



2012

ERCOT KEY PERFORMANCE INDICATOR MATRIX

1st Quarter Reporting Period

	YTD	4th Quarter Performance		3rd Quarter Performance		2nd Quarter Performance		1st Quarter Performance	
	G R	Green	Red	Green	Red	Green	Red	Green	Red
TRANSMISSION SYSTEM OPERATION									
SYSTEM PLANNING									
TRANSMISSION CONNECTION MANAGEMENT									
GRID SECURITY MANAGEMENT / REAL-TIME SYSTEM CONTROL / SCHEDULING & DISPATCH									
OUTAGE COORDINATION/PLANNING									
FORECASTING									
COMPLIANCE MONITORING & REPORTING									
RETAIL OPERATION									
CUSTOMER SWITCHING/REGISTRY									
MARKET INFORMATION									
DISPUTE MANAGEMENT									
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									
RENEWABLE ENERGY CREDITS									
DETERMINE REC OBLIGATIONS AND VERIFY COMPLIANCE									
CUSTOMER CARE									
ACCOUNT MANAGEMENT									
INFORMATION TECHNOLOGY									
IT APPLICATION SERVICES									
OTHER SUPPORT & MANAGEMENT FUNCTIONS									
STRATEGY & BUSINESS PLANNING									
INTERNAL AUDIT									
FINANCE									
HUMAN RESOURCES									
FACILITIES/SECURITY									
EXTERNAL AFFAIRS									
PROJECT/PROGRAM MANAGEMENT									



2012
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Transmission System Operation
1st Quarter Reporting Period

			TARGET	STRETCH	QUARTER PERFORMANCE	YTD PERFORMANCE
		SYSTEM PLANNING				
TSO 1	Saathoff	Regional Planning project Review Studies completed on time without substantive errors.	90%	95%		
		TRANSMISSION CONNECTION MANAGEMENT				
TSO 2	Saathoff	Generation Interconnection Request (GIR) screening studies completed on time without errors.	90%	95%		
		GRID SECURITY MANAGEMENT / REAL-TIME SYSTEM CONTROL / SCHEDULING & DISPATCH				
TSO 3	Saathoff	Control Performance Standard 1 (CPS1) frequency control performance (rolling 12 month CPS1 score).	> 135	> 150		
TSO 4	Saathoff	Interconnection Reliability Operating Limit (IROL) exceedance limitations.	None longer than 30 minutes	None longer than 15 minutes		
		OUTAGE COORDINATION/PLANNING				
TSO 5	Saathoff	Outage Coordination performance: requests approved or denied within timeline and with mitigation plans developed if required.	95%	97%		
TSO 6	Saathoff	Network model update frequency	No more than two instances of models not being provided for scheduled and supplemental database 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		
		FORECASTING				
TSO 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%	All less than 3.5%		
TSO 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%	All less than 15%		
		COMPLIANCE MONITORING & REPORTING				
TSO 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.		
TSO 10	Manning	Achieve full compliance with NERC/FERC planning and operating standards, OPS, Protocols.	No more than 1 high severity and no more than 3 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.		
TSO 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 3 total alleged violations from NERC Standards as found in a NERC or TRE initiated CIP CMEP in 2012. 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 2012. SAS70 - Unqualified opinion and no noted exceptions.		
TSO 12	Manning	Achieve compliance with ERCOT Protocols and Operating Guides by achieving acceptable operating related exceptions from ERCOT Protocols and Operating Guides as found in Protocol Compliance Audit.	No more than 3	Zero		
TSO 13	Manning	Ensure ERCOT ISO compliance with protocol Section 8 and operating guide Section 9 requirements (include in aggregate above); excluding Self Reports.	95%	100%		



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Retail Operation
1st Quarter Reporting Period

			TARGET	STRETCH	QUARTER PERFORMANCE	YTD PERFORMANCE
		CUSTOMER SWITCHING/REGISTRY				
RO 1	Cleary	Retail Market Operation: Conduct retail transaction processing per Protocol timelines	98%	99%		
RO 2	Cleary	Retail Market Operation: End use customer switch notifications processed per PUCT rules	99%	99.9%		
		MARKET INFORMATION				
RO 3	Day	Retail Market Operation: Retail extracts available per Protocol timelines	90%	95%		
		DISPUTE MANAGEMENT				
RO 4	Cleary	Retail Market Operation: Manage retail transaction issues and disputes within defined timelines	96%	98%		



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Wholesale Spot / Cash Market Operation
1st Quarter Reporting Period

			TARGET	STRETCH	QUARTER PERFORMANCE	YTD PERFORMANCE
		BIDDING, SCHEDULING AND PRICING				
WO 1	Cleary	Percent of days with successful DAM execution solution completed and posted successfully.	97-99 % of time	> 99 % of time		
WO 2	Cleary	DAM executions completed in acceptable timeframe: percent of days with posting solution before 1600.	97-99 % of time	> 99 % of time		
WO 3	Cleary	DAM quality of solution as measured with price corrections: percent of hourly prices requiring DAM price correction.	1-3 % of time	< 1 % of time		
WO 4	Cleary	Number of solved DRUC results posted by 18:00 per month.	between 2 to 5	< 2		
WO 5	Cleary	DRUC solution is solved and posted: percent of hours forecasted demand and ancillary service requirements are satisfied.	97 - 99 %	> 99 %		
WO 6	Cleary	HRUC executed every hour(5.5.3): percent of completed HRUCs per month, including ones missed due to database loads and site failover.	95 - 97 %	> 97 %		
WO 7	Cleary	HRUC solution is solved and posted: percent of hours the forecasted demand and ancillary services requirements are satisfied.	97 - 99 %	> 99 %		
WO 8	Cleary	Percent of missed SCED intervals per month, excluding intervals during database loads and site failovers.	<=2%	<=1%		
WO 9	Cleary	Number of days per month with more than 12 consecutive missed SCED intervals	2	1		
WO 10	Cleary	SCED solution is solved and posted: percent of 15-minute Settlement Interval prices where price corrections are performed.	1 - 3 %	< 1 %		
		WHOLESALE METERING, DATA COLLECTION AND DATA AGGREGATION				
WO 11	Cleary	AMS interval data is loaded into ERCOT systems by final settlement from the MRE in accordance with Protocols for data loading.	99%	99.75%		
WO 12	Cleary	IDR meter data is loaded into ERCOT systems by true-up settlement from the MRE in accordance with Protocols for settlement.	99%	99.75%		
WO 13	Cleary	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%		
		SETTLEMENT & BILLING				
WO 14	Cleary	Timely settlements per Protocol timelines.	99%	99.90%		
WO 15	Cleary	Accurate settlements as measured by number of resettlements due to manual data errors	2%	1%		
		MARKET INFORMATION				
WO 16	Day	Wholesale extracts available per Protocol timelines	90%	95%		
		CRR/FTR MANAGEMENT				
WO 17	Cleary	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		
WO 18	Cleary	Monthly de-ratings of CRRs are within acceptable tolerances	80%	95%		
		DISPUTE MANAGEMENT				
WO 19	Cleary	Process disputes within protocol timelines	95%	98%		



2012
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Renewable Energy Credits & Customer Care
1st Quarter Reporting Period

			TARGET	STRETCH	QUARTER PERFORMANCE	YTD PERFORMANCE
		DETERMINE REC OBLIGATIONS AND VERIFY COMPLIANCE				
R&CC 1	Cleary	Fulfill the protocol obligations for RPS mandate calculations and reporting on time and accurately	99%	99.9%		
		ACCOUNT MANAGEMENT				
R&CC 2	Cleary	Establish and Maintain Targeted Account Plans and execute per guidelines and schedule.	90%	95%		
R&CC 3	Cleary	Create, distribute and post Market Notices per the COPs Communication Guide, Section 5, Appendix A.	95%	98%		
R&CC 4	Cleary	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%		



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Information Technology

1st Quarter Reporting Period

		IT APPLICATION SERVICES	TARGET	STRETCH	QUARTER PERFORMANCE	YTD PERFORMANCE
IT 1	Dreyer	Retail Processing Availability - Bus. Hours	99.5%	99.7%		
IT 2	Dreyer	Retail Processing Availability - Non bus. Hours	99%	99.5%		
IT 3	Dreyer	Retail API Availability	99%	99.5%		
IT 4	Dreyer	MarkeTrak Availability	98%	99.5%		
IT 5	Dreyer	Congestion Revenue Rights (CRR) Availability	98%	99%		
IT 6	Dreyer	Market Information System (MIS) Availability	99%	99.5%		
IT 7	Dreyer	Market Management System Aggregate Availability	99%	99.5%		
IT 8	Dreyer	Energy Management System Aggregate Availability	99%	99.5%		
IT 9	Dreyer	Security Constrained Economic Dispatch (SCED) Availability	99.50%	99.90%		
IT 10	Dreyer	Security Constrained Economic Dispatch (SCED): no outages greater than 30 consecutive minutes	zero outages	n/a		
IT 11	Dreyer	Load Frequency Control (LFC) Availability	99.90%	99.95%		
IT 12	Dreyer	Load Frequency Control (LFC): no outages greater than 30 consecutive minutes	zero outages	n/a		
IT 13	Dreyer	Outage Scheduler Availability	99%	99.5%		
IT 14	Dreyer	Network Model Management System (NMMS) Availability.	97%	99%		



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Other Support and Management Functions
1st Quarter Reporting Period

			TARGET	STRETCH	QUARTER PERFORMANCE	YTD PERFORMANCE
		STRATEGY & BUSINESS PLANNING				
OSM 1	Ruane	Enterprise risk assessment updated quarterly.	Quarterly update completed	n/a		
OSM 2	Ruane	Credit reports are correct and posted in a timely manner.	97%	100%		
		INTERNAL AUDIT				
OSM 3	Wullenjohn	Execute the 2012 Internal Audit Plan as approved by the Finance and Audit Committee, and complete the plan by December 31, 2012.	100% by year end	106% by year end		
		FINANCE				
OSM 4	Petterson	Manage spending to be equal to or less than the board-approved expenditure budget for 2012.	Between 0 - 5% favorable variance	> 5% favorable variance		
		HUMAN RESOURCES				
OSM 5	Manning	Retain top talent (Lose no more than 3% of top talent population annually).	3%	0%		
OSM 6	Manning	Percent of targeted managers to complete management certificate program annually.	90%	100%		
OSM 7	Manning	Number of E-learning courses utilized (assuming average staff level of 600)	1200	1800		
OSM 8	Manning	Percent of critical positions with named successors.	90%	100%		
OSM 9	Manning	Manage training program to enhance career development and skill improvement through the development of Individual Development Plans (IDPs) for the population.	90%	95%		
		FACILITIES/SECURITY				
OSM 10	Dreyer	Operate data centers providing availability consistent with data center designed objectives.	99.98%	100%		
OSM 11	Manning	Maintain ERCOT ISO's security posture against cyber and physical security threats as defined in the Incident Security Response Plan.	No more than one Stage 2 or Stage 3 cyber or physical security incident.	Zero cyber or physical security incidents.		
		EXTERNAL AFFAIRS				
OSM 12	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%		
OSM 13	Gage	Annually, ensure postings of current information, reports and presentations on the ERCOT website and maintain accurate information about ERCOT organization.	n/a	100%		
OSM 14	Gage	Develop and maintain a comprehensive repository of informational and educational resource documents related to ERCOT Inc. and the ERCOT Market.	95%	100%		
OSM 15	Gage	Ensure information of interest to officials and stakeholders is available through social media outlets on a timely basis.	95%	100%		
		PROJECT/PROGRAM MANAGEMENT				
OSM 16	Day	Project Portfolio managed within approved Execution schedule.	10%	5%		
OSM 17	Day	Project Portfolio managed within approved Execution budget.	10%	5%		
OSM 18	Day	Project scope, requirements and objectives are delivered as defined (subject to change control).	n/a	100%		