



Electric Reliability Council of Texas

Market Data Transparency Service Level Agreement

Summary:

This document describes Market Data Transparency services provided by ERCOT to Market Participants.

EFFECTIVE: 1/1/2012

Document Revisions

Date	Version	Description	Author(s)
09/10/2007	.9	First draft	A. Smallwood
02/05/2008	.91	Modified all sections	A. Smallwood
03/19/2008	.92	Restructured sections	R. Sarasa
04/23/2008	.93	Changes following April SEWG	A. Smallwood
05/02/2008	.94	Incident Reporting Log referred as "Extract & Report Incident Log"	R. Sarasa
06/10/2008	1.0	Made two minor updates and base lined the document to version to 1.0 to reflect the Approval by COPS on 06/10/08	R. Sarasa
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11/13/2008	1.1	Updated Draft for 2009	T. Felton
07/27/2009	1.2	Updated Draft for 2010	T. Felton
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11/06/2009	1.4	Minor changes to section 6.	SEWG/T. Felton
12/08/2009	2.0	Approved by COPS	COPS
08/23/2010	2.1	Merged into Market Data Transparency SLA	T. Felton
9/17/2010	2.2	Updates to Availability/Perf monitoring. Updated Terms of Use.	T. Felton
9/22/2010	2.3	Included comments from WCS	T. Felton
11/19/2010	2.4	Included comments from COPS and SEWG; remove Terms of Use	T. Felton
8/10/2012	3.0	Updates for 2012	T. Felton

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1. Introduction

This Service Level Agreement (SLA) describes Market Data Transparency Services provided by ERCOT to Market Participants, and includes access to reports, policies, guidelines, procedures, forms and applications, and the delivery of data extracts and reports containing ERCOT market or market participant related data.

Where applicable, this information builds upon the requirements outlined in ERCOT Protocols and related Market Guides regarding the delivery of data extracts and reports.

In the event of a conflict between this document and the ERCOT Protocols, ERCOT Market Guides or PUCT Substantive Rules, the Protocols or PUCT Substantive Rules take precedence over this document

2. Services

There are two services associated with this agreement:

- *Data Extracts & Reports service* is defined as the set of reports and extracts created by ERCOT and delivered to Market Participants.
- *IT Applications service* is the set of systems that enable user access to ERCOT, and the delivery of these reports and extracts.

2.1 Data Extracts & Reports

2.1.1 Service Scope

ERCOT provides market data in the form of reports and web services. Extracts and reports are summarized in the [ERCOT Market Information List](#) (EMIL), and include Current Day Reports, Source System Reports, and EIS Reports and Extracts. The scope of this document is limited to Priority Level-1 extracts and reports listed in this matrix.

2.1.2 Service Characteristics

The service characteristics that apply to extracts and reports are: Timeliness, Completeness and Accuracy. Incidents impacting these characteristics are reported as part of the Extract & Report Incident log, as described in Section 3.

ERCOT will run integrity checks to ensure that reports and extracts contain complete data sets. Validations will also be run to verify that the data sets provided are accurate as well. Extract and report delivery timelines are captured in the Extract and Report Information Matrix in the column labeled 'ERCOT Delivery'. Where available, a protocol reference is given for applicable reports and extracts. Where there is not a protocol reference available, the default for which the report/extract is to be delivered will be 23:59 for the particular Operating Date.

For example, a daily report without a protocol reference would be due by 23:59 for the given Operating Date and a weekly report would be delivered by the day of the week specified and no later than 23:59 that day to be considered 'timely'.

Note: There are some reports and extracts that will not post if data has not been sent. In these instances, if data is not present in ERCOT's system during the timeframe for which the report/extract runs, then there is no data to deliver. Should you have any specific questions regarding these reports and extracts, please contact ERCOT HelpDesk for clarifications at (512) 248-6800 or hdesk@ercot.com.

2.2 *IT Applications*

2.2.1 **Service scope**

IT Applications service is the set of IT Applications that enable user access to ERCOT and contribute to the delivery of extracts and reports. Operational elements that impact availability – such as Hours of Operation, Availability and Performance Targets, and Planned Maintenance windows – apply to this service. IT applications measured by this service are:

- **Market Information System (MIS):** Provides a single point of access to protocol specified web pages classified as Public, Secure, and Certified by market participants, the PUC, and ERCOT staff for reports, extracts, applications, and any other content required by protocol.
- **External Web Services (EWS):** Forms the primary point-of-entry to the Nodal market systems to enable Market Participants of all types to interact with the Nodal market, including bids, offers, operating plan submission, outage submission and cancellation, dispute submission, report request and distribution
- **ERCOT.com:** Includes ERCOT's public website, link to ERCOT MIS, planning website, and FAQ website.
- **Commercial and Retail API:** Provides a similar functionality as the TML Report Explorer, and makes use of XML based API instead of web-based graphical user interfaces.
- **Market Participant Identity Management (MPIM):** Provides administration support of digital certificate access to ERCOT MIS Secure and Certified areas.
- **User Interface (UI):** Market Management System UI and Outage Scheduler UI

2.2.2 **Service Characteristics**

Hours of operation

ERCOT operates the hardware and software environment related to the applications of this service 24/7, subject to scheduled maintenance windows.

Availability Targets

ERCOT targets IT Applications to be available at least 99% of the time outside of scheduled maintenance and release windows. The exception is MPIM, which is targeted to be available 95% of the time.



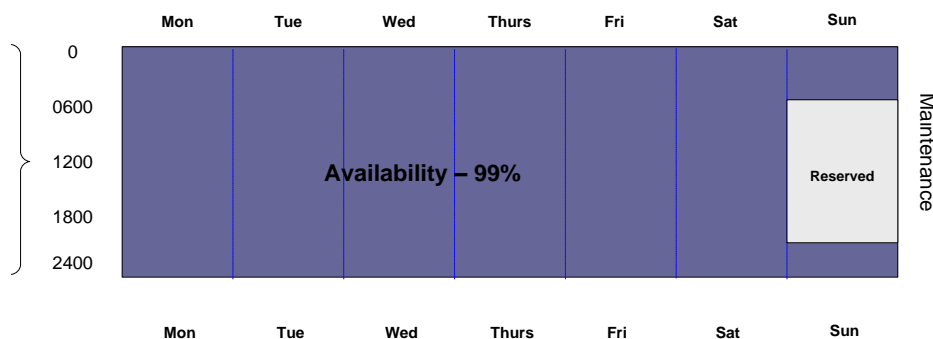
System	Support Tier	Aggregate Availability
EWS	Real Time	99%
MPIM	Business Hours	95%
MIS	Real Time	99%
ERCOT.com	Business Hours	99%
Commercial API	Extended Business Hours	99%
OS-UI	Real Time	99%
MMS-UI	Real Time	99%

Support Tier	Specification
Business Hours	<ul style="list-style-type: none"> Normal business hours support for all services is Monday – Friday, 8am—5pm, excluding ERCOT holidays Issues are worked until 5pm and then work resumes the next morning
Extended Business Hours	<ul style="list-style-type: none"> Extended business hours support for all services Monday—Friday, 8am—5pm, excluding ERCOT holidays Support outside of this timeframe will be handled remotely
Real-Time	<ul style="list-style-type: none"> Supported 24x7, 365 days a year, subject to scheduled maintenance windows. Work until resolution for issues affecting system performance or availability Problem and Issue Escalation happens in real-time

Scheduled Maintenance Window

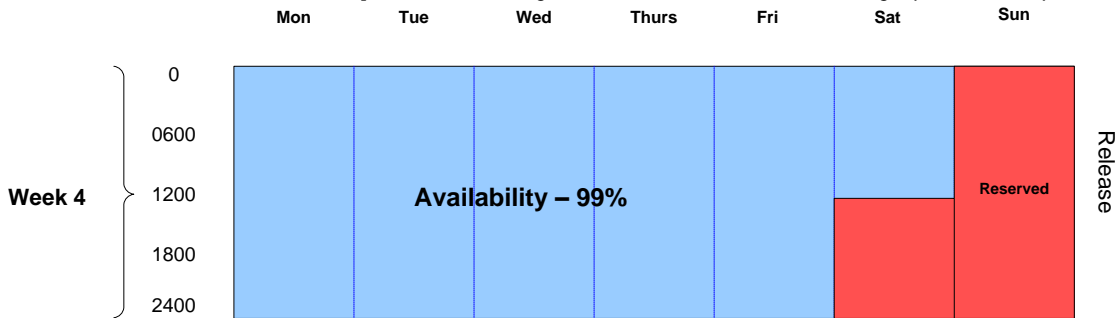
ERCOT reserves a Sunday maintenance outage window for IT applications. Notifications for planned maintenance during this window will be sent to the market at least 10 days prior to the planned outage.

- Sundays—6:00am until 9:00pm (15 hours)**



Release Windows:

- 4th weekend* – 12:00pm Saturday until 12:00am Monday (36 hours)



***Exceptions:**

To accommodate Thanksgiving, the 2012 November Release window will be moved to the 2nd week of December. Outages excluded from the availability metric which do not count as unplanned outage time include any market-wide releases requiring Market Participants and ERCOT to coordinate system outages for major upgrades, such as TX SET implementations. ERCOT will coordinate and communicate such market-wide releases and outage expectations unique to each release via the stakeholder process.

3. Reporting

3.1 Data Extracts & Reports Service Reporting

ERCOT will maintain a log recording incidents impacting timeliness, completeness and/or accuracy of extracts & reports. The complete list of Extracts and Reports is listed on the ERCOT Market Information List (EMIL - <http://www.ercot.com/services/mdt/>). The priority levels of extracts and reports are determined based on overall impact and number of MPs affected, with input from Stakeholder Subcommittee’s applicable working group, and included in the EMIL.

This log will be updated monthly and made available on the ERCOT website at <http://www.ercot.com/services/sla/>. The format of this log is outlined in section 6.

Note: Only incidents impacting 10 or more Market Participants will be reported via Market Notice reporting process. Therefore, this log may contain a broader set of incidents than are reported via Market Notices. Please see the COPS Communication Guide for more detailed information on Market Notices.

3.2 IT Application Service Reporting

ERCOT will measure and report availability and performance, both monthly and annually. These results will be reported monthly through the ERCOT governance process that includes



the Commercial Operations Subcommittee, the Technical Advisory Committee, and the ERCOT Board of Directors.

These reports will include availability and/or performance for the following:

- **Market Information System (MIS)**
- **ERCOT.com**
- **Commercial API Availability**

Availability:

Availability is monitored through two methods, primarily through synthetic transactions which execute scripts against the IT applications at regular intervals. Upon returning a valid response, and not exceeding the timeout threshold, the IT application will be considered available. When this method cannot be used, the availability is calculated by system or hardware uptime, and outage detection through operational monitoring tools.

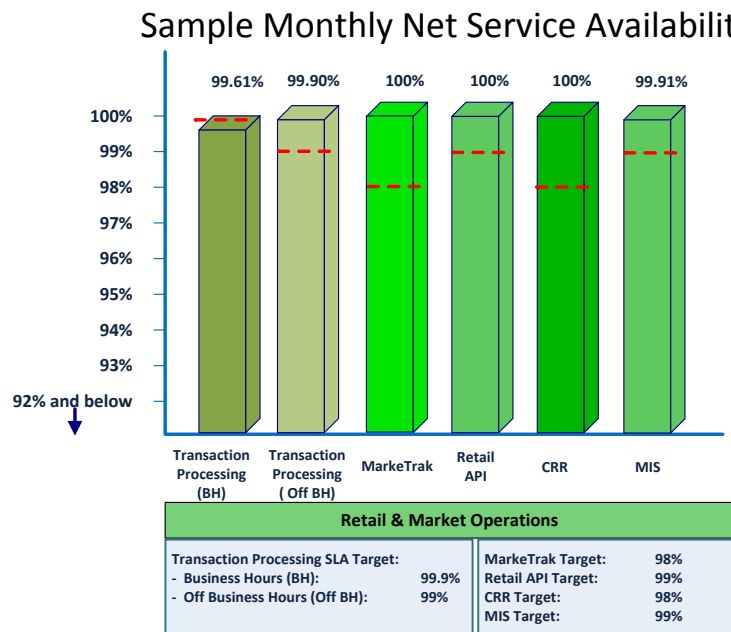


Figure 1: Example of Availability Report

Performance:

Performance is monitored through synthetic transactions which execute scripts against the IT applications at regular intervals between 10 and 15 minutes. Each application is monitored through numerous scripts, and data is aggregated to provide an overall health of the application. Performance baselines are benchmarked based on system performance through testing, and are designed to be tuned based on market participants needs. ERCOT strives to improve performance of these applications, and the goal for all systems is to meet performance baselines 98% of the time.

4. Service Availability Renegotiations and Change Control

Renegotiations of this SLA can be initiated by either Market Participants or ERCOT management by making a request through the stakeholder process. Changes outside the scope of this SLA including delivery times required by protocols or market guides will require use of the stakeholder process including Protocol revision requests.

Version control in the form of document version numbering will be maintained in this document as a means of providing a change control process.

5. Annual Review Process

ERCOT is committed to providing quality IT services to the competitive electric market in Texas. ERCOT intends that the IT services described in this document align with market participant requirements to the extent that is operationally feasible. To maintain alignment between the requirements of the market participants and the IT services delivered by ERCOT, the services defined in this document will be reviewed at least annually in a workshop setting or through an appropriate stakeholder group meeting.

6. Extract & Report Incident Log and Information Matrix

A spreadsheet including the Extract & Report Incident Log and Extract & Report Information Matrix will be maintained by ERCOT in a single spreadsheet file along with supporting information. This spreadsheet can be accessed at the following location:

<http://www.ercot.com/services/sla>

The following worksheets / tabs are included as part of this spreadsheet:

- Introduction / How to use
- Annual summary of Extract & Report Incidents
- Monthly summary of Extract & Report Incidents
- Detailed incident data of Extract & Report Incidents
- Extract & Report Information Matrix
- Public Reports (an addendum to the Extract & Report Information)

Elements included in the 'Detailed Incident Data' tab are:

- Incident date
- Date of initial Market Notice (if applicable)
- Market Notice ID tag (if applicable)
- Incident start and end times and duration
- Application impacted
- Issue Description
- Root Cause
- ERCOT Protocols Missed (Y/N)
- Market impact – the impact of the incident to market participants and end use customers

- Root Cause Details
- Switchover / Failover
- Resolution
- Date of any identified fix to be implemented
- Additional comments or notes
- Current Status

The annual and monthly summary worksheets summarize the market notice data in annual and monthly breakdowns.

7. Approvals

Area of Responsibility	Name	Reviewed / Approved	Date
Manager, IT Service Delivery	Trey Felton		
Manager, Data Integrity	Jackie Ashbaugh		
Stakeholder Sponsor –	COPS		

Appendix A: Definitions

This section contains definitions referred to in this document and of the commonly used acronyms.

- **Availability:** The ability of a component or IT service to perform its required function over a stated period of time
- **Degradation:** An event that causes the normal levels of ERCOT IT systems to be impacted while still allowing for minimal processing of or access to these systems
- **Incident:** Any event that causes the agreed levels of service of ERCOT IT systems to be impacted
- **Outage:** any incident resulting in the unexpected failure of a computer or network hardware system or software application. As measured by this SLA, an outage occurs when an application fails to return a valid response within the timeout window. This window is between 20 seconds and 90 seconds, depending on the application.
- **Planned outage minutes:** minutes used by ERCOT during the maintenance and release windows
- **Planned Outage:** A planned change in ERCOT IT systems that prevents users from being able to access the systems
- **Unplanned Outage:** An unplanned change in ERCOT IT systems that prevents users from being able to access the systems
- **Unplanned Outage minutes:** minutes retail transaction processing services were not available that are outside of the planned use of the maintenance and release windows