**ERCOT Nodal Protocols**

**Section 19: Texas Standard Electronic Transaction**

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# 19 Texas Standard Electronic Transaction

(1) This Section of the Protocols contains an overview of the purpose and scope of the Texas Standard Electronic Transaction (TX SET), and a series of definitions identifying the use of each transaction. It also refers to the full Texas SET Implementation Guides, which are posted on the ERCOT website.

19.1 Overview

(1) Texas Standard Electronic Transactions (TX SETs) provide the mechanism that enables and facilitates the retail business processes in the deregulated Texas electric market. The Texas SET Implementation Guides and Texas SET Change Control process documents shall be posted on the ERCOT website. The Texas SET Implementation Guides shall serve as the standard for the applicable TX SETs among all Market Participants and ERCOT.

(2) This Section shall cover:

(a) Transactions between Transmission and/or Distribution Service Providers (TDSPs) (refers to all TDSPs unless otherwise specified), Competitive Retailers (CRs) and ERCOT;

(b) Technical Advisory Committee (TAC) subcommittee and ERCOT responsibilities; and

(c) Texas SET Change Control process.

19.2 Methodology

(1) In developing and maintaining the implementation guides, the appropriate Technical Advisory Committee (TAC) subcommittee shall:

(a) Develop standardized transactions, which support documented ERCOT market business requirements across all Market Participants and ERCOT;

(b) Develop Electronic Data Interchange (EDI) transactions using American National Standards Institute Accredited Standards Committee X12 (ANSI ASC X12) standards;

(c) Develop Extensible Markup Language (XML) transactions as needed;

(d) Develop other spreadsheets, templates, comma separated value (CSV) files, etc. as needed;

(e) Follow ‘Best Practices’ as identified in the overall technology market place related to development of Texas Standard Electronic Transactions (TX SETs); and

(f) Develop processes and procedures for the management of changes to TX SETs and the release of new versions of TX SETs.

19.3 Texas Standard Electronic Transaction Definitions

19.3.1 Defined Texas Standard Electronic Transactions

(1) **Service Order Request (650\_01)**

This transaction set:

(a) From the Competitive Retailer (CR) to the Transmission and/or Distribution Service Provider (TDSP) via point to point protocol, is used to initiate the original service order request, cancel request, or change/update request.

(b) For every 650\_01, Service Order Request, there will be a 650\_02, Service Order Response.

(2) **Service Order Response (650\_02)**

This transaction set:

(a) From the TDSP to the CR via point to point protocol, is used to send a response to the CR’s original 650\_01, Service Order Request, that the transaction is complete, complete unexecutable, rejected, or requires a permit.

(b) For every 650\_01 transaction, there will be a 650\_02 transaction.

(3) **Planned or Unplanned Outage Notification (650\_04)**

This transaction set:

(a) From the TDSP to the CR via point to point protocol, is used to notify the CR of a suspension of delivery service or to cancel the suspension of delivery service.

(b) From Municipally Owned Utility/Electric Cooperative (MOU/EC) TDSP to CR via point to point protocol, is used to notify the CR of disconnect/reconnect of delivery service for non-payment of wires charges, unless otherwise indicated in Retail Market Guide Section 8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market.

(4) **Planned or Unplanned Outage Response (650\_05)**

This transaction set is no longer valid as of Texas Standard Electronic Transaction (SET) 4.0.

(5) **TDSP Invoice (810\_02)**

This transaction set:

From the TDSP to the CR via point to point protocol, is an invoice for wire charges as listed in each TDSP tariff (i.e., delivery charges, late payment charges, discretionary service charges, etc.). The 810\_02, TDSP Invoice, may be paired with an 867\_03, Monthly or Final Usage, to trigger the Customer billing process.

(6) **MOU/EC Invoice (810\_03)**

This transaction set:

From the CR to the MOU/EC TDSP via point to point protocol, is an invoice for monthly energy charges, discretionary, and service charges for the current billing period, unless otherwise indicated in Retail Market Guide Section 8.1. The 810\_03, MOU/EC Invoice, will be preceded by an 867\_03, Monthly or Final Usage, to trigger the Customer billing process.

(7) **Maintain Customer Information Request (814\_PC)**

This transaction set:

(a) From a CR to the TDSP via point to point protocol, is used to maintain the information needed by the TDSP to verify the CR’s end use Customer’s identity (i.e., name, address and contact phone number) for a particular point of delivery served by the CR. A CR shall be required to provide TDSP with the information to contact the Customer and to continuously provide TDSP updates of changes in such information.

(b) From the CR to the TDSP via point to point protocol, will be transmitted only after the CR has received the 867\_04, Initial Meter Read, from the TDSP for that specific move in Customer. Also, the CR will not transmit this transaction set and/or provide any updates to the TDSP after receiving the 867\_03, Monthly or Final Usage, final meter read for that specific move out Customer.

(c) From a MOU/EC TDSP to CR via point to point protocol, is used to provide the CR with updated Customer information (name, address, membership ID, home phone number, etc.) for a particular point of delivery served by both the MOU/EC TDSP and the CR and to continuously provide CR updates of such information, unless otherwise indicated in Retail Market Guide Section 8.1.

(8) **Maintain Customer Information Response (814\_PD)**

This transaction set:

From the TDSP to the CR via point to point protocol, or from the CR to MOU/EC TDSP via point to point protocol, unless otherwise indicated in Retail Market Guide Section 8.1, is used to respond to the 814\_PC, Maintain Customer Information Request.

(9) **Switch Request (814\_01)**

This transaction set:

From a new CR to ERCOT, is used to begin the Customer enrollment process for a switch.

(10) **Switch Reject Response (814\_02)**

This transaction set:

From ERCOT to the new CR, is used by ERCOT to reject the 814\_01, Switch Request, based on incomplete or invalid information. This is a conditional transaction and will only be used as a negative response. If the 814\_02, Switch Reject Response, is not received from ERCOT, the new CR will receive the 814\_05, CR Enrollment Notification Response, from ERCOT.

(11) **Enrollment Notification Request (814\_03)**

This transaction set:

(a) From ERCOT to the TDSP, passes information from the 814\_01, Switch Request; 814\_16, Move In Request; or an 814\_24, Move Out Request, where a Continuous Service Agreement (CSA) exists.

(b) The historical usage, if requested by the submitter of the initiating transaction, will be sent using the 867\_02, Historical Usage.

(c) Will be initiated by ERCOT and transmitted to the TDSP in the event of a Mass Transition.

(d) Will be initiated by ERCOT and transmitted to the TDSP in the event of an acquisition transfer.

(12) **Enrollment Notification Response (814\_04)**

This transaction set:

From the TDSP to ERCOT, is used to provide the scheduled meter read date that the TDSP has calculated and pertinent Customer and Premise information in response to an 814\_01, Switch Request; 814\_16, Move In Request; 814\_24, Move Out Request, where a CSA exists initiated by a CR or a Mass Transition or acquisition transfer of Electric Service Identifiers (ESI IDs) initiated by ERCOT. TDSPs will acknowledge the initiating CRs request for historical usage with this transaction but will send the usage using the 867\_02, Historical Usage.

(13) **CR Enrollment Notification Response (814\_05)**

This transaction set:

From ERCOT to the new CR, is essentially a pass through of the TDSP’s 814\_04, Enrollment Notification Response, information. This transaction will provide the scheduled meter read date for the CR’s 814\_01, Switch Request, or 814\_16, Move In Request.

(14) **Loss Notification (814\_06)**

This transaction set:

From ERCOT to the current CR, is used to notify a current CR of a drop initiated by an 814\_01, Switch Request, or drop notification due to a pending 814\_16, Move In Request, from a new CR.

(15) **Loss Notification Response (814\_07)**

This transaction set is no longer valid as of Texas SET 4.0.

(16) **Cancel Request (814\_08)**

This transaction set:

(a) From ERCOT to the TDSP, is used to cancel an 814\_03, Enrollment Notification Request, or an 814\_24, Move Out Request.

(b) From ERCOT to the current CR, is used to cancel an 814\_06, Loss Notification, (forced Move-Out or Switch Request), an 814\_24 transaction, or an 814\_11, Drop Response.

(c) From ERCOT to the new CR, is used to cancel an 814\_01, Switch Request, an 814\_16, Move In Request, or an 814\_14, Drop Enrollment Request.

(d) From the current CR to ERCOT, is used to cancel an 814\_24 transaction.

(e) From the new CR to ERCOT, is used to cancel an 814\_01 or an 814\_16 transaction.

(f) From ERCOT to the CSA CR, is used to cancel an 814\_22, CSA CR Move In Request.

(g) From ERCOT to the requesting CR/Provider of Last Resort (POLR), is used to cancel pending transactions involved in a Mass Transition.

(h) From ERCOT to the gaining CR, is used to cancel pending transaction involved in an acquisition transfer.

(17) **Cancel Response (814\_09)**

This transaction set:

(a) From the TDSP to ERCOT, is used in response to the cancellation of an 814\_03, Enrollment Notification Request, or an 814\_24, Move Out Request.

(b) From the current CR to ERCOT, is no longer valid as of Texas SET 4.0.

(c) From the new CR to ERCOT, is no longer valid as of Texas SET 4.0.

(d) From ERCOT to the current CR, is used in forwarding the response of the Customer cancel of an 814\_24 transaction.

(e) From CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.

(f) From ERCOT to the submitter of an 814\_08, Cancel Request, is used to reject the cancellation request.

(g) From POLR to ERCOT, is no longer valid as of Texas SET 4.0.

(18) **Drop Request (814\_10)**

This transaction set is no longer valid as of March 8, 2007 (Reference Project No. 33025, PUC Rulemaking Proceeding to Amend Commission Substantive Rules Consistent With §25.43, Provider of Last Resort (POLR)).

(19) **Drop Response (814\_11)**

This transaction set:

(a) From ERCOT to the current CR, is sent within one Retail Business Day to notify the CR that the request is invalid.

(b) From ERCOT to the current CR, is used in response to a Mass Transition.

(c) From ERCOT to the current CR, is used in response to an acquisition transition.

(20) **Date Change Request (814\_12)**

This transaction set:

(a) From new CR to ERCOT, is used when the Customer requests a date change to the original 814\_16, Move In Request.

(b) From ERCOT to the current CR, is used for a notification of the date change on the 814\_16 transaction, from the new CR.

(c) From ERCOT to the TDSP, is used for notification of a move in or move out date change request.

(d) From the current CR to ERCOT, is used when the Customer requests a date change to the original 814\_24, Move Out Request.

(e) From ERCOT to the new CR, is used for notification of the date change on the 814\_24 transaction from the current CR.

(f) From ERCOT to the CSA CR, is used for notification of the date change on the 814\_24 transaction only.

(21) **Date Change Response (814\_13)**

This transaction set:

(a) From ERCOT to new CR, is used to respond to the requested date change to the original move in date on the 814\_12, Date Change Request.

(b) From the current CR to ERCOT, is no longer valid as of Texas SET 4.0.

(c) From the CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.

(d) From the TDSP to ERCOT, is used to respond to the requested date change to the original move in or move out date on the 814\_12 transaction.

(e) From ERCOT to the current CR, is used to respond to the requested date change to the original move out date on the 814\_12 transaction.

(f) From the new CR to ERCOT, is no longer valid as of Texas SET 4.0.

(22) **Drop Enrollment Request (814\_14)**

This transaction set:

(a) From ERCOT to the POLR or designated CR, is used in response to a Mass Transition.

(b) From ERCOT to the gaining CR, is used in response to an acquisition transfer.

(23) **Drop Enrollment Response (814\_15)**

This transaction set is no longer valid as of Texas SET 4.0.

(24) **Move In Request (814\_16)**

This transaction set:

From the new CR to ERCOT, is used to begin the Customer enrollment process for a move in.

(25) **Move In Reject Response (814\_17)**

This transaction set:

From ERCOT to the new CR, is used by ERCOT to reject the 814\_16, Move In Request, based on incomplete or invalid information. This is a conditional transaction and will only be used as a negative response. If the 814\_17, Move In Reject Response, is not received from ERCOT, the CR will receive the 814\_05, CR Enrollment Notification Response.

(26) **Establish/Delete CSA Request (814\_18)**

This transaction set:

(a) From the new CSA CR to ERCOT, is used to establish the owner/landlords’ new CSA CR in the registration system.

(b) From the current CSA CR to ERCOT, is used to remove an existing CSA CR from the registration system.

(c) From ERCOT to the current CSA CR, is used for notification that the owner/landlord has selected a new CSA CR.

(d) From ERCOT to the MOU/EC TDSP, is used to validate the CSA relationship information in the MOU/EC TDSP’s system, unless otherwise indicated in Retail Market Guide Section 8.1.

(e) From ERCOT to the MOU/EC TDSP, is used for notification of CSA deletion, unless otherwise indicated in Retail Market Guide Section 8.1.

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| ***[NPRR1168: Replace paragraph (26) above with the following upon system implementation of RMGRR172:]***  (26) **Establish/Change/Delete CSA Request (814\_18)**  This transaction set:  (a) From the new CSA CR to ERCOT, is used to establish the owner/landlords’ new CSA CR in the registration system.  (b) From the current CSA CR to ERCOT, is used to change an existing CSA CR end date.  (c) From the current CSA CR to ERCOT, is used to remove an existing CSA CR from the registration system.  (d) From ERCOT to the current CSA CR, is used for notification that the owner/landlord has selected a new CSA CR.  (e) From ERCOT to the MOU/EC TDSP, is used to validate the CSA relationship information in the MOU/EC TDSP’s system, unless otherwise indicated in Retail Market Guide Section 8.1.  (f) From ERCOT to the MOU/EC TDSP, is used for notification of a change in CSA end date, unless otherwise indicated in Retail Market Guide Section 8.1, Municipally Owned Utility and/or Electric Cooperative Transmission and/or Distribution Service Provider Market.  (g) From ERCOT to the MOU/EC TDSP, is used for notification of CSA deletion, unless otherwise indicated in Retail Market Guide Section 8.1. |

(27) **Establish/Delete CSA Response (814\_19)**

This transaction set:

(a) From ERCOT to the new CSA CR, is used to respond to the 814\_18, Establish/Delete CSA Request, enrolling the new CSA CR in the registration system.

(b) From ERCOT to the current CSA CR, is used to respond to the 814\_18 transaction deleting the current CR from the registration system.

(c) From the current CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.

(d) From the MOU/EC TDSP to ERCOT, is used to provide a response to the 814\_18 transaction, unless otherwise indicated in Retail Market Guide Section 8.1.

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| ***[NPRR1168: Replace paragraph (27) above with the following upon system implementation of RMGRR172:]***  (27) **Establish/Change/Delete CSA Response (814\_19)**  This transaction set:  (a) From ERCOT to the new CSA CR, is used to respond to the 814\_18, Establish/Change/Delete CSA Request, enrolling the new CSA CR in the registration system.  (b) From ERCOT to the new CSA CR, is used to respond to the 814\_18 transaction changing the end date for the current CSA CR in the registration system.  (c) From ERCOT to the current CSA CR, is used to respond to the 814\_18 transaction deleting the current CR from the registration system.  (d) From the current CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.  (e) From the MOU/EC TDSP to ERCOT, is used to provide a response to the 814\_18 transaction, unless otherwise indicated in Retail Market Guide Section 8.1. |

(28) **ESI ID Maintenance Request (814\_20)**

This transaction set:

(a) From the TDSP to ERCOT, is used to initially populate the registration system for conversion/opt-in.

(b) From the TDSP to ERCOT, is used to communicate the addition of a new ESI ID, changes to information associated with an existing ESI ID, or retirement of an existing ESI ID.

(c) From ERCOT to current CR and any pending CR(s), is notification of the TDSP’s changes to information associated with an existing ESI ID.

(29) **ESI ID Maintenance Response (814\_21)**

This transaction set:

(a) From ERCOT to TDSP, is used to respond to the 814\_20, ESI ID Maintenance Request.

(b) From the current CR and any pending CR(s) to ERCOT, is no longer valid as of Texas SET 4.0.

(c) From the new CR to ERCOT, is no longer valid as of Texas SET 4.0.

(30) **CSA CR Move In Request (814\_22)**

This transaction set:

From ERCOT to CSA CR, is used to start a CSA service for the ESI ID.

(31) **CSA CR Move In Response (814\_23)**

This transaction set:

From the CSA CR to ERCOT, is no longer valid as of Texas SET 4.0.

(32) **Move Out Request (814\_24)**

This transaction set:

(a) From the current CR to ERCOT, is used for notification of a Customer’s moveout request.

(b) From ERCOT to the TDSP, is notification of the Customer’s move out request. If a CSA exists on the ESI ID, then the 814\_03, Enrollment Notification Request, is sent instead of the 814\_24, Move Out Request.

(33) **Move Out Response (814\_25)**

This transaction set:

(a) From the TDSP to ERCOT to the current CR, is used to respond to the 814\_24, Move Out Request. If a CSA exists on the ESI ID and ERCOT sent the 814\_03, Enrollment Notification Request, instead of the 814\_24 transaction, the TDSP will then respond with the 814\_04, Enrollment Notification Response.

(b) From ERCOT to the current CR, is used to respond to the 814\_24 transaction.

(34) **Historical Usage Request (814\_26)**

This transaction set:

(a) From the current CR to ERCOT, is used to request the historical usage for an ESI ID.

(b) From ERCOT to the TDSP, it is a pass through of the current CR’s 814\_26, Historical Usage Request.

(35) **Historical Usage Response (814\_27)**

This transaction set:

(a) From the TDSP to ERCOT, is used to respond to the 814\_26, Historical Usage Request.

(b) From ERCOT to the current CR, is a pass through of the TDSP’s response to the 814\_26 transaction.

(36) **Complete Unexecutable or Permit Required (814\_28)**

This transaction set:

(a) For a move out, is from the TDSP to ERCOT, and from ERCOT to the current CR, to notify the current CR the move out was unexecutable. Upon sending this transaction, the TDSP closes the initiating move out transaction. The CR must initiate corrective action and resubmit the Move-Out Request.

(b) For a move in, is from the TDSP to ERCOT, and from ERCOT to the new CR, or the current CR for energized accounts, to notify the CR that the work was complete unexecutable, or that a permit is required. Upon sending this transaction to notify the new CR of a complete unexecutable, the TDSP closes the initiating transaction. The new CR must initiate corrective action and resubmit the Move-In Request.

(c) Upon sending the 814\_28 (PT) transaction to notify the new CR that a permit is required, ERCOT will allow the TDSP 20 Retail Business Days to send the 814\_04, Enrollment Notification Response, due to permit requirements. After the 20 Retail Business Days, if no 814\_04 transaction is received, ERCOT will then issue an 814\_08, Cancel Request. If the move in is cancelled due to permit not received, ERCOT will note the reason in the 814\_08 transaction.

(d) For a switch, is from the TDSP to ERCOT, and from ERCOT to the new CR or current CR, to notify CRs that the work has been complete unexecutable.

(37) **Complete Unexecutable or Permit Required Response (814\_29)**

This transaction set:

(a) From ERCOT to the TDSP to reject the 814\_28, Complete Unexecutable or Permit Required.

(b) From the CR (current CR for a move out or a new CR for a move in) to ERCOT, and from ERCOT to the TDSP is no longer valid as of Texas SET 4.0.

(38) **CR Remittance Advice (820\_02)**

This transaction set:

(a) From the CR to the TDSP, is used as a remittance advice concurrent with a corresponding payment to the TDSP banking institution for a dollar amount equal to the total of the itemized payments in the 820\_02, CR Remittance Advice. This transaction will reference the 810\_02, TDSP Invoice, by ESI ID. If payment and remittance are transmitted together to a financial institution, this implementation guide may be used as a baseline for discussion with the payer’s financial institution. All “must use” fields in the 820\_02 transaction must be forwarded to the payer’s financial institution and be supported by the payee’s financial institution.

(b) A single payment sent via the bank and a single remittance sent to the TDSP can include multiple invoices, however a one to one correlation must exist between the payment submitted to the bank and the corresponding remittance advice to the TDSP.

(39) **MOU/EC Remittance Advice (820\_03)**

This transaction set:

From the MOU/EC TDSP to the CR, is used as a remittance advice concurrent with a corresponding payment to the CR banking institution for a dollar amount equal to the total of the itemized payments in the 820\_03, MOU/EC Remittance Advice, unless otherwise indicated in Retail Market Guide Section 8.1. This transaction will reference the CR’s Customer account number and ESI ID. If payment and remittance are transmitted together to a financial institution, this implementation guide may be used as a baseline for discussion with the payer’s financial institution. All “must use” fields in the 820\_03 transaction, must be forwarded to the payer’s financial institution and be supported by the payee’s financial institution.

(40) **Invoice or Usage Reject Notification (824)**

This transaction set:

(a) From the CR to the TDSP, is used by the CR to reject and/or accept with exception the 810\_02, TDSP Invoice, sent by the TDSP.

(b) From ERCOT to the TDSP, is used to reject the 867\_03, Monthly or Final Usage, transaction sent by the TDSP.

(c) From the CR to ERCOT, is used to reject the 867\_03 transaction sent by ERCOT.

(d) From the MOU/EC TDSP to the CR, is used to reject the 810\_03, MOU/EC Invoice, sent by the CR, unless otherwise indicated in Retail Market Guide Section 8.1.

(41) **Historical Usage (867\_02)**

This transaction set:

(a) From the TDSP to ERCOT, is used to report historical usage.

(b) From ERCOT to the CR, is essentially a pass through of the TDSP’s 867\_02, Historical Usage.

(42) **Monthly or Final Usage (867\_03)**

This transaction set:

(a) From the TDSP to ERCOT, is used to report monthly usage.

(b) From ERCOT to the CR, is essentially a pass through of the TDSP’s 867\_03, Monthly or Final Usage.

(c) From ERCOT to the TDSP or CR, is for ERCOT polled services.

(43) **Initial Meter Read (867\_04)**

This transaction set:

(a) From the TDSP to ERCOT, is used to report the initial read associated with an 814\_01, Switch Request, or an 814\_16, Move In Request.

(b) From ERCOT to the new CR, is used to report the initial read associated with an 814\_01 or 814\_16 transaction.

(44) **Functional Acknowledgement (997)**

This transaction set:

(a) From the receiver of the originating transaction to the sender of the originating transaction, is used to acknowledge the receipt of the originating transaction and indicate whether the transaction passed American National Standards Institute Accredited Standards Committee X12 (ANSI ASC X12) validation. This acknowledgement does not imply that the originating transaction passed TX SET validation. The CR, TDSP, or ERCOT shall respond with a 997, Functional Acknowledgement, within 24 hours of receipt of an inbound transaction.

(b) Provides a critical audit trail. All parties must send a 997 transaction for all Electronic Data Interchange (EDI) transactions. Parties will track and monitor acknowledgements sent and received.

(45) **Option 1 Outages: Outage Status Request (T0)**

This transaction set:

From a CR to TDSP, is used to request outage status. This is not a required transaction for an Option 1 CR reporting unplanned outages.

(46) **Option 1 Outages: Trouble Reporting Request (T1)**

This transaction set:

From a CR to TDSP, is used to report an outage or service irregularity requiring near Real-Time outage response. This is a required transaction for an Option 1 CR to electronically transmit to the TDSP for every valid outage or service irregularity reported.

(47) **Option 1 Outages: Trouble Report Acknowledgement (T2)**

This transaction set:

From a TDSP to CR, is used to acknowledge the receipt of a T1, Option 1 Outages: Trouble Reporting Request, with either an acceptance or a rejection response. This is a required transaction for the TDSP when an Option 1 CR utilizes the T1 transaction.

(48) **Option 1 Outages: Status Response (T3)**

This transaction set:

From a TDSP to CR, is used to provide status information for a previously submitted T0, Option 1 Outages: Outage Status Request, message. This is a required transaction for the TDSP when an Option 1 CR utilizes the T0 transaction.

(49) **Option 1 Outages: Trouble Completion Report (T4)**

This transaction set:

From a TDSP to CR, is used by the TDSP to notify the CR that the trouble condition has been resolved. This is a required transaction for the TDSP when an Option 1 CR utilizes the T1, Option 1 Outages: Trouble Reporting Request, transaction.

19.4 Texas Standard Electronic Transaction Change Control Process

(1) The appropriate Technical Advisory Committee (TAC) subcommittee shall make modifications and additions to the Texas Standard Electronic Transactions (TX SETs) in accordance with this Section. TX SETs will be expanded and modified to accommodate retail market operations or regulatory requirements on an ongoing basis. Each Market Participant will rely on established, documented, and tested transactions. The Texas SET Change Control process provides the mechanism by which changes to the Texas SET Implementation Guides may be discussed, reviewed, accepted, and implemented.

19.4.1 Technical Advisory Committee Subcommittee Responsibilities

(1) The appropriate TAC subcommittee will continue to:

(a) Review and approve Texas SET Change Controls;

(b) Classify a Texas SET Change Control request as urgent when the change meets the criteria in Section 19.4.5, Urgent Change Request;

(c) Review and approve Texas SET Implementation Guides; and

(d) Coordinate timing for changes in any of the TX SETs.

19.4.2 ERCOT Responsibilities

(1) ERCOT will facilitate the activities listed in Section 19.4, Texas Standard Electronic Transaction Change Control Process, by overseeing the Texas SET Change Control activities of the TX SETs.

(2) ERCOT, in conjunction with the appropriate TAC subcommittee, will maintain, publish, and post the Texas SET Implementation Guides and the Texas SET Change Controls requesting modifications and enhancements, to the ERCOT website.

(a) The Texas SET Change Controls shall be published by ERCOT within seven Retail Business Days of approval by the appropriate TAC subcommittee.

(b) The approved Texas SET Implementation Guides shall be published by ERCOT at a predetermined time as set by the appropriate TAC subcommittee.

19.4.3 Texas SET Change Control Dispute Process

(1) A Market Participant may register a dispute with ERCOT by completing the designated form provided on the ERCOT website within seven days after the date of the appropriate TAC subcommittee decision. ERCOT shall reject disputes made after that time. The dispute shall be submitted to [txsetchangecontrol@ercot.com](mailto:TXSETCHANGECONTROL@ERCOT.com). ERCOT shall post disputes with the applicable change control within three Business Days of receiving the dispute.

(2) Disputes shall be heard at the next regularly scheduled TAC meeting. However, if the dispute is posted within seven days of the TAC meeting the dispute will not be heard until the subsequent TAC meeting. A dispute of a Texas SET Change Control to TAC suspends any further decisions on the Texas SET Change Control until the dispute has been decided by TAC.

19.4.4 Submission of Proposed Changes

(1) An Entity proposing a change shall notify ERCOT by submitting the designated form provided on the ERCOT website.

(2) Texas SET Change Controls will be processed in accordance with the Texas Standard Electronic Transaction Implementation Guides Change Control Process located on the ERCOT website.

(3) Texas SET Change Controls will proceed on a normal timeline unless classified as urgent as described in Section 19.4.5, Urgent Change Request.

19.4.5 Urgent Change Request

(1) A Texas SET Change Control may be classified as urgent by the appropriate TAC subcommittee and will accommodate:

(a) An approved regulatory requirement; and /or

(b) Necessary corrective action to retail market processes.

(2) Urgent Texas SET Change Controls shall be implemented as prescribed by the approving TAC subcommittee.

19.5 Texas Standard Electronic Transactions Acceptable Character Set

19.5.1 Alphanumeric Field(s)

(1) For use on an alphanumeric field, Texas Standard Electronic Transaction (TX SET) recognizes all characters within the basic character set. Further clarification and additional character set validations are available within each Texas SET Implementation Guide that is located on the ERCOT website.

19.6 Texas Standard Electronic Transaction Envelope Standards

19.6.1 ERCOT Validation

(1) ERCOT acts as the certificate authority and generates a digital certificate on behalf of each Market Participant. The Market Participant must be identified uniquely within the ERCOT System.

19.7 Advanced Meter Interval Data Format and Submission

(1) Transmission and/or Distribution Service Providers (TDSPs) will provide 15-minute interval data to ERCOT from provisioned Advanced Meters and Municipally Owned Utility (MOU) / Electric Cooperative (EC) Non-BUSIDRRQ Interval Data Recorders (IDRs) using an ERCOT specified file format submitted via North American Energy Standards Board (NAESB) on at least a monthly basis.

19.8 Retail Market Testing

(1) The Texas Standard Electronic Transaction (TX SET) Working Group works with the ERCOT flight administrator to develop and maintain a test plan and related testing standards for all retail transactional changes within the ERCOT market. Testing of these changes is scheduled to allow ERCOT and all Market Participants adequate time to modify their systems and participate in the testing process. Testing processes, procedures, schedules and success criteria are defined in the Texas Market Test Plan (TMTP) Guide and on the ERCOT website. The ERCOT flight administrator is the final authority on all levels of retail business process qualification among trading partners.

(2) ERCOT may enlist the services of an Independent Third Party Testing Administrator (ITPTA) for this testing process.