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| NPRR Number | [1306](https://www.ercot.com/mktrules/issues/NPRR1306) | NPRR Title | Removal of Digital Certificate References for Market Participants with ERCOT MIS Access |
| Date of Decision | | November 12, 2025 | |
| Action | | Tabled | |
| Timeline | | Normal | |
| Proposed Effective Date | | To be determined | |
| Priority and Rank Assigned | | To be determined | |
| Nodal Protocol Sections Requiring Revision | | 2.1, Definitions 2.2, Acronyms and Abbreviations  12.1, Overview  15.2.1, Find ESI ID Function on the Market Information System  15.2.2, Find Transaction Function on the Market Information System  15.2.3, Electric Service Identifier Extract on the Market Information System  16.2.6.1, Designation as an Emergency Qualified Scheduling Entity or Virtual Qualified Scheduling Entity  16.12, User Security Administrator and Digital Certificates  16.12.1, USA Responsibilities and Qualifications for Digital Certificate Holders  16.12.2, Requirements for Use of Digital Certificates  16.12.3, Market Participant Audits of User Security Administrators and Digital Certificates  16.12.4, ERCOT Audit - Consequences of Non-compliance  16.15, Registration of Independent Market Information System Registered Entity  19.6.1, ERCOT Validation  Section 23 Form C: Managed Capacity Declaration  Section 23 Form E: Notice of Change of Information  Section 23 Form L: Digital Certificate Audit Attestation | |
| Related Documents Requiring Revision/Related Revision Requests | | Commercial Operations Market Guide Revision Request (COPMGRR) 045, Related to 1306NPRR, Removal of Digital Certificate References for Market Participants with ERCOT MIS Access  Retail Market Guide Revision Request (RMGRR) 184, Related to 1306NPRR, Removal of Digital Certificate References for Market Participants with ERCOT MIS Access  Verifiable Cost Manual Revision Request (VCMRR) 045, Related to 1306NPRR, Removal of Digital Certificate References for Market Participants with ERCOT MIS Access | |
| Revision Description | | This Nodal Protocol Revision Request (NPRR) replaces the concept of “Digital Certificates” throughout the Protocols with references to more technology-neutral means whereby restricted Market Information System (MIS) access is granted to certain Market Participant users by each individual Market Participant’s User Security Administrator (USA). | |
| Reason for Revision | | [Strategic Plan](https://www.ercot.com/files/docs/2023/08/25/ERCOT-Strategic-Plan-2024-2028.pdf) Objective 1 – Be an industry leader for grid reliability and resilience  [Strategic Plan](https://www.ercot.com/files/docs/2023/08/25/ERCOT-Strategic-Plan-2024-2028.pdf) Objective 2 - Enhance the ERCOT region’s economic competitiveness with respect to trends in wholesale power rates and retail electricity prices to consumers  [Strategic Plan](https://www.ercot.com/files/docs/2023/08/25/ERCOT-Strategic-Plan-2024-2028.pdf) Objective 3 - Advance ERCOT, Inc. as an independent leading industry expert and an employer of choice by fostering innovation, investing in our people, and emphasizing the importance of our mission  General system and/or process improvement(s)  Regulatory requirements  ERCOT Board/PUCT Directive  *(please select ONLY ONE – if more than one apply, please select the ONE that is most relevant)* | |
| Justification of Reason for Revision and Market Impacts | | This NPRR proposes changes to the binding language in the Protocols that limit ERCOT to using Digital Certificates for Market Participants’ access to the MIS Secure Area and the MIS Certified Area.  These changes allow ERCOT to implement modern technology and systems for access for Market Participants in a more secure way using “multi-factor authentication” (MFA). These modifications also future-proof the Protocols which will allow ERCOT, and the industry, to continue to provide efficient and secure access as technology changes.  This NPRR also enables ERCOT to improve user experience through future projects to improve ERCOT’s security posture. Currently, one user is required to have separate Digital Certificates for each Market Participant and each instance of registration the Market Participant they represent has in ERCOT systems. For an individual who is affiliated with multiple Market Participants, each of which may have multiple registered instances, that one person will have multiple Digital Certificates to keep track of, which is unwieldy when navigating which Digital Certificate is being used for which Market Participant. The NPRR will allow future projects to remove Digital Certificates as a mandatory use case for each Market Participant represented and, instead, access will be allowed through a single identity. | |
| PRS Decision | | On 11/12/25, PRS voted unanimously to table NPRR1306. All Market Segments participated in the vote. | |
| Summary of PRS Discussion | | On 11/12/25, PRS reviewed NPRR1306 and its relationship to NPRR1302, Addition of a Market Participant Service Portal within the MIS Certified Area and Revision of Forms. ERCOT clarified that a Market Participant’s cost of access regards potential token costs and license fees. Participants requested that ERCOT consolidate messaging across like projects and that ERCOT provide a hypothetical project timeline and eventual software training. | |

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| **Opinion** | |
| Credit Review | To be determined |
| Independent Market Monitor Opinion | To be determined |
| ERCOT Opinion | To be determined |
| ERCOT Market Impact Statement | To be determined |

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| Market Segment | Not Applicable |

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| **Market Rules Staff Contact** | |
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| **Comments Received** | |
| **Comment Author** | **Comment Summary** |
| None |  |

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| **Market Rules Notes** |

Please note that the following NPRR(s) also propose revisions to the following Section(s):

* NPRR1302
  + Section 16.12
  + Section 16.12.1
  + Section 16.12.2
  + Section 16.12.3
  + Section 16.12.4
  + Section 23 Form E
  + Section 23 Form L

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| Proposed Protocol Language Revision |

## 2.1 DEFINITIONS

**2.2** **ACRONYMS AND ABBREVIATIONS**

**MAAA** MIS Access Audit Attestation

12.1 Overview

(1) ERCOT shall create and maintain an electronic ERCOT Market Information System (MIS). The purpose of the MIS is to provide certain information available only to applicable Entities in the MIS Secure Area and to provide certain information available only to an individual Market Participant in the MIS Certified Area.

(2) The MIS Secure and Certified Areas provide restricted access to ERCOT Critical Energy Infrastructure Information (ECEII), to the extent that the Protocols or any Other Binding Document requires such information to be posted thereon. All ECEII posted on the MIS Secure or Certified Area shall be subject to the restrictions in Section 1.3.2, ERCOT Critical Energy Infrastructure Information. ECEII posted on the MIS Secure or Certified Area may be accessed only by those authorized individuals with ECEII-eligible credentials.

(3) ERCOT shall also create and maintain an Internet website with public and restricted areas.

15.2.1 Find ESI ID Function on the Market Information System

(1) Market Participants can obtain information to verify the Service Address for a Service Delivery Point using the Find ESI ID function on the Market Information System (MIS) Secure Area. The Find ESI ID function returns the information as identified in Section 15.2, Database Queries.

15.2.2 Find Transaction Function on the Market Information System

(1) Competitive Retailers (CRs) or TDSPs may obtain transaction information from ERCOT to review business processes (i.e. Switch Request, Move-In Request, etc.) on ESI IDs. The Find Transaction function provides both summary and detailed transaction information for an ESI ID. The data displayed is confidential information and therefore is restricted. Access to the ESI ID information displayed is limited based on transaction receiver/sender, TDSP ownership, or the Retail Electric Provider (REP) of Record for each ESI ID. MIS help screens provide detailed descriptions of the field contents and related screens.

15.2.3 Electric Service Identifier Extract on the Market Information System

(1) ERCOT posts a downloadable extract to the ERCOT website which contains the same information as listed in Section 15.2, Database Queries. The information provided allows Entities that lack necessary access and are therefore unable to access the information through the Find ESI ID function to use the information to determine or to verify the ESI ID for a Service Delivery Point using the Service Address. This extract is also used by Entities to incorporate ESI ID information into their database systems.

16.2.6.1 Designation as an Emergency Qualified Scheduling Entity or Virtual Qualified Scheduling Entity

(1) A “Virtual QSE” is defined as an LSE or Resource Entity that has not qualified and been designated as an Emergency QSE, but has been designated by ERCOT to temporarily perform the responsibilities of a QSE.

(2) If a QSE has given Notice of its intent to terminate its relationship with an LSE or Resource Entity, that LSE or Resource Entity, must, by noon on the fourth Business Day after the termination notice date, either:

(a) Designate a new QSE with such relationship to take effect on the Termination Date, or earlier if allowed by ERCOT; or

(b) Satisfy all necessary creditworthiness requirements for QSEs as described in Section 16.2, Registration and Qualification of Qualified Scheduling Entities, and operate as an Emergency QSE as described below.

(3) If ERCOT has given Notice of an LSE’s or Resource Entity’s QSE’s termination or suspension, that LSE or Resource Entity will be designated as a Virtual QSE for up to two Bank Business Days, during which time it must either:

(a) Designate and begin operations with a new QSE; or

(b) Satisfy all necessary creditworthiness requirements for QSEs as described in Section 16.2, and operate as an Emergency QSE as described below. As provided in paragraph (2) of Section 16.2.5, Suspended or Terminated Qualified Scheduling Entity – Notification to LSEs and Resource Entities Represented, this option does not apply to an LSE or Resource Entity represented by a terminated or suspended QSE that is the same Entity as the terminated or suspended QSE.

(4) If an LSE or Resource Entity meets the creditworthiness requirements, the LSE or Resource Entity may be designated as an Emergency QSE except as provided in paragraph (2) of Section 16.2.5 and may, upon the Termination Date, be granted access to the Market Information System (MIS) as determined by ERCOT.

(5) If the LSE fails to meet the requirements of one of the above options in the timeframe set forth above, it shall constitute a QSE Affiliation Breach under the LSE’s Standard Form Market Participant Agreement. If the LSE fails to cure the QSE Affiliation Breach within the cure period set forth in the Standard Form Market Participant Agreement, and the LSE serves Load, ERCOT shall, after notice as specified in Retail Market Guide Section 7.11, Transition Process, initiate a Mass Transition of the LSE’s Electronic Service Identifiers (ESI IDs) pursuant to Section 15.1.3, Transition Process.

(6) If a Resource Entity fails to meet the requirements of one of the options set forth in paragraph (2) or (3) above within the requisite timeframe, it shall constitute a QSE Affiliation Breach under the Resource Entity’s Standard Form Market Participant Agreement, provided that ERCOT may allow the Resource Entity additional time, as determined by ERCOT staff, to meet the requirements.

(7) For any Operating Day in which an LSE or Resource Entity is not either represented by a QSE or qualified as an Emergency QSE, ERCOT may designate the LSE or Resource Entity as a Virtual QSE. ERCOT may authorize the Virtual QSE to access to the capabilities of the MIS. A Virtual QSE shall be liable for any and all charges associated with Initial, Final and True-Up Settlements as well as any Resettlements applying to dates during which the Virtual QSE represented ESI IDs or otherwise incurred charges pursuant to these Protocols, along with any and all costs incurred by ERCOT in collecting such amounts.

(8) ERCOT shall maintain a referral list of qualified QSEs on the ERCOT website who request to be listed as providing QSE services on short notice. The list shall include the QSE’s name, contact information and whether they are qualified to represent Load and/or Resources and/or provide Ancillary Services. ERCOT shall not be obligated to verify the abilities of any QSE so listed. ERCOT shall require all QSEs listed to confirm their inclusion on the referral list no later than the start of each calendar year.

**16.12 User Security Administrator and Access to the MIS**

(1) Each Market Participant is allowed access to the ERCOT Market Information System (MIS) upon execution of the Standard Form Market Participant Agreement (as provided for in Section 22, Attachment A, Standard Form Market Participant Agreement), and completion of applicable registration and qualification requirements. Any and all costs of the Market Participant for authorization to access these ERCOT computer systems shall be borne by the Market Participant.

(2) A User Security Administrator (USA) is responsible for managing the Market Participant’s access to the MIS except for portions of the MIS required to perform the duties of an Authorized Representative. A USA may also be responsible for managing the Market Participant’s access to the online Resource Integration and Ongoing Operations (“RIOO”) system. Each Market Participant must, as part of the application for registration with ERCOT, designate an individual employee or authorized agent as its USA, and optionally, a backup USA. If a Market Participant has designated a backup USA and the primary USA fails to perform, or is unable to perform, the functions required of a USA, then the backup USA shall perform any and all functions required of the primary USA. The Market Participant is responsible for revising its USA list as the need arises. The Market Participant’s USA is responsible for registering all MIS users and administering their access to the MIS on behalf of the Market Participant. ERCOT Critical Energy Infrastructure Information (ECEII) posted on the MIS Secure or Certified Area may be accessed only by those individuals that are authorized access to ECEII by the USA in accordance with the ERCOT Identity and Access Management User Guide posted on the ERCOT website. Each Market Participant with more than one ERCOT functional registration must designate a USA for each registration (which may be the same employee or authorized agent) and shall manage each registration separately for the purposes of this Section. Once the Market Participant completes registration requirements, ERCOT shall send the USA a copy of the ERCOT Identity and Access Management User Guide.

(3) Only Market Participants registered with ERCOT as either a Municipally Owned Utility (MOU) or an Electric Cooperative (EC), and as a Distribution Service Provider (DSP) and/or Load Serving Entity (LSE), may be eligible to opt out of designating a USA and accessing the MIS if the Market Participant demonstrates to ERCOT’s satisfaction that it does not need access to the MIS to perform its obligations under the ERCOT Protocols, market guides, or other applicable rules. In addition, Comision Federal de Electricidad (CFE) may be eligible to opt out of designating a USA and receiving access to the MIS upon demonstrating to ERCOT’s satisfaction that it does not need access to the MIS to perform its obligations under the ERCOT Protocols, market guides, or other applicable rules. Authorized Representatives for Market Participants that opt out of designating a USA and access to the MIS shall continue to have access to portions of the MIS required to perform the duties of an Authorized Representative during the opt-out period, such as updates to registration information.

(4) An eligible Market Participant that wishes to opt out of designating a USA and access to the MIS shall submit a request form, found on the ERCOT website, confirming its desire to opt out subject to ERCOT’s review and approval. ERCOT will notify the requesting Market Participant of its approval or disapproval of the request within 14 Business Days. ERCOT may subsequently revoke, at its sole discretion, Market Participant’s election to opt out if the Market Participant’s lack of access to the MIS causes administrative burdens or reliability concerns. ERCOT will send notice of revocation to the Market Participant who will have ten Business Days to fill out a Notice of Change of Information (NCI) form (Section 23, Form E, Notice of Change of Information) and submit it to ERCOT. Once the NCI is submitted and processed, ERCOT will grant the Market Participant access to the MIS in the same manner as a new Market Participant.

(5) Market Participants that have received approval from ERCOT to opt out of designating a USA and accessing the MIS are not excused from obligations under the ERCOT Protocols, other than the obligations required in this Section 16.12 regarding access to the MIS. Market Participants who opt out shall still be required to submit the MIS Access Audit Attestation (MAAA) required by paragraph (2) of Section 16.12.3, Market Participant Audits of User Security Administrators and MIS Access, for the portion of the year, if any, during which they had a USA and access to the MIS beyond having access to portions of the MIS required to perform the duties of an Authorized Representative.

(6) A Market Participant that has been granted approval by ERCOT to opt out of designating a USA and accessing the MIS will not have access to the MIS. A Market Participant that has been granted approval by ERCOT to opt out of designating a USA and accessing the MIS may, at any time, cancel its opt-out status by submitting an NCI form (Section 23, Form E).

***16.12.1 USA Responsibilities and Qualifications for User Access to the MIS***

(1) The USA and the Market Participant are responsible for the following:

(a) Requesting access to the MIS for authorized MIS users (either persons or programmatic interfaces) that the USA has qualified through an appropriate screening process requiring confirmation that the user is an employee or authorized agent (including third parties) of the Market Participant. Each user (including the USA) must be qualified as set forth below. The Market Participant shall be liable for ensuring that each of its MIS user(s) meets the requirements of (i) – (v) below.

(i) For any employee or authorized agent accessing the MIS, the Market Participant shall confirm that the employee or authorized agent satisfies reasonable background review sufficient for employment or contract with the Market Participant so as to reasonably limit threat(s) to ERCOT’s market and/or computer systems. The Market Participant may not request access to the MIS be issued to any employee or authorized agent that it determines, after reasonable background review, poses a threat to ERCOT’s market or computer systems.

(ii) The MIS user is aware of the rules and restrictions relating to access to the MIS.

(iii) The MIS user is eligible to review and receive technology and software under applicable export control laws and regulations. ERCOT shall post links to such laws and regulations on the ERCOT website.

(iv) The Market Participant has conducted a reasonable review of the MIS user and has confirmed that the MIS user is not on any U.S. terrorist threat lists such as the Consolidated Screening List or the Federal Bureau of Investigation Most Wanted Terrorists List. ERCOT will post links to relevant lists on the ERCOT website.

(v) The MIS user does not violate the conditions of use specified by the ERCOT-approved multi-factor authentication (MFA) vendors that provide the access to the MIS for the Market Participant’s use and provided to the MIS user. ERCOT will post links to relevant conditions of use on the ERCOT website.

(b) Requesting revocation of access to the MIS. The Market Participant or USA shall request revocation of access to the MIS by proceeding with the ERCOT MIS access revocation process as described in the ERCOT Identity and Access Management User Guide. The Market Participant or USA shall request revocation of MIS access under any of the following conditions:

(i) As soon as possible but no later than three Business Days after:

(A) An MIS user ceases employment with the Market Participant; or

(B) The Market Participant becomes aware that an MIS user is changing job functions (pursuant to a reasonable process for identifying when job function changes occur) so that the MIS user no longer needs access to the MIS;

(ii) As soon as possible, but no later than five Business Days, after the Market Participant becomes aware (pursuant to a reasonable process for identifying violations) that the MIS user has violated any of the following conditions of access to the MIS:

(A) Violating the requirements if any of paragraph (1)(a)(i) – (v) above;

(B) Using access to the MIS for any unauthorized purpose; or

(C) Allowing any person other than the MIS user to access the MIS.

(c) Managing the level of access for each MIS user by assigning and maintaining MIS user roles for each authorized user in accordance with the process set forth in ERCOT’s Identity and Access Management User Guide.

(d) Requesting annual renewal of MIS users.

(e) If needed, issuing access to the MIS for use by electronic systems not limited to servers.

1. Maintaining the integrity of the administration of access to the MIS through consistent, sound and reasonable business practices.

***16.12.2 Requirements for Use of Access to the MIS***

(1) Use of access to the MIS must comply with the following:

(a) Access to the MIS shall be used by only one individual and may not be shared.

(b) Individual access to the MIS may not be transferred, traded or sold.

(c) The Market Participant is solely responsible for the integrity, security, and usage of their MIS access. Electronic equipment, or other media, on which the MIS access details resides must be physically and electronically secured in a reasonable manner to prevent improper use of the MIS.

(d) The Market Participant is wholly responsible for all access to the MIS granted by its USA.

***16.12.3 Market Participant Audits of User Security Administrators and MIS Access***

(1) During September of each year, each Market Participant that has been granted access to the MIS shall generate a list of its registered USA and MIS users. The Market Participant, through its USA or another authorized third party, shall perform an audit by reviewing the list and noting any inconsistencies or instances of non-compliance (including, for example, any MIS users that may have changed job functions and no longer requires access to the MIS). If the Market Participant or its USA or the authorized third party identifies discrepancies, the USA shall use the process for managing access to the MIS as included in ERCOT’s Identity and Access Management User Guide to rectify the discrepancy. The audit must, at a minimum confirm that:

(a) The Market Participant and each listed USA and MIS user meet the applicable requirements of paragraph (1)(a) of Section 16.12.1, USA Responsibilities and Qualifications for User Access to the MIS, and are not subject to any of the conditions that would require revocation as described in paragraph (1)(b) of Section 16.12.1;

(b) Each listed USA and MIS user is currently employed by or is an authorized agent contracted with the Market Participant;

(c) The Market Participant has verified that the listed USA is authorized to be the USA;

(d) Each MIS user is authorized to retain access to the MIS; and

(e) Each listed MIS user needs access to the MIS to perform his or her job functions.

(2) By October 1 of each year, a Market Participant shall submit to ERCOT an MAAA (as provided for in Section 23, Form L, MIS Access Audit Attestation) from an individual who: (a) is an officer, executive, or employee of the Market Participant or of an Affiliate of the Market Participant; and (b) has authority to bind the Market Participant. The attestation shall certify that:

(a) The Market Participant has complied with the requirements of the audit;

(b) The Market Participant has verified that all access to the MIS was granted to MIS users authorized by the Market Participant’s USA. If the MIS user no longer meet the criteria in paragraph (1)(a) of Section 16.12.1, the USA shall inform ERCOT as described in paragraph (1)(b) of Section 16.12.1 and note the findings in the response; and

(c) The USA and all MIS users have been qualified through a reasonable screening process and background review required by paragraphs (1)(a)(i)-(v) of Section 16.12.1.

(3) If a Market Participant cannot comply with the October 1 deadline at the time this Section first applies to the Market Participant, the Market Participant shall request an extension of the deadline by providing ERCOT a written explanation of why it cannot meet the deadline. The explanation must include a plan and timeline for compliance not to exceed six months from the original deadline. ERCOT shall review that extension request and notify the Market Participant if the request is approved or denied. ERCOT may approve no more than one extension request per Market Participant.

(4) By December 1 of each year, ERCOT shall acknowledge receipt of each MAAA audit received and indicate whether any required information is missing from the MAAA.

***16.12.4 ERCOT Audit - Consequences of Non-compliance***

(1) ERCOT, or its designee, shall review the MAAA submitted under Section 16.12.3, Market Participant Audits of User Security Administrators and MIS Access, and may audit the Market Participant for compliance with the provisions of this Section 16.12, User Security Administrator and Access to the MIS. The Market Participant shall cooperate fully with ERCOT in such audits.

(2) On or about December 15 of each year, ERCOT shall report to the Public Utility Commission of Texas (PUCT) all Market Participants failing to properly perform and/or submit complete MAAA(s) as described in Section 16.12.3 or non-compliance with Section 16.12.3.

(3) ERCOT, after providing notice to the Market Participant and PUCT Staff, may disqualify the Market Participant’s USA and/or revoke any or all access to the MIS by the Market Participant if:

(a) The Market Participant does not properly and timely perform the audit;

(b) ERCOT discovers non-compliance; or

(c) The Market Participant does not timely request revocation of its access to the MIS for unauthorized MIS users.

(4) ERCOT’s decision to disqualify a Market Participant’s USA or revoke any Market Participant’s MIS users as described above is subject to the following:

(a) A Market Participant’s access to the MIS may not be revoked unless the Market Participant is given a reasonable opportunity to work with ERCOT to resolve the reason for revocation;

(b) A Market Participant’s USA may not be disqualified unless it is given a reasonable opportunity to authorize a new USA and request or authorize access to the MIS for new MIS users as necessary to prevent disruption of the Market Participant’s business; and

(c) A Market Participant may dispute ERCOT’s decision to disqualify the Market Participant’s USA and/or revoke its access to the MIS through the Alternative Dispute Resolution (ADR) Procedure in accordance with Section 20, Alternative Dispute Resolution Procedure, and may appeal the result of the ADR process to the PUCT as provided in Section 20.

**16.15 Registration of Independent Market Information System Registered Entity**

(1) Each Entity intending to qualify for access to ERCOT’s Market Information System (MIS) Secure Area, independent of any other Market Participant role, shall register with ERCOT, including any applicable fees, designating Authorized Representatives, contacts, and a User Security Administrator (USA) (per the Application for Registration as an Independent Market Information System Registered Entity (IMRE)), and execute a Standard Form Market Participant Agreement (as provided in Section 22, Attachment A, Standard Form Market Participant Agreement) prior to receiving any access to ERCOT’s MIS Secure Area.

(2) An Entity must have a genuine professional or business purpose for obtaining access to the MIS Secure Area to qualify for registration as an IMRE. ERCOT may determine, in its sole discretion, whether the Entity’s purpose qualifies for registration.

(3) Continued status as an IMRE is contingent upon compliance with all applicable requirements in these Protocols. ERCOT may suspend an IMRE’s rights as a Market Participant when ERCOT reasonably determines that it is an appropriate remedy for the Entity’s failure to satisfy any applicable requirement.

**ERCOT Nodal Protocols**

**Section 23**

**Form C: Managed Capacity Declaration**

**TBD**

Date Received: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**MANAGED CAPACITY DECLARATION**

Pursuant to subsection (d) of P.U.C. Subst. R. 25.502, Pricing Safeguards in Markets Operated by the Electric Reliability Council of Texas, and Section 3.6.2, Decision Making Entity for a Resource, each Resource Entity shall inform ERCOT of the Decision Making Entity (DME) that controls each Resource that it owns, except for Load Resources that are not Security Constrained Economic Dispatch (SCED) qualified, by completing this Declaration.

If the legal entity that owns a Resource is not registered as a Resource Entity, then the Resource Entity that registered the Resource with ERCOT shall complete this Declaration for the Resource and submit it to ERCOT with a signed acknowledgement from the Resource owner authorizing the Resource Entity to complete this Declaration as the owner’s agent and explaining the arrangement or agreement in place.

ERCOT may request additional verification on a case-by-case basis from the relevant Resource Entity in order to verify the DME that controls a Resource. For purposes of this Declaration, “control” is defined as the ultimate decision-making authority over how a Resource is dispatched and priced, either by virtue of ownership or agreement, and a substantial financial stake in the Resource’s profitable operation. All Resources under common control are required to declare the same DME.

For a Split Generation Resource, each Resource Entity that owns a portion of the Split Generation Resource shall separately submit this Declaration to identify the DME that controls the associated portion of the Split Generation Resource.

A Resource Entity shall notify ERCOT of any known changes in its Resource’s DME no later than 14 calendar days prior to the date that the change takes effect, or as soon as possible in a situation where the Resource Entity cannot meet the 14 calendar day notice requirement. However, in no event may the Resource Entity inform ERCOT later than 72 hours before the date on which the change in DME takes effect. In addition, this Managed Capacity Declaration form must be submitted and accepted by ERCOT before these changes are applied to the associated Resource(s).

The signed Declaration form may be submitted electronically through the Market Information System (MIS) as a Service Request, using the Type: MP Registration and Sub-Type: Resource/Asset Registration. Submission through the MIS link requires a valid Authorized Representative to have access granted to the MIS. An alternative to MIS is to submit the signed Declaration form in pdf format to both [ercotregistration@ercot.com](mailto:ercotregistration@ercot.com) and [MPRegistration@ercot.com](mailto:MPRegistration@ercot.com).

If questions arise related to the completion of this form, please contact your designated ERCOT Account Manager or email ERCOT Client Services at [ClientServices@ercot.com](mailto:ClientServices@ercot.com) with the subject ”Decision Making Entity Form”.

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| **Declaration of Decision Making Entity (DME)** | | | |  |
| **Resource Entity** |  | | | |
| **DUNS Number** |  | | | |
|  | | | | |
| **Resource Site Name** | **Resource Unit Code, as Registered with ERCOT [used when the Resource was registered, such as in RIOO]** | **DME [If DME is currently listed in the** [**Resource Control Report**](http://mis.ercot.com/misapp/GetReports.do?reportTypeId=10036&reportTitle=Daily%20Resource%20Control%20Report&showHTMLView=&mimicKey)**, use name as listed. Do not leave blank.]** | **DME DUNS Number [If new DME, consult** [**Dun & Bradstreet**](https://www.dnb.com/duns/duns-lookup.html)**. Do not leave blank.]** | **Preferred**  **Effective Date** |
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| To view the current registered DME list, open the most recent csv from the  [Resource\_Control\_Report](http://mis.ercot.com/misapp/GetReports.do?reportTypeId=10036&reportTitle=Daily%20Resource%20Control%20Report&showHTMLView=&mimicKey). | | | |  |

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| **General Comments**   |  | | --- | |  |   Authorized Representative indicated and signed below attests that all statements made and information provided in this Declaration are true, correct and complete. | | | | | |
| Signature: |  | | | |  |
| (Authorized Representative signature) | | | | | |
|  |  |  |  |  |  |
| Printed Name: |  | | | |  |
| (Authorized Representative) | | | | | |
|  |  |  |  |  |  |
| Date: |  | |  |  |  |

**ERCOT Nodal Protocols**

**Section 23**

**Form E: Notice of Change of Information**

**TBD**

**NOTICE OF CHANGE OF INFORMATION**

A Market Participant must update, amend and/or correct the registration information previously submitted to ERCOT using this Notice of Change of Information (NCI). The Market Participant must notify ERCOT of any change to the information or additional information on any application or form that it has previously submitted to ERCOT according to the notification timeframe in the ERCOT Protocols or, if the Protocols do not contain a timeframe for the subject matters, at least 30 days before the change will take effect. Please fill out this form electronically, print and execute. Submit all changes and/or additional information by one of the following methods: 1) Market Information System (MIS); or 2) email to [MPRegistration@ercot.com](mailto:MPRegistration@ercot.com).

Except as otherwise required by the ERCOT Protocols, ERCOT will send a written acknowledgement of receipt of the changes within five Business Days of receipt and will notify Market Participant of any deficiencies or any additional documentation required within 10 days of receipt. The notice of receipt will be sent to the email address of the Authorized Representative on file with ERCOT or the address specified in the NCI received by ERCOT.

The following contacts/information can be changed via the submittal of this NCI:

* **Authorized Representative (“AR”)** – Responsible for updating all registration information, and will be the contact person between the Market Participant and ERCOT for all business matters requiring authorization by ERCOT. *(All Market Participant Types)*
* **Backup AR** – May perform the functions of the AR in the event the AR is unavailable. *(All Market Participant Types)*
* **User Security Administrator (USA)** – Responsible for managing the Market Participant’s access to ERCOT’s computer systems. *(All Market Participant Types)*
* **Backup USA** – May perform the functions of the USA in the event the USA is unavailable. *(All Market Participant Types)*
* **Cybersecurity** – Responsible for communicating Cybersecurity Incidents.
* **24x7 Control or Operations Center (24x7)** – Responsible for operational communications. Shall have sufficient authority to commit and bind the entity. The Market Participant must provide a 24x7 phone number for the operations desk in a manner that reasonably assures continuous communication with ERCOT and is not affected by private branch exchange (PBX) features such as automatic transfer or roll to voice mail. *(Qualified Scheduling Entities (QSEs) that are Wide Area Network (WAN) Participants, sub-QSEs that are WAN Participants, Transmission Service Providers (TSPs))*
* **Compliance** – Responsible for compliance related issues. *(QSEs, Sub-QSEs, Resource Entities (“REs”), TSPs, Distribution Service Providers (DSPs))*
* **Accounts Payable (“AP”)** – Responsible for settlements and billing. *(Congestion Revenue Right (CRR) Account Holders (CRRAHs), QSEs, Sub-QSEs)*
* **Backup AP** – May perform the functions of the AP in the event the AP is unavailable. *(CRRAHs, QSEs, Sub-QSEs)*
* **Credit** – Responsible for all credit-related matters. *(Counter-Parties (CPs))*
* **Backup Credit** – May perform the functions of the Credit in the event the Credit is unavailable. *(CPs)*
* **Transition/Acquisition (“TA”)** – Requirement for Competitive Retailers (CRs) and Transmission and/or Distribution Service Providers (TDSPs). Responsible for coordinating Mass TA events between ERCOT, TDSPs and CRs. The CR may be a Provider of Last Resort (POLR), Designated CR, Gaining CR or Losing CR. Includes TA Business (“TAB”), TA Regulatory (“TAR”) and TA Technical (“TAT”). List one contact per TA. *(Load Serving Entities (LSEs), TSPs, DSPs)*
* **Legal Address Change** *(All Market Participant Types)*

|  |  |
| --- | --- |
| \*Market Participant Account Name(s): |  |
| \*Data Universal Numbering System (DUNS) Number(s): |  |
| \*Market Participant Type(s): | CP  CRRAH  Independent Market Information System Registered Entity (IMRE)  LSE  QSE/Sub-QSE  RE  TSP and/or DSP |

Received: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Comments (if necessary):

|  |  |
| --- | --- |
| \*AR, Backup AR or Officer: |  |
| \*Signature: |  |
| \*Email: |  |
| \*Phone Number: |  |

**1. Contact type(s):**  AR  Backup AR  USA  Backup USA  Cybersecurity  24x7

Compliance  AP  Backup AP  Credit  Backup Credit  TAB

TAR  TAT

|  |  |  |  |
| --- | --- | --- | --- |
| Name: |  | | |
| Telephone: | |  | |
| Email Address: | | |  |

If former contact(s) is/are no longer with the Market Participant please list name(s) here:

**Contact type(s):**  AR  Backup AR  USA  Backup USA  Cybersecurity  24x7  Compliance  AP  Backup AP  Credit  Backup Credit  TAB  TAR  TAT

|  |  |  |  |
| --- | --- | --- | --- |
| Name: |  | | |
| Telephone: | |  | |
| Email Address: | | |  |

If former contact(s) is/are no longer with the Market Participant please list name(s) here:

**Contact type(s):**  AR  Backup AR  USA  Backup USA  Cybersecurity  24x7  Compliance  AP  Backup AP  Credit  Backup Credit  TAB  TAR  TAT

|  |  |  |  |
| --- | --- | --- | --- |
| Name: |  | | |
| Telephone: | |  | |
| Email Address: | | |  |

If former contact(s) is/are no longer with the Market Participant please list name(s) here:

**Contact type(s):**  AR  Backup AR  USA  Backup USA  Cybersecurity  24x7  Compliance  AP  Backup AP  Credit  Backup Credit  TAB  TAR  TAT

|  |  |  |  |
| --- | --- | --- | --- |
| Name: |  | | |
| Telephone: | |  | |
| Email Address: | | |  |

If former contact(s) is/are no longer with the Market Participant please list name(s) here:

**Contact type(s):**  AR  Backup AR  USA  Backup USA  Cybersecurity  24x7  Compliance  AP  Backup AP  Credit  Backup Credit  TAB  TAR  TAT

|  |  |  |  |
| --- | --- | --- | --- |
| Name: |  | | |
| Telephone: | |  | |
| Email Address: | | |  |

If former contact(s) is/are no longer with the Market Participant please list name(s) here:

**Contact type(s):**  AR  Backup AR  USA  Backup USA  Cybersecurity  24x7  Compliance  AP  Backup AP  Credit  Backup Credit  TAB  TAR  TAT

|  |  |  |  |
| --- | --- | --- | --- |
| Name: |  | | |
| Telephone: | |  | |
| Email Address: | | |  |

If former contact(s) is/are no longer with the Market Participant please list name(s) here:

**Contact type(s):**  AR  Backup AR  USA  Backup USA  Cybersecurity  24x7  Compliance  AP  Backup AP  Credit  Backup Credit  TAB  TAR  TAT

|  |  |  |  |
| --- | --- | --- | --- |
| Name: |  | | |
| Telephone: | |  | |
| Email Address: | | |  |

If former contact(s) is/are no longer with the Market Participant please list name(s) here:

**2. Legal Address Change**

|  |
| --- |
| Address: |
| City, State, Zip: |

**3. Cancelation of User Security Administrator (USA) and Access to the MIS Opt-Out**

By checking this box, Market Participant elects to: (i) cancel its USA and Access to the MIS Opt-Out; (ii) designate a USA and optionally a Backup USA, listed in Section 1, Contact type(s), of this NCI form; and (iii) receive MIS access as required by Section 16.12, User Security Administrator and Access to the MIS. Market Participant understands that designation of a USA and Backup USA, and issuance of MIS access, is subject to the requirements in Section 16.12.

**ERCOT Nodal Protocols**

**Section 23**

**Form L: MIS Access Audit Attestation**

**TBD**

**MIS Access Audit Attestation**

Pursuant to Section 16.12.3, Market Participant Audits of User Security Administrators and MIS Access, each Market Participant must verify compliance with the Market Information System (MIS) access requirements set forth in the ERCOT Protocols. Market Participants must complete this form and return it via email to [MAAA@ercot.com](mailto:MAAA@ercot.com) (.pdf version). This audit and attestation shall be completed for *each* DUNS Number the Market Participant has currently registered with ERCOT.

|  |  |
| --- | --- |
| **Legal Name of the Market Participant:** |  |
| **Market Participant Type:** | **CP  CRRAH  IMRE  LSE  QSE  Sub-QSE**  **Resource  TSP and/or DSP** |
| **DUNS Number:** |  |
| **User Security Administrator (USA):** |  |
| **Backup USA (if applicable):** |  |

Market Participant hereby affirms the following:

1. Market Participant has generated a list of its registered User Security Administrator (USA), Backup USA, and MIS users, for the DUNS Number indicated above, generated through the Market Participant Identity Management (MPIM) system within the MIS (the List), as per the ERCOT Identity and Access Management User Guide, and if Market Participant has any corrections to the List, Market Participant has provided corrections to ERCOT.
2. Market Participant and each listed USA, Backup USA, and MIS user meet the applicable requirements of paragraph (1)(a) of 16.12.1, USA Responsibilities and Qualifications for User Access to the MIS.
3. Market Participant and each listed USA, Backup USA, and MIS user are not subject to any of the conditions that would require revocation as described in paragraph (1)(b) of Section 16.12.1.
4. Each listed USA, Backup USA, and MIS user is currently employed by or is an authorized agent contracted with the Market Participant.
5. The Market Participant has verified that the listed USA and Backup USA is authorized to be a USA.
6. Each MIS user is authorized to retain access to the MIS.
7. Each listed MIS user needs MIS to perform his or her job functions.
8. Market Participant has requested revocation of access to the MIS when required by paragraph (1)(b) of Section 16.12.1.
9. Market Participant has complied with the audit requirements of Section 16.12.3.

Market Participant has found that the following MIS user(s) no longer met the required criteria in paragraph (1)(a) of Section 16.12.1. Market Participant to include: (i) the name of the ineligible MIS user; (ii) reason for ineligibility; and (iii) date upon which MIS user became ineligible.

I affirm that I have personal knowledge of the facts stated in this MIS Access Audit Attestation (MAAA) and have the authority to submit this MAAA on behalf of the Market Participant listed above.

**Officer/Executive/Employee:**

**Name and Title:**

**Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:**