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Date: April 13, 2009
To: ERCOT Board of Directors, HR & Governance Committee
From: Dale Goodman, Director of Client Services, ERCOT
Subject: ERCOT Market Participant Survey Action Plan Progress Report – Final

MEMO

Attachment A & B accompanying this memo encapsulates the progress reports made to the HR&G Committee during 2009 for each area of performance requiring improvement as identified in the 2008 Market Participant Survey.

Attachment A details the information originally presented to the HR&G Committee on February 17, 2009 which outlined the action plan, the steps to address the action plan, and the projected date of completion of the action items.

Attachment B shows a summary of the prior three reports, as well as the final report for each improvement area identified. We are pleased to report that all of the items for improvement identified in the survey have been addressed as summarized in the attachment. It should be noted that one very visible improvement area, Website Satisfaction, is an on-going improvement and enhancement process that will continue with the planned initiation of SCR755 after Nodal implementation and stabilization.

ERCOT Staff wishes to thank the HR&G Committee and the Board of Directors for the guidance and patience given to the process of managing and implementing the improvement items identified in the 2008 Market Participant Survey. It was a lengthy, yet beneficial process, especially considering the navigation of the process around the Nodal Market Implementation Project. Staff looks forward to conducting the next survey in 2011 and to continue working with the HR&G Committee and the Board of Directors to receive feedback and to implement quality improvements in our services to the market.

Perceived Areas of Improvement	Action Plan	Steps to address Action Plan	Projected Completion Date
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	►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.
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.
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.
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.
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.
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

Perceived Areas of Improvement	Action Plan	Steps to address Action Plan	Projected Completion Date
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
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.
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.
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

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Perceived Areas of Improvement	**Q1 2009 Update**	**Q2 2009 Update**	**Q3 2009 Update**	**Final Update**
Spending Priorities and PMO	✓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.	▶Still completing 2010 project prioritization process. Expected to complete with market stakeholders at TAC on 8/6/09. This is the last step in enhancing market understanding of project spending priorities.	✓2010 project prioritization process complete. ✓Action Plan considered complete.	✓Action Plan completed Q3.
Website Satisfaction	✓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.	▶Implementing Really Simple Syndication (RSS) feeds by Dec. ▶Implementing iCal feature to "click and add" calendar events to user's personal Outlook calendar by Dec. ▶Moving ERCOT.com from Google Mini search to Google Appliance. This will further improve search results by sorting by relevance as well other features by Dec. ▶Conducted an additional survey for ERCOT communications and ERCOT.com in June. Currently analyzing comments and suggestions. Initial results indicate search, adding graphics to reports, iCal feature, and RSS feeds are priorities. ✓Assessment of Services page content has been accomplished and revisions await input from Nodal market. ▶SCR755 is on hold until post-Nodal go-live.	✓Conducted an additional survey for ERCOT communications and ERCOT.com in June. Results indicate the following are desired: additional search function, additional graphics to reports, iCal feature, and RSS feeds. ▶Implementing Really Simple Syndication (RSS) feeds by Dec is on target and work continues with Market participants to gather requirements on items to be presented on feeds. ▶Implementing iCal feature to "click and add" calendar events to user's personal Outlook calendar by Dec. is on target. ✓Moving ERCOT.com from Google Mini search to Google Appliance is complete. This will further improve search results by sorting by relevance as well as other features. Further search enhancements such as sort by date and document or page can only be completed by allocating funds through SCR755.	✓Implemented Really Simple Syndication (RSS) feeds and initial comments have been a huge "Thank You". The market is using the feeds and we've already had requests to add additional feeds such as EILS. We expect to add more as the feature becomes more utilized. ✓Completed iCal testing. Implementation should be within the week. iCal allows users to "click and add" calendar events from ERCOT.com to the user's personal Outlook calendar. ✓Action Plan considered complete.
IT Technical HelpDesk	✓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.	✓Action Plan considered complete.	✓Action Plan considered complete.	✓Action Plan completed Q3.
Dispute Resolution	✓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.	▶Completed initial draft of survey and confirmed with application support that revisions to DSR email notice can support survey link and other improvements to help MPs with providing ERCOT feedback on dispute resolution.	✓Objective of establishing a means for Market Participants to provide feedback to ERCOT staff regarding their experience with submitting settlement disputes was completed in 3Q. ▶Due to availability of testing environment the improvements will not be tested and deployed until 1Q 2010.	✓Changes to DSR Email Notice was deployed in February 2010. One of the improvements was not completed in time for deployment and has been submitted as a SIR for next deployment. ✓Action Plan considered complete.
ERCOT Staff Communications with Market Participants	✓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.	✓Commercial Operations Market Guide revisions to address website enhancements implemented July 1, 2009.	✓Action Plan considered complete.	✓Action Plan completed Q3.

Perceived Areas of Improvement	Q1 2009 Update	Q2 2009 Update	Q3 2009 Update	Final Update
Account Managers	✓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.	✓Conducted 60 site meetings with Market Participants to date. ►Retail Client Services has 95% of Account plans drafted, 79% delivered.	✓Account plans ongoing for new Reps entering the market, existing Rep account plans completed. ✓Site visits ongoing. ►Wholesale Client Services site meetings will incorporate the Nodal Outreach meetings in 4Q. ✓Action Plan considered complete.	✓Action Plan completed Q3.
Market Participant Understanding of ERCOT's Committee Structure and Protocol Revision Request and System Change Request Process	►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).	►Revision Request process educational material in development. On target for end of Q3.	✓Revision Request education material completed and posted to ERCOT website. ✓New Web-Based training class for governance available. ✓Action Plan considered complete.	✓Action Plan completed Q3.
Reliability of Texas Market Link (TML)	✓Action Plan considered complete	✓Action Plan considered complete.	✓Action Plan considered complete.	✓Action Plan completed Q3.
Format of Settlement Statements	✓Action Plan considered complete	✓Action Plan considered complete.	✓Action Plan considered complete.	✓Action Plan completed Q3.
Asset Registration	✓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	►Nodal RARF revisions for network model phase of resource asset registration is on schedule. Last phase will complete by December 2009. ►Continued work on Web UI for Registration Requirements. Proposed project is below cut line for 2010.	►Nodal RARF revisions for network model phase of resource asset registration is on schedule. Last phase will complete by December 2009. ►Continued work on Web UI for Registration Requirements. Proposed project is below cut line for 2010.	✓Nodal RARF revisions for network model phase of resource asset registration was completed as originally scoped. Resource Asset Registration continues to be a dynamic process and improvements will continually be made as the implementation of Nodal continues. ✓Alternatives will be explored in 2010 for functionality options and options not requiring a capital project to possibly provide an initial Web UI of less scope compared to the project listed in the PPL. ✓Action Plan considered complete.
Data Extracts and Reports Expectations	✓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.	✓Action Plan considered complete.	✓Action Plan considered complete.	✓Action Plan completed Q3.
ERCOT Training and Seminars	✓Training information sent to primary working contacts is ongoing. ✓Converting instructor led training workshops for Web Based training on target.	✓Action Plan considered complete.	✓Action Plan considered complete.	✓Action Plan completed Q3.