



Electric Reliability Council of Texas

Market Data Transparency Service Level Agreement

Summary:

This document describes Market Data Transparency services provided by ERCOT to Market Participants.

EFFECTIVE: 1/1/2013

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1. Introduction

This Service Level Agreement (SLA) describes Market Data Transparency Services provided by ERCOT to Market Participants, and includes access to information, services and the delivery of data.

Where applicable, this information builds upon the requirements outlined in ERCOT Protocols and related Market Guides regarding the delivery of data extracts and reports.

In the event of a conflict between this document and the ERCOT Protocols, ERCOT Market Guides or PUCT Substantive Rules, the Protocols or PUCT Substantive Rules take precedence over this document.

2. Services

There are two services associated with this agreement:

- *Data Availability* - the timeliness, completeness, and accuracy of the data created by ERCOT and delivered to Market Participants from automated reporting systems.
- *IT Applications* - the availability of the applications that enable user access to ERCOT data.

2.1 Data Availability

2.1.1 Service Scope

ERCOT provides market data in the form of reports, extracts, dashboards and web services. These products are summarized in the [ERCOT Market Information List](#) (EMIL).

2.1.2 Service Characteristics

The measured service characteristics that apply to the aforementioned products are: Timeliness, Completeness and Accuracy. Incidents impacting these characteristics are reported as part of the Extract & Report Incident log, as described in Section 3.

ERCOT runs integrity checks to ensure that reports and extracts contain complete data sets. Validations will also be run to verify that the data sets provided are accurate and posted within protocol. Generation frequency for all products is recorded in the EMIL. Where there is not a specified protocol posting timeline, the default is 23:59 for the particular Operating Date.

For example, a daily report without a protocol posting timeline would be due by 23:59 for the given Operating Date and a weekly report would be delivered by the day of the week specified and no later than 23:59 that day to be considered 'timely'.

Hours of operation

Data is available 24x7. Data issues will be worked during business hours only.

2.2 IT Applications

2.2.1 Service scope

IT Applications enable user access to ERCOT systems and contribute to the delivery of ERCOT data. Measured operational elements include hours of operation, availability and performance targets, and Planned Outage windows. The following IT applications are in scope:

- **Market Information System (MIS):** User interface single point of access to protocol specified postings classified as Public, Secure, and Certified for reports, extracts, applications, and any other content required by protocol or a binding document.
- **External Web Services (EWS):** Programmatic point-of-entry to market systems enabling Market Participants to interact with the ERCOT market. Services include market transactions, automated notifications, and market information.
- **ERCOT.com:** ERCOT’s public website.
- **Commercial/Retail API:** Programmatic point of entry for Retail Find Transaction and Find ESIID services.
- **Market Participant Identity Management (MPIM):** Provides administration support of digital certificate access to ERCOT MIS Secure and Certified areas.
- **Market Management User Interface (MMUI):** Point of entry for Market Transactions
- **Outage Scheduler User Interface (OSUI):** Point of entry for entering or managing outages

2.2.2 Service Characteristics

Hours of operation

ERCOT operates the hardware and software environment related to the applications of this service 24/7, subject to scheduled maintenance windows. IT Operations supports these systems in Real Time, 24 x 7.

Availability Targets

ERCOT targets IT Applications to be available at least 99% of the time outside of scheduled maintenance and release windows. The exception is MPIM, which is targeted to be available 95% of the time.

Support Tier	Specification
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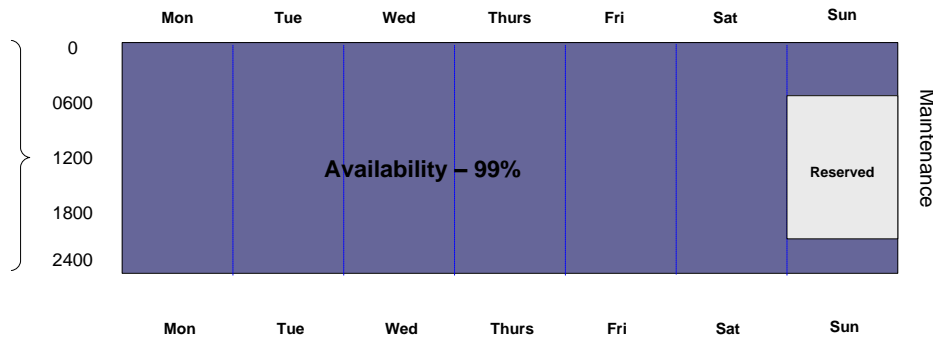


Real-Time	<ul style="list-style-type: none"> Supported 24x7, 365 days a year, subject to scheduled maintenance windows. Work until resolution for issues affecting system performance or availability Problem and Issue Escalation happens in real-time
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Scheduled Maintenance Window

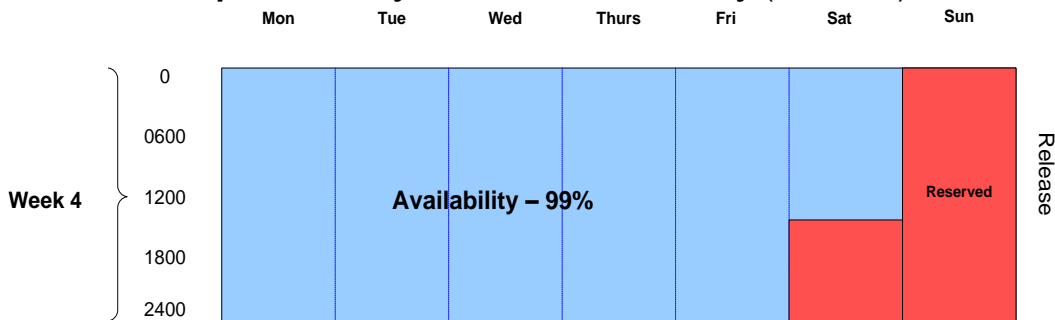
ERCOT reserves a Sunday maintenance outage window for IT applications. Notifications for planned maintenance during this window will be sent to the market at least 10 days prior to the planned outage.

- Sundays—6:00am until 9:00pm** (15 hours)



Release Windows:

- 4th weekend*— 5:00pm Saturday until 12:00am Monday** (31 hours)



*Exceptions:

Not all Releases will fall on the 4th weekend (see schedule at right). ERCOT will update and communicate release and outage expectations quarterly via the stakeholder process. SLA exceptions requiring an early start time will be automatically granted up to 2:00pm Saturday, and must be communicated via the 10-day Market Notice. As part of on-cycle releases and system changes, ERCOT may schedule changes during business hours that have limited impact on

Month	Release Date	
Feb	23/24	Release 1
Apr	27/28	Release 2
June	8/9	Release 3
Jul	27/28	Release 4
Sep	28/29	Release 5
Dec	7/8	Release 6

production systems. These changes will be communicated via Market Notice.

Note: Should you have any specific questions regarding these reports and extracts, please contact your ERCOT Account Manager or the ERCOT HelpDesk for clarifications at (512) 248-6800 or hdesk@ercot.com. A ticket will be generated by ERCOT and the issue will be tracked to completion.

3. Reporting

3.1 Data Extracts & Reports Service Reporting

ERCOT will maintain a log recording incidents impacting timeliness, completeness and/or accuracy of automated extracts & reports for which a market notice has been sent. The complete list of external products is available on the ERCOT Market Information List (EMIL - <http://www.ercot.com/services/mdt/>).

This log will be updated monthly and made available on the ERCOT website at <http://www.ercot.com/services/sla/>. The format of this log is outlined in section 6.

Note: *Only incidents impacting 10 or more Market Participants will be reported via Market Notice reporting process. Therefore, this log may contain a broader set of incidents than are reported via Market Notices. Please see the COPS Communication Guide for more detailed information on Market Notices.*

3.2 IT Application Service Reporting

ERCOT will measure and report availability and performance, both monthly and annually. These results will be reported monthly through the ERCOT governance process that includes the Commercial Operations Subcommittee, the Technical Advisory Committee, and the ERCOT Board of Directors.

These reports will include availability and/or performance for the following:

- **Market Information System (MIS)**
- **ERCOT.com**
- **Commercial/Retail API Availability**
- **MPIM**
- **EWS**

Availability:

Availability is monitored through two methods, primarily through synthetic transactions which execute scripts against the IT applications at regular intervals. Upon returning a valid response, and not exceeding the timeout threshold, the IT application will be considered available. When this method cannot be used, the availability is calculated by system or hardware uptime, and outage detection through operational monitoring tools.

4. Service Availability Renegotiations and Change Control

Renegotiations of this SLA can be initiated by either Market Participants or ERCOT management by making a request through the stakeholder process. Changes outside the scope of this SLA including delivery times required by protocols or market guides will require use of the stakeholder process including Protocol revision requests.

Version control in the form of document version numbering will be maintained in this document as a means of providing a change control process as Appendix B.

5. Annual Review Process

ERCOT is committed to providing quality IT services to the competitive electric market in Texas. ERCOT intends that the IT services described in this document align with market participant requirements to the extent that is operationally feasible. To maintain alignment between the requirements of the market participants and the IT services delivered by ERCOT, the services defined in this document will be reviewed at least annually in a workshop setting or through an appropriate stakeholder group meeting.

6. Extract & Report Incident Log

A spreadsheet including the Extract & Report Incident Log will be maintained by ERCOT in a single spreadsheet file along with supporting information. This spreadsheet can be accessed at the following location:

<http://www.ercot.com/services/sla>

The following worksheets / tabs are included as part of this spreadsheet:

- Introduction / How to use
- Annual summary of Extract & Report Incidents
- Monthly summary of Extract & Report Incidents
- Detailed incident data of Extract & Report Incidents
- Public Reports (an addendum to the Extract & Report Information)

Elements included in the 'Detailed Incident Data' tab are:

- Incident date
- Date of initial Market Notice (if applicable)
- Market Notice ID tag (if applicable)
- Incident start and end times and duration
- Application impacted
- Issue Description
- Root Cause
- ERCOT Protocols Missed (Y/N)
- Market impact – the impact of the incident to market participants and end use customers
- Root Cause Details

- Switchover / Failover
- Resolution
- Date of any identified fix to be implemented
- Additional comments or notes
- Current Status

The annual and monthly summary worksheets summarize the market notice data in annual and monthly breakdowns.

7. Approvals

Area of Responsibility	Name	Reviewed / Approved	Date
Manager, IT Service Delivery	Trey Felton		
Manager, Enterprise Information Management	Jackie Ashbaugh		
Stakeholder Sponsor –	COPS		

Appendix A: Definitions

This section contains definitions referred to in this document and of the commonly used acronyms.

- **Availability:** The ability of a component or IT service to perform its required function over a stated period of time
- **Degradation:** An event that causes the normal levels of ERCOT IT systems to be impacted while still allowing for minimal processing of or access to these systems
- **Incident:** Any event that causes the agreed levels of service of ERCOT IT systems to be impacted
- **Outage:** any incident resulting in the unexpected failure of a computer or network hardware system or software application. As measured by this SLA, an outage occurs when an application fails to return a valid response within the timeout window. This window is between 20 seconds and 90 seconds, depending on the application.
- **Planned outage minutes:** minutes used by ERCOT during the maintenance and release windows
- **Planned Outage:** A planned change in ERCOT IT systems that prevents users from being able to access the systems
- **Unplanned Outage:** An unplanned change in ERCOT IT systems that prevents users from being able to access the systems
- **Unplanned Outage minutes:** minutes retail transaction processing services were not available that are outside of the planned use of the maintenance and release windows

Appendix B: Revision History

Date	Version	Description	Author(s)
09/10/2007	.9	First draft	A. Smallwood
02/05/2008	.91	Modified all sections	A. Smallwood
03/19/2008	.92	Restructured sections	R. Sarasa
04/23/2008	.93	Changes following April SEWG	A. Smallwood
05/02/2008	.94	Incident Reporting Log referred as "Extract & Report Incident Log"	R. Sarasa
06/10/2008	1.0	Made two minor updates and base lined the document to version to 1.0 to reflect the Approval by COPS on 06/10/08	R. Sarasa
10/20/2008	1.0	SEWG discussions—request for new draft	J. Galvin / T. Felton
11/13/2008	1.1	Updated Draft for 2009	T. Felton
07/27/2009	1.2	Updated Draft for 2010	T. Felton
10/05/2009	1.3	Updates: Added Appendix, Approvals Section. Updated Extract Log information. Format change to outage Windows (non-functional).	T. Felton
11/06/2009	1.4	Minor changes to section 6.	SEWG/T. Felton
12/08/2009	2.0	Approved by COPS	COPS
08/23/2010	2.1	Merged into Market Data Transparency SLA	T. Felton
9/17/2010	2.2	Updates to Availability/Perf monitoring. Updated Terms of Use.	T. Felton
9/22/2010	2.3	Included comments from WCS	T. Felton
11/19/2010	2.4	Included comments from COPS and SEWG; remove Terms of Use	T. Felton
8/10/2012	3.0	Updates for 2012 – Services, definitions, characteristic, and scope. Updated maintenance/release windows.	T. Felton
11/19/2012	3.1	Review changes with CSWG	T. Felton