

# 2009 ERCOT Protocols and Operating Guides Self-Certification - Qualified Scheduling

## 1. Instructions

This self-certification form is intended for ERCOT Level 3 and 4 Qualified Scheduling Entities (QSEs) with resources. This form must be submitted by November 10, 2009.

This self-certification covers the reporting period for January 1, 2008, to September 30, 2009. The response to the certification should accurately reflect the QSE's compliance status for the entire reporting period.

In addition to organization and contact information, this form includes 24 questions that require responses from the QSE.

Notice: Prior to submitting this self-certification form, you are directed to review the complete text of the applicable ERCOT Protocol and ERCOT Operating Guide that is found at [www.ercot.com](http://www.ercot.com). Each QSE should evaluate its compliance with the official ERCOT Protocol and ERCOT Operating Guide in preparing this filing.

Evidence must be retained to support the response to this self-certification, including any follow-up investigation, until the completion of the next scheduled audit, unless the Public Utility Commission of Texas (PUCT) or Texas Regional Entity (Texas RE) advises otherwise.

If you exit this survey before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved. When you are done, click the "Submit to Texas RE" button at the end.

Questions about completing self-certification forms should be directed to [selfcert@texasre.org](mailto:selfcert@texasre.org).

# 2009 ERCOT Protocols and Operating Guides Self-Certification - Qualified Scheduling

## 2. General Information

Please provide the company and contact information requested below. All fields are required.

If you exit this form before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved.

\* Market Participant Name

\* DUNS Number

\* Please provide the authorized representative whom Texas RE may contact regarding this self-certification.

Authorized Representative  
Name:

Authorized Representative  
Title:

Contact Email:

Contact Phone:

\* Please provide the contact information for the officer who has seen and approved this self-certification.

Approving Officer Name:

Approving Officer Title:

Approving Officer Email:

Approving Officer Phone:

Click the "Next" button to save responses.

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## 3. Training

This self-certification covers the reporting period from January 1, 2008, to September 30, 2009.

Please indicate whether the market participant is in "Full Compliance" or "Non-Compliance" for each ERCOT Protocol and Operating Guide reference below.

Each question requires a response. If "Non-Compliance" is selected, indicate whether the possible violation has previously submitted to Texas RE and the reason for non-compliance. If "Not Applicable" is selected, provide a brief explanation (100 characters or less).

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Please visit <http://www.texasre.org/enforcement/ercotprotocols/mitplan/> for general information on submitting a mitigation plan.

\* Does the QSE operator training program include defined objectives, curriculum, personnel and positions covered, training methods, and training documentation?

(Reference: Operating Guides 1.8.1 and 1.8.2)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

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- \* Does the QSE have a training program that addresses the 32-hour requirement for operator emergency training?

(Reference: Operating Guide 1.8.2)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

- \* Is emergency training documented for all QSE operator personnel?

(Reference: Operating Guide 1.8.2)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

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Click the "Next" button to save responses.

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## 4. Scheduling and Scheduling Monitoring Criteria

Please indicate whether the market participant is in "Full Compliance" or "Non-Compliance" for each ERCOT Protocol and Operating Guide reference below.

Each question requires a response. If "Non-Compliance" is selected, indicate whether the possible violation has previously submitted to Texas RE and the reason for non-compliance. If "Not Applicable" is selected, provide a brief explanation (100 characters or less).

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- \* Does the QSE maintain a 24-hour, seven-day-per-week scheduling center with qualified personnel for the purposes of communicating with ERCOT for scheduling purposes and for deploying the QSE's Ancillary Services in Real-Time?

(Reference: Protocol 4.3.4)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

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\* Does the QSE submit Balanced Schedules for each Settlement Interval?

(Reference: Protocol 4.3.1)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

\* Does the QSE submit day-ahead Resource Plans to ERCOT by 1600, and use best efforts, consistent with good utility practice, to continually update its Resource Plans to reflect the current and anticipated operating conditions of the Resources?

(Reference: Protocol 4.4.15)

Provide explanation if answered "Not Applicable."

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If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

\* Does the QSE operate its Resources to meet base power schedules and ancillary service obligations, in accordance with Schedule Control Error (SCE) Protocol requirements?

(Reference: Protocol 6.10.5.1)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

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\* In the event that the QSE scheduling center becomes inoperable, does the QSE have a written backup control plan to continue operation?

(Reference: Operating Guide 3.1.3.1)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

Click the "Next" button to save responses.

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## 5. Outage Coordination and Communications

Please indicate whether the market participant is in "Full Compliance" or "Non-Compliance" for each ERCOT Protocol and Operating Guide reference below.

Each question requires a response. If "Non-Compliance" is selected, indicate whether the possible violation has previously submitted to Texas RE and the reason for non-compliance. If "Not Applicable" is selected, provide a brief explanation (100 characters or less).

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\* Does the QSE develop, report, revise, and regularly submit its updated rolling 12-month outage schedule to ERCOT?

(Reference: Protocol 8.1.3.2)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

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\* Does the QSE immediately notify ERCOT by voice communication of Resource forced outages, maintenance outages, forced de-rates, or other significant changes in Resource status?

(Reference: Protocols 8.2.2, 8.2.4, and 8.2.5)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

Click the "Next" button to save responses.

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## 6. System Emergency and Black Start

Please indicate whether the market participant is in "Full Compliance" or "Non-Compliance" for each ERCOT Protocol and Operating Guide reference below.

Each question requires a response. If "Non-Compliance" is selected, indicate whether the possible violation has previously submitted to Texas RE and the reason for non-compliance. If "Not Applicable" is selected, provide a brief explanation (100 characters or less).

If you exit this form before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved.

- \* In the event that ERCOT initiates an Energy Emergency Alert (EEA), will the QSE notify ERCOT of any Resources uncommitted but available in the timeframe of the emergency, and immediately update the High Sustainable Limit (HSL) of any on-line resource that is capable of providing extra capacity within thirty (30) minutes?

(Reference: Protocol 5.6.7, Operating Guide 4.5)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

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- \* For a QSE with contracted Black Start Units, does the QSE have readily accessible and sufficiently detailed current operating procedures to assist in an orderly recovery from a black start situation? (Reference: Operating Guide 4.6)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

Click the "Next" button to save responses.

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## 7. Dispatch Instructions and Frequency Response Requirements and Monitoring

Please indicate whether the market participant is in "Full Compliance" or "Non-Compliance" for each ERCOT Protocol and Operating Guide reference below.

Each question requires a response. If "Non-Compliance" is selected, indicate whether the possible violation has previously submitted to Texas RE and the reason for non-compliance. If "Not Applicable" is selected, provide a brief explanation (100 characters or less).

If you exit this form before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved.

- \* Does the QSE comply fully and promptly with valid Dispatch Instructions from ERCOT, unless in the sole and reasonable judgement of the QSE such compliance would create a threat to safety, risk of bodily harm, or damage to the equipment, or is otherwise not in compliance with the ERCOT Protocols?

(Reference: Protocol 5.4.4)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

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- \* Does the QSE keep governors in service for all on-line units, except when equipment damage is imminent?

(Reference: Protocol 5.9, Operating Guide 2.2.5)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

- \* Does the QSE identify and immediately communicate short-term governor response problems to ERCOT?

(Reference: Protocol 5.9, Operating Guide 2.2.5)

Provide explanation if answered "Not Applicable."

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If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

- \* Does the QSE have a process and procedure that it utilizes to determine the frequency bias for its portfolio that considers governor operation, deadband, and droop in the calculations?  
(Reference: Protocols 5.9 and 6.5.1.1, Operating Guides 2.2.5 and 6.2.1)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

Click the "Next" button to save responses.

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## 8. Responsive Reserve Services

Please indicate whether the market participant is in "Full Compliance" or "Non-Compliance" for each ERCOT Protocol and Operating Guide reference below.

Each question requires a response. If "Non-Compliance" is selected, indicate whether the possible violation has previously submitted to Texas RE and the reason for non-compliance. If "Not Applicable" is selected, provide a brief explanation (100 characters or less).

If you exit this form before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved.

- \* Are the QSE's Loads Acting as a Resource (LAARs) capable of unloading the scheduled amount of Responsive Reserve Service (RRS) within ten (10) minutes of instruction by ERCOT, and are LAARs immediately responsive to system frequency or interruptible by action of under-frequency relays? (Reference: Protocols 6.5.4 and 6.10.3.2)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

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- \* Does the QSE schedule no more than twenty percent (20%) of the Net Dependable Capability for any non-combined-cycle thermal unit as Responsive Reserve?

(Reference: Operating Guide 2.5.2.3)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

- \* Does the QSE schedule no more than twenty percent (20%) of the combined Net Dependable Capability for any combined-cycle block with one or more combustion turbines or gas turbines coupled to a steam turbine, with their net maximum capability aggregated together, as Responsive Reserve?

(Reference: Operating Guide 2.5.2.3)

Provide explanation if answered "Not Applicable."

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If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

\* Does the QSE ensure its RRS obligation is sustained during real-time operation?  
(Reference: Operating Guide 2.5.2.3)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

Click the "Next" button to save responses.

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## 9. Voltage Support Service

Please indicate whether the market participant is in "Full Compliance" or "Non-Compliance" for each ERCOT Protocol and Operating Guide reference below.

Each question requires a response. If "Non-Compliance" is selected, indicate whether the possible violation has previously submitted to Texas RE and the reason for non-compliance. If "Not Applicable" is selected, provide a brief explanation (100 characters or less).

If you exit this form before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved.

- \* Does the QSE meet within established tolerances and respond to changes in the Voltage Profile established by ERCOT, subject to the stated QSE Reactive Power and actual power operating characteristic limits and voltage limits?

(Reference: Protocols 6.5.4 and 6.10.3.2)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

Click the "Next" button to save responses.

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## 10. Data Collection, Communications, and Telemetry

Please indicate whether the market participant is in "Full Compliance" or "Non-Compliance" for each ERCOT Protocol and Operating Guide reference below.

Each question requires a response. If "Non-Compliance" is selected, indicate whether the possible violation has previously submitted to Texas RE and the reason for non-compliance. If "Not Applicable" is selected, provide a brief explanation (100 characters or less).

If you exit this form before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved.

- \* Does the QSE have policies and procedures in place to ensure that all required real-time data points are provided, with proper accuracy, update times, and scan rates?

(Reference: Protocol 12.4.4.1.1, Operating Guides 8.1, 8.2, and Attachment 8A)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

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\* Does the QSE have arrangements with other service providers in place to maintain quality of service with telecommunications or if data circuits are interrupted?

(Reference: Operating Guides 8.3.4 and 8.3.5)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and issues tracking number, if known.

Click the "Next" button to save responses.

## 11. Certification Statement

This self-certification covers the reporting period for January 1, 2008, to September 30, 2009. The response to the certification should accurately reflect the QSE's compliance status for the entire reporting period.

By submitting this form to Texas Regional Entity, the QSE certifies that the information is accurate, and that the Approving Officer has reviewed and approved this form before submission.

\* Please enter the name of person submitting this form to Texas RE.

Name:

Title:

Company:

Email:

Phone:

Click the "Submit to Texas RE" button below. Submit by November 10, 2009.