turndowns associated with unapproved Distributed Generation equipment or Auto Transfer Switch and/or no signed Interconnection Agreement received by TDSP |
| 2021-835 | FR8.22 | Update code 26 of the BIG07 in the 810\_02 to support miscellaneous credits |
| 2021-836 | FR8.23 | This change control will implement logic to reject Texas SET transactions that contain only a comma or other one character punctuation in a name field |
| 2022-837 | FR6.23 | Update the 814\_25 to remove ERCOT use Only from the NFI reject code to allow TDSPs to use |
| 2022-838 | FR1.2FR1.19 - FR1.23FR1.26FR1.33 | Update the 814\_19 to add the ASI02 of 001 (Change) and additional reject codes. |

# Business Requirements

## Update CSA to include the use of Start and End Dates

### Add Start and End Dates to the 814\_18 (CSA)

From ERCOT Protocols, Section 15.1.9.1: Request to Initiate Continuous Service Agreement in an Investor Owned Utility Service Territory

*15.1.9.1 Request to Initiate Continuous Service Agreement in an Investor Owned Utility Service Territory*

*(1) When a CR establishes a CSA at an ESI ID, the CR will send an 814\_18, Establish/Delete CSA Request, to ERCOT. ERCOT will determine if the ESI ID has a CSA on record. If there is not a current CSA, ERCOT will respond to the new CSA CR using the 814\_19, Establish/Delete CSA Response, within one Retail Business Day of receipt of the 814\_18 transaction. ERCOT will hold the CSA in a pending status until the start date of the CSA.*

*(2) If there is a current CSA, ERCOT will respond to the new CSA CR using the 814\_19 transaction within one Retail Business Day of receipt of the 814\_18 transaction ERCOT will hold the CSA in a pending status until the start date of the CSA and on the start date of the new CSA, ERCOT will send notice of CSA termination using the 814\_18 transaction to the current CSA.*

From ERCOT Retail Market Guide, Section 11.2.5.12: ERCOT Operating Rule 29: Continuous Service Agreements (CSAs)

*(1) CSAs have a start date and end date.*

*(a) On the morning of the requested start date for the CSA, ERCOT will update the CSA to “active”, ending any previous CSA agreements. If a CSA agreement is ended, an 814\_18, Establish/Delete CSA Request, will be sent to the previous CSA Competitive Retailer (CR).*

*(b) If the requested start date is equal to the current calendar date, ERCOT will update the CSA to “active”, ending any previous CSA agreements. If a CSA agreement is ended, an 814\_18 transaction will be sent to the previous CSA CR.*

*(c) On the morning of the requested end date for the CSA, ERCOT will update the CSA to “inactive”.*

| **Requirement ID** | **Description** | **Traceability** |
| --- | --- | --- |
|  | To communicate Start and End dates for Continuous Service Agreements (CSAs), two new DTM segments (DTM~150 and DTM~151) will be added to the 814\_18 Establish/Delete CSA Request transaction.* DTM~150 will be used to communicate the CSA Start Date
* DTM~151 will be used to communicate the CSA End Date

DTM~150 will be required for an Establish CSA (ASI02=021) transaction.DTM~151 is optional for an Establish CSA (ASI02=021) transaction. | CC2021-828 |
|  | To communicate the Start Date for the Establish CSA (ASI02=021), the DTM~150 will be required. If the DMT~150 is missing from the Establish CSA (ASI02 = 021), ERCOT will reject the CSA Add for SDR (CSA Start Date Required). | CC2021-828CC2022-838 |
|  | The CSA Start Date (DTM~150) must contain a date greater than or equal to the date received. Backdated CSA start dates will be rejected for SDC (CSA Start Date Must Be Current Date or Date in the Future).CSA Start Dates cannot be more than 90 days in the future. If a CSA Start Date is sent that is greater than 90 calendar days in the future ERCOT will reject the Establish CSA for 090 (Greater than 90 in the Future). | CC2021-833CC2021-830 |
|  | To communicate the End Date for the Establish CSA (ASI02=021) the DTM~151 is optional.  | CC2021-828 |
|  | The CSA End Date (DTM~151) must contain a date less than or equal to 800 calendar days from the date received.If a CSA End Date is sent that is greater than 800 calendar days in the future ERCOT will reject the CSA Add for CEF (CSA End Date to far in the Future). |  |
|  | CSA End Date must be a date in the future. You cannot backdate the CSA End Date. If the CSA End Date is sent for a date in the past, ERCOT will reject the transaction for BED (Backdated End Date). | CC2021-833 |
|  | The CSA End Date must be greater than CSA Start Date.On receipt of an 814\_18 Add containing the optional End Date, the End Date (DTM~151) must be greater than the Start Date (DTM~150). If the CSA End Date is not greater than the CSA Start Date, ERCOT will reject the transaction for DIV (Date Invalid). Requires explanation in the REF03. | CC2022-838 |
|  | On receipt of the 814\_18 Establish CSA from the CR, ERCOT will continue to respond with the 814\_19 response within 1 Retail Business Day.  | NPRR109515.1 |
|  | ERCOT will hold Establish CSA’s with a requested start date in the future in a pending status until the requested Start Date. | NPRR1095*15.1*RMGRR169*11.2* |
|  | During ERCOT batch, ERCOT will evaluate CSAs with a Start Date equal to today. For any CSA with a Start Date of today, ERCOT will create an Active Continuing Service Agreement for the new CSA CR.  | NPRR1095*15.1*RMGRR169*11.2* |
|  | In the event ERCOT receives an Establish CSA (ASI=021) with the start date equal to current date, ERCOT will immediately create an Active Continuing Service Agreement for the new CSA.  | NPRR1095*15.1*RMGRR169*11.2* |
|  | In the event ERCOT receives an Establish CSA (ASI=021) with the start date equal to current date on an ESIID with an Active CSA, ERCOT will immediately end the Active CSA for the previous day at 11:59:59 PM and create an Active Continuing Service Agreement for the new CSA.  | NPRR1095*15.1*RMGRR169*11.2* |
|  | During ERCOT batch, ERCOT will evaluate CSAs with an End Date equal to today. For any CSA with an End Date of today, ERCOT will end the CSA relationship, and update the CSA row to Inactive. The CSA row will be ended with the previous day at 11:59:59 PM.  | NPRR1095*15.1*RMGRR169*11.2* |
|  | A new Establish CSA will trump an existing Active CSA row regardless of the End Date of the Active CSA. Example 1:Today is 5/1CR 1 has an active CSA row from 1/1 through 6/1CR 2 sends an Establish CSA for 5/10CR2’s CSA will be pending until 5/10. On the morning of 5/10 during ERCOT batch, ERCOT will update CR2’s CSA to Active, and update CR1’s CSA to Inactive and send CR1 an 814\_18 delete. Example 2:Today is 5/1There are no Active CSAsCR1 submits an Establish CSA with a Start Date of 5/15 and an End Date of 9/15. CR1 CSA is pending for 5/15.CR2 submits an Establish CSA with a Start Date of 5/16 and an End Date of 9/15. CR2 CSA is pending for 5/16. On the morning of 5/15, ERCOT will set CR1 CSA to Active.On the morning of 5/16, ERCOT will end CR1 CSA for 5/15 at 11:59:59PM and send CR1 an 814\_18 delete and update CR2 CSA to Active.  |  |
|  | ERCOT will reject a second Establish CSA request with the same date as a pending CSA for NFI (Not First In). ERCOT will reject a second Establish CSA requesting the same date as the CSA start date of an Active CSA for NFI (Not First In). Example:Today is 4/12CR1 submits an Establish CSA for 4/15. CR1 CSA is pendingCR2 submits an Establish CSA for 4/15. – ERCOT rejects 2nd Establish CSA Request for NFIExample:Today is 4/12 and CR1 submits an Establish CSA for 4/15On the morning of 4/15 CR1s CSA becomes active during ERCOT batch. Later that morning CR2 submits an Establish CSA for 4/15. ERCOT Rejects CR2s request for NFI.  |  |
|  | At go live of the project, any current CSA that is Active, will remain without an End Date. It will be the responsibility of the CR to make any necessary adjustments to their Active CSAs if they determine they should be populated with an End Date. |  |
| 1.
 | Since ERCOT will use the previous day at 11:59:59 PM when ending the CSA, in order for the CSA to end on the correct/intended day, the CR will need to request the next day (the day following their intended date). Example:In order for the CSA to continue through 5/31 the CR will need to use the End Date of 6/1. On the morning of 6/1, ERCOT will update the CSA row to Inactive as of 5/31 11:59:59PMIn order for the CSA to continue through 6/15 the CR will need to use the End Date of 6/16. On the morning of 6/16, ERCOT will update the CSA row to Inactive as of 6/15 11:59:59PMSee also FR2.9 and FR2.10 |  |

### Update CSA End Date

| **Requirement ID** | **Description** | **Traceability** |
| --- | --- | --- |
|  | A new value of 001 (Change) will be added to the ASI02 of the 814\_18 transaction to allow the CR to Update the CSA End Date | CC2021-828 |
|  | Start Dates cannot be updated with the CSA Change transactions (ASI02= 001).If an 814\_18 Change contains the start date, ERCOT will reject the transaction for SNR (CSA Start Date Not Required). | CC2021-828CC2021-833CC2022-838 |
|  | If an 814\_18 with the ASI02 = 001 (Change End Date) is sent and the DTM~151 (CSA End Date) is not included, ERCOT will reject the transaction for EDR (CSA End Date Required).  | CC2021-828CC2022-838 |
|  | The CSA End Date (DTM~151) must contain a date less than or equal to 800 calendar days from the date received.If a Change CSA End Date is sent that is greater than 800 calendar days in the future ERCOT will reject the CSA Add for CEF (CSA End Date too far in the Future). | CC2022-838 |
|  | If a CR submits an 814\_18 change (ASI02 = 001), ERCOT will verify if the CR has an active CSA row. If the CR does not have an Active CSA row, ERCOT will reject the change transaction for NAC (No Active CSA).  | CC2022-838 |
|  | In the event the CR submits an 814\_18 change (ASI02 = 001) on an ESI where the CR has an Inactive CSA row (End Date of today or in the past), ERCOT will reject the change transaction for NAC (No Active CSA). | CC2022-838 |
|  | 814\_18 change requests can push the End Date out or bring the End Date in but cannot backdate the end date.In the event an 814\_18 change is sent for a day in the past, ERCOT will reject the change with an 814\_19 reject for BED (Backdated CSA End Date).Example1:Today is 5/1CR1 has an Active CSA with an End Date of 6/1CR1 sends an 814\_18 change, with a new End Date of 5/10. 814\_19 Accept returned to CR1 and End Date is updated to 5/10Example2:Today is 5/1CR1 has an Active CSA with an End Date of 6/1CR1 sends an 814\_18 change, with a new End Date of 7/1. 814\_19 Accept returned to CR1 and End Date is updated to 7/1Example 3:Today is 5/1CR1 has an Active CSA with an End Date of 6/1CR1 sends an 814\_18 change, with a new End Date of 5/1. 814\_19 Accept returned to CR1 and End Date is update to 5/1. CSA is updated to inactive on 4/30 at 11:59:59 PMExample 4:Today is 5/1CR1 has an Active CSA with an End Date of 6/1CR1 sends an 814\_18 change, with a new End Date of 4/30. 814\_19 Reject returned to CR1 with reject code of BED. | CC2021-833 |
|  | In the event an 814\_18 change (ASI02 = 001) is sent with a Change End Date = today, ERCOT will immediately move the CSA to Inactive to the previous day at 11:59:59 PM.  |  |
|  | A new value of 001 (Change) will be added to the ASI02 of the 814\_19 transaction to allow the CR to Update the CSA End Date | CC2022-838 |
|  | In the event ERCOT rejects an 814\_18 change, ERCOT will send the 814\_19 Reject back to the CR with the ASI02 = 001 (Change) | CC2022-838 |

### Delete CSA

| **Requirement ID** | **Description** | **Traceability** |
| --- | --- | --- |
|  | DTM~150 and DTM~151 will be rejected if included on the Delete CSA (ASI02=002) transaction. | CC2021-828 |
|  | 814\_18 Delete (ASI~7~002) can only be used for Active CSAs | CC2021-830 |
|  | In the event an 814\_18 Delete (ASI~7~002) is sent to ERCOT and the CR does not have an Active CSA at the time of receipt of the 814\_18, ERCOT will reject the transaction for NCC (No Current CSA).  | CC2021-830 |
|  | In the event the CR has both an Active CSA and a pending CSA at the time the 814\_18 Delete is sent to ERCOT, ERCOT will end the Active CSA with the previous day at 11:59:59PM. The pending CSA will remain pending. |  |
|  | In order for a CR to end a pending CSA request, a MarkeTrak issue will need to be submitted. CRs should submit the Market Rule subtype containing CSACAN. | RMGRRxxx |
|  | In the event the CR submits an 814\_18 Delete (ASI02=002) that includes either the DTM~150 and/or the DTM~151, ERCOT will reject the 814\_18 Delete for DNR (Start and End Dates Not Required on Deletes). | CC2022-838 |
|  | During ERCOT batch, ERCOT will evaluate the pending CSA(s). In the event there was a previous CSA CR, the 814\_18 delete will be sent to the previous CSA CR and the previous CSA row will be updated to Inactive and ERCOT will end the previous CSA row with the previous day at 11:59:59PM. The new CSA row will be updated to Active. |  |

### MOU/EC CSA Start and End Dates

From ERCOT Protocols, Section 15.1.10.1: Request to Initiate Continuous Service Agreement

*15.1.10.1 Request to Initiate Continuous Service Agreement*

*(1) When a CR establishes a CSA at an ESI ID, the CR will send an 814\_18, Establish/Delete CSA Request, to ERCOT. This will be forwarded to the MOU/EC TDSP within one Retail Business Day. ERCOT will send the 814\_18 transaction, and if an 814\_19, Establish/Delete CSA Response, is not received from the MOU/EC TDSP within ten Business Days, ERCOT will cancel the CSA request and send an 814\_08, Cancel Request, to the requesting CSA CR and MOU/EC TDSP. Additional 814\_18 transactions received on the ESI ID while the first 814\_18 transaction is still pending will be rejected at ERCOT. Upon receipt of the 814\_19 transaction (accept) from the MOU/EC TDSP, ERCOT will send an 814\_19 transaction to the new CSA CR within one Retail Business Day. ERCOT will hold the CSA in a pending status until the start date of the CSA.*

*(2) If an 814\_18 transaction is received on an ESI ID with an existing CSA relationship, ERCOT will forward the 814\_18 transaction to the MOU/EC TDSP within one Retail Business Day, and upon receipt of the 814\_19 transaction (accept) from the MOU/EC TDSP, will send an 814\_19 transaction to the new CSA CR within one Retail Business Day of receipt of the 814\_19 transaction from the MOU/EC TDSP. ERCOT will hold the CSA in a pending status until the start date of the CSA. On the start date of the new CSA, ERCOT will send notice of the CSA termination using the 814\_18 transaction to the current CSA.*

| **Requirement ID** | **Description** | **Traceability** |
| --- | --- | --- |
|  | In addition to the requirements above for the new CSA Start and End Dates, if an 814\_18 Establish CSA is received in an MOU/EC territory, ERCOT will forward the DTM~150 and the DTM~151 to the MOU/EC TDSP in the 814\_18 Establish CSA transaction.  | NPRR109515.1 |
|  | The DTM~150 and the DTM~151 are not included in the 814\_19 transaction and should not be sent to ERCOT by the MOU/EC TDSP.  | CC2022-838 |
|  | In the MOU/EC territory, on receipt of an 814\_18 Change (ASI02 = 001), ERCOT will update the End Date for the Active CSA and forward the 814\_18 Change to the MOU/EC TDSP.ERCOT will not wait on the MOU/EC TDSP response to update the End Date. |  |
|  | On receipt of the 814\_18 Change (ASI02 = 001) from ERCOT, the MOU/EC TDSP will respond back with the 814\_19 Change (ASI02 = 001). | CC2022-838 |
|  | The 814\_19 Change (ASI02 = 001) from the MOU/EC TDSP is nonactionable at ERCOT. ERCOT will have made changes on receipt of the 814\_18 Change from the CR and will only log the transaction in the registration system. If a reject is received, no action is taken at ERCOT. |  |
|  | In the MOU/EC territory, on receipt of an 814\_18 Delete, ERCOT will continue to complete the CSA service order and update the Active CSA to Inactive. ERCOT will forward the 814\_18 delete to the MOU/EC TDSP.  |  |

### MIS and Siebel Service Order Extract

| **Requirement ID** | **Description** | **Traceability** |
| --- | --- | --- |
|  | Allow Market Participants to enter Start Date and End Date on the Establish CSA on the MIS. |  |
|  | Allow Market Participants to view the Start Date and End Date when viewing the Transaction Summary from Find Transactions for the 814\_18 Establish CSA.The Start Date and End Date will display in the Details:814\_18 CSA Establish |  |
|  | Update the Find Transaction API to return the Start Date and End Date for the Establish CSA |  |
|  | From Find Transactions, on the Transaction Summary for the 814\_18 Establish CSA in the details add an ‘Update End Date’ button to allow the Market Participant to request to update the End Date of the Active CSA.  |  |
|  | Allow Market Participants to view if they are the Pending CSA when querying Electric Service Identifiers (ESI IDs) through the Find ESIID lookup function on MIS. The Pending CSA and End Date, if provided, will display in the ‘ESI ID Detail’ screen with the Start Date of the pending CSA.The above logic will be in addition to the current CSA that will display if the Market Participants is the Active CSA CR. |  |
|  | Update the Find ESIID API to provide the Pending CSA Start Date and End Date. |  |
|  | Two new columns will be added to the Siebel Service Order Extract for the CSA Start Date and CSA End Date An updated DDL will be provided to MPs that use the API. | NPRR1095 |
|  | CSA Change orders will be provided on the Siebel Service Order Extract. |  |

## Move Outs with CSA

### Move Out evaluations against CSA relationships

From ERCOT Protocols, Section 15.1.5.1 Request to Terminate Service

*15.1.5.1 Request to Terminate Service*

*…*

*(2) ERCOT will determine if the ESI ID associated with the Premise has a Continuous Service Agreement (CSA) CR.*

*(a) If there is an active CSA with an end date after the MVO date on record or a CSA with a start date prior to or equal to the requested date of the move out, ERCOT will notify the TDSP by sending the 814\_03, Enrollment Notification Request, with the move out indicator, within one Retail Business Hour for same day requests and two Retail Business Hours for move outs not requesting same day services. ERCOT will notify the CSA CR of the move out using the 814\_22, CSA CR Move In Request, within two Retail Business Days of the scheduled meter read date, but not before the receipt of the TDSP’s 814\_04, Enrollment Notification Response.*

*(b) If there is not an active CSA CR or a CSA with a start date prior to or equal to the requested date of the move out, ERCOT will notify the TDSP to de-energize the ESI ID by sending the 814\_24 transaction and will remove the requester as the CR of Record for that ESI ID.*

*(3) When requesting to terminate service where a CSA exists, the CSA CR may terminate service to that ESI ID by submitting an 814\_24 transaction with the “Move Out CSA De-Energize” code to ERCOT. ERCOT will validate that the submitting CR is the current CSA CR of Record (or pending CSA CR for the MVO date submitted). If the submitting CR is not the current CSA CR of Record, ERCOT will reject the 814\_24 transaction by sending the 814\_25, Move Out Response. Move outs will be considered same day if the date requested is the same day the 814\_24 transaction is processed at ERCOT. Same day move outs will be forwarded to the TDSP within one Retail Business Hour of receipt by ERCOT. Move outs not requesting same day services will be forwarded to the TDSP within two Retail Business Hours of receipt by ERCOT.*

From ERCOT Retail Market Guide, Section 11.2.5.13 ERCOT Operating Rule 30: Move Out to CSA

*11.2.5.13 ERCOT Operating Rule 30: Move Out to CSA*

*(1) In the event of a move out to CSA, ERCOT will use the start date and end date of all CSAs for the ESI ID to determine if a REP will be the CSA on the requested date of the move out.*

*(a) If a CSA CR has a start date prior to or equal to the requested date of the move out and does not have an end date after the requested date of the move out, ERCOT will send the 814\_03, Enrollment Notification Request, to the TDSP.*

*(b) If a CSA CR has an end date prior to the requested date of the move out, ERCOT will send the 814\_24, Move Out Request, to the TDSP.*

*(2) ERCOT evaluates the CSA CR on the receipt of the Move-Out Request. ERCOT does not do any re-evaluation on the move out.*

| **Requirement ID** | **Description** | **Traceability** |
| --- | --- | --- |
| 1.
 | On receipt of a Move Out request (814\_24), ERCOT will use the Start Date and End Date of all Active and pending CSAs to determine if the Move Out will be a Move Out to CSA or a straight Move Out.  | *NPRR 1095**15.1**RMGRR 169**11.2* |
| 1.
 | If a Move Out request (814\_24) is received at ERCOT with a requested date during a period of time a CR holds an Active CSA and no pending CSA, ERCOT will treat the Move Out as a Move Out to CSA and send the 814\_03 to the TDSP.Example:Today is 5/1CR1 has an Active CSA with an End Date of 10/1CR2 submits a Move Out for 5/15ERCOT treats the Move Out as a Move Out to CSA and sends an 814\_03 to the TDSP for 5/15 for CR1.  | *NPRR 1095**15.1**RMGRR 169**11.2* |
|  | If a Move Out request (814\_24) is received at ERCOT with no Active CSA, with a requested date greater than or equal to the start date of a pending CSA relationship and less than the End Date of the CSA relationship, ERCOT will treat the Move Out as a Move Out to CSA and send the 814\_03 to the TDSP. Example:Today is 5/1CR1 has a Pending CSA with a Start Date of 5/10CR2 submits a Move Out for 5/15ERCOT treats the Move Out as a Move Out to CSA and sends an 814\_03 to the TDSP for 5/15 for CR1. | *NPRR 1095**15.1**RMGRR 169**11.2* |
|  | In the event there is an Active CSA relationship and a pending CSA relationship on the ESIID at the time the Move Out request (814\_24) is received at ERCOT, ERCOT will determine which CSA relationship is scheduled to be the CSA on the requested date of the Move Out and send the 814\_03 to the TDSP with the CSA CR scheduled to the be CSA at the time of the Move Out. In the event, the Pending CSA relationship will end the Active CSA relationship equal or prior to the requested date of the Move Out, ERCOT will use the Pending CSA relationship to send the 814\_03 to the TDSP. Example:Today is 5/1CR1 has an Active CSA with the End Date of 6/1CR2 has a Pending CSA with a Start Date of 5/10CR2 submits a Move Out for 5/15ERCOT treats the Move Out as a Move Out to CSA and sends an 814\_03 to the TDSP for 5/15 for CR2. | *NPRR 1095**15.1**RMGRR 169**11.2* |
|  | If a Move Out request (814\_24) is received at ERCOT on an ESIID with an Active CSA and the requested date of the Move Out is after the End Date of the CSA, ERCOT will treat this as a straight Move Out and will send the 814\_24 to the TDSP. Example:Today is 5/1CR1 has an Active CSA with an End date of 5/5CR 2 submits a Move Out for 5/10ERCOT treats the Move Out as a straight Move Out and sends the 814\_24 to the TDSP | *NPRR 1095**15.1**RMGRR 169**11.2* |
|  | If a Move Out request (814\_24) is received at ERCOT on an ESIID that only has a pending CSA and the requested date of the Move Out is prior to the start date of the pending CSA, ERCOT will treat this as a straight Move Out and will send the 814\_24 to the TDSP.Example:Today is 5/1CR1 has a Pending CSA for 5/5CR2 sends a Move Out requesting 5/3.ERCOT treats the Move Out as a straight Move Out and sends the 814\_24 to the TDSP | *NPRR 1095**15.1**RMGRR 169**11.2* |
|  | If a Move Out request (814\_24) is received at ERCOT on an ESIID with both an Active CSA and a pending CSA and the requested date of the Move Out is after the End Date of the active CSA and prior to the start date of the pending CSA, ERCOT will treat this as a straight Move Out and will send the 814\_24 to the TDSP.Example:Today is 5/1CR1 has an Active CSA with an End Date of 5/5CR2 has a Pending CSA with a Start Date of 5/10CR3 sends a Move Out request for 5/7ERCOT treats the Move Out as a straight Move Out and sends the 814\_24 to the TDSP | *NPRR 1095**15.1**RMGRR 169**11.2* |
|  | ERCOT will use only Active CSA relationships and Pending CSA relationships at the time the Move Out is received to determine if it should be a straight Move out or a Move Out to CSA. ERCOT will not go back and re-evaluate the Move Out. Example:Today is 5/1There are no Active or Pending CSA’s as of the morning of 5/1Around 10am CR1 sends a Move Out requesting 5/5ERCOT treats the Move Out as a straight Move Out and sends the 814\_24 to the TDSPAround 1:00pm CR2 sends a CSA request with a start date of 5/3. The Move Out remains a straight Move Out. No changes will occur to the Move Out. | *NPRR 1095**15.1**RMGRR 169**11.2* |
| 1.
 | If a CSA relationship has an End Date that is equal to the Requested Date of the Move Out (814\_24), ERCOT will not transition the ESIID to the CSA, and will send the 814\_24 transaction to the TDSP. Example 1:Today is 5/15CR1 has an Active CSA with and End Date of 6/1CR2 is the Current Rep of Record and submits an 814\_24 with a requested date of 6/1.ERCOT treats the Move Out as a straight Move Out and sends the 814\_24 to the TDSP for 6/1.See FR1.17 | *NPRR 1095**15.1**RMGRR 169**11.2* |
| 1.
 | If a pending CSA relationship has an End Date that is equal to the Requested Date of the Move Out (814\_24), ERCOT will not transition the ESIID to the CSA, and will send the 814\_24 to the TDSP.Example 1:Today is 5/15CR1 has a pending CSA Start for 5/16 and End of 5/31.Move Out is sent with a requested date of 5/31.ERCOT treats the Move Out as a straight Move Out and sends the 814\_24 to the TDSP for 5/31See FR1.17 | *NPRR 1095**15.1**RMGRR 169**11.2* |
|  | If a Move Out is submitted for today, and the CSA relationship was ended during batch today, the Move Out will be a straight Move Out and will not go to the CSA CR. Example:Today is 5/1CR1 has a CSA with an End Date of 5/5Advance to the morning of 5/5, during ERCOT batch the CSA relationship for CR1 is ended with a date of 5/4 at 11:59:59pmAround 10am the current CR submits a Move Out for 5/5. The Move Out is treated as a straight Move Out and the 814\_24 is sent to the TDSP. | *NPRR 1095**15.1**RMGRR 169**11.2* |
|  | In the Muni/Coop territory, ERCOT will not use the In Review CSA request when determining if a Move Out should be a Move Out to CSA. Only completed CSAs where either an Active or a Pending relationship has been created will be considered during evaluations. Example:Today is 5/1CR1 sends a CSA request with a Start Date of 5/1 in the Muni/Coop territory. The CSA is In Review at ERCOT pending a response from the TDSP and ERCOT sends the 814\_18 to the Muni/Coop TDSP.Later that morning, CR2 submits a Move Out request for 5/2. Since the 814\_19 has not been received at ERCOT, the Move Out is treated as a straight Move Out and the 814\_24 is sent to the TDSP. | *NPRR 1095**15.1**RMGRR 169**11.2* |

### Bypass Flag

From ERCOT Retail Market Guide, Section 11:2.5.14 ERCOT Operating Rule 31: CSA Bypass Code

*11.2.5.14 ERCOT Operating Rule 31: CSA Bypass Code*

*(1) Use of the “2W” CSA bypass code on an ESI ID where the CR is not the CSA will result in ERCOT rejecting the move out.*

From ERCOT Retail Market Guide, Section 11:4.13 REP Operating Rule 13: Continuous Service Agreement Bypass Code

*11.4.13 REP Operating Rule 13:  Continuous Service Agreement Bypass Code*

*(1) A REP shall not use the “2W” CSA bypass code on an 814\_24, Move Out Request, unless they have an active CSA for the ESI ID in the ERCOT system. Use of the “2W” CSA bypass code on an ESI ID where the Competitive Retailer (CR) is not the CSA will result in ERCOT rejecting the move out.*

| **Requirement ID** | **Description** | **Traceability** |
| --- | --- | --- |
| 1.
 | On receipt of Move Out with the REF~2W bypass flag, ERCOT will verify that the MVO CR is the same as the active CSA CR or is scheduled to be the CSA CR on the requested date of the Move Out.  | RMGRR16911.211.4CC2021-798814\_24 |
|  | If the CSA CR is the active CSA CR, ERCOT will verify that the Active CSA CR has an end date after the requested date for the Move Out.  | CC2021-798814\_24 |
|  | If the CSA CR is the pending CSA CR, ERCOT will verify that the pending CSA CR has a start date prior to the requested date of the Move Out and an end date after the requested date for the Move Out.  | CC2021-798814\_24 |
|  | In the event they are not the CSA CR, or scheduled to be the CSA CR, and have requested to bypass the CSA with the REF~2W bypass flag the MVO will be rejected for CSA (CSA Bypass REF~2W not submitted by current CSA CR or no CSA CR exists). This will be a straight duns to duns comparison. | CC2021-798814\_24814\_25 |
|  | In the event the Move Out with the REF~2W bypass flag passes validation, ERCOT will process the Move Out as a straight Move Out and will send the 814\_24 to the TDSP. ERCOT will not treat this as a Move Out to CSA. | RMGRR16911.211.4 |
|  | If a Move Out (814\_24) contains the REF~1P~B44 bypass code, ERCOT will not validate if the CR has an Active CSA relationship or pending CSA relationship. ERCOT will always treat the Move Out containing only the REF~1P~B44 bypass code as a straight Move Out and send the 814\_24 to the TDSP bypassing any CSAs. | RMGRR16911.211.4 |
|  | If a Move Out (814\_24) contains both the REF~1P~B44 and the REF~2W bypass codes, ERCOT will validate if the CR has an Active CSA relationship or pending CSA relationship at the time of the Move Out requested date.In the event they are not the CSA CR, or scheduled to be the CSA CR, and have included the REF~2W bypass flag in addition to the REF~1P~B44, the MVO will be rejected for CSA (CSA Bypass REF~2W not submitted by current CSA CR or no CSA CR exists).  | CC2012-798814\_25 |
|  | In the event a Move Out (814\_24) contains the REF~2W bypass code and there is no current CSA CR and there is not a pending CSA CR, the Move Out will be rejected for CSA (CSA Bypass REF~2W not submitted by current CSA CR or no CSA CR exists).  | CC2012-798814\_25 |

## Switches rejected for NFI

From ERCOT Retail Market Guide, Section 11:2.1.1 ERCOT Operating Rule 1 for Rejection: Same Day Scheduled Meter Read Date

*11.2.1.1 ERCOT Operating Rule 1 for Rejection: Same Day Scheduled Meter Read Date*

*…*

*(2) For a standard Switch Request, the First Available Switch Date (FASD) will be used for the evaluation. In the event there is already a standard Switch Request scheduled that does not have a Cancel Pending status and for which the SMRD is later than or equal to the FASD on the second standard Switch Request, the standard switch will be rejected for Not First In (NFI).*

| **Requirement ID** | **Description** | **Traceability** |
| --- | --- | --- |
| 1.
 | ERCOT will begin rejecting Standard Switches for Not First In (NFI) | RMGRR169 |
|  | If a standard switch request is received at ERCOT on an ESIID where there is a scheduled Move In with the SMRD equal to FASD of the standard switch, the standard switch will be rejected for NFI. | RMGRR169 |
|  | If a standard switch request is received at ERCOT on an ESIID where there is a scheduled Move Out with the SMRD equal to FASD of the standard switch, the standard switch will be rejected for NFI. | RMGRR169 |

## Add new values for County and Metered Service Type

From ERCOT Protocols, Section 15.4.1.4: New Electric Service Identifier Creation

*15.4.1.4 New Electric Service Identifier Creation*

*(1) Since it is anticipated that the ESI ID will be based on the existing TDSP account or Premise numbers (with a prefix identifying the TDSP), the TDSP will assign and submit to the registration database ESI IDs for new Premises as service is extended to them. TDSPs that opt in after the market startup will be responsible for the creation of ESI IDs for all existing Service Delivery Points in their service territory.*

*…*

*(b) Service Address; city, state, zip, county;*

From ERCOT Protocols, Section 15.4.1.5: ESI ID Maintenance

*15.4.1.5 ESI ID Maintenance*

*(1) The TDSP will notify ERCOT of any changes in information related to an ESI ID for which it is responsible. The TDSP will send changes to ERCOT using the 814\_20, ESI ID Maintenance Request. ERCOT will respond to the TDSP within four Retail Business Hours, using the 814\_21, ESI ID Maintenance Response. In addition, ERCOT will send all affected CRs notice of the changes using the 814\_20 transaction. The TDSP is responsible for the following data elements:*

*(a) Service Address; city, state, zip, county;*

*…*

*(o) Metered service type, description (if provided).*

### Adding/Updating County and Metered Service type

| **Requirement ID** | **Description** | **Traceability** |
| --- | --- | --- |
| 1.
 | To assist with weather moratoriums 2 new data elements will be added to the N4 (Customer Service Address) in the following transactions 814\_04, 814\_05, 814\_14, 814\_20 and 814\_22 to support the new value for County* Add the code CO to the N405 as Must Use
* Add the N406 as an Alpha Numeric Must Use field to communicate the county name listed on NOAA. The TDSP should not include the word “COUNTY” in this element
 | CC2020-821 *814\_04**814\_05**814\_14**814\_20**814\_22* |
| 1.
 | In order to update ERCOT’s database with the appropriate County Name, ERCOT will populate historical data from an initial load contained in a flat file provided by the TDSPs.This file will be sent by the TDSPs to ERCOT utilizing MarkeTrak the week of TX SET V5.0 implementation (prior to 12 pm on the Friday of implementation weekend) and loaded during the weekend of implementation. MarkeTrak type shall be D2D with a subtype of Projects. All ESIID from the affected TDSPs, with the exception of retired ESIIDs, will not receive 814\_20s containing the County. Any further update will be done with 814\_20s and CRs and ERCOT are expected to process 814\_20s post implementation in order to update this information. The creation, submission and processing of this flat file is limited to only this Texas SET 5.0 task for production implementation by both ERCOT and TDSPs. File naming convention ERCOT list: **TDSPDUNS\_COUNTYNAME\_YYYYMMDDHHMMSS.txt**Ex. ESIID12345,HARRIS ESIID23456,DALLAS ESIID45678,DUVAL ESIID56789,FRANKLIN**Note:  ERCOT’s flat file will contain a list of all the TDSPs ESI IDs as of date and timestamp when COUNTYNAME file was created by the TDSP. Excluding all Retired ESI IDs.**TDSP ESI ID extract should be available the first day following Texas SET 5.0 go-live | SCR823 |
|  | An optional REF segment will be added to the 814\_04, 814\_05, 814\_14, 814\_20 and 814\_22 transactions to communicate the Metered Service TypeREF~MSL values * M01 through M44

Only 1 REF~MSL segment shall be submitted per transaction. | CC2021–831*814\_04**814\_05**814\_14**814\_20**814\_22* |
|  | Add a new Reason for Change REFMSL (Change Metered Service Type) to the REF~TD segment (in the NM1 loop) of the 814\_20 Maintain ESI ID transaction. | CC2021–831*814\_20* |
|  | Metered Service Type will be populated on a going forward basis.  | NPRR 1095NP15.4 |

### County and Metered Service type on MIS and TDSP ESIID Extract

From ERCOT Protocols, Section 15.2: Database Queries:

*15.2 Database Queries*

*(1) Market Participants may obtain information from ERCOT to determine or to verify the Electric Service Identifier (ESI ID) for a Service Delivery Point. The following information can be obtained through a database query, an extract, or an Application Programming Interface (API) on the ERCOT website:*

*…*

*(p) County; and*

*(q) Metered service type, description (if provided).*

|  |  |  |
| --- | --- | --- |
| **Requirement ID** | **Description** | **Traceability** |
|  | Allow Market Participants to view the County when querying Electric Service Identifiers (ESI IDs) through the Find ESIID look-up function on the MIS. The County will display in the ‘ESI ID Detail’ screen with the county provided by the TDSP. The County will be updated at ERCOT upon processing of an 814\_20 Add or Maintain from the TDSP containing the N405 and N406 | NPRR 1095NP15.2CC2020-821 *814\_20* |
|  | Update the Find ESIID API to return the County associated with the ESI ID.  | NPRR 1095NP15.2 |
|  | Add a column to the TDSP ESI ID Extract to provide the County for the ESIID. An updated DDL will be provided to MPs that use the API. | NPRR 1095NP15.2 |
|  | Allow Market Participants to view the County when viewing the Transaction Summary from Find Transactions for the 814\_20.The County will display in the Details: 814\_20 | NPRR 1095NP15.2 |
|  | Update the Find Transaction API to return the County. | NPRR 1095NP15.2 |
|  | Allow Market Participants to view the Metered Service Type and description (if provided) when querying Electric Service Identifiers (ESI IDs) through the Find ESIID look-up function on the MIS. The Metered Service Type and description (if provided) will display in the ‘ESI ID Detail’ screen with the Metered Service type provided by the TDSP. The Metered Service Type and description (if provided) will be updated at ERCOT upon processing of an 814\_20 Add or Maintain from the TDSP containing the REF~MSL | NPRR 1095NP15.2CC2021–831*814\_20*NPRRxxxx |
|  | Update the Find ESIID API to return the Metered Service Type and description (if provided) associated with the ESIID.  | NPRR 1095NP15.2NPRRxxxx |
|  | Add a column to the TDSP ESI ID Extract to provide the Metered Service Type and description (if provided) for the ESIID. An updated DDL will be provided to MPs that use the API. | NPRR 1095NP15.2NPRRxxxx |
|  | Metered Service Type will be populated on a going forward basis.  | NPRR 1095NP15.2 |
|  | Allow Market Participants to view the Metered Service and description (if provided) Type when viewing the Transaction Summary from Find Transactions for the 814\_20.The Metered Service Type will display in the Details: 814\_20 | NPRR 1095NP15.2NPRRxxxx |
|  | Update the Find Transaction API to return the Metered Service Type and description (if provided). | NPRR 1095NP15.2NPRRxxxx |

## Inadvertent Changes

### Inadvertent Changes

From ERCOT Retail Market Guide, Section 7.3.4: Transmission and/or Distribution Service provide Inadvertent Gain Process

*7.3.4 Transmission and/or Distribution Service Provider Inadvertent Gain Process*

*(1) Once a TDSP receives the backdated 814\_16, Move In Request, with the Inadvertent Gain/Loss indicator “IA” found in the BGN07 field, the TDSP will complete the Move-In Request and send the 867\_04, Initial Meter Read, to the Losing CR and the 867\_03,* *Monthly or Final Usage, to the Gaining CR.*

*7.3.4.1 Transmission and/or Distribution Service Provider Transaction Processing Rejections*

*(1) If the backdated 814\_16, Move In Request, does not contain the Inadvertent Gain “IA” or Customer Rescission “CR” indicator, the TDSP shall reject the backdated 814\_16 transaction with a reject response of Date in the Past “DIP”.*

*(2) If the backdated 814\_16 transaction includes the Inadvertent Gain “IA” or Customer Rescission “CR” indicator, but the move in date is greater than 150 days in the past, the TDSP shall reject the backdated move in transaction with a reject response of “150”. The TDSP shall not cancel and rebill invoices greater than 150 days in the past from the date that the move in transaction was received. Upon the Competitive Retailer’s receipt of the reject response of “150”, the Competitive Retailer shall take the appropriate action(s) to correct the backdated move in date before resubmitting their transaction to the TDSP.*

*(3) If a third party Competitive Retailer legitimately acquires a previously inadvertently gained ESI ID, the TDSP no longer considers this an inadvertent issue and shall reject the backdated 814\_16 transaction with a reject response of “Leapfrog Scenario - Third Party has Gained or is in the process of Gaining this ESI ID”.*

*(4) If a move out transaction is scheduled or has been completed for an inadvertently gained ESI ID, TDSP shall reject the backdated 814\_16 transaction with a reject response of “Move-Out is Scheduled or has been Completed by the TDSP”.*

| **Requirement ID** | **Description** | **Traceability** |
| --- | --- | --- |
| 1.
 | The following segments must be updated in the 814\_16 to support Inadvertent Gains* BGN~13 (Beginning Segment) will add the code CR to the BGN07 to allow the CR to notify the TDSP the transaction is being used to reverse a Switch due to Customer’s right of Recission.
* BGN~13 (Beginning Segment) will add the code IA to the BGN07 to allow the CR to notify the TDSP the transaction is being used to reverse a Switch or Move In due to an Inadvertent Gain/Loss
 | *CC2021-829**814\_16* |
| 1.
 | The following segments must be updated in the 814\_03 to support Inadvertent Gains* BGN~13 (Beginning Segment) will add the code CR to the BGN07 to allow the CR to notify the TDSP the transaction is being used to reverse a Switch due to Customer’s right of Recission.
* BGN~13 (Beginning Segment) will add the code IA to the BGN07 to allow the CR to notify the TDSP the transaction is being used to reverse a Switch or Move In due to an Inadvertent Gain/Loss
 | *CC2021-829**814\_03* |
|  | The following segments must be updated in the 814\_04 to support Inadvertent Gains* BGN~13 (Beginning Segment) will add the code CR to the BGN07 to allow the CR to notify the TDSP the transaction is being used to reverse a Switch due to Customer’s right of Recission.
* BGN~13 (Beginning Segment) will add the code IA to the BGN07 to allow the CR to notify the TDSP the transaction is being used to reverse a Switch or Move In due to an Inadvertent Gain/Loss
 | *CC2021-829**814\_04* |
|  | The following segments must be updated in the 814\_05 to support Inadvertent Gains* BGN~13 (Beginning Segment) will add the code CR to the BGN07 to allow the CR to notify the TDSP the transaction is being used to reverse a Switch due to Customer’s right of Recission.
* BGN~13 (Beginning Segment) will add the code IA to the BGN07 to allow the CR to notify the TDSP the transaction is being used to reverse a Switch or Move In due to an Inadvertent Gain/Loss
 | *CC2021-829**814\_05* |
|  | Add a new reject code “150” to the 814\_04 and 814\_05 REF~7G segment to allow the TDSP to reject a Move In Date greater than 150 days in the past. Upon processing of an 814\_04 Reject with code “150” at ERCOT, the Move In order will be updated to Cancelled/Rejected by TDSP and an 814\_05 Reject with REF~7G~150 is forwarded to the requesting REP. The “150” reject code is only valid on a Move In where the BGN07 is either CR or IA. 814\_04 transactions containing the reject code of “150” that do not contain a BGN07 of CR or IA will fail for mapping at ERCOT.  | CC2021-832814\_04814\_05 |
|  | Add a new reject code “LFG” to the 814\_04 and 814\_05 REF~7G segment to allow the TDSP to reject a Move In where a 3rd party has gained or is in the process of gaining the ESI ID. Upon processing of an 814\_04 Reject with code “LFG” at ERCOT, the Move In order will be updated to Cancelled/Rejected by TDSP and an 814\_05 Reject with REF~7G~LFG is forwarded to the requesting REP. The “LFG” reject code is only valid on a Move In where the BGN07 is either CR or IA. 814\_04 transactions containing the reject code of “LFG” that do not contain a BGN07 of CR or IA will fail for mapping at ERCOT.  | CC2021-832814\_04814\_05 |
|  | Add a new reject code “MVO” to the 814\_04 and 814\_05 REF~7G segment to allow the TDSP to reject a Move In where a Move Out is scheduled or has been completed by the TDSP. Upon processing of an 814\_04 Reject with code “MVO” at ERCOT, the Move In order will be updated to Cancelled/Rejected by TDSP and an 814\_05 Reject with REF~7G~MVO is forwarded to the requesting REP. The “MVO” reject code is only valid on a Move In where the BGN07 is either CR or IA. 814\_04 transactions containing the reject code of “MVO” that do not contain a BGN07 of CR or IA will fail for mapping at ERCOT.  | CC2021-832814\_04814\_05 |

### Inadvertent Changes for MIS

| **Requirement ID** | **Description** | **Traceability** |
| --- | --- | --- |
|  | Update the Create Move In on the MIS, to allow Market Participants to select the optional Right of Recission or Inadvertent Gain/Loss. |  |
|  | Allow Market Participants to view if the Right of Recission or the Inadvertent Gain/Loss was submitted when viewing the Transaction Summary from Find Transactions for the 814\_16, 814\_03, 814\_04 and 814\_05 transactions. |  |

## New Reject Codes and Reject Reasons

### New Reject Codes and Reject Reasons

| **Requirement ID** | **Transactions Impacted** | **Description** | **Traceability** |
| --- | --- | --- | --- |
| 1.
 | 814\_02814\_04814\_05814\_11814\_13814\_17814\_19814\_25 | Add the reject code 090 “Greater than 90 in the future” as a valid reject code in the REF02 of the REF~7G (Rejection Reason) in the following transactions:* 814\_02
* 814\_04
* 814\_05
* 814\_11
* 814\_13
* 814\_17
* 814\_19
* 814\_25

This reject code will be used by ERCOT or the TDSP to reject transactions requesting more than 90 days in the future.  | CC2021-830 |
|  | 814\_02814\_04814\_05814\_11814\_13814\_17814\_19814\_25 | Add the reject code 270 “Greater than 270 in the past” as a valid reject code in the REF02 of the REF~7G (Rejection Reason) in the following transactions:* 814\_02
* 814\_04
* 814\_05
* 814\_11
* 814\_13
* 814\_17
* 814\_19
* 814\_25

This reject code will be used by ERCOT or the TDSP to reject transactions requesting more than 270 days in the past. | CC2021-830 |
|  | 814\_04814\_05814\_11814\_25 | Add the reject code A78 “Item or Service Already Established” as a valid reject code in the REF02 of the REF~7G (Rejection Reason) in the following transactions:* 814\_04
* 814\_05
* 814\_11
* 814\_25

This reject code will be used by the TDSPs to reject an order where the Item or Service is already established. A78 “Item or Service Already Established” is a valid reject code in the 814\_09 and 814\_13 and could be used by the TDSPs in the event the order has already been complete or cancelled. | CC2021-830 |
|  | 814\_04814\_05814\_11814\_25 | Add the reject code CCL “Critical Care or Critical Load” as a valid reject code in the REF02 of the REF~7G (Rejection Reason) in the following transactions:* 814\_04
* 814\_05
* 814\_11
* 814\_25

This reject code will be used by the TDSPs to reject a Move Out where the premise has Critical Care or Critical Load.  | CC2021-830 |
|  | 814\_04814\_05814\_11814\_13814\_25 | Add the reject code DIP “Date In Past” as a valid reject code in the REF02 of the REF~7G (Rejection Reason) in the following transactions:* 814\_04
* 814\_05
* 814\_11
* 814\_25

Remove ‘MIMO Rules, ERCOT 24’ from the DIP of the REF02 of the REF~7G (Rejection Reason) in the 814\_13 to allow the TDSP to reject a Date Change with a requested date in the past. This reject code will be used by the TDSPs to reject an 814\_03, 814\_12 or 814\_24 with a requested date in the past.  | CC2021-830 |
|  | 814\_04814\_25 | Add the reject code I2M “Invalid Second Move Out” as a valid reject code in the REF02 of the REF~7G (Rejection Reason) in the following transactions:* 814\_04
* 814\_25

This reject code will be used by the TDSPs to reject Move Outs or Move Out to CSAs where a second Move Out request received that is invalid. (This excludes Move Outs that contain the 2MR). | CC2021-830 |
|  | 814\_04814\_05 | Add the reject code NFI “Not First In” as a valid reject code in the REF02 of the REF~7G (Rejection Reason) in the following transactions:* 814\_04
* 814\_05
* (NFI is already valid on 814\_25)

REF03 is required when using NFI. This reject code will be used by the TDSPs to reject orders where more than one Move In or Switch was received. | CC2021-830 |
|  | 814\_04814\_05814\_11814\_25 | Add the reject code NVS “No Valid Safety Net” as a valid reject code in the REF02 of the REF~7G (Rejection Reason) in the following transactions:* 814\_04
* 814\_05
* 814\_11
* 814\_25

This reject code will be used by the TDSPs to reject orders where a valid safety net was not received.  | CC2021-830 |
|  | 814\_04814\_05814\_11 | Add the reject code PCI “Priority Code Invalid” as a valid reject code in the REF02 of the REF~7G (Rejection Reason) in the following transactions:* 814\_04
* 814\_05
* 814\_11

This reject code will be used by the TDSPs to reject orders where the priority code is not valid for the TDSP.  | CC2021-830 |
|  | 814\_04814\_11 | Allow SNP “Safety Net Pending” on AcquisitionsThis reject code will be expanded to allow TDSPs to reject Acquisition Transfers (BGN07 = AQ) as well as Mass Transitions (BGN07 = TS) | CC2021-830 |
|  | 814\_04814\_05 | Add the reject code TMI “Invalid Move In on Temporary Service” as a valid reject code in the REF02 of the REF~7G (Rejection Reason) in the following transactions:* 814\_04
* 814\_05

This reject code will be used by the TDSPs to reject Move Ins due to temporary service.  | CC2021-830 |
|  | 814\_09 | Add the reject code SOP “Service Order Pending” as a valid code in the REF02 of the 814\_09 in the REF~7G (Rejection Reason).This reject code will be used by the TDSPs to reject a request to cancel due to Subsequent Order Pending. | CC2021-830 |
|  | 814\_13 | Add the reject code DCI “Date Change Request Ineligible” as a valid code in the REF02 of the 814\_13 in the REF~7G (Rejection Reason).This reject code will be used by the TDSPs to reject an invalid date change.  | CC2021-830 |
|  | 814\_13 | Add the reject code DNS “Date Change Not available on Switch” as a valid code in the REF02 of the 814\_13 in the REF~7G (Rejection Reason).This reject code will be used by ERCOT to reject a Date Change Request received on a Switch. | CC2021-830 |
|  | 814\_13 | Add the reject code RSD “Received Scheduled Date” as a valid code in the REF02 of the 814\_13 in the REF~7G (Rejection Reason).This reject code will be used by the TDSPs to reject a Date Change Request that was received on the same business day as the requested change date.  | CC2021-830 |
|  | 814\_19 | Add the reject code NCC “No Current CSA” as a valid code in the REF02 of the 814\_19 in the REF~7G (Rejection Reason).This reject code will be used by ERCOT to reject a CSA Delete received where there is no Active CSA.  | CC2021-830 |
|  | 814\_21 | Add the reject code ERS “ESI ID already Exists in Registration System” as a valid code in the REF02 of the 814\_21 in the REF~7G (Rejection Reason).This reject code will be used by ERCOT to reject an 814\_20 Add where the ESIID already exists in ERCOT’s registration system.  | CC2021-830 |
|  | 814\_21 | Add the reject code IIC “Invalid Interconnection Point” as a valid code in the REF02 of the 814\_21 in the REF~7G (Rejection Reason).This reject code will be used by ERCOT to reject an 814\_20 Maintain with an invalid Standard Interconnection Point.  | CC2021-830 |
|  | 814\_21 | Add the reject code RDF “Read Dates in Future” as a valid code in the REF02 of the 814\_21 in the REF~7G (Rejection Reason).This reject code will be used by ERCOT to reject an 814\_20 with an Effective Date of Change (DTM~152) or End Date for ESI ID (DTM~197) with a date in the future.  | CC2021-830 |
|  | 814\_21 | Add the reject code SND “Status Not De-Energized” as a valid code in the REF02 of the 814\_21 in the REF~7G (Rejection Reason).This reject code will be used by ERCOT to reject an 814\_20 delete where the ESIID has open orders or the ESIID status is not de-energized. | CC2021-830 |
|  | 814\_27 | Add the reject code A84 “Invalid Relationship” as a valid code in the REF02 of the 814\_27 in the REF~7G (Rejection Reason).This reject code will be used by the TDSPs to reject a historical usage request where the CR does not have a valid relationship with the customer. | CC2021-830 |
|  | 814\_29 | Add the reject code TNR “Transaction Not In Review” as a valid code in the REF02 of the 814\_29 in the REF~G7 (Complete Unexecutable Reason).This reject code will be used by ERCOT when an 814\_28(PT) is received on an order where the status is not In Review.  | CC2021-830 |
|  | 814\_02814\_11814\_17814\_25 | Remove ‘MIMO Rules, ERCOT 1’ from, the REF~7G (Rejection Reason) of the following reject codes* NFI “Not First In”

in the following transactions:* 814\_02
* 814\_11
* 814\_17
* 814\_25

This will allow the TDSP to send the NFI reject on the 814\_25 or the 814\_04 on a Move Out to CSA. As well as remove the MIMO Rules language.  | CC2021-830CC2022-837 |
|  | 814\_02 | Remove ‘MIMO Rules, ERCOT 1’ from, the REF~7G (Rejection Reason) of the following reject codes* UNS “Unable to Schedule”

in the following transaction:* 814\_02

This is a cleanup of the Implementation Guides to remove MIMO Rules reference.  | CC2021-830 |
|  | 814\_02814\_04814\_05814\_11814\_13814\_25 | Remove ‘MIMO Rules, ERCOT 3’ from, the REF~7G (Rejection Reason) of the following reject codes* SCP “Schedule Conflict Pending”

in the following transactions:* 814\_02
* 814\_04
* 814\_05
* 814\_11
* 814\_13
* 814\_25

Which will allow for both the TDSP and ERCOT to use this reject and be sent to the CR. | CC2021-830 |
|  | 814\_02 | Remove ‘MIMO Rules, ERCOT 4’ from, the REF~7G (Rejection Reason) in the following reject codes* MAR “Move In Already Received”

in the following transaction:* 814\_02

This is a cleanup of the Implementation Guides to remove MIMO Rules reference.  | CC2021-830 |
|  | 814\_02814\_04814\_05814\_11814\_25 | Remove ‘MIMO Rules, ERCOT 4’ from, the REF~7G (Rejection Reason) in the following reject codes* SBD “Scheduled to be De-energized”

in the following transactions:* 814\_02
* 814\_04
* 814\_05
* 814\_11
* 814\_25

The removal of MIMO Rules, ERCOT 4 will allow for the TDSP to use this reject in the 814\_04.The 814\_25 will remain ERCOT use only. | CC2021-830 |
|  | 814\_04814\_05814\_25 | Remove ‘MIMO Rules, ERCOT 24’ from, the REF~7G (Rejection Reason) of the following reject codes* IBO “Invalid Backdate Originator”

in the following transactions:* 814\_04
* 814\_05
* 814\_25

Which will allow for both the TDSP and ERCOT to use this reject and be sent to the CR. | CC2021-830 |
|  | 814\_02814\_17814\_19814\_21814\_25814\_27 | Remove ‘MIMO Rules, ERCOT 27’ from, the REF~7G (Rejection Reason) in the following reject codes* DOT “Duplicate Original Transaction ID”

in the following transactions:* 814\_02
* 814\_17
* 814\_19
* 814\_21
* 814\_25
* 814\_27
* 814\_29

This reject code will remain an ERCOT Use Only. This update is to remove the reference to MIMO Rules from the Texas SET Implementation Guides.  | CC2021-830 |
|  | 814\_02814\_09814\_17814\_19814\_21814\_25814\_27 | Remove ‘MIMO Rules, ERCOT 27’ from, the REF~7G (Rejection Reason) in the following reject codes* DUP “Duplicate”

in the following transactions:* 814\_02
* 814\_09
* 814\_17
* 814\_19
* 814\_21
* 814\_25
* 814\_27
* 814\_29

This reject code will remain an ERCOT Use Only. This update is to remove the reference to MIMO Rules from the Texas SET Implementation Guides. | CC2021-830 |
|  | 814\_09814\_13 | Remove ‘Used by ERCOT Only’ and add the ability for the TDSP to send the CW1 “Cannot Cancel on the Day of Scheduled Meter Read Date or in the past” reject code in the REF~7G (Rejection Reason) in the following transactions* 814\_09
* 814\_13

Which will allow for both the TDSP and ERCOT to use this reject and be sent to the CR. | CC2021-830 |
|  | 814\_13 | Remove ‘MIMO Rules, ERCOT 22’ from the REF~7G (Rejection Reason) of the ICL ‘Iteration Count Lower’ code of the 814\_13 to allow the TDSP to submit this reject | CC2021-830 |

## Sync MIS API and GUI

From ERCOT Protocols, Section 15 Customer Registration:

1. *Market Participants may obtain information from ERCOT to determine or to verify the Electric Service Identifier (ESI ID) for a Service Delivery Point. The following information can be obtained through a database query, an extract, or an Application Programming Interface (API) on the ERCOT website:*

| **Requirement ID** | **Description** | **Traceability** |
| --- | --- | --- |
|  | Update ERCOT Retail API to return the same data as the Retail MIS GUI | *NPRR1095* |

## Texas SET Change Controls

| **Requirement ID** | **Transactions****Impacted** | **Description** | **Change Control # /Traceability** |
| --- | --- | --- | --- |
|  | 814\_20 (Add) | Make the "Unmetered Service Type" found in the REF~PRT segment "Optional" for the TDSP when sending the 814\_20 Create transaction. | CC2011-794 |
| 1.
 | 814\_04814\_05 | Add the Status Reason “CHP” (Construction Hold Pending) to the 814\_04 and 814\_05 of the REF~1P (Status Reason)  | CC2019-809 |
|  | 650\_01650\_02 | Update the 650\_01 and 650\_02 transactions to add 3 new codes to the REF02 of the REF~8X (Purpose Code)* DC006 will be added to request a Disconnect Premise Due to Safety, Weather related or Emergency Condition(s). Used by a CR to request TDSP disconnect Premise due to safety, weather related or emergency condition.
* RC006 will be added to request a Reconnect Premise After Safety, Weather related or Emergency Conidiations No Longer Exist. Where applicable City Permit will be required before Premise can be reconnected by the TDSP.
* RC007 will be added to request a Reconnect Premise after Corrections Made to Resolve Service Standards Clearance Violation(s). The MTX segment will be used by CR to explain what the Customer did to resolve the Service Standards Clearance Violation(s).
 | CC2020-815CC2020-816 |
|  | 650\_01650\_02 | Update the 650\_01 and 650\_02 transactions to update 3 codes in the REF02 of the REF~8X (Purpose Code)* RC002 is to be used where applicable City Permit will be required before Premise can be reconnected by the TDSP.
* RC003 will now reflect the use for Reconnect Premise to be used by the current REP of Record to restore service at the Premise when the current REP of Record wasn’t the disconnecting REP. Where applicable City Permit will be required before Premise can be reconnected by the TDSP.
* RC004 the CR is required to use the MTX segment to explain what the Customer did to resolve the access issue.
 | CC2020-815CC2020-816 |
|  | 650\_02 | Update the 650\_02 transaction to add 3 new codes to the REF02 of the REF~G7 (Complete Unexecutable Reason)* J009 – Distributed Generation (DG) Premise requires ATS and signed Interconnection Agreement. TDSP requires Automatic Transfer Switch (ATS) Installation and Customer needs to sign TDSP Interconnection Agreement for DG equipment.
* S004 – Service Standards Clearance Violation. Requires explanation in REF03.
* U007 – Service Standards Clearance Violation. Requires explanation in REF03.
 | CC2020-816 |
|  | 650\_04 | Update the 650\_04 transaction to clarify the “R8” (Terminate) code located in the BGN08 of the BGN~13. The TDSP will use this code to indicate that the ESI ID is permanently suspended and that the CR will need to submit an 814\_24 (Move Out) transaction with REF~1P = B44 (Remove Meter and Service Drops and will bypass CSA, if one exists) so this ESI ID may be Retired by TDSP.  | CC2020-817 |
|  | 650\_04 | Update the 650\_04 to add 4 new codes to the REF~5H (Suspension/Reactivation Code)* DC006 will be added to request a Disconnect Premise Due to Safety, Weather related or Emergency Condition(s). Used by a CR to request TDSP disconnect Premise due to safety, weather related or emergency condition.
* DC007 will be added to request a Disconnected Premise due to Service Standards Clearances Violation(s). The TDSP will provide additional details pertaining to Service Standards Clearance Violations in the MTX segment of this transaction.
* RC006 will be added to request a Reconnect Premise After Safety, Weather related or Emergency Conidiations No Longer Exist. TDSP reconnected Premise after safety, weather related, or emergency conditions no longer exist. Where applicable City Permit will be required before Premise can be reconnected by the TDSP.
* RC007 will be added to request a Reconnect Premise after Service Standards Clearance Violation(s) was resolved.
 | CC2020-817 |
|  | 650\_04 | Update the 650\_04 gray box of the REF~MG (Meter Number) to remove incorrect information. | CC2020-817 |
|  | 650\_04 | Update the 650\_04 to require the DTM~139 (Actual Completion or Estimated Restoration Date/Time) when the BGN08=79 (Reactivate) and REF~5H = RC006 (Reconnected Premise after Safety, Weather related or Emergency Conditions No Longer Exist). TDSP will provide actual Date/Time when restoration of service to Premise was completed.  | CC2020-817 |
|  | 650\_04 | Update the 650\_04 to require the DTM~139 (Actual Completion or Estimated Restoration Date/Time) when the BGN08=79 (Reactivate) and REF~5H = RC007 (Reconnected Premise after Service Standards Clearance Violation(s) were Resolved). TDSP will provide actual Date/Time when restoration of service to Premise was completed.  | CC2020-817 |
|  | 650\_04 | Update the 650\_04 to require the MTX~ (Comments) when the BGN08 = 79 (Reactivate) and REF~5H = RC007 (Reconnected Premise after Service Standards Clearance Violation(s) were Resolved). TDSP will use “DEP” to provide Service Standards Clearance Violation(s) details in the “MTX02” data field. | CC2020-817 |
|  | 814\_28 | Update the 814\_28 to add 3 new codes to the REF~G7 (Complete Unexecutable Reason)* J009 – Distributed Generation (DG) Premise requires ATS and signed Interconnection Agreement. TDSP requires Automatic Transfer Switch (ATS) Installation and Customer needs to sign TDSP Interconnection Agreement for DG equipment.
* S004 – Service Standards Clearance Violation. Requires explanation in REF03.
* U007 – Service Standards Clearance Violation. Requires explanation in REF03.
 | CC2020-818 |
|  | 814\_20 | Update the NM108 of the NM1 (Meter Level Information) to include the code “93”. The code is used when Meter has NOT been installed, Meter information is unavailable or Meter has been removed from the Premise by the TDSP. Used when NM109 contains “ALL”, “UNMETERED” OR “NONE”Update the NM109 of the NM1 (Meter Level Information) gray box to reflect NONE – when the TDSP has NOT installed the Meter. Meter information is unavailable, or Meter has been removed from the Premise by the TDSP.  | CC2020-819 |
|  | 814\_20 | Update the 814\_20 for the REF~4P (Meter Multiplier) when the NM101 = MX (Meter Exchange) * the REF~4P is required when changing the Meter Multiplier (REF~TD~REF4P).
* the REF~4P is not required when NM108 = 93 and NM109 = ‘NONE’ or ‘UNMETERED’
* The REF~4P will not be provided in the NM1 loop for UNMETERED services.

Update the 814\_20 for the REF~4P (Meter Multiplier) when the NM101 = MQ (Meter Information) * The REF~4P is required when changing the Load Profile (REF~TD~REFLO) and Meter Information is known (NM108 = 32 and NM109 = 123456789 (Meter Number)).
 | CC2020-819 |
|  | 814\_20 | Update the 814\_20 for the REF~IX (Number of Dials) when the NM101 = MX (Meter Exchange) * the REF~IX will not be provided in the NM1 loop if service type is ‘UNMETERED’ or Demand
* the REF~ IX is will not be provided when NM108 = 93 and NM109 = ‘NONE’ or ‘UNMETERED’
* The REF~ IX will not be provided in the NM1 loop for UNMETERED services.

Update the 814\_20 for the REF~IX (Number of Dials) when the NM101 = MQ (Meter Information) * The REF~IX is required only if changing the number of dials
 | CC2020-819 |
|  | 814\_01814\_03814\_16 | Add a new optional PER segment of PER~PO to the 814\_01, 814\_03 and 814\_16 transactions to communicate Power Outage Contact Information. Only one PER~PO segment can be sent per transaction.   | CC2020-827 |
|  | 650\_01650\_02 | Update the 650\_01 and 650\_02 transactions to add 1 new code to the REF02 of the REF~8X (Purpose Code)* RC008 will be added to request a Reconnect Premise after Correction(s) were completed to Customer’s Distributed Generation Equipment, which may include Auto Transfer Switch (ATS) corrections and/or Customer has signed Interconnection Agreement.
 | CC2021–834 |
|  | 650\_02 | Update the 650\_02 transactions to add 2 new codes to the REF02 of the REF~G7 (Complete Unexecutable Reason)* J010 – Auto Transfer Switch (ATS) Not Approved – (Emergency Back-Up Generator(s) (with open transition) that have not received a Design Approval for the installation.)
* J011 – Distributed Generation (DG) Auto Transfer Switch (ATS) Disconnect Not Approved – (For Inverter(s), Synchronous Generator(s) or Induction Generator(s) that parallel with the Utility Grid (that are closed transition) and have not received Design Approval for the installation.)
 | CC2021–834 |
|  | 650\_04 | Update the 650\_04 transaction to add 4 new codes to the REF02 of the REF~5H (Suspension/Reactivation Code)* DG001 – Disconnected Premise due to Distributed Generation (DG) Equipment requires Auto Transfer Switch (ATS) and signed Interconnection Agreement. (TDSP requires Automatic Transfer Switch (ATS) Installed and Customer needs to sign TDSP Interconnection Agreement for DG equipment.)
* DG002 – Disconnected Premise due to Auto Transfer Switch (ATS) Not Approved – (Emergency Back-Up Generator(s) (with open transition) that have not received a Design Approval for the installation.)
* DG003 – Disconnected Premise due to Distributed Generation (DG) Auto Transfer Switch (ATS) Disconnect Not Approved – (For Inverter(s), Synchronous Generator(s) or Induction Generator(s) that parallel with the Utility Grid (that are closed transition) and have not received Design Approval for the installation.)
* RC008 – Reconnected Premise after Correction(s) were completed to Distributed Generation Equipment, which may include Auto Transfer Switch corrections and/or Customer signed Interconnection Agreement.
 | CC2021–834 |
|  | 650\_04 | Update the 650\_04 to require the DTM~139 (Actual Completion or Estimated Restoration Date/Time) when the BGN08 = 79 (Reactivate) and REF~5H = RC008 (Reconnected Premise after Correction(s) were completed to Distributed Generation Equipment may include Auto Transfer Switch corrections and/or Customer signed Interconnection Agreement. TDSP will provide actual Date/Time when restoration of service to Premise was completed.   | CC2021–834 |
|  | 814\_28 | Update the 814\_28 to add 2 new codes to the REF~G7 (Complete Unexecutable Reason) * J010 – Auto Transfer Switch (ATS) Not Approved – (Emergency Back-Up Generator(s) (with open transition) that have not received a Design Approval for the installation.)
* J011 – Distributed Generation (DG) Auto Transfer Switch (ATS) Disconnect Not Approved – (For Inverter(s), Synchronous Generator(s) or Induction Generator(s) that parallel with the Utility Grid (that are closed transition) and have not received Design Approval for the installation.)
 | CC2021 – 834 |
|  | 810\_02 | Update the BIG07 of the BIG (Beginning Segment for Invoice) for the 810\_02 for the code “26” to match the name identified in the TX SET Guide as a “Miscellaneous Service Invoice”. | CC2021-835 |
|  | 814\_01814\_03814\_04814\_05814\_08814\_12814\_14814\_16814\_18814\_20814\_22814\_24814\_26814\_28 | ERCOT to reject all name fields that contain only a comma or other one character punctuation in the following 814\_01, 814\_03, 814\_04, 814\_05, 814\_08, 814\_12, 814\_14, 814\_16, 814\_18, 814\_20, 814\_22, 814\_24, 814\_26, 814\_28.These will be rejected with A83 which currently exists in all the reject transactions. | CC2021-836CC2020-827 |
| 1.
 | 650\_02 | Update the 650\_02 for the YNQ to remove the RC003 (Reconnect for Customer Requested Clearance) | CC2020-816 |

# Appendices

## Move Out Process Flows

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## Change Management Process

For any future Change Controls submitted by Market Participants and ERCOT prior to TX SET V5.0 implementation, the below process will be followed.

(1) Change Controls should be submitted following the current process using the Texas SET Change Control Request Form located at <http://www.ercot.com/mktrules/guides/txset/>.

(2) The Texas SET Working Group reviews the Change Control request prior to RMS consideration in order to provide a Texas SET Working Group recommendation to RMS. Change Controls will be discussed at the Texas SET meeting following submittal if the initiator or a company representative sponsoring the change control is present for the discussion, either in person or via conference call.

(3) For the Texas SET Working Group discussion:

(a) ERCOT will perform a preliminary assessment of potential impacts to ERCOT such as additional costs needed for the change and whether or not there would be an impact to the project schedule. For any Change Controls that are determined to cause an impact to the project budget, this will require approval by the ERCOT Board of Directors.

(b) If the Change Control is determined to be valid and necessary for TX SET V5.0 implementation:

(i) Determine if the Change Control will require a change to Protocol or Retail Market Guide language and a system change. If so, submit a Nodal Protocol Revision Request (NPRR) or Retail Market Guide Revision Request (RMGRR) to change language. An Impact Analysis will be performed for the revision request. Additional costs, if any, will be captured in the Impact Analysis and will ultimately need ERCOT Board approval.

(ii) Determine if the Change Control will require a system change only, such as a change to the Implementation Guides. If so, submit a System Change Request (SCR). An Impact Analysis will be performed for the SCR. Additional costs, if any, will be captured in the Impact Analysis and will ultimately need ERCOT Board approval.

(c) Documentation will need to be provided by Texas SET as to why the change is critical to this implementation. This could include a Cost Benefit Analysis (CBA) discussion depending on the scope of the requested change.

(d) Determine Texas SET Working Group recommendation to RMS following the current Change Control process. If the Change Control is not needed for TX SET V5.0 implementation, it will be recommended for a future version release.

(4) Texas SET Working Group will provide their recommended action on the Change Control to RMS.

(5) If the Change Control is approved by RMS, and if necessary, subsequently approved by the ERCOT Board of Directors via an NPRR, RMGRR or SCR, TX SET V5.0 Requirements will be updated to incorporate the change.