Date: May 12, 2009
To: ERCOT Board of Directors, HR & Governance Committee
From: Bob Kahn, ERCOT President and Chief Executive Officer (CEO)
Subject: ERCOT Market Participant Survey Action Plan Progress Report – 1Q2009

MEMO

ERCOT continues to address the areas of improvement cited in the 2008 Market
Participant Survey.

Attachment A includes the 1Q2009 Progress Report which details the progress made for
each area of improvement.

As recommended by the HR & Governance Committee, we have added a column for the
"Targets Achieved and Completed".   This report does not include a column for "Targets
Missed or Incomplete" as no action steps where missed or left incomplete for 1Q2009.

2008 ERCOT Market Participant Survey 1Q2009 Progress Report				
HR&G 052009				
Perceived Areas of Improvement	**Action Plan**	**Steps to address Action Plan**	**Projected Completion Date**	**Targets Achieved Completed Items**
Spending Priorities and PMO	►Improve communication. ►Increase market education. ►Provide more transparency. ►Improve timeliness of communication. ►Conduct outreach.	►Work with TAC Chair and Vice Chair to target MP groups. ►Obtain feedback from MP groups (possibly formal or informal survey). ►Present results of survey and action plan to MP groups. ►Follow-up on action taken and obtain feedback. ►Educate market on the completion and usage of the CBA form. ►Enhance CBA form to integrate with new portfolio management effort. ►Involve market in additional CBA elements. ►Roll out new CBA with comprehensive training materials.	►1Q2009 - Meet with TAC to identify MP groups. ►1Q2009 - Surveys completed and action plan developed. ►2Q2009 - Action plan implemented. ►Ongoing - Communications on spending and priorities related to capital projects.	►Worked with TAC leadership to get feedback on PMO plan for enhanced communication and education on this topic ►Informal survey of MP groups on processes. ►Educated market on the completion and usage of the CBA form. ►Enhanced CBA form to integrate with new portfolio management effort. ►Involved market in additional CBA elements.
Website Satisfaction	►Nodal will address many issues. ►Replacement posting tool. ►Registered Access implemented.	►ERCOT can review applicable portion of ERCOT.com "Services" page to make updates showing more specifically the Services provided, as well as an overall review and critique of the website.	►Ongoing 2009 to Nodal Implementation.	►Updates to "Services" page improving navigation. ►Rearranged MP Communications page. ►Added Market Notice Archive of all notice lists. ►COPS recommended approval of SCR755, ERCOT.com Website Enhancements. ►Created new "feedback" button. ►Reviewed new concept for redesigned Calendar on ERCOT.com. ►ERCOT implemented a change to the website search function; more improved search functions will be analyzed. ►Assessment of Services page content for Client Services still on-going. ►Assessment of PUCT rule making links posting to website being conducted.
IT Technical HelpDesk	►Survey users filing tickets. ►Improve helpdesk procedures and processes. ►Engage Helpdesk employees to identify and solve issues. ►Develop SLA for Helpdesk.	►Survey users filing tickets ►Generate automatic notifications to all ticket completions. ► Improve help desk response and notifications in alignment with SCR 748. ►Recurring training is an ongoing process for all Help Desk staff. ►Develop SLAs for Market Services with stakeholder input.	►Q12009 ►Next survey to occur in 2010.	►Automatic notifications to all ticket completions went live in April 2008 ►SLAs have been negotiated with Market Participants and are in force for Retail Transaction Processing, Data Extracts & Reports, TML, Nodal EDS systems, and MarkeTrak. Performance results and incidents are reported monthly and are posted on ERCOT.com.

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Dispute Resolution	►Pull data to compare consistency. ►ERCOT currently is 99.5% within protocol. ►Survey initial disputes vs. ADRs. ►ADRs, not initial disputes, may be the issue.	►Complete assessment of possible options for dispute resolution metrics. ►Put hyperlink to survey on Dispute Service Request (DSR) email notice for resolution. ►Investigate adding Dispute Timeline onto Texas Market Link (TML) DSR page.	►1Q2009: Initial Assessment. ►3Q2009: Deploy first solutions.	►Met in March to consider options in measuring MP experience with dispute process. ►Complete metric design and documentation by end of 2Q2009. ►Target to implement metric by end of 3Q2009.
ERCOT Staff Communications with Market Participants	►Conduct outreach to clarify issue. ►Focus on communication checklist. ►Expand market SLA/Guide.	►Review and evaluate market notice templates with Working Group (CCWG). ►Refine "instructions contained within communications". ►Contact CCWG leadership requesting market notice template discussion be added to their agenda for review. ►Complete joint assessment of possible improvements in communications to market participants and assignments to Client Services for implementation.	►2Q2009 for initial assessment.	►March meeting to discuss communications with Corporate Communications, Web Coordination, and Client Services. ►More information is needed from stakeholders. ►Targeted survey to be considered by COPS. ►Revised and reviewed Market Notice Communication Process with COPS. ►Submitted COPMGRR011 to address website enhancements.
Account Managers	►Target MP contacts to promote awareness. ►Increased site-visits by account managers. ►CEO/COO stress awareness at employee orientation. ►Stress industry knowledge/expertise in hiring/development. ►Focus on timely interaction and response. ►2007 employee turnover replaced with highly skilled new hires.	►Emphasize site-visits to MPs primary and working contacts. ►Revise Client Services processes and procedures. ►Develop internal FAQ for Client Services. ►Complete ERCOT Client Services brochure. ►Assess value and target MP site meetings for 2009. ►Consider SLA for account manager responsiveness. ►Written account plans will be developed, reviewed and scheduled. ►Consolidate all existing processes and procedures into a common format and location. ►Conduct internal training on all revised procedures.	►3Q2009	►Conducted 34 site meetings with Market Participants to date. ►Revised Retail Account Plans to emphasize site-visits and include working contacts. ►Retail Client Services has 85% of Account plans drafted, 50% delivered. ►Developed internal FAQ. ►Consolidated all existing processes and procedures into a common format and location. ►Conducted internal training on revised procedures.

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Market Participant Understanding of ERCOT's Committee Structure and Protocol Revision Request and System Change Request Process	►Educate the market on structure. ►Utilize Wholesale and Retail ERCOT 101 training venues. ►Create web class on Learning Management System (LMS). ►Solicit feedback to gain definition of the issue. ►Address with module in education seminars. ►TAC to determine degree of issue.	►ERCOT 101 training for market participant's role in the ERCOT committee process. ►LMS training class for governance and committee structure. ►Incorporate process flows and information in education seminar model. ►Review revision request main pages for clarity on process. ►Add web page piece on the life cycle of a PRR, Guide Revision, or SCR.	►3Q2009	►Revision Request process educational material in development. ►Draft material presented at TAC & RMS leadership meetings. ►Additional material has been added to Wholesale Market Basics course and delivered on March 4th and 5th 2009. ►Revised existing Retail 101 MP working group presentation and presented at February ERCOT 101. ►PRR, Guide Revision, or SCR process is included in the Revised Retail 101. ►Developing new Web-Based training class for governance. (On target for end of Q3).
Reliability of Texas Market Link (TML)	►Projects completed to upgrade reliability. ►IT to continue to monitor systems. ►SLAs to be developed regarding TML.	►Solaris Server in place as of 09/2008 which upgraded service. ►SLA currently in place for metrics and incident log. ►2009 revised SLA includes response time monitoring. ►YTD availability 99.42%.	►Closed. Continued work on SLA.	
Format of Settlement Statements	►Nodal redesign project will address this concern.	►Nodal Implementation.	►Nodal Implementation.	
Asset Registration	►Complex issue due to Nodal requirements. ►RARF is continually being revised. ►Phased approach contributed to redundancy. ►Multi-departmental validation contributes to frustration.	►Incorporate Zonal Market resource asset registration into Nodal Market form. ►Establish a transition process to use Nodal RARF for Zonal Market process. ►Provide related MP communications on Registration web page, MP site meetings, and possible stakeholder presentations. ►By end of 1Q2009: Complete incorporation of zonal process into transition nodal process. ►Assess and deploy changes to ERCOT.com.	►1Q2009 for initial incorporation of zonal process.	►Initial incorporation of Zonal process complete. ►Nodal RARF revisions for network model phase of resource asset registration kicked off 2/20/2009. ►MP site meetings held to discuss RARF process. ►Continued work on Web UI for Registration Requirements

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Data Extracts and Reports Expectations	►Issue is understood. ►Improvements have been started. ►SLAs are being developed. ►TAC to define expectations and define changes. ►Introduction of new protocols needed.	►SLA working sessions were held to prioritize extracts and reports and formalize delivery expectations. ►Continue to work with COPS/CCWG to build upon communications as a part of Extract SLA.	►Closed. Continue to monitor and report performance.	►SLA has been developed and posted at http://www.ercot.com/services/sla. ►Monthly reviews are held with DEWS/SDAWG and any incidents are reviewed and discussed. ►Continue to monitor and report performance.
ERCOT Training and Seminars	►Enhance and improve Learning Management System. ►Explore Webinars as an outreach tool. ►Review communication on sessions offered. ►Continue current level of course offerings. ►Examine post-Nodal requirements. ►Report on "end of session" survey results. ►TAC to solicit future requirements. ►TAC to solicit standard of service.	►Account managers will forward training market notices to their primary working contacts. ►Revise instructor led training workshops for input into the ERCOT LMS system. ►Develop and deploy a QSE Orientation Web based session.	►Ongoing	►Training information sent to primary working contacts is ongoing. ►Converting instructor led training workshops for Web Based training on target.