

# Texas Regional Entity Report

December 2007

# Performance Highlights

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- ERCOT's Control Performance Standard (NERC CPS1) score for November – 112.06
- Initial scores for November indicate 34 non-wind-only QSEs passed and 1 non-wind-only QSE failed the PRR 525 measure

# Texas RE Monthly Summary

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- For November.....
  - Protocol & Operating Guides violations
    - 1 new alleged
  - NERC Standards violations
    - 6 new alleged – all resulting from entity self-certifications
  - Reportable events
    - 1 Compliance Review in final stage
    - 2 new events reported – Compliance Reviews initiated
  - 12 NERC Spot-Checks Initiated
- NERC approved the [Texas RE 2008 Compliance Enforcement Program Implementation Plan](#)

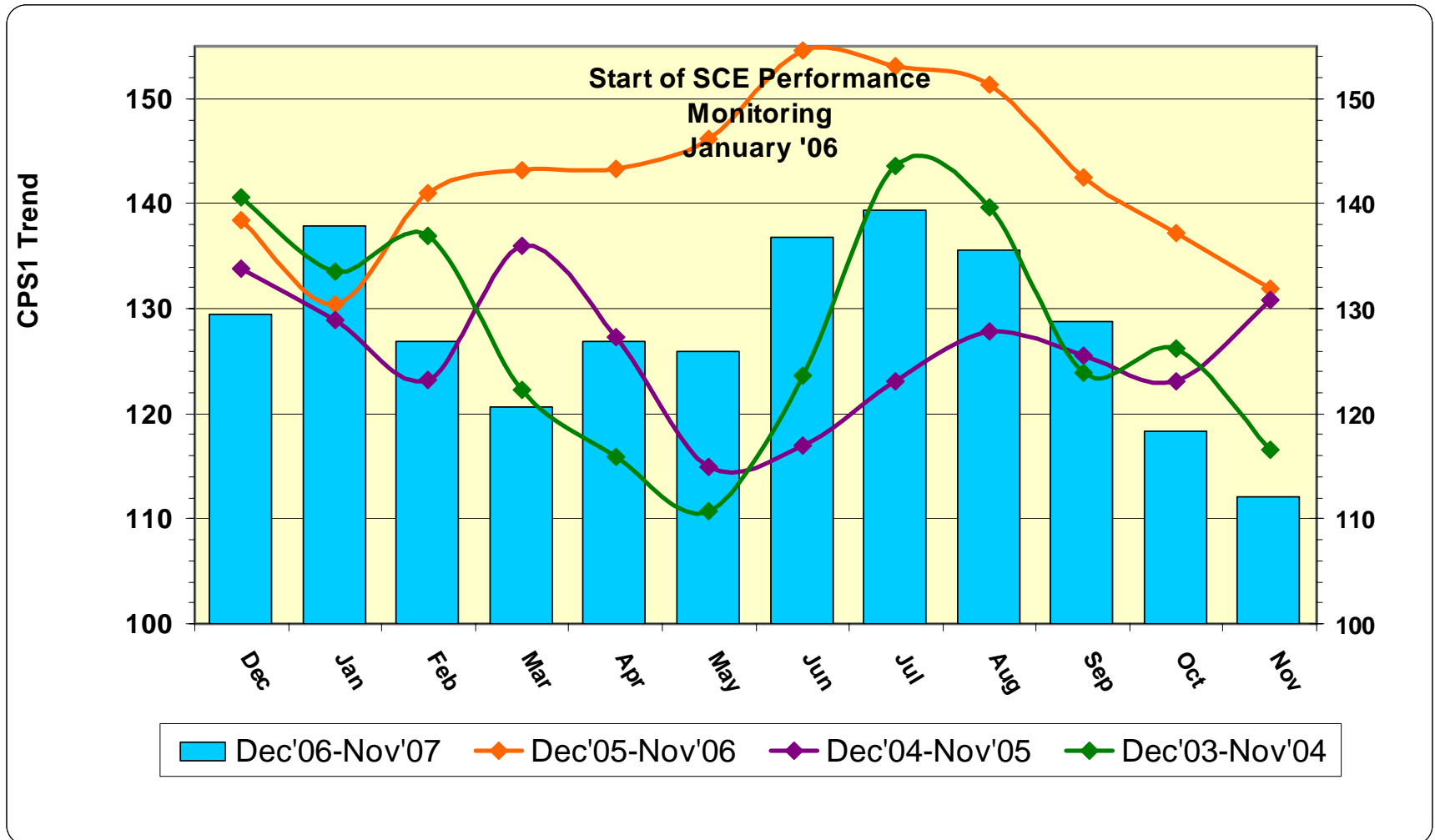
# Texas Regional Entity

## Report Details

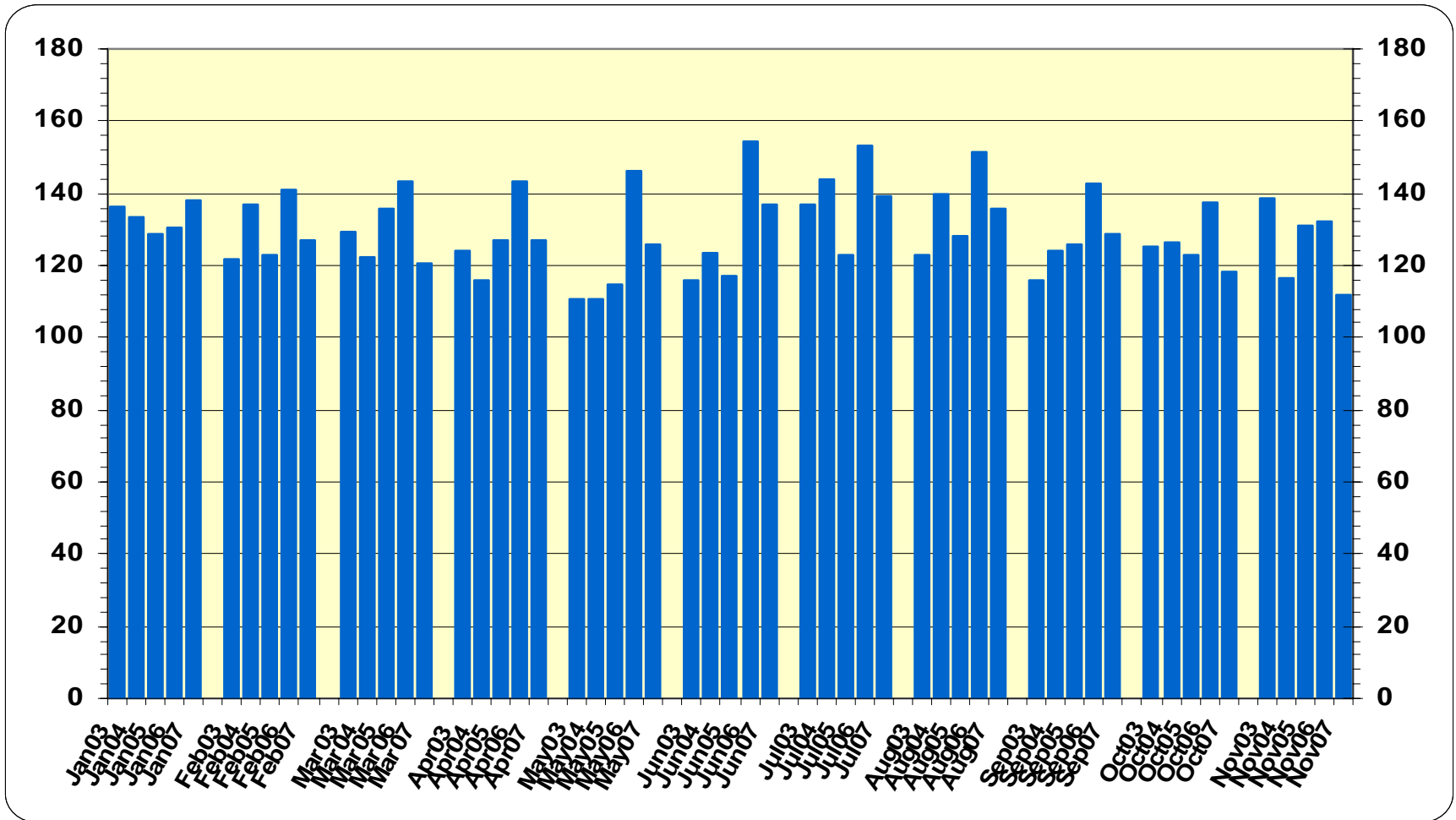
# NERC CPS1 Performance

- ERCOT's CPS1 Performance
  - November Performance
    - Monthly comparison
      - ◆ 2007: 112.06
      - ◆ 2006: 131.96
    - 12 month rolling average comparison
      - ◆ December 2006→ November 2007: 128.24
      - ◆ December 2005→ November 2006: 142.77
- PRR 525 Performance
  - Scores for November indicate 34 non-wind-only QSEs passed and 1 non-wind-only QSE failed the measure
  - Scores posted on the ERCOT Compliance Website
    - [SCE Performance Scores](#)

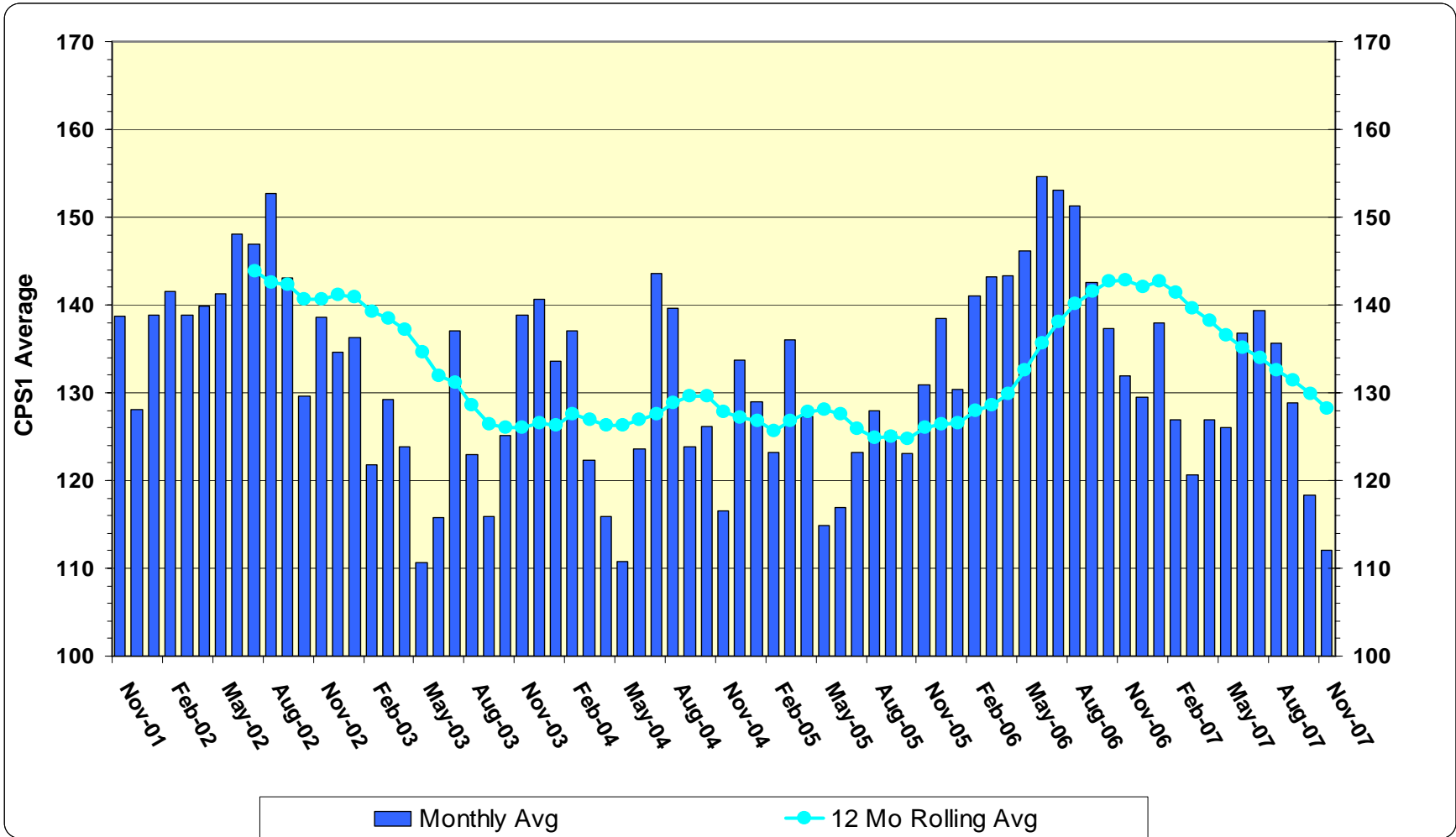
# ERCOT CPS1 Performance Comparison



# ERCOT CPS1 Year-to-Year Comparison

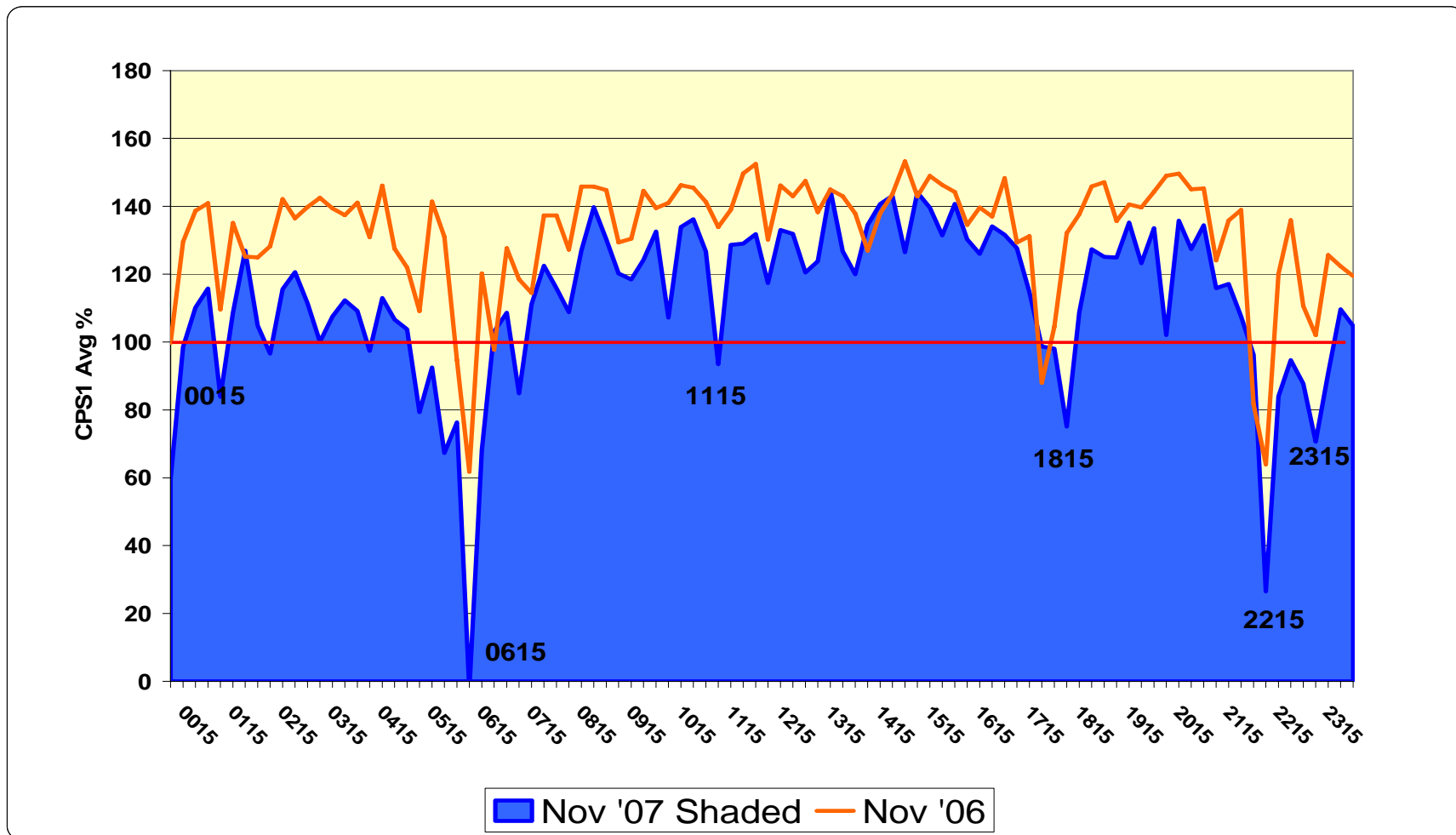


# ERCOT's CPS1 Monthly Performance

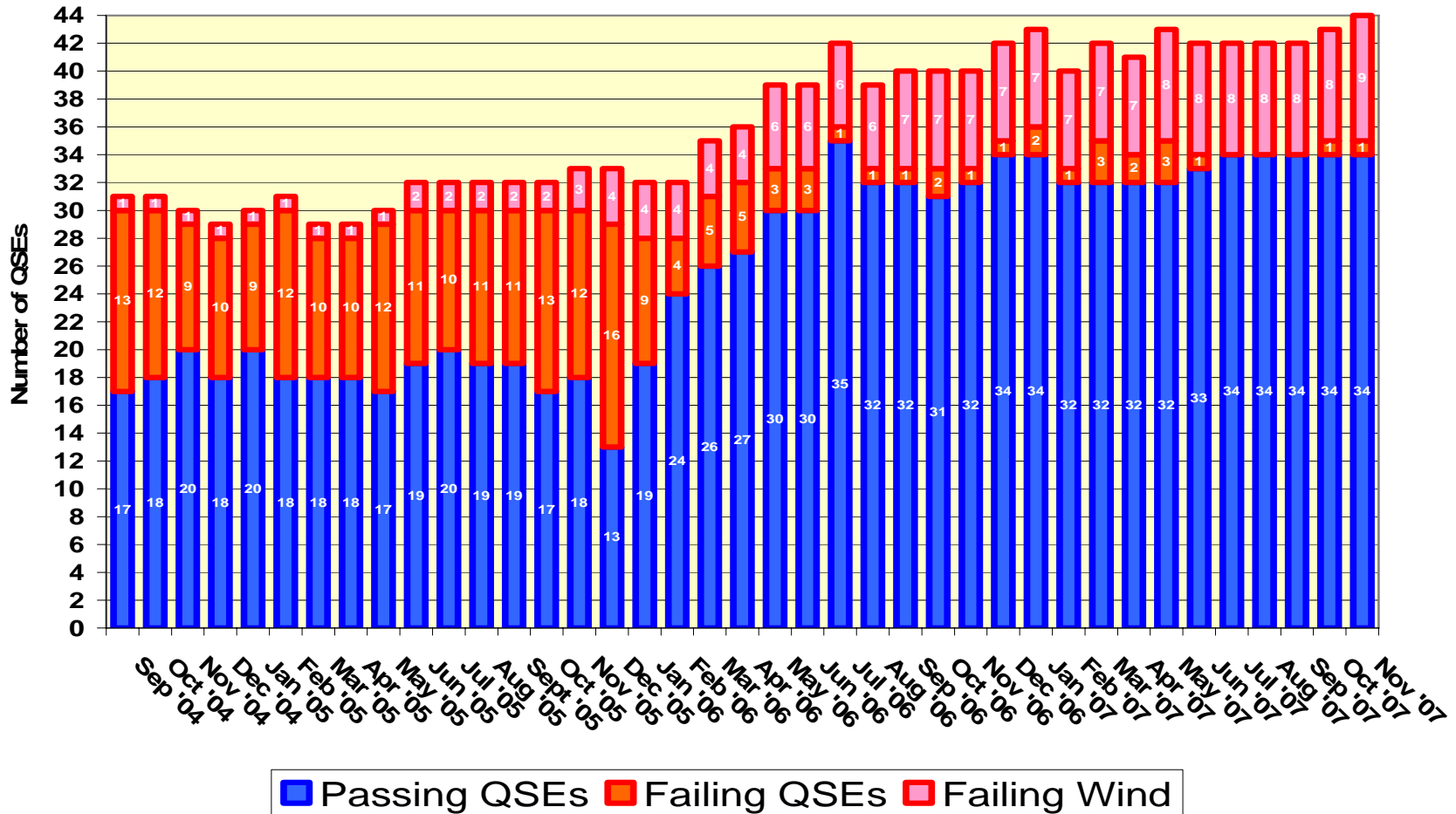




# ERCOT CPS1 by Interval



# QSE PRR 525 10-Minute Interval Scoring





# November 2007 Resource Plan Performance Metrics

PARTYNAME	ID																								
	DK	BT	DE	IP	AP	AO	HA	BY	BC	JA	AY	AM	AR	BR	HJ	DF	BP	CI	AE	AD	BJ	BH	JD	CF	ET
Resource Status	99	-	100	100	100	100	100	99	100	100	96	98	100	96	-	99	99	100	-	100	100	-	100	100	90
LSL as % of HSL	93	-	99	98	98	94	97	98	100	99	100	100	99	97	-	96	99	96	-	95	99	-	94	98	100
Day Ahead Zonal Schedule	94	98	100	100	100	99	100	100	100	100	95	100	100	98	97	100	100	94	-	100	100	100	100	100	96
Adjustment Period Zonal Schedule	91	89	96	97	96	94	91	98	98	95	96	96	92	92	93	90	97	90	-	89	94	95	95	95	100
Down Bid & Obligation	87	96	90	83	96	97	95	93	91	79	94	45	87	68	94	76	95	86	-	92	92	93	97	86	95
Total Up AS	-	-	100	-	100	98	99	98	95	100	97	96	100	87	-	92	-	-	100	-	-	-	97	100	96

PARTYNAME	ID																							
	DA	GR	GS	BF	BE	EU	JC	BG	CX	FK	HW	IN	IZ	JB	BX	CC	JE	CD	FS	AC	CQ	IV	IO	FY
Resource Status	99	-	-	-	-	100	-	99	100	100	100	99	100	-	100	99	-	99	100	100	99	-	100	-
LSL as % of HSL	100	-	-	-	-	100	-	100	100	100	100	98	96	-	99	100	-	97	99	100	98	-	-	-
Day Ahead Zonal Schedule	95	97	96	98	99	-	100	98	100	99	100	100	99	-	100	92	100	98	98	100	99	100	-	-
Adjustment Period Zonal Schedule	92	97	92	97	95	94	96	97	97	96	94	89	99	97	96	97	100	94	89	99	97	98	-	-
Down Bid & Obligation	79	84	86	85	84	-	100	92	92	92	95	97	99	99	84	93	100	93	-	94	93	96	-	-
Total Up AS	88	-	-	-	-	-	-	100	99	97	95	98	100	-	98	99	-	99	-	-	99	-	-	98

 4 Consecutive Failing Scores       3 Consecutive Failing Scores

 2 Consecutive Failing Scores       1 Failing Score

# Registration Activities

- Organization registration issues continue to be addressed
- Purchasing-Selling Entity (PSE) registration
  - Initially, registration notices sent to 33 entities
  - Registration criteria used
    - Entity operates as a Qualified Scheduling Entity (QSE) in the ERCOT Market
    - Entity shown on NERC TSIN (Transmission Service Information Network) List
    - Entity schedules transactions across a HVDC tie
- ERCOT PSE registration being removed
- Load-Serving Entity (LSE) registration to be addressed
- Joint Registration of some entities likely

# NERC Functional Entity Types

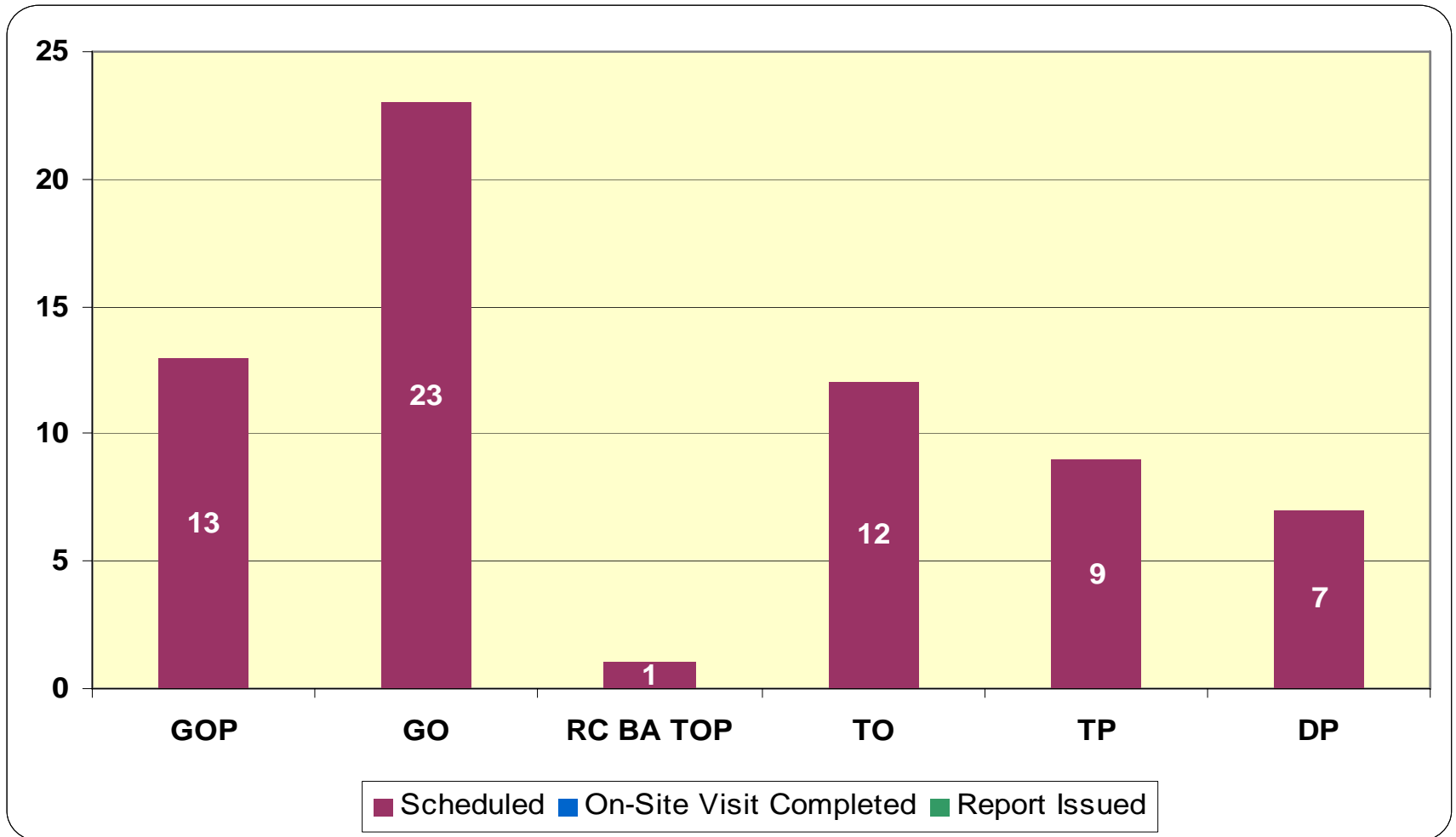
- DP – Distribution Provider
- GO – Generator Owner
- GOP – Generator Operator
- TO – Transmission Owner
- TP – Transmission Planner
- RC – Reliability Coordinator
- BA – Balancing Authority
- TOP – Transmission Operator
- PA – Planning Authority
- TSP – Transmission Service Provider
- RP – Resource Planner
- PSE – Purchasing-Selling Entity

# Compliance Process Flowcharts

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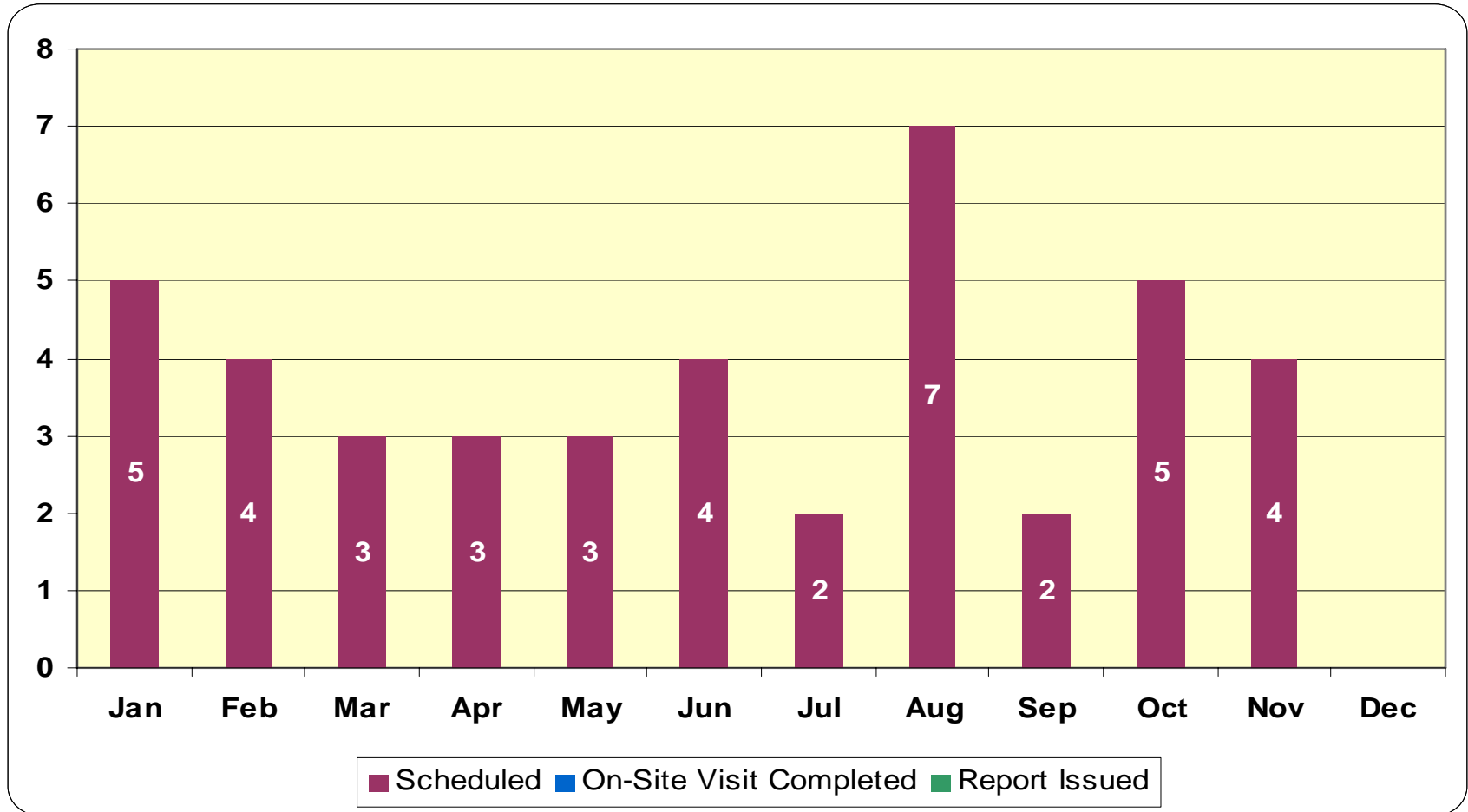
- NERC Compliance Monitoring and Enforcement Program – Reliability Standards
  - [Link to NERC Reliability Flowcharts](#)
- ERCOT Compliance Process – ERCOT Protocols and Operating Guides
  - [Link to Protocols & Guides Flowcharts](#)

# 2008 Audits by Registered Function





# 2008 Compliance Audits Scheduled by Entity

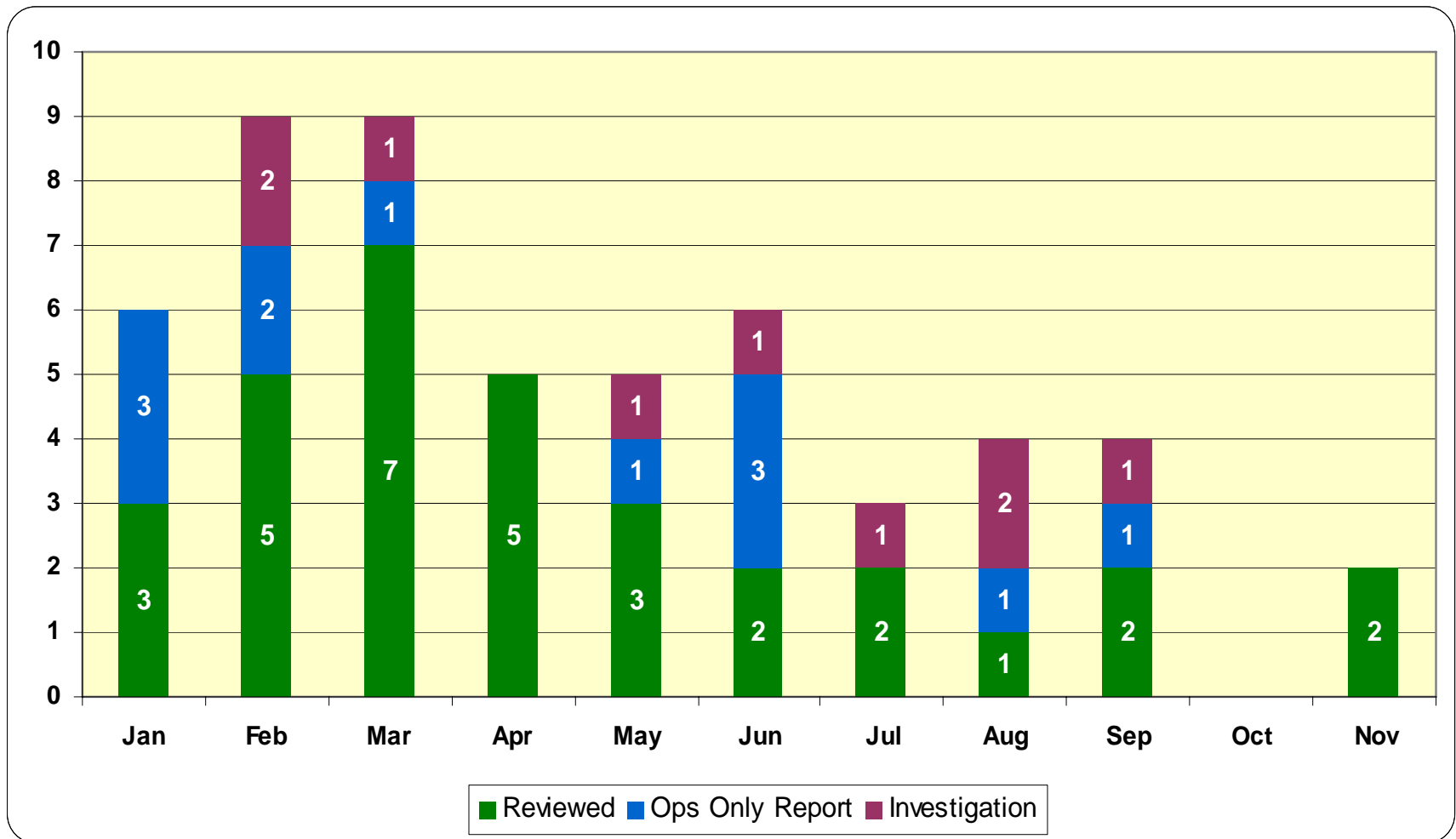


# 2008 Audit Schedule

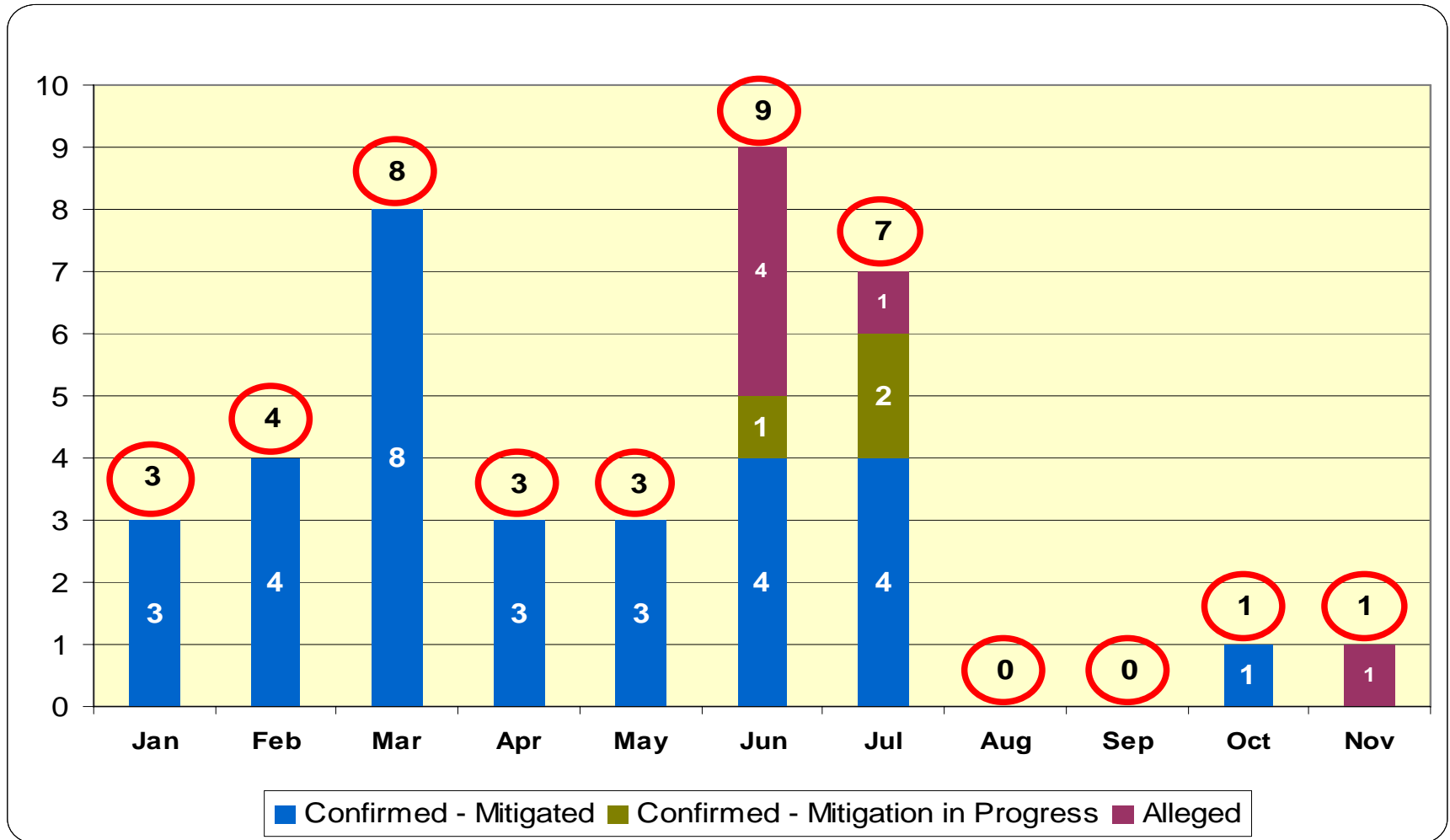
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- The 2008 Texas RE Audit Schedule is available [here](#).

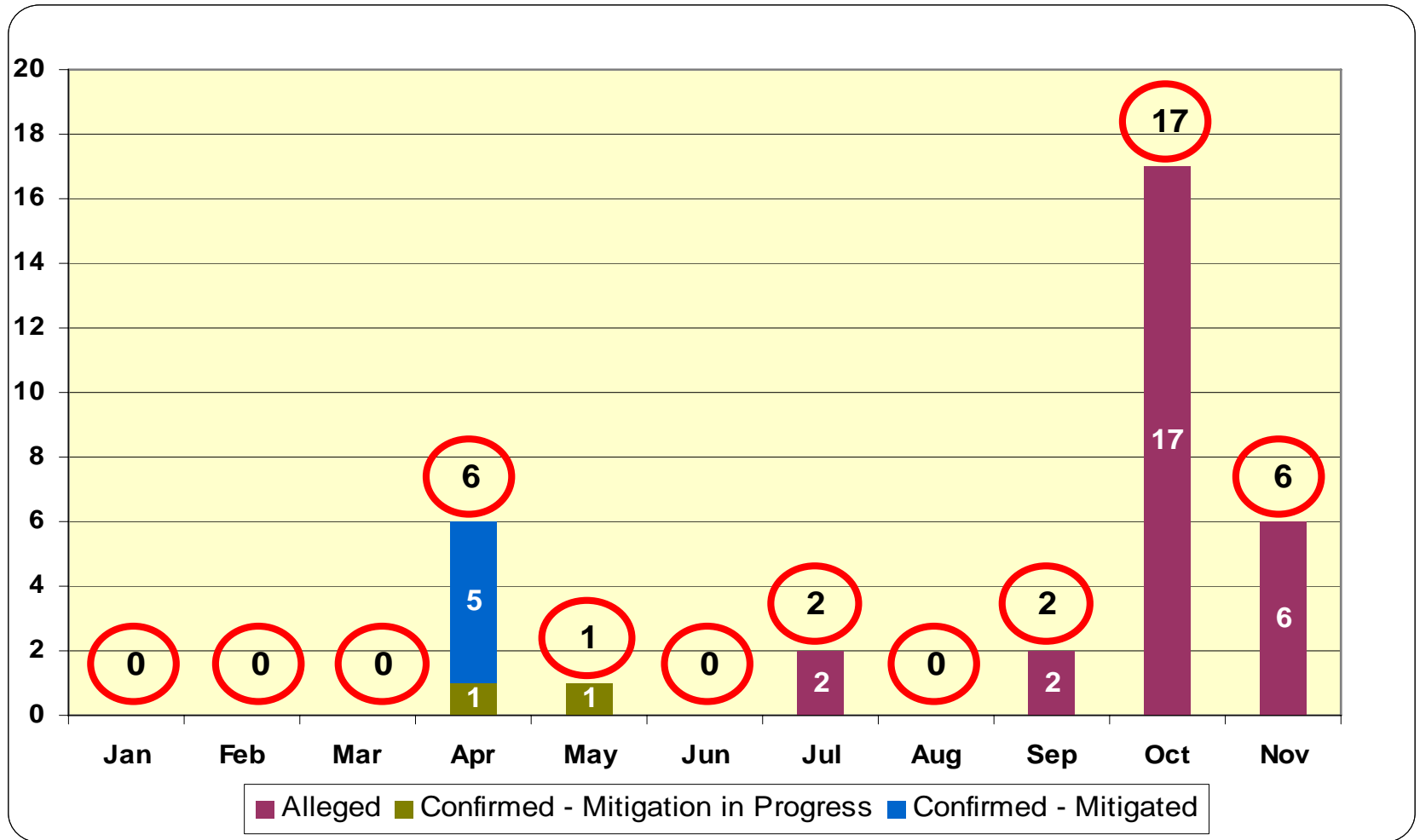
# Compliance Reviews of Events by Month



# Violations of ERCOT Protocols



# Violations of NERC Standards Reported by Month



# NERC Standards Self-Certification

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- NERC Registered Entities NOT audited in 2007 required to self-certify to the actively monitored Reliability Standards applicable to their Registration(s)
  - 165 Total Registered Functions
  - 99.4% overall response
  - 1 outstanding response
    - Entity is challenging their registration

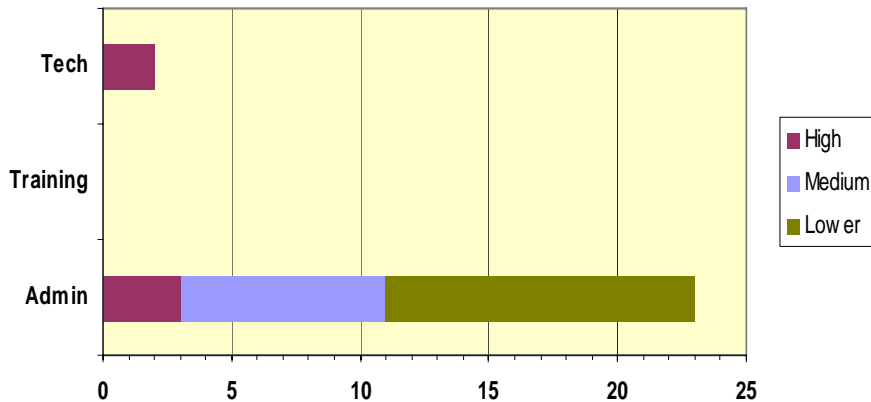
# NERC Standards Self-Certification

- To date, 25 alleged violations identified (September, October, & November)
  - 9 FAC-008 – lack documented process
    - 3 GOs
  - 6 FAC-009 – lack documented process
    - 3 GOs
  - 4 CIP-001 – lack documented process
    - 1 GOP
  - 3 IRO-004 – lack documented process
    - 2 GOs; 1 GOP
  - 3 PRC-005 – relay maintenance delinquent
    - 1 TO; 2 GO

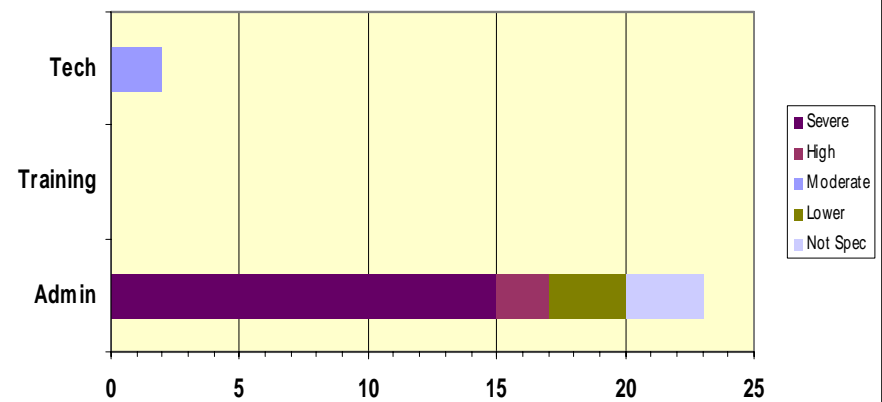
# NERC Standards Self-Certification Violation Details

Std	Qty	Req'mt	VSL	VRF	Time Horizon	Impact	Category
PRC-005	2	R2	Moderate	Lower	LT Plan	Minimal	Tech
PRC-005	1	R1.1	Lower	High	LT Plan	Minimal	Admin
FAC-008	3	R1	Severe	Lower	LT Plan	Minimal	Admin
FAC-008	3	R2	Severe	Lower	OP Plan	Minimal	Admin
FAC-008	3	R3	Severe	Lower	OP Plan	Minimal	Admin
FAC-009	3	R1	Severe	Medium	LT Plan	Minimal	Admin
FAC-009	3	R2	Severe	Medium	LT Plan	Minimal	Admin
IRO-004	3	R4	Not Spec	High	OP Plan	Minimal	Admin
CIP-001	1	R1	Lower	Medium	LT Plan	Low	Admin
CIP-001	1	R2	Lower	Medium	LT Plan	Low	Admin
CIP-001	1	R3	High	Medium	LT Plan	Low	Admin
CIP-001	1	R4	Lower	Medium	LT Plan	Low	Admin
<b>Total</b>	<b>25</b>						

Violation Risk Factors



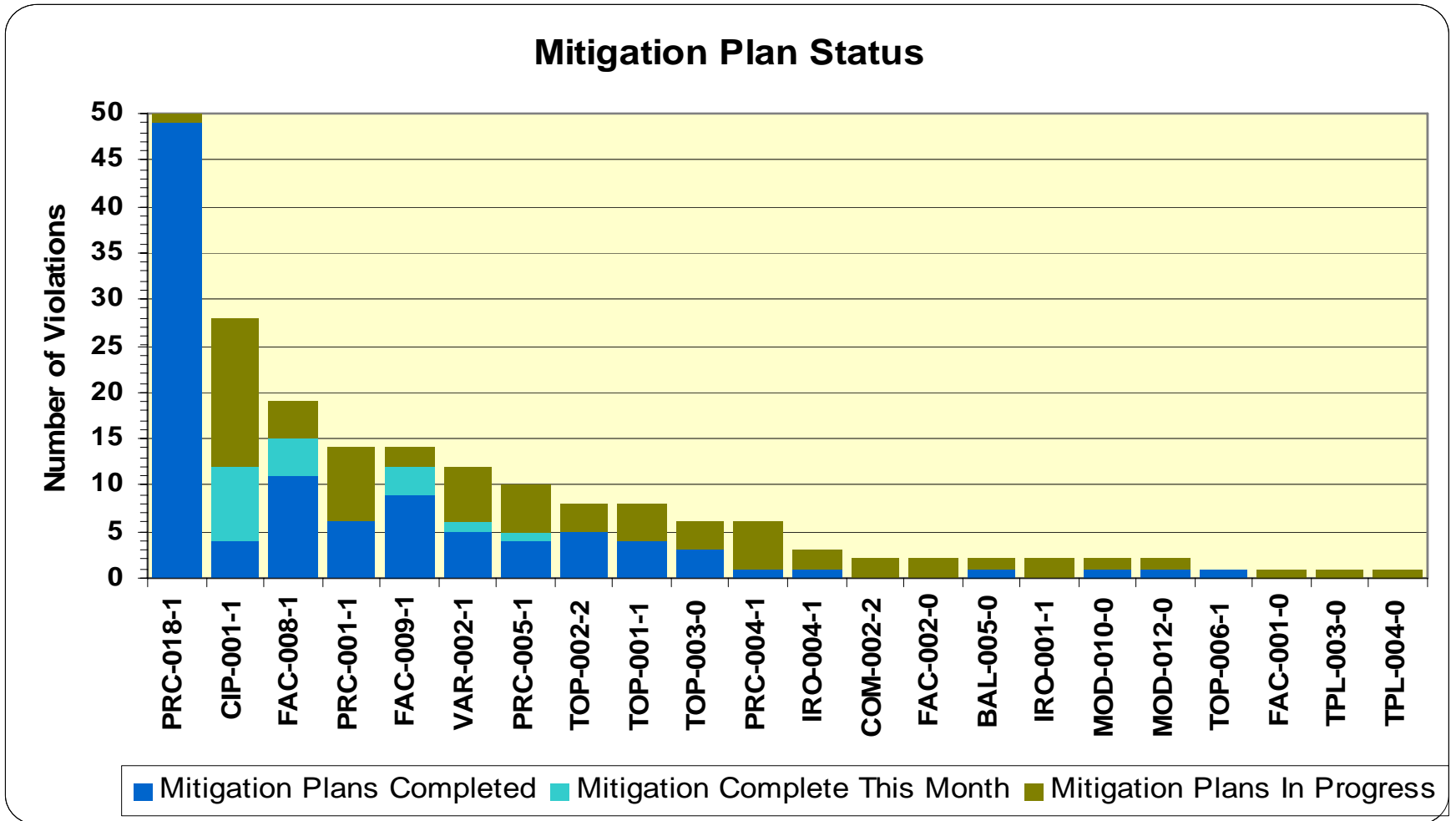
Violation Severity Level



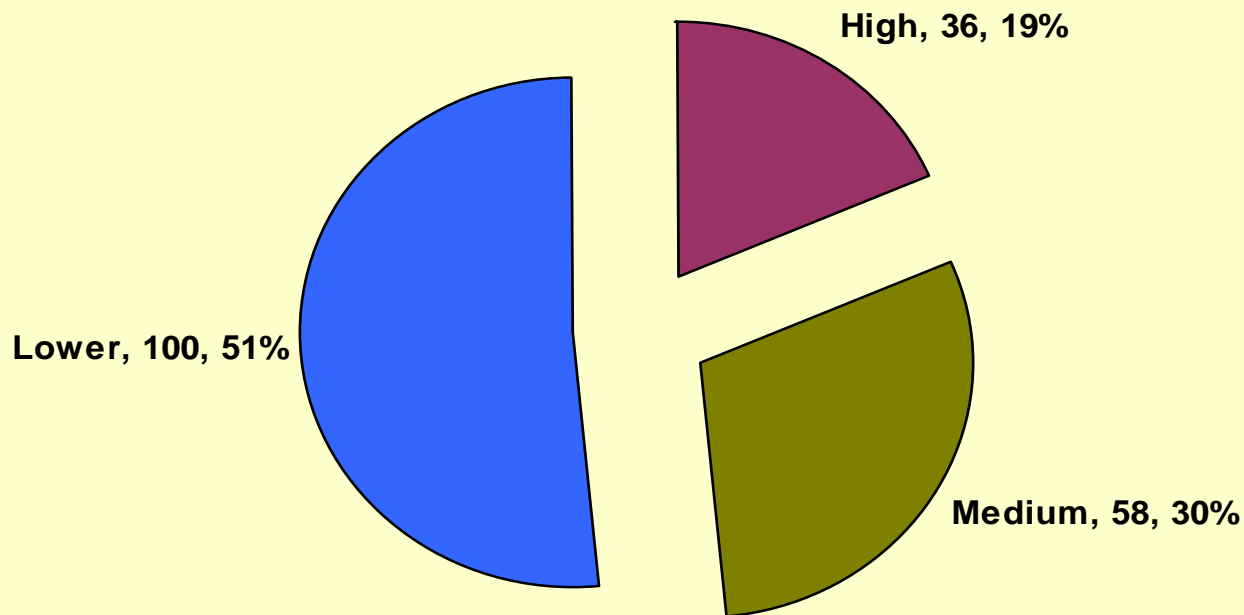


# NERC Standards Self-Reported Violations

## Pre-June 18<sup>th</sup>



# Risk Factors for Self-Reported NERC Standards Violations – Pre-June 18<sup>th</sup>



**Risk Factors are being assigned to each NERC Standard as part of the Standard Development Process**

# NERC Standards Self-Reported Violation Categorization – Pre-June 18<sup>th</sup>

