



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									R&CC 2
INFORMATION TECHNOLOGY									
IT APPLICATION SERVICES									IT 10
OTHER SUPPORT & MANAGEMENT FUNCTIONS									
STRATEGY & BUSINESS PLANNING									
INTERNAL AUDIT									
FINANCE									
HUMAN RESOURCES									
FACILITIES/SECURITY									
EXTERNAL AFFAIRS									
PROJECT/PROGRAM MANAGEMENT									



2012
ERCOT KEY PERFORMANCE INDICATOR MATRIX
Transmission System Operation
1st Quarter Reporting Period

			TARGET	STRETCH	2012 QUARTER PERFORMANCE	2012 YTD PERFORMANCE	2011 QUARTERLY PERFORMANCE
		SYSTEM PLANNING					
TSO 1	Saathoff	Regional Planning project Review Studies completed on time without substantive errors.	90%	95%	100%	100%	100%
		TRANSMISSION CONNECTION MANAGEMENT					
TSO 2	Saathoff	Generation Interconnection Request (GIR) screening studies completed on time without errors.	90%	95%	100%	100%	100%
		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	The rolling 12 month CPS1 score for the quarter was 152.45%.	The rolling 12 month CPS1 score for the quarter was 152.45%.	149.97
TSO 4	Saathoff	Interconnection Reliability Operating Limit (IROL) exceedance limitations.	None longer than 30 minutes	None longer than 15 minutes	No exceedances longer than 15 minutes	No exceedances longer than 15 minutes	No IROL Exceedances 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%	99.79%	99.79%	98.8%
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	All models provided and no emergency data base loads	All models provided and no emergency data base loads	One emergency database load (3/18/11) that can be attributed to ERCOT staff error. Zero instances of models not being provided on time.
		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%	Highest MAPE was 3.49% in March	Highest MAPE was 3.49% in March	Highest average day ahead MAPE was February at 3.46%.
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%	The average MAPE for the day-ahead wind forecast is 8.5-10.2%.	The average MAPE for the day-ahead wind forecast is 8.5-10.2%.	The average MAPE for the day-ahead wind forecast is 10-11%
		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.	100%	100%	To date, PASA reports, DOE qrtly report, and NERC Assessments on time without error.
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.	No exceptions reported to date.	No exceptions reported to date.	No exceptions reported to date.
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.	No exceptions reported to date.	No exceptions reported to date.	No exceptions reported to date.
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	No exceptions reported to date.	No exceptions reported to date.	No exceptions.
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%	No exceptions reported to date.	No exceptions reported to date.	No audits or exceptions reported.



2012
ERCOT KEY PERFORMANCE INDICATOR MATRIX
Retail Operation
1st Quarter Reporting Period

			TARGET	STRETCH	2012 QUARTER PERFORMANCE	2012 YTD PERFORMANCE	2011 QUARTERLY PERFORMANCE
		CUSTOMER SWITCHING/REGISTRY					
RO 1	Doggett	Retail Market Operation--Conduct retail transaction processing per Protocol timelines	98%	99%	99.89%	99.89%	99.87%
RO 2	Doggett	Retail Market Operation--End use customer switch notifications processed per PUCT rules	99%	99.9%	100%	100%	100.00%
		MARKET INFORMATION					
RO 3	Day	Retail Market Operation--Retail extracts available per Protocol timelines	90%	95%	100%	100%	98.85%
		DISPUTE MANAGEMENT					
RO 4	Doggett	Retail Market Operation--Manage retail transaction issues and disputes within defined timelines	96%	98%	99.25%	99.25%	97.00%



2012
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Wholesale Spot / Cash Market Operation
1st Quarter Reporting Period

			TARGET	STRETCH	2012 QUARTER PERFORMANCE	2012 YTD PERFORMANCE	2011 QUARTERLY PERFORMANCE
		BIDDING, SCHEDULING AND PRICING					
WO 1	Doggett	Percent of days with successful DAM execution solution completed and posted successfully.	97-99 % of time	> 99 % of time	100%	100%	100%
WO 2	Doggett	DAM executions completed in acceptable timeframe: percent of days with posting solution before 1600.	97-99 % of time	> 99 % of time	98.9%	98.9%	98.88%
WO 3	Doggett	DAM quality of solution as measured with price corrections: percent of hourly prices requiring DAM price correction.	1-3 % of time	< 1 % of time	0.003%	0.003%	0.08%
WO 4	Doggett	Number of solved DRUC results posted by 18:00 per month.	between 2 to 5	< 2	0	0	2
WO 5	Doggett	DRUC solution is solved and posted: percent of hours forecasted demand and ancillary service requirements are satisfied.	97 - 99 %	> 99 %	100%	100%	97.63% ; 2 missed DRUCs and 3 hrs of RRS insufficiency in DAM not met on 02/03/11
WO 6	Doggett	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 %	100%	100%	99.07%; runs missed due to DB load and site failover
WO 7	Doggett	HRUC solution is solved and posted: percent of hours the forecasted demand and ancillary services requirements are satisfied.	97 - 99 %	> 99 %	99.995%	99.995%	99.17%; 18hrs of RRS insufficiency in SASM not met
WO 8	Doggett	Percent of missed SCED intervals per month, excluding intervals during database loads and site failovers.	<=2%	<=1%	n/a	n/a	n/a
WO 9	Doggett	Number of days per month with more than 12 consecutive missed SCED intervals	2	1	n/a	n/a	n/a
WO 10	Doggett	SCED solution is solved and posted: percent of 15-minute Settlement Interval prices where price corrections are performed.	1 - 3 %	< 1 %	0.16%	0.16%	0.32%
		WHOLESALE METERING, DATA COLLECTION AND DATA AGGREGATION					
WO 11	Doggett	AMS interval data is loaded into ERCOT systems by final settlement from the MRE in accordance with Protocols for data loading.	99%	99.75%	99.95%	99.95%	99.93%
WO 12	Doggett	IDR meter data is loaded into ERCOT systems by true-up settlement from the MRE in accordance with Protocols for settlement.	99%	99.75%	99.91%	99.91%	99.93%
WO 13	Doggett	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%	100.00%	100.00%	99.98%
		SETTLEMENT & BILLING					
WO 14	Doggett	Timely settlements per Protocol timelines.	99%	99.90%	100.00%	100.00%	99.72%
WO 15	Doggett	Accurate settlements as measured by number of resettlements due to manual data errors	2%	1%	0.0%	0.0%	0.434%
		MARKET INFORMATION					
WO 16	Day	Wholesale extracts available per Protocol timelines	90%	95%	99.74%	99.74%	98.70%
		CRR/FTR MANAGEMENT					
WO 17	Doggett	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	All 3 monthly auctions completed in less than 5 days and published on time.	All 3 monthly auctions completed in less than 5 days and published on time.	By end of month
WO 18	Doggett	Monthly de-ratings of CRRs are within acceptable tolerances	80%	95%	93.1% (for Jan/Feb) see footnote below	93.1% (for Jan/Feb) see footnote below	89%
		DISPUTE MANAGEMENT					
WO 19	Doggett	Process disputes within protocol timelines	95%	98%	100%	100%	100%

FOOTNOTE to WO_18: the process to calculate the performance for this metric in March is dependent on Settlement data that is not available prior to submission of materials for this reporting period. The values provided reflect performance for January and February, 2012 only.



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

			TARGET	STRETCH	2012 QUARTER PERFORMANCE	2012 YTD PERFORMANCE	2011 QUARTERLY PERFORMANCE
		DETERMINE REC OBLIGATIONS AND VERIFY COMPLIANCE					
R&CC 1	Doggett	Fulfill the protocol obligations for RPS mandate calculations and reporting on time and accurately	99%	99.9%	100%	100%	100%
		ACCOUNT MANAGEMENT					
R&CC 2	Doggett	Establish and Maintain Targeted Account Plans and execute per guidelines and schedule.	90%	95%	87%	87%	90%
R&CC 3	Doggett	Create, distribute and post Market Notices per the COPs Communication Guide, Section 5, Appendix A.	95%	98%	100%	100%	100%
R&CC 4	Doggett	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%	100%	100%



2012
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Information Technology
1st Quarter Reporting Period

			TARGET	STRETCH	2012 QUARTER PERFORMANCE	2012 YTD PERFORMANCE	2011 QUARTERLY PERFORMANCE
		IT APPLICATION SERVICES					
IT 1	Dreyer	Retail Processing Availability - Bus. Hours	99.5%	99.7%	100%	100%	100%
IT 2	Dreyer	Retail Processing Availability - Non bus. Hours	99%	99.5%	100%	100%	100%
IT 3	Dreyer	Retail API Availability	99%	99.5%	100%	100%	99.61%
IT 4	Dreyer	MarkeTrak Availability	98%	99.5%	100%	100%	100%
IT 5	Dreyer	Congestion Revenue Rights (CRR) Availability	98%	99%	100%	100%	100%
IT 6	Dreyer	Market Information System (MIS) Availability	99%	99.5%	99.89%	99.89%	99.85%
IT 7	Dreyer	Market Management System Aggregate Availability	99%	99.5%	99.92%	99.92%	99.84%
IT 8	Dreyer	Energy Management System Aggregate Availability	99%	99.5%	99.99%	99.99%	99.94%
IT 9	Dreyer	Security Constrained Economic Dispatch (SCED) Availability - Target raised in April 2012 to 99.9% to align with Gartner's "outstanding" availability level (year 2 after go-live), Stretch goal for 2012 raised to 99.95% "best in class"	99.5% 99.90%	99.9% 99.95%	99.92%	99.92%	99.84%
IT 10	Dreyer	Security Constrained Economic Dispatch (SCED): no outages greater than 30 consecutive minutes	zero outages	n/a	1	1	1
IT 11	Dreyer	Load Frequency Control (LFC) Availability	99.90%	99.95%	99.98%	99.98%	99.94%
IT 12	Dreyer	Load Frequency Control (LFC): no outages greater than 30 consecutive minutes	zero outages	n/a	0	0	0
IT 13	Dreyer	Outage Scheduler Availability	99%	99.5%	100%	100%	99.98%
IT 14	Dreyer	Network Model Management System (NMMS) Availability.	97%	99%	100%	100%	99.99%



2012
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Other Support and Management Functions
1st Quarter Reporting Period

			TARGET	STRETCH	2012 QUARTER PERFORMANCE	2012 YTD PERFORMANCE	2011 QUARTERLY PERFORMANCE
STRATEGY & BUSINESS PLANNING							
OSM 1	Ruane	Enterprise risk assessment updated quarterly.	Quarterly update completed	n/a	1st quarter update complete	1st quarter update complete	n/a
OSM 2	Ruane	Credit reports are correct and posted in a timely manner.	97%	100%	100.0% (excluding CSI issue); 98.43% (including CSI issue)	100.0% (excluding CSI issue); 98.43% (including CSI issue)	n/a
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	19% completed (4 out of 21)	19% completed (4 out of 21)	22% completed (7 out of 32)
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	Fiscal year 2012 expenditures (including portfolio projects) matches budget with no variance (0%).	Fiscal year 2012 expenditures (including portfolio projects) matches budget with no variance (0%).	Target Achieved - Operational expenditures (including portfolio projects) are favorable \$.2M or .5% through the first quarter.
HUMAN RESOURCES							
OSM 5	Manning	Retain top talent (Lose no more than 3% of top talent population annually).	3%	0%	0.16%	0.16%	0%
OSM 6	Manning	Percent of targeted managers to complete management certificate program annually.	90%	100%	95.8%	95.8%	On Target
OSM 7	Manning	Number of E-learning courses utilized (assuming average staff level of 600)	1200	1800	343	343	On Target
OSM 8	Manning	Percent of critical positions with named successors.	90%	100%	On Target	On Target	90%
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%	On Target	On Target	On Target
FACILITIES/SECURITY							
OSM 10	Manning	Operate data centers providing availability consistent with data center designed objectives.	99.98%	100%	100%	100%	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.	On Target	On Target	On Target
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%	100%	100%	98%
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%	100%	100%	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%	95%	95%	n/a
OSM 15	Gage	Ensure information of interest to officials and stakeholders is available through social media outlets on a timely basis.	95%	100%	100%	100%	n/a
PROJECT/PROGRAM MANAGEMENT							
OSM 16	Day	Project Portfolio managed within approved Execution schedule.	10%	5%	9%	9%	100% on schedule
OSM 17	Day	Project Portfolio managed within approved Execution budget.	10%	5%	4%	4%	0% budget variance
OSM 18	Day	Project scope, requirements and objectives are delivered as defined (subject to change control).	n/a	100%	100%	100%	100% within scope