Electric Reliability Council of Texas

Data Extracts & Reports
Service Level Agreement

Summary:

This document describes Data Extracts & Reporting services provided by ERCOT to Market Participants.

EFFECTIVE: TBD

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 DEWG	A. Smallwood
05/02/2008	.94	Incident Reporting Log referred as "Extract & Report Incident Log"	R. Sarasa

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1.   Introduction

This Service Level Agreement ("SLA") describes Data Extracts & Reports services provided by ERCOT to Market Participants, and includes service information relating to 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 the delivery of extracts and reports to Market Participants. The Data Extracts & Reports Service is defined as the set of reports and extracts created by ERCOT and delivered to Market Participants. The Data Extracts & Reports IT Applications service is the applications that support 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 Extract and Report Information Matrix as part of the Data Extracts & Reporting Service. 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 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 timeframe for which the report/extract will 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'.

The characteristic of 'Availability' applies to a subset of IT applications that contribute to the delivery of extracts and reports and is captured in Section 2.2.

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.

2.2   Data Extracts & Reports IT Applications

2.2.1   Service scope

Data Extracts & Reports IT Applications Service is the set of IT Applications that contribute to the delivery of extracts and reports. Operational elements that impact availability – such as Hours of Operation, Availability Targets and Planned Outage windows – apply to this service. IT applications measured by this service that contribute to the delivery of extracts and reports are:

- TML Report Explorer: TML stands for Texas Market Link, and provides web-based user interfaces for Market Participants to query and submit a wide-range of information related to the ERCOT market, both wholesale and retail. The Report Explorer application within the TML portal provides the following functionality:
    - o List of extracts and reports available for download
    - o Ability to download the selected extract or report

- Retail API: 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.

The TML portal itself and Retail Market IT Services applications are not included in the services addressed in this document but rather in the Retail Market IT Services SLA. Applications and services included in the Retail Market IT Services SLA include:

- Retail Transaction Processing Platform

- TML (Texas Market Link) Portal
- MarkeTrak

Further information regarding these applications and service levels are available in the Retail Market IT Services SLA.

2.2.2 Service Characteristics

Hours of operation

ERCOT operates the hardware and software environment related to the applications of this service on a 24/7 basis, subject to scheduled maintenance and release windows and exceptions described below. This translates to 365x24x60 = 525,600 gross operational minutes in a common year.

Availability Targets

ERCOT targets TML Report Explorer and Retail API applications to be available at least 99% of the time outside of scheduled maintenance and release windows outlined below.

Scheduled Maintenance and Release Windows

ERCOT reserves the following times as maintenance and release outage windows for TML Report Explorer and Retail API applications.
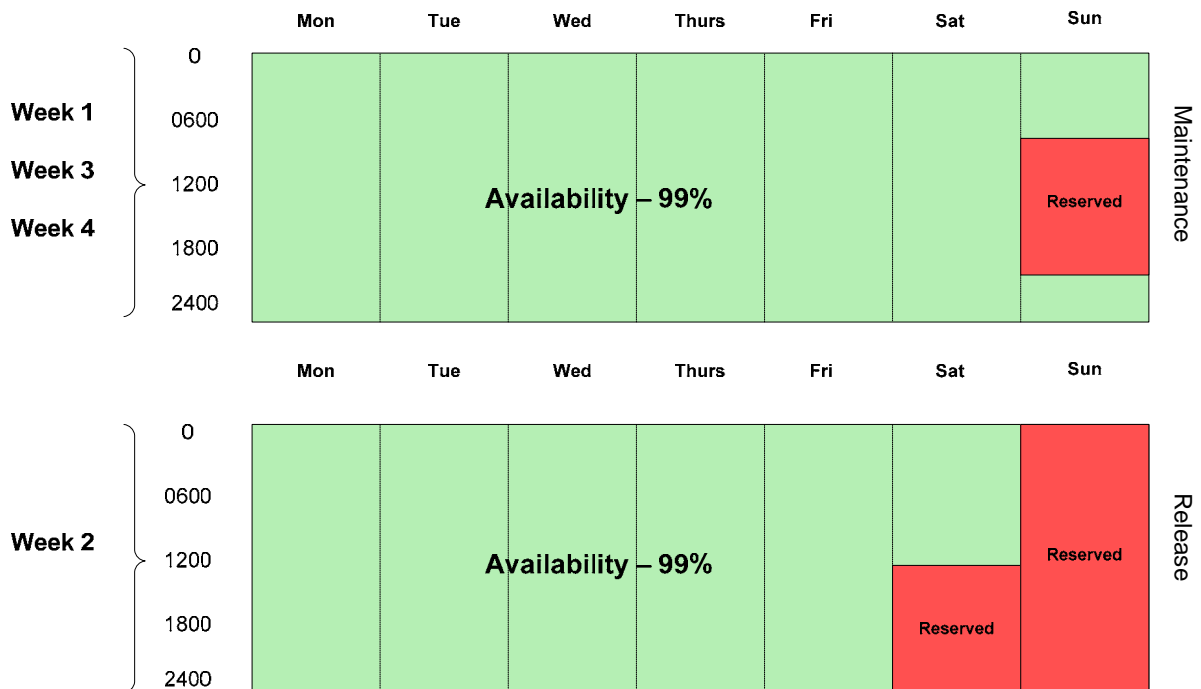
Maintenance Windows:

- 1st, 3rd, and 4th **Sunday** of each month – **8:00am until 8:00pm** (12 hours)

Release Window:

- 2nd weekend of each month – **12:00pm Saturday until 12:00am Monday** (36 hours)

TML Report Explorer and Retail API
Applications Availability

Exceptions:

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 continue to coordinate such market-wide releases, and, outage expectations unique to each release will be communicated via the stakeholder process. Exceptions for extended maintenance and release windows will be requested by ERCOT at a Commercial Operations Subcommittee meeting prior to the extended outage.

3.   Reporting

3.1   Data Extracts & Reports Service Reporting

ERCOT will maintain a log recording incidents impacting timeliness, completeness and/or accuracy of Priority Level-1 extracts & reports. The priority levels of extracts

and reports are assessed and set by the Data Extracts Working Group (DEWG), and included in the Extract and Report Information Matrix.

This log will be updated monthly and made available on the ERCOT website under the 'Services' section of the homepage and under the Commercial Operations Subcommittee (COPS) home page. 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._

If a daily report is delivered later than 23:59 for an Operating Day and it is a Priority Level 1 report and it impacts 10 or more Market Participants, a market notice will be sent and the incident report log will be updated. If the report is not Priority Level 1 and impacts 9 or fewer Market Participants, no notice will be sent. However, the incident report log will be updated. Those impacted Market Participants will be contacted by their Client Services Account Manager and made aware of the issue impacting them.

3.2   Data Extracts & Reports IT Application Service Reporting

ERCOT will measure and report monthly availabilities of TML Report Explorer and Retail API applications and track annual availabilities for each calendar year. 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 be included as part of the Extract & Report Incident log, and will include:

- TML Report Explorer Availability
- Retail API Availability
- Number of incidents relating to timeliness, completeness and accuracy of Priority 1 extracts and reports

Availability Breakdown:

Application availability will be measured as a percentage of minutes that the application is available compared to the total number of minutes, excluding used maintenance and release outage window time.

Gross minutes per year = 525,600

Reserved maintenance outage minutes per year = 25,920

Reserved release outage minutes per year = 25,920

525,600 – 51,840 = 473,760 net availability minutes per year

99% availability = 4737 unplanned outage minutes per year, or 78.9 hours (if all available maintenance and release windows are used)

Example Application Availability Calculation:

January (Example)

	M	T	W	Th	F	Sat	Sun

23 minutes

47 minutes

4 minutes

- = Application Available
- = Maintenance or release window used
- = Maintenance or release window reserved but not used
- = Application Outage
- = TML Report Explorer Outage

Gross Minutes = 44,640 (31 days X 1440 minutes per day)

Net Minutes = (Gross minutes – used maintenance release window minutes)

Net Minutes = 44,640 - (2160 + 720) = 41,760

Unplanned Minutes = 74

$$\frac{\text{Net Minutes} - \text{Unplanned Minutes}}{\text{Net Minutes}} \times 100 = \text{application availability \%}$$

$$\frac{41,760 - 74}{41,760} \times 100 = \textit{99.82\% Application Availability}$$

4. Service Availability Renegotiations and Change Control Process

Renegotiations of the ERCOT data extracts and reporting SLA can be initiated by either Market Participants or ERCOT management by making a request to the Commercial Operations Subcommittee. 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/index.html

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
- TML Report Explorer Availability
- Retail API Availability
- Extract & Report Information Matrix
- MOS Public Reports (an addendum to the Extract & Report Information)

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

- Outage/Incident date
- Date of initial Market Notice (if applicable)
- Market Notice ID tag (if applicable)
- Incident start and end times and duration
- Service(s) / Applications impacted
- SLA Impacted
- Issue Description
- Root Cause
- ERCOT Protocols Missed
- Service Impact
- Market impact – the impact of the incident to market participants and end use customers
- Root Cause Details
- 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.