



2011

ERCOT KEY PERFORMANCE INDICATOR MATRIX

1ST Quarter Reporting Period

		4th Quarter Performance		3rd Quarter Performance		2nd Quarter Performance		1st Quarter Performance	
		Green	Red	Green	Red	Green	Red	Green	Red
25%	TRANSMISSION SYSTEM OPERATION								
	SYSTEM PLANNING								
	TRANSMISSION CONNECTION MANAGEMENT								
	GRID SECURITY MANAGEMENT / REAL-TIME SYSTEM CONTROL / SCHEDULING & DISPATCH								
	OUTAGE COORDINATION/PLANNING								
	FORECASTING								
	COMPLIANCE MONITORING & REPORTING								
15%	RETAIL OPERATION								
	CUSTOMER SWITCHING/REGISTRY								
	MARKET INFORMATION								
	DISPUTE MANAGEMENT								
20%	WHOLESALE SPOT/CASH MARKET OPERATION								
	BIDDING, SCHEDULING AND PRICING								
	WHOLESALE METERING, DATA COLLECTION AND DATA AGGREGATION								
	SETTLEMENT & BILLING								
	MARKET INFORMATION								
	CRR/FTR MANAGEMENT								
	DISPUTE MANAGEMENT								
5%	RENEWABLE ENERGY CREDITS								
	DETERMINE REC OBLIGATIONS AND VERIFY COMPLIANCE								
10%	CUSTOMER CARE								
	ACCOUNT MANAGEMENT								
15%	INFORMATION TECHNOLOGY								
	IT APPLICATION SERVICES							IT 10	
	IT STRATEGY & PLANNING							IT 14	
10%	OTHER SUPPORT & MANAGEMENT FUNCTIONS								
	STRATEGY & BUSINESS PLANNING								
	INTERNAL AUDIT								
	FINANCE								
	HUMAN RESOURCES								
	FACILITIES/SECURITY								
	EXTERNAL AFFAIRS								
	PROJECT/PROGRAM MANAGEMENT								



2011
ERCOT KEY PERFORMANCE INDICATOR MATRIX
Transmission System Operation
1ST Quarter Reporting Period

		TARGET		STRETCH		PERFORMANCE
SYSTEM PLANNING						
Trans 1	Saathoff	Regional Planning project Review performance	At least 90% of project review studies completed on time without substantive errors	At least 95% of project review studies completed on time without substantive errors		100%
TRANSMISSION CONNECTION MANAGEMENT						
Trans 2	Saathoff	Generation Interconnection Request (GIR) review performance	At least 90% of GIR screening studies completed on time without errors	At least 95% of GIR screening studies completed on time without errors		100%
GRID SECURITY MANAGEMENT / REAL-TIME SYSTEM CONTROL / SCHEDULING & DISPATCH						
Trans 3	Saathoff	Control Performance Standard 1 (CPS1) frequency control performance	Rolling 12 month CPS1 score > 135	Rolling 12 month CPS1 score > 150		149.97
Trans 4	Saathoff	Interconnection Reliability Operating Limit (IROL)	No IROL exceedance longer than 30 minutes	No IROL exceedances longer than 15 minutes		No IROL Exceedances longer than 15 minutes.
OUTAGE COORDINATION/PLANNING						
Trans 5	Saathoff	Outage Coordination performance	At least 95% of outage requests approved or denied within timeline and with mitigation plans developed if required	At least 97% of outage requests approved or denied within timeline and with mitigation plans developed if required		We are at 98.8%. However, in 2010 we approved 38,000 outages. This year we have already approved over 32,000. The challenge to approve outages on schedule is much greater this year due to the increase in requests, largely due to CREZ construction.
Trans 6	Saathoff	Network model update frequency	No more than two instances of models not being provided for scheduled and supplemental data base loads and no more than 4 emergency database loads due to staff error	All models provided for scheduled and supplemental data base loads and no more than 2 emergency database loads due to staff error		We've had one emergency database load (3/18) that can be attributed to ERCOT staff error. We've had no instances of models not being provided on time.
FORECASTING						
Trans 7	Saathoff	Operations Load Forecast performance - Mean Average Percent Error (MAPE)	Monthly average day ahead load forecasts used for DRUC MAPE all less than 4.0%	Monthly average day ahead load forecasts used for DRUC MAPE all less than 3.5%		Highest average day ahead MAPE was February at 3.46%.
Trans 8	Saathoff	Wind forecast performance - MAPE based on installed wind capacity	Monthly average day ahead wind forecasts used for DRUC MAPE all less than 20%	Monthly average day ahead wind forecasts used for DRUC MAPE all less than 15%		The average MAPE for the day-ahead wind forecast is 10-11%
COMPLIANCE MONITORING & REPORTING						
Trans 9	Saathoff	Required Planning Report performance	No more than two reports required by PUCT Rule, DOE project, NERC or State law filed late or with error	100% of reports required by PUCT Rule, DOE project, NERC or State law completed on time without errors.		To date, PASA reports, DOE qrtly report, and NERC Assessments on time without error.
Trans 10	Manning	Achieve full compliance with NERC/FERC planning and operating standards, OPS, Protocols (this measurement will be monitored by HR&G and adjusted as directed)	No more than 1 high severity and no more than 5 total exceptions from NERC Standards as found in a NERC Compliance Audit excluding current registration mitigation plan regarding TOP	No exceptions from NERC Standards as found in a NERC Compliance Audit.		No exceptions reported to date.
Trans 11	Manning	Assure property, personnel, and cyber assets are protected (cyber and physical) in accordance with NERC CIP Standards and SAS70 Controls.	No more than 1 high severity and no more than 5 total alleged violations from NERC Standards as found in a NERC or TRE initiated CIP CMEP in 2011. SAS70 - No more than 1 exception in logical or physical security controls and an unqualified opinion in logical or physical security controls.	No alleged violations from NERC Standards as found in a NERC or TRE initiated CIP CMEP in 2011. SAS70 - Unqualified opinion and no noted exceptions.		No exceptions reported to date.
Trans 12	Manning	Achieve compliance with ERCOT Protocols and Operating Guides	No more than 3 operating related exceptions from ERCOT Protocols and Operating Guides as found in Protocol Compliance Audit	No operating related exceptions from ERCOT Protocols and Operating Guides as found in Protocol Compliance Audit		No exceptions.
Trans 13	Manning	Ensure ERCOT ISO compliance with protocol Section 8 and operating guide Section 9 requirements (include in aggregate above)	Ensure EROCT ISO is 95% compliant with responsibilities (shalls) and reliability requirements in Protocols Section 8 and Operating Guides Section 9. Results based on PUCT and Reliability Monitor 2011 audit (Self Reports excluded).	Ensure EROCT ISO is 100% compliant with responsibilities (shalls) and reliability requirements in Protocols Section 8 and Operating Guides Section 9. Results based on PUCT and Reliability Monitor 2011 audit (Self Reports excluded).		No audits or exceptions reported.



2011
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Retail Operation
1ST Quarter Reporting Period

		TARGET		STRETCH		PERFORMANCE
CUSTOMER SWITCHING/REGISTRY						
RO 1	Day	Retail Market Operation: Conduct retail transaction processing per Protocol timelines	98%	99%	99.87%	
RO 2	Day	Retail Market Operation: End use customer switch notifications processed per PUCT rules	99%	99.9%	100.00%	
MARKET INFORMATION						
RO 3	Day	Retail Market Operation: Retail extracts available per Protocol timelines	90%	95%	98.85%	
DISPUTE MANAGEMENT						
RO 4	Day	Retail Market Operation: Manage retail transaction issues and disputes within defined timelines	96%	98%	Q1 - 96% for exception handling (transaction issues) Q1 - 99% for MarkeTrak disputes	



2011
ERCOT KEY PERFORMANCE INDICATOR MATRIX
Wholesale Spot / Cash Market Operation
1ST Quarter Reporting Period

		TARGET		STRETCH		PERFORMANCE
BIDDING, SCHEDULING AND PRICING						
WO 1	Dumas	DAM executions completed and posted successfully	% of days with successful DAM solution is 97-99 % of time	% of days with successful DAM solution is > 99 % of time		100%
WO 2	Dumas	DAM executions completed in acceptable timeframe	% of days with posting solution before 1600 is 97-99 % of time	% of days with successful DAM solution posted by 1600 is > 99 % of time		98.88%
WO 3	Dumas	DAM quality of solution as measure with price corrections	% of hourly prices requiring DAM price correction is 1-3 % of time	% of hourly prices requiring DAM price correction is < 1 % of time		0.08%
WO 4	Dumas	DRUC results posted by 18:00	# of posted DRUCs past 18:00 per month is 2 - 5	# of posted DRUCs past 18:00 per month is < 2		2
WO 5	Dumas	DRUC solution is solved and posted	% of hours the forecasted demand and ancillary services requirements are satisfied is 97 - 99 %	% of hours the forecasted demand and ancillary services requirements are satisfied is > 99 %		97.63% ; 2 missed DRUCs and 3 hrs of RRS insufficiency in DAM not met on 02/03/11
WO 6	Dumas	HRUC executed every hour(5.5.3)	% of completed HRUCs per month is 95 - 97 %	% of completed HRUCs per month is > 97 %		99.07% runs missed due to DB load and site failover
WO 7	Dumas	HRUC solution is solved and posted	% of hours the forecasted demand and ancillary services requirements are satisfied is 97 - 99 %	% of hours the forecasted demand and ancillary services requirements are satisfied is > 99 %		99.17%; 18hrs of RRS insufficiency in SASM not met
WO 8	Dumas	SCED executes at least every five minutes (6.3.2.2)	% of missed SCED intervals per month, excluding intervals during database loads and site failovers is < =2 %. No more than 2 days per month with more than 12 consecutive missed SCED intervals	% of missed SCED intervals per month, excluding intervals during database loads and site failovers is < =1% with no more than 12 consecutive missed SCED intervals		0.24% even "including" intervals during database loads and site failovers. There were 1 day in January and 2 days in March having more than 12 consecutive missed SCED intervals
WO 9	Dumas	SCED solution is solved and posted	% of 15-Minute Settlement Intervals prices where price corrections are performed is 1 - 3 %	% of 15-Minute Settlement Intervals prices where price corrections are performed is < 1 %		0.32%
WHOLESALE METERING, DATA COLLECTION AND DATA AGGREGATION						
WO 10	Day	AMS interval data is loaded into ERCOT systems by final settlement from the MRE in accordance with Protocols for data loading.	99%	99.75%		99.93%
WO 11	Day	IDR meter data is loaded into ERCOT systems by true-up settlement from the MRE in accordance with Protocols for settlement.	99%	99.75%		99.93%
WO 12	Day	EPS meter data is accurate and complete as measured by the percent of data that doesn't change after an initial settlement	99%	99.9%		99.98%
SETTLEMENT & BILLING						
WO 13	Day	Timely settlements per Protocol timelines.	99%	99.90%		99.72%
WO 14	Day	Accurate settlements as measured by number of resettlements due to manual data errors	2%	1%		0.434%
MARKET INFORMATION						
WO 15	Day	Wholesale extracts available per Protocol timelines	90%	95%		98.70%
CRR/FTR MANAGEMENT						
WO 16	Dumas	CRR auctions are performed according to Nodal Protocols Requirements (7.5.1)	By end of month	Auction takes less than 5 days to complete and post		By end of month
WO 17	Dumas	Monthly de-ratings of CRRs are within acceptable tolerances	80%	95%		89%
DISPUTE MANAGEMENT						
WO 18	Day	Process disputes within protocol timelines	95%	98%		100%



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Renewable Energy Credits
1ST Quarter Reporting Period

		TARGET	STRETCH	PERFORMANCE	
	DETERMINE REC OBLIGATIONS AND VERIFY COMPLIANCE				
Renew 1	Day	Fulfill the protocol obligations for RPS mandate calculations and reporting on time and accurately	99%	99.9%	100%



2011
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Customer Care
1ST Quarter Reporting Period

		TARGET	STRETCH	PERFORMANCE	
ACCOUNT MANAGEMENT					
CC 1	Day	Establish and Maintain Targeted Account Plans and execute per guidelines and schedule.	90%	95%	90%
CC 2	Day	Create, distribute and post Market Notices per the COPS Communication Guide, Section 5, Appendix A.	95%	98%	100%
CC 3	Day	Retail and Wholesale Client Service Staff respond/acknowledge MP account management inquiries no later than COB the next Business Day of receipt for those inquiries not involving disputes.	95%	100%	100%



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Information Technology
1ST Quarter Reporting Period

		TARGET	STRETCH	PERFORMANCE
IT APPLICATION SERVICES				
IT 1	Morgan	Retail Processing Availability - Bus. Hours and Non bus. hours (Business hours availability under review)	99.2% Bus Hrs 99% Off Hrs	99.5% Bus Hrs 99.2% Off Hrs 100% Bus Hrs 100% Off Hrs
IT 2	Morgan	Texas Market Link Availability	99%	99.5% 100%
IT 3	Morgan	Texas Market Link Report Explorer Availability	99%	99.5% 99.61%
IT 4	Morgan	Retail API Availability	99%	99.5% 99.61%
IT 5	Morgan	MarkeTrak Availability	98%	99.5% 100%
IT 6	Morgan	Congestion Revenue Rights (CRR) Availability	98%	99% 100%
IT 7	Morgan	Market Information System (MIS) Availability	99%	99.5% 99.85%
IT 8	Morgan	Market Management System Aggregate Availability	98%	99.5% 99.84%
IT 9	Morgan	Energy Management System Aggregate Availability	99%	99.5% 99.94%
IT 10	Morgan	Security Constrained Economic Dispatch (SCED) Availability No outages greater than 30 consecutive minutes No more than 12 outages per year	99.932%	n/a 99.84%
IT 11	Morgan	Load Frequency Control (LFC) Availability No outages greater than 30 consecutive minutes No more than 12 outages per year	99.932%	n/a 99.94%
IT 12	Morgan	Outage Scheduler Availability	99%	99.5% 99.98%
IT 13	Morgan	Network Model Management System (NMMS) Availability with no more than 2 unplanned outages per month	97%	99% 99.99%
IT STRATEGY & PLANNING				
IT 14	Morgan	Data Center Relocation and Asset Replacement Strategy implemented on time and on budget	W0 - Equipment Feb W1 -Supp & Corporate May FR - Comm Bastrop Control Center June W2 Development Systems June W3 Austin Control Room / EMMS Aug W4 DR cap Aug W5 TCC1 Prod December	System and Control Room relocated - October Wave 0 and Wave 1 in progress. The project is currently two weeks behind schedule. Anticipate staging server migrations in Wave 2 to get back on schedule.



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Other Support and Management Functions
1ST Quarter Reporting Period

		TARGET		STRETCH		PERFORMANCE
STRATEGY & BUSINESS PLANNING						
OSM 1	Ruane	Begin program to integrate risk analysis into all major ERCOT cost/benefit, impact analysis, strategic planning, budget preparation and control assessment activities.	* Appointment VP of Risk * Structure Risk Organization * Review current risk profile	n/a	n/a	* Appointment VP of Risk (complete) * Structure Risk Organization (complete) * Review current risk profile (in progress)
INTERNAL AUDIT						
OSM 2	Wullenjohn	Execute the 2011 Internal Audit Plan as approved by the Finance and Audit Committee, and complete the plan by December 31, 2011.	100% completion by year end	106% completion by year end	22% completed (7 out of 32) through 1st Q	
FINANCE						
OSM 3	Petterson	Manage spending to be equal to or less than the board-approved expenditure budget for 2011.	Between 0 - 5 percent favorable variance	Greater than 5 percent favorable variance	Target Achieved - Operational expenditures (including portfolio projects) are favorable \$.2M or .5% through the first quarter.	
OSM 4	Petterson	Management recommended and board-approved budget filed with the Public Utility Commission of Texas (PUCT)	Fee filing made with PUCT as instructed by the BOD	n/a	On Target - Scheduled to be achieved in August (Q3). Process has begun internally with management and discussions are ongoing with PUCT staff.	
OSM 5	Petterson	SAS70 audit (Type 2)	Unqualified opinion of all control activities	Unqualified opinion of all control activities with no exceptions noted	On Target, testing is scheduled to begin on May 31, 2011.	
HUMAN RESOURCES						
OSM 6	Ierullo	Retain top talent (Lose no more than 3% of top talent population annually).	3%	0%	0%	
OSM 7	Ierullo	Percent of targeted managers to complete management certificate program annually.	90%	100%	On Target, program will be started in June 2011	
OSM 8	Ierullo	Number of E-learning courses utilized (assuming average staff level of 600)	1200	1800	The application has been accessed 290 times. 49 Learning Assets have been completed. 122 Lessons have been completed. 80 individuals have accessed Skillsoft at least one time	
OSM 9	Ierullo	Percent of employees (identified on succession plans) who have completed annual development training	90%	95%	On Target, program will start in June 2011	
OSM 10	Ierullo	Percent of critical positions with named successors.	90%	100%	90%	
OSM 11	Ierullo	Identification and review of top talent process.	Completed by end of June	Completed by end of April	Complete June 2011	
OSM 12	Ierullo	Percent of position filled through college campus recruiting	10%	20%	On Target	
OSM 13	Ierullo	Manage training program to enhance career development and skill improvement through the development of Individual Development Plans (IDPs) for the population.	90%	95%	On Target	
FACILITIES/SECURITY						
OSM 14	Morgan	Operate data centers providing availability consistent with data center designed objectives	99.982% Met Center 99.75% No unplanned outages	100%	100%	
OSM 15	Morgan	Update Strategic Facilities Plan	Updated Strategic Facilities Plan completed by July 30th, 2011	Updated Strategic Facilities Plan completed by June 30th, 2011	On Target	
OSM 16	Morgan	Detail plan for disposition of the MET Center Facility approved and ready for execution per approved schedule.	No later than September 30, 2011	No later than August 31, 2011	On Target	
OSM 17	Manning	Maintain ERCOT ISO's security posture against cyber and physical security threats.	No more than one Stage 2 or Stage 3 cyber or physical security Incident as defined in the Incident Security Response Plan.	No cyber or physical security Incidents as defined in the Incident Security Response Plan.	On target year-to-date.	
EXTERNAL AFFAIRS						
OSM 18	Gage	Annually, respond to media queries within 24 hours.	95%	100%	95%	



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Other Support and Management Functions
1ST Quarter Reporting Period

			TARGET	STRETCH	PERFORMANCE
OSM 19	Gage	Annually, provide timely, thorough and accurate news releases on all ERCOT board meetings, major reports and filings, board and officer changes, and other newsworthy events.	95%	100%	98%
OSM 20	Gage	Annually, ensure postings of current information, reports , and presentations on the ERCOT website and maintain accurate information about ERCOT executives, board members, and general organizational profile.	100%	100%	100%
OSM 21	Gage	Annually, ensure the completion of an annual report and concise fact sheets for use with external constituents as needed.	100%	100%	100%
PROJECT/PROGRAM MANAGEMENT					
OSM 22	Cleary	Deliver projects on-time	n/a	Projects meet planning and execution completion dates. Schedule Metric-Variance between target date and forecast date subject to change control.	100% on schedule
OSM 23	Cleary	Deliver projects within budget	n/a	Projects will have a 0% budget variance subject to change control.	0% budget variance
OSM 24	Cleary	Deliver projects within scope	n/a	100% of scope, requirements and objectives are delivered subject to change control.	100% wihtin scope