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| NPRR Number | [1227](https://www.ercot.com/mktrules/issues/NPRR1227#summary) | NPRR Title | Related to RMGRR181, Alignment of Defined Term Usage and Resolution of Inconsistencies |
| Date of Decision | | November 21, 2024 | |
| Action | | Approved | |
| Timeline | | Normal | |
| Estimated Impacts | | Cost/Budgetary: None  Project Duration: No project required | |
| Effective Date | | December 1, 2024 | |
| Priority and Rank Assigned | | Not applicable | |
| Nodal Protocol Sections Requiring Revision | | 2.1, Definitions  15.1.1.7, Completion of Switch Request and Effective Switch Date  15.1.3.2, Acquisition Transfer Process  15.1.3.3, Customer Billing Contact Information  15.1.7, Move In or Move Out Date Change  15.2, Database Queries  16.1.1, Re-Registration as a Market Participant  19.3.1, Defined Texas Standard Electronic Transactions  23, Form B, Load Serving Entity (LSE) Application for Registration | |
| Related Documents Requiring Revision/Related Revision Requests | | Retail Market Guide Revision Request (RMGRR) 181, Alignment of Defined Term Usage and Resolution of Inconsistencies | |
| Revision Description | | This Nodal Protocol Revision Request (NPRR) aligns defined term usage in the Protocols with Section 2.1 and adds five definitions (‘Acquisition Transfer’, ‘Decision’, ‘Effective Date’, ‘Gaining Competitive Retailer (CR)’, and ‘Losing Competitive Retailer (CR)’) that were previously located in Retail Market Guide Sections 2.1, Definitions, and 7.11.2, Acquisition and Transfer of Customers from one Retail Electric Provider to Another. This NPRR also replaces the broadly titled terms ‘Decision’ and ‘Effective Date’ with the specific terms ‘Mass Transition Decision’, ‘Acquisition Transfer Decision’, ‘Mass Transition Effective Date’, and ‘Acquisition Transfer Effective Date’ to provide additional clarity. Finally, this NPRR expands the definitions of Gaining Competitive Retailer (CR) and Losing Competitive Retailer (CR) to apply beyond the Mass Transition and Acquisition Transfer processes. | |
| 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 improvements  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 accompanies RMGRR181, which clarifies language in the Retail Market Guide to aid readability, increase consistency, and reduce the risk of misinterpretation. This NPRR causes no impact to the market as it is not a process change. | |
| PRS Decision | | On 6/13/24, PRS voted unanimously to recommend approval of NPRR1227 as submitted. All Market Segments participated in the vote.  On 7/18/24, PRS voted unanimously to endorse and forward to TAC the 6/13/24 PRS Report and 4/30/24 Impact Analysis for NPRR1227. All Market Segments participated in the vote. | |
| Summary of PRS Discussion | | On 6/13/24, PRS reviewed NPRR1227 and the 6/4/24 RMS comments.  On 7/18/24, PRS reviewed the 4/30/24 Impact Analysis for NPRR1227. | |
| TAC Decision | | On 7/31/24, TAC voted unanimously to table NPRR1227. All Market Segments participated in the vote.  On 8/28/24, TAC voted unanimously to recommend approval of NPRR1227 as recommended by PRS in the 7/18/24 PRS Report. All Market Segments participated in the vote. | |
| Summary of TAC Discussion | | On 7/31/24, TAC referenced RMGRR181 currently at RMS.  On 8/28/24, there was no additional discussion beyond TAC review of the items below. | |
| TAC Review/Justification of Recommendation | | Revision Request ties to Reason for Revision as explained in Justification  Impact Analysis reviewed and impacts are justified as explained in Justification  Opinions were reviewed and discussed  Comments were reviewed and discussed (if applicable)  Other: (explain) | |
| ERCOT Board Decision | | On 10/10/24, the ERCOT Board voted unanimously to recommend approval of NPRR1227 as recommended by TAC in the 8/28/24 TAC Report. | |
| PUCT Decision | | On 11/21/24, the PUCT approved NPRR1227 and accompanying ERCOT Market Impact Statement as presented in Project No. 54445, Review of Protocols Adopted by the Independent Organization. | |

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| **Opinions** | |
| **Credit Review** | ERCOT Credit Staff and the Credit Finance Sub Group (CFSG) have reviewed NPRR1227 and do not believe that it requires changes to credit monitoring activity or the calculation of liability. |
| **Independent Market Monitor Opinion** | IMM has no opinion on NPRR1227. |
| **ERCOT Opinion** | ERCOT supports approval of NPRR1227. |
| **ERCOT Market Impact Statement** | ERCOT Staff has reviewed NPRR1227 and believes that it provides a positive market impact by offering process improvements by relocating four, shared-use definitions from the Retail Market Guide to the Protocols; and by aligning defined term usage throughout the Protocols. |

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| Sponsor | |
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| Market Segment | Not Applicable |

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| **Comments Received** | |
| **Comment Author** | **Comment Summary** |
| RMS 060424 | Endorsed NPRR1227 as submitted |

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| Market Rules Notes |

Please note the baseline language in the following Section(s) has been updated to reflect the incorporation of the following NPRR into the Protocols:

* NPRR1095, Create Resource Forced Outage Report (incorporated 11/11/24)
  + Section 15.2
  + Section 19.3.1

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| Proposed Protocol Language Revision |

**2.1 DEFINITIONS**

Acquisition Transfer

The process used to transfer Electric Service Identifiers (ESI IDs) from the current Competitive Retailer (CR) to another CR(s) as a result of an acquisition pursuant to P.U.C. SUBST. R. 25.493, Acquisition and Transfer of Customers from one Retail Electric Provider to Another.

***Acquisition Transfer Decision***

Parameters associated with an Acquisition Transfer event that dictate the parties involved and the desired Acquisition Transfer Effective Date. Acquisition Transfer Decision parameters include designation of the Losing CR, the Gaining CR, the preliminary list of transitioning ESI IDs, the method of transfer, and the desired Acquisition Transfer Effective Date. The desired Acquisition Transfer Effective Date may be modified by agreement among Market Participants based on the volume of transitioning ESI IDs and the Transmission and/or Distribution Service Provider’s (TDSP’s) capacity to read meters and process transactions involving manual intervention.

***Acquisition Transfer Effective Date***

The date on which the Acquisition Transfer of ESI IDs from the Losing CR to the Gaining CR takes place. This is the date on which the meter read is taken and is used in Acquisition Transfer transactions.

Competitive Retailer (CR)

A Municipally Owned Utility (MOU) or an Electric Cooperative (EC) that offers Customer Choice and sells electric energy at retail in the restructured electric power market in Texas, or a Retail Electric Provider (REP).

***Gaining Competitive Retailer (CR)***

CR that becomes the REP of record upon the processing of the transition of an Electric Service Identifier (ESI ID) from one REP of record to another. This includes the CR identified in the initiating Mass Transition Decision or Acquisition Transfer Decision that is to become the REP of record as of the Mass Transition Effective Date or Acquisition Transfer Effective Date for a transitioned Electric Service Identifier (ESI ID) following the Mass Transition or Acquisition Transfer.

***Losing Competitive Retailer (CR)***

CR that is removed as the REP of record upon the processing of the transition of an ESI ID from one REP of record to another. This includes the CR identified in the initiating Mass Transition Decision or Acquisition Transfer Decision that is to be removed as the REP of record upon the processing of a Mass Transition or Acquisition Transfer transaction.

Mass Transition

The transition of Electric Service Identifiers (ESI IDs) from one Competitive Retailer (CR) to a Provider of Last Resort (POLR) or designated CR, or from one Transmission and/or Distribution Service Provider (TDSP) to another TDSP, in a quantity or within a timeframe identified by Applicable Legal Authority.

***Mass Transition Decision***

Parameters associated with a Mass Transition event that dictate the parties involved and the Mass Transition Effective Date. Mass Transition Decision parameters include designation of the Losing CR, the Gaining CR, the preliminary list of transitioning ESI IDs, and the Mass Transition Effective Date.

***Mass Transition Effective Date***

The date on which the Mass Transition of ESI IDs from the Losing CR to the Gaining CR takes place. This is the date on which the meter read is taken and is used in Mass Transition transactions.

**15.1.1.7 Completion of Switch Request and Effective Switch Date**

(1) A Switch Request is effectuated on the actual meter read date in the 867\_04, Initial Meter Read, or the final 867\_03, Monthly or Final Usage, which must be equal to the scheduled meter read date. The process for a specific Switch Request is complete upon receipt of the effectuating meter read sent by the TDSP. The TDSP shall send the meter read information to ERCOT using the 867\_03 transaction and 867\_04 transaction within three Retail Business Days of the meter read. This transaction will contain an effectuating meter read indicator. If the TDSP has made every reasonable effort to get the actual data for the meter read and absolutely cannot, the TDSP may estimate the reading for the ESI ID, regardless of the meter type or Customer class. When an estimate occurs on a demand meter, the demand indicator has not been reset. Upon receipt, ERCOT will send final meter read information to the current CR DUNS Number provided in the 867\_03 transaction by the TDSP and initial meter read information to the new CR DUNS Number provided in the 867\_04 transaction by the TDSP using the 867\_03 transaction and 867\_04 transaction, as appropriate. Meter reads will be sent to the CR DUNS Number within the Texas Standard Electronic Transaction (TX SET) transaction from the TDSP within 12 hours of receipt by ERCOT.

(2) Failure by ERCOT to provide the initial meter read information does not change the Mass Transition Effective Date of the switch.

(3) Switches shall become effective at 0000 (midnight) on the actual date of the effectuating meter read. The new CR may request a special meter read (including a profile-estimated meter read or interval meter calculation as allowed), in accordance with the TDSP’s tariff. For a special meter read, the switch is effective at 0000 (midnight) the day of the special meter read. During the switch process, the Customer will continue to be served by its current CR.

**15.1.3.2 Acquisition Transfer Process**

(1) In an Acquisition Transfer event, ERCOT shall submit the 814\_03, Enrollment Notification Request, requesting a meter read for the associated ESI IDs. The 814\_03 transaction shall contain a request for historical usage and the requested date or FASD for the meter read date to transfer the ESI IDs. If an actual meter read cannot be obtained by the date requested in the 814\_03 transaction, then the meter read may be estimated by the TDSP.

(2) The TDSP shall respond to the 814\_03 transaction within two Retail Business Days with an 814\_04, Enrollment Notification Response, and an 867\_02, Historical Usage. Within one Retail Business Day of receiving the 814\_04 transaction, ERCOT will send an 814\_11, Drop Response, to the transitioning CR and forward an 814\_14, Drop Enrollment Request, with the scheduled meter read date, to the designated CR. The TDSP shall submit an 867\_04, Initial Meter Read, with a meter read date equal to the scheduled meter read date in the 814\_04 transaction, which will also be known as the transition date. See Retail Market Guide Section 9, Appendices, Appendix D1, Transaction Timing Matrix, for specific transaction timings.

(3) For a detailed outline of the business process and responsibilities of all Entities involved in an Acquisition Transfer event, refer to the Retail Market Guide Section 7, Market Processes.

15.1.3.3 Customer Billing Contact Information

(1) All CRs participating in the Texas retail electric market shall provide, in accordance with the Retail Market Guide, current Customer billing contact information to ERCOT for use in the event of a Mass Transition. ERCOT shall retain the Customer data from the most recent submission, to be used in lieu of data from the exiting CR, in instances where the exiting CR does not provide data. When a Mass Transition occurs, ERCOT shall provide the Gaining CRs with available Customer billing contact information for the ESI IDs the Gaining CRs will be obtaining through the Mass Transition event. During a Mass Transition event, ERCOT shall also provide the TDSPs with available Customer contact information.

(2) For a detailed outline of the process, refer to the Retail Market Guide Section 7, Market Processes.

15.1.7 Move In or Move Out Date Change

(1) The CR will send a date change transaction using the 814\_12, Date Change Request. ERCOT will accept date changes on or before the day preceding the scheduled move in or move out. ERCOT will reject any 814\_12 transaction received on the scheduled move in or move out date, as well as date change requests on orders that were scheduled in the past.

(2) If the date change does not pass validation, ERCOT will reply to the CR with a rejection of the date change transaction using the 814\_13, Date Change Response, within two Retail Business Hours of receipt of the 814\_12 transaction with the exception of a date change that is invalid because of “Item or Service Not Established.” In the case of “Item or Service Not Established,” ERCOT will hold the date change request and continue to retry the request at regular intervals for 48 hours counting only hours on Retail Business Days, but not only Business Hours.

(3) If the date change is accepted, ERCOT will notify the TDSP using the 814\_12 transaction within two Retail Business Hours of receipt of the 814\_12 transaction from the CR. The TDSP will respond within two Retail Business Days using the 814\_13 transaction. If the TDSP accepts the date change, the submitting CR is notified via the 814\_13 transaction and the other CR is notified via the 814\_12 transaction. ERCOT will only send the 814\_12 transaction to the Losing CR on a move in if ERCOT has already sent the 814\_06, Loss Notification, to the Losing CR. ERCOT will only send the 814\_12 transaction to the Gaining CR on a move out to CSA if ERCOT has already sent the 814\_22, CSA CR Move In Request, to the CSA CR.

**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:

(a) Service Address;

(b) Meter read code;

(c) ESI ID;

(d) Transmission and/or Distribution Service Provider (TDSP);

(e) Premise type;

(f) Current status (active/de-energized/inactive) with effective date;

(g) Move in/move out pending flag with associated date, if applicable;

(h) Power region;

(i) Station ID;

(j) Metered/unmetered flag;

(k) ESI ID dates that include:

(i) Eligibility date;

(ii) Start date;

(iii) Create date; and

(iv) Retire date;

(l) Provider of Last Resort (POLR) Customer class as defined in subsection (c) of P.U.C. Subst. R. 25.43, Provider of Last Resort (POLR);

(m) Settlement Advanced Metering System (AMS) meter or Municipally Owned Utility (MOU) / Electric Cooperative (EC) Non-BUSIDRRQ Interval Data Recorder (IDR) indicator that provides a true/false value as determined by ERCOT’s system evaluation of the current Load Profile ID assignment of an ESI ID;

(n) TDSP AMS indicator that is assigned by the TDSP to denote the following:

(i) AMSR – an AMS meter or MOU/EC Non-BUSIDRRQ IDR with remote connect and disconnect capability;

(ii) AMSM – an AMS meter or MOU/EC Non-BUSIDRRQ IDR without remote connect and disconnect capability; or

(iii) Null – neither an AMS meter type nor an MOU/EC Non-BUSIDRRQ IDR exists at this Premise; and

(o) Switch hold indicator;

(p) County; and

(q) Metered service type.

(2) At least daily, ERCOT will provide all of the attributes listed above when an 814\_20, ESI ID Maintenance Request, is received and accepted by ERCOT that creates an ESI ID, or makes changes to the switch hold or the provisioned AMS meter indicator of an ESI ID.

16.1.1 Re-Registration as a Market Participant

(1) Any Market Participant that has had one of the following occur must provide to ERCOT a new DUNS Number (DUNS #) to re-register as a Market Participant with ERCOT:

(a) Its Agreement with ERCOT terminated;

(b) Its Customers dropped to the Provider(s) of Last Resort (POLR(s)) pursuant to Section 15.1.3, Transition Process; or

(c) Its Customers dropped to a Gaining Competitive Retailer (CR) pursuant to Section 15.1.3.

***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 Transfer.

(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/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.

(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/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 Move-Out 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.

**ERCOT Nodal Protocols**

**Section 23**

**Form B: Load Serving Entity (LSE) Application for Registration**

**TBD**

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

**LOAD SERVING ENTITY (LSE)**

**APPLICATION FOR REGISTRATION**

This application is for approval as a Load Serving Entity (LSE) by the Electric Reliability Council of Texas Inc. (ERCOT) in accordance with the ERCOT Protocols. Information may be inserted electronically to expand the reply spaces as necessary. ERCOT will accept the completed, executed application via email to [MPRegistration@ercot.com](mailto:MPRegistration@ercot.com) (.pdf version). In addition to the application, ERCOT must receive an application fee in the amount of $500 via Electronic Funds Transfer (EFT) (wire or Automated Clearing House (ACH)), if the applicant is a Retail Electric Provider (REP) and/or Competitive Retailer (CR), per Section 9.16.2, User Fees. All payments should reference the applicant’s name and Data Universal Numbering System (DUNS) Number (DUNS #) in the remarks. If you need assistance filling out this form, or if you have any questions, please call (512) 248-3900.

This application and all subsequent documents provided to ERCOT must be signed by the Authorized Representative, Backup Authorized Representative or an Officer of the company listed herein, as appropriate. ERCOT may request additional information as reasonably necessary to support operations under the ERCOT Protocols.

**PART I – ENTITY Information**

|  |  |
| --- | --- |
| **Legal Name of the Applicant:** |  |
| **Legal Address of the Applicant:** | Street Address: |
|  | City, State, Zip: |
| **DUNS¹ Number:** |  |

¹Defined in Section 2.1, Definitions.

**1. Authorized Representative (“AR”)**.Defined in Section 2.1, Definitions.

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

**2. Backup AR**.*(Optional)* This person may sign any form for which an AR’s signature is required and will perform the functions of the AR in the event the AR is unavailable.

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

**3. Type of Legal Structure**. (Please indicate only one.)

Individual  Partnership  Municipally Owned Utility

Electric Cooperative  Limited Liability Company  Corporation

Other:

If Applicant is not an individual, provide the state in which the Applicant is organized,      , and the date of organization:

**4. User Security Administrator (USA)**.As defined in Section 16.12, User Security Administrator and Digital Certificates, the USA is responsible for managing the Market Participant’s access to ERCOT’s computer systems through Digital Certificates.

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

**4a.**  By checking this box, Applicant hereby requests that ERCOT evaluate Applicant’s eligibility to opt out of the requirement that Market Participant designate a USA and receive Digital Certificates, and affirms the following:

(a) Applicant is applying to register 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).

(b) Applicant is not, and will not, be designated as a Transmission Operator with ERCOT.

(c) Applicant understands that by opting out, it will not be granted access to portions of the ERCOT Market Information System (MIS) that require Digital Certificate access.

(d) Applicant understands that it can cancel any approved opt-out request, designate a USA, and begin receiving Digital Certificates by properly completing Section 23, Form E, Notice of Change of Information, and meeting the requirements under Section 16.12, User Security Administrator and Digital Certificates.

(e) If determined ineligible, Applicant must designate a USA, receive Digital Certificates and comply with requirements under Section 16.12.

**5. Backup USA**. *(Optional)* This person may perform the functions of the USA in the event the Primary USA is unavailable.

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

**6. Cybersecurity**. This contact is responsible for communicating Cybersecurity Incidents.

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

**7. Transition/Acquisition (“TA”).** Requirement for Competitive Retailers (CRs). Responsible for coordinating Mass TA events between ERCOT, Transmission and/or Distribution Service Providers (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”).

**TAB:**

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

**TAR:**

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

**TAT:**

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

**8. Type of Applicant.** Please indicate how the Applicant intends to operate in the market pursuant to the ERCOT Protocols. Please check all that apply.

**CR** – MOU or an EC that offers Customer Choice and sells electric energy at retail in the restructured electric power market in Texas; or a Retail Electric Provider (REP) as defined in P.U.C. Subst. R. 25.5, Definitions. (If CR, check one of the following):

**Opt-In MOU or EC** – A MOU or an EC that offers Customer Choice.

**REP** – A person that sells electric energy to retail Customers in this state. As provided in the Public Utility Regulatory Act, Tex. Util. Code Ann. § 31.002(17) (Vernon 1998 & Supp. 2007) (PURA), a REP may not own or operate generation assets. As provided in PURA § 39.353(b), a REP is not an Aggregator.

**Non-Opt-In Entity (NOIE)** – An EC or MOU that does not offer Customer Choice and does not plan to operate as a CR.

**External LSE (ELSE)** – A distribution service provider (as that term is defined in P.U.C. Subst. R. 25.5), which includes an electric utility, a MOU, or an EC that has a legal duty to serve one or more Customers connected to the ERCOT System but that does not own or operate Facilities connecting Customers to the ERCOT System.

**9. Default method for receiving transaction information from Transaction Clearinghouse.**

**Select one**:  EDI,  XML, or  Portal

**PART II – SCHEDULING INFORMATION**

**1. Designation of a Qualified Scheduling Entity (QSE).** Provide all information requested in Attachment A and have the document executed by both parties.

**PART III – REP INFORMATION**

(Part III applies to REPs only.)

**1. Other Trade or Commercial Names on PUCT Certificate**. (Limit: 4)

|  |  |
| --- | --- |
| Other Trade/Commercial Name: | DUNS Number: |
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**2. Texas Office**. Supply the Texas office location information indicated below prior to providing retail electric service in Texas:

|  |  |
| --- | --- |
| Name in use at Texas office: |  |
| Street Address of Texas office: |  |
| City, State, Zip: |  |
| Telephone: |  |
| Email: |  |

**3. Service Area**. Please designate service area by selecting one of the options below.

**Option 1** – For LSEs defining service area by geography. Check only one of the following boxes and complete supplemental information, if any, to designate desired geographical service area:

The geographic area of the entire state of Texas.

A specific geographic area (including the zip codes applicable to that area), as follows (list them):      .

The service area of specific transmission and distribution utilities and/or Municipally Owned Utilities (MOUs) or Electric Cooperatives (ECs) in which competition is offered, as follows (list them):      .

The geographic area of ERCOT or other independent organization to the extent it is within Texas, as follows (name it):

**Option 2** – For LSEs defining service area by customers. Provide an attached list of each individual retail customer, by name, with who it has contracted to provide one megawatt (1 MW) or more of capacity, pursuant to subsection (d)(2)(A) of P.U.C. Subst. R. 25.107, Certification of Retail Electric Providers (REPs).

**Option 3** – For LSEs that sell electricity exclusively to a retail customer other than a small commercial consumer and residential customer from a Distributed Generation (DG) facility located on a site controlled by that customer.

**4. PUCT Certification.**

|  |  |
| --- | --- |
| Date Certificate granted: | Certificate Number: |

**PART IV – ADDITIONAL REQUIRED INFORMATION**

**1. Officers.** ERCOT will obtain the names of all individuals and/or entities listed with the Texas Secretary of State or otherwise designated as having binding authority for the Applicant. ERCOT will use this list of individuals to determine who can execute such documents as the Standard Form Market Participant Agreement (Section 22, Attachment A), Amendment to Standard Form Market Participant Agreement (Section 22, Attachment C), Digital Certificate Audit Attestation (DCAA), etc. Alternatively, additional documentation (Articles of Incorporation, Board Resolutions, Delegation of Authority, Secretary’s Certificate, etc.) can be provided to prove binding authority for the Applicant.

**2. Affiliates and Other Registrations**. Provide the name, legal structure, and relationship of each of the Applicant’s affiliates, if applicable. See Section 2.1, Definitions, for the definition of “Affiliate.” Please also provide the name and type of any other ERCOT Market Participant registrations held by the Applicant. *(Attach additional pages if necessary.)*

|  |  |  |
| --- | --- | --- |
| **Affiliate Name**  (or name used for other ERCOT registration) | **Type of Legal Structure**  (partnership, limited liability company, corporation, etc.) | **Relationship**  (parent, subsidiary, partner, affiliate, etc.) |
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**PART V – SIGNATURE**

I affirm that I have personal knowledge of the facts stated in this application and that I have the authority to submit this application form on behalf of the Applicant. I further affirm that all statements made and information provided in this application form are true, correct and complete, and that the Applicant will provide to ERCOT any changes in such information in a timely manner.

|  |  |
| --- | --- |
| Signature of AR, Backup AR or Officer: |  |
| Printed Name of AR, Backup AR or Officer: |  |
| Date: |  |

**Attachment A – QSE Acknowledgment**

**Acknowledgment by Designated QSE for**

**Scheduling and Settlement Responsibilities with ERCOT**

The Applicant below has named the QSE listed below as its designated QSE to represent the Applicant for scheduling and Settlement transactions with ERCOT.

The Applicant’s designated QSE, listed below, hereby acknowledges that it does represent the Applicant and that it shall be responsible for the Applicant’s scheduling and Settlement transactions with ERCOT pursuant to the ERCOT Protocols.

The requested effective date for such representation is:      [[1]](#footnote-1)\*\*

or

Establish partnership at the earliest possible date

Acknowledgment by **QSE**:

|  |  |
| --- | --- |
| Signature of AR for QSE: |  |
| Printed Name of AR: |  |
| Email Address of AR: |  |
| Date: |  |
| Name of Designated QSE: |  |
| DUNS of Designated QSE: |  |

Acknowledgment by **Applicant**:

|  |  |
| --- | --- |
| Signature of AR for MP: |  |
| Printed Name of AR: |  |
| Email Address of AR: |  |
| Date: |  |
| Name of MP: |  |
| DUNS No. of MP: |  |

1. \*\* *Actual effective date will depend on time needed to implement the relationship in ERCOT systems once ERCOT has received all necessary information (a minimum of three Business Days), and may be later than the requested effective date. ERCOT will notify the parties of the actual effective date*. [↑](#footnote-ref-1)