



2012
ERCOT KEY PERFORMANCE INDICATOR MATRIX
 4th Quarter Reporting Period

	YTD			4th Quarter Performance		3rd Quarter Performance		2nd Quarter Performance		1st Quarter Performance	
	S	G	R	Green	Red	Green	Red	Green	Red	Green	Red
TRANSMISSION SYSTEM OPERATION											
SYSTEM PLANNING	100%										
TRANSMISSION CONNECTION MANAGEMENT	100%										
GRID SECURITY MANAGEMENT / REAL-TIME SYSTEM CONTROL / SCHEDULING & DISPATCH	100%										
OUTAGE COORDINATION/PLANNING	100%										
FORECASTING	100%										
COMPLIANCE MONITORING & REPORTING	100%										
RETAIL OPERATION											
CUSTOMER SWITCHING/REGISTRY	50%	50%		RO 2							
MARKET INFORMATION	100%										
DISPUTE MANAGEMENT	100%										
WHOLESALE SPOT/CASH MARKET OPERATION											
BIDDING, SCHEDULING AND PRICING	100%										
WHOLESALE METERING, DATA COLLECTION AND DATA AGGREGATION	100%										
SETTLEMENT & BILLING	50%	50%		WO 12							
MARKET INFORMATION	100%										
CRR/FTR MANAGEMENT	100%										
DISPUTE MANAGEMENT	100%										
RENEWABLE ENERGY CREDITS											
DETERMINE REC OBLIGATIONS AND VERIFY COMPLIANCE	100%										
CUSTOMER CARE											
ACCOUNT MANAGEMENT	66%	33%								R&CC 2	
INFORMATION TECHNOLOGY											
IT APPLICATION SERVICES	80%	20%		IT 1						IT 10	
OTHER SUPPORT & MANAGEMENT FUNCTIONS											
STRATEGY & BUSINESS PLANNING	100%										
INTERNAL AUDIT	100%										
FINANCE	100%			OSM 4				OSM 4			
HUMAN RESOURCES	40%	60%									
FACILITIES/SECURITY	100%										
EXTERNAL AFFAIRS	25%	75%									
PROJECT/PROGRAM MANAGEMENT	66%	33%									

TRANSMISSION SYSTEM OPERATION

KPI	Executive	Capability	KPI Description	Target	Stretch	YTD	Q4 Current	Q4 Prior
TSO 1	Saathoff, Kent	System Planning	Regional Planning project Review Studies completed on time without substantive errors.	90%	95%	100%	100% with 16 of 16 completed on time	100%
TSO 2	Saathoff, Kent	Transmission Connection Management	Generation Interconnection Request (GIR) screening studies completed on time without errors.	90%	95%	100%	100%	100%
TSO 3	Saathoff, Kent	Grid Security Management / Real-Time System Control / Schedule & Dispatch	Control Performance Standard 1 (CPS1) frequency control performance (rolling 12 month CPS1 score).	> 135	> 150	159.03	162.07	Rolling 12 month score for the year was 148.914. December score was all-time high of 162.009
TSO 4	Saathoff, Kent	Grid Security Management / Real-Time System Control / Schedule & Dispatch	Interconnection Reliability Operating Limit (IROL) exceedance limitations.	None longer than 30 minutes	None longer than 15 minutes	No IROL exceedances longer than 15 minutes for the year.	None Longer than 15 minutes	No IROL exceedances longer than 15 minutes for the year.
TSO 5	Saathoff, Kent	Outage Coordination / Planning	Outage Coordination performance: requests approved or denied within timeline and with mitigation plans developed if required.	95%	97%	Above 99%	99.65	Above 97% for 4th quarter.
TSO 6	Saathoff, Kent	Outage Coordination / Planning	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, one emergency database load due to staff error	All models provided, one emergency database load	*One emergency database load due to staff error in first quarter. *None in second, third or fourth quarter. *No instances of models not being provided on time for 4th quarter or year.
TSO 7	Saathoff, Kent	Forecasting	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%	All less than 3.5%	All less than 3.5%	*Highest average day ahead MAPE was April at 3.55%. *All other months less than 3.5%.
TSO 8	Saathoff, Kent	Forecasting	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%	All less than 15%	Monthly average day-ahead MAPE ranged from 8.1% to 6.2%	Highest monthly MAPE was 10.2%.
TSO 9	Saathoff, Kent	Compliance Monitoring & Reporting	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%	100%
TSO 10	Manning, Chuck	Compliance Monitoring & Reporting	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, Chuck	Compliance Monitoring & Reporting	Assure property, personnel, and cyber assets are protected (cyber and physical) in accordance with NERC CIP Standards and SSAE16 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. SSAE16 - 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. SSAE16 - Unqualified opinion and no noted exceptions.	No exceptions reported to date	No exceptions reported to date.	SSAE16 Audit Report for 2011 resulted in an Unqualified Opinion and no noted exceptions for logical and physical security.
TSO 12	Manning, Chuck	Compliance Monitoring & Reporting	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 reported to date.
TSO 13	Manning, Chuck	Compliance Monitoring & Reporting	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.

RETAIL OPERATION

KPI	Executive	Capability	KPI Description	Target	Stretch	YTD	Q4 Current	Q4 Prior
RO 1	Doggett, Trip	Customer Switching / Registry	Conduct retail transaction processing per Protocol timelines	98%	99%	99.90%	99.95%	99.69%
RO 2	Doggett, Trip	Customer Switching / Registry	End use customer switch notifications processed per PUCT rules	99%	99.9%	99%	95%	100%
RO 3	Day, Betty	Market Information	Retail extracts available per Protocol timelines	90%	95%	98.32%	94.62%	99.16%
RO 4	Doggett, Trip	Dispute Management	Manage retail transaction issues and disputes within defined timelines	96%	98%	99%	98.10%	98.10%

WHOLESALE SPOT_CASH MARKET

KPI	Executive	Capability	KPI Description	Target	Stretch	YTD	Q4 Current	Q4 Prior
WO 1	Doggett, Trip	Bidding, Scheduling and Pricing	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, Trip	Bidding, Scheduling and Pricing	DAM executions completed in acceptable timeframe: percent of days with posting solution before 1600.	97-99 % of time	> 99 % of time	99.45%	100%	100%
WO 3	Doggett, Trip	Bidding, Scheduling and Pricing	DAM quality of solution as measured with price corrections: percent of hourly prices requiring DAM price correction.	1-3 % of time	< 1 % of time	0.0019%	0%	0.639%
WO 4	Doggett, Trip	Bidding, Scheduling and Pricing	Number of solved DRUC results posted after 18:00 per month.	between 2 to 5	< 2	0	0	0
WO 5	Doggett, Trip	Bidding, Scheduling and Pricing	DRUC solution is solved and posted: percent of hours forecasted demand and ancillary service requirements are satisfied.	97 - 99 %	> 99 %	100%	100%	100%
WO 6	Doggett, Trip	Bidding, Scheduling and Pricing	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%	99.82%
WO 7	Doggett, Trip	Bidding, Scheduling and Pricing	HRUC solution is solved and posted: percent of hours the forecasted demand and ancillary services requirements are satisfied.	97 - 99 %	> 99 %	99.979%	99.998%	99.95%
WO 8	Doggett, Trip	Bidding, Scheduling and Pricing	SCED solution is solved and posted: percent of 15-minute Settlement Interval prices where price corrections are performed.	1 - 3 %	< 1 %	0.0915%	0%	0.060%
WO 9	Doggett, Trip	Wholesale Metering, Data Collection and Data Aggregation	AMS interval data is loaded into ERCOT systems by final settlement from the MRE in accordance with Protocols for data loading.	99%	99.75%	99.96%	99.96%	99.94%
WO 10	Doggett, Trip	Wholesale Metering, Data Collection and Data Aggregation	IDR meter data is loaded into ERCOT systems by true-up settlement from the MRE in accordance with Protocols for settlement.	99%	99.75%	99.92%	99.93%	99.90%
WO 11	Doggett, Trip	Wholesale Metering, Data Collection and Data Aggregation	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%	99.9%	99.95%	100%
WO 12	Doggett, Trip	Settlement and Billing	Timely settlements per Protocol timelines.	99%	99.90%	99.40%	98.15%	100%
WO 13	Doggett, Trip	Settlement and Billing	Accurate settlements as measured by number of resettlements due to manual data errors	2%	1%	.0012%	0.0	0.0%
WO 14	Day, Betty	Market Information	Wholesale extracts available per Protocol timelines	90%	95%	99.81%	99.61%	99.73%
WO 15	Doggett, Trip	CRR / FTR Management	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	100% -- All monthly and annual auctions published on time within the CRR calendar.	All 3 monthly auctions and 2 annual auctions published on time within CRR calendar.	100% - All 3 monthly auctions completed within 5 days, and 2-year annual auction posted within 16 days.
WO 16	Doggett, Trip	CRR / FTR Management	Monthly de-ratings of CRRs are within acceptable tolerances	80%	95%	95.2%	92.2%	92%
WO 17	Doggett, Trip	Dispute Management	Process disputes within protocol timelines	95%	98%	100%	100%	97.5%

REC & CUSTOMER CARE

KPI	Executive	Capability	KPI Description	Target	Stretch	YTD	Q4 Current	Q4 Prior
R&CC 1	Doggett, Trip	Determine REC Obligations and Verify Compliance	Fulfill the protocol obligations for RPS mandate calculations and reporting on time and accurately	99%	99.9%	100%	100%	100%
R&CC 2	Doggett, Trip	Account Management	Establish and Maintain Targeted Account Plans and execute per guidelines and schedule.	90%	95%	95.7%	100%	100%
R&CC 3	Doggett, Trip	Account Management	Create, distribute and post Market Notices per the COPs Communication Guide, Section 5, Appendix A.	95%	98%	99.3%	99.21	100%
R&CC 4	Doggett, Trip	Account Management	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%	99.9%	99.35%	99.50%

INFORMATION TECHNOLOGY

KPI	Executive	Capability	KPI Description	Target	Stretch	YTD	Q4 Current	Q4 Prior
IT 1	Dreyer, Jerry	IT Application Services	Retail Processing Availability - Bus. Hours	99.50%	99.7%	99.50%	98.25%	99.94%
IT 2	Dreyer, Jerry	IT Application Services	Retail Processing Availability - Non bus. Hours	99%	99.5%	99.66%	99.3%	100%
IT 3	Dreyer, Jerry	IT Application Services	Retail API Availability	99%	99.5%	99.86%	99.46%	100%
IT 4	Dreyer, Jerry	IT Application Services	MarkeTrak Availability	98%	99.5%	99.56%	98.38%	99.9%
IT 5	Dreyer, Jerry	IT Application Services	Congestion Revenue Rights (CRR) Availability	98%	99%	100%	100%	100%
IT 6	Dreyer, Jerry	IT Application Services	Market Information System (MIS) Availability	99%	99.5%	99.84%	99.78%	99.84%
IT 7	Dreyer, Jerry	IT Application Services	Market Management System Aggregate Availability	99%	99.5%	99.98%	100%	99.99%
IT 8	Dreyer, Jerry	IT Application Services	Energy Management System Aggregate Availability	99%	99.5%	99.99%	100%	99.99%
IT 9	Dreyer, Jerry	IT Application Services	Security Constrained Economic Dispatch (SCED) Availability	99.90%	99.95%	99.97%	100%	99.99%
IT 10	Dreyer, Jerry	IT Application Services	Security Constrained Economic Dispatch (SCED): no outages greater than 30 consecutive minutes	zero outages	n/a	1 in 1st Q	0	0
IT 11	Dreyer, Jerry	IT Application Services	Load Frequency Control (LFC) Availability	99.90%	99.95%	100.00%	100.00	99.993%
IT 12	Dreyer, Jerry	IT Application Services	Load Frequency Control (LFC): no outages greater than 30 consecutive minutes	zero outages	n/a	0	0	0
IT 13	Dreyer, Jerry	IT Application Services	Outage Scheduler Availability	99%	99.5%	100%	100%	100%
IT 14	Dreyer, Jerry	IT Application Services	Network Model Management System (NMMS) Availability	97%	99%	99.99%	100%	99.99%

OTHER SUPPORT & MANAGEMENT

KPI	Executive	Capability	KPI Description	Target	Stretch	YTD	Q4 Current	Q4 Prior
OSM 1	Ruane, Mark	Strategy and Business Planning	Enterprise risk assessment updated quarterly.	Quarterly update completed	n/a	completed	completed	n/a
OSM 2	Ruane, Mark	Strategy and Business Planning	Credit reports are correct and posted in a timely manner.	97%	100%	99.55% posted before timeline 99.20% correct	98.66% posted before timeline 98.66% correct	n/a
OSM 3	Wullenjohn, Bill	Internal Audit	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	Stretch Goal Achieved: 119% completed (25 out of 21) through 4th	Stretch Goal Achieved: 119% completed (25 out of 21) through 4th Qtr.	Stretch Goal Achieved: 106.1% completed (35 out of 33) through 4th Qtr.
OSM 4	Petterson, Michael	Finance	Manage spending to be equal to or less than the board-approved expenditure budget for 2012.	Between 0 - 5% favorable variance	> 5% favorable variance	2012 expenditures (including portfolio projects) were unfavorable \$1.4 M or 0.8%.	Q4 expenditures (including portfolio projects) were unfavorable \$2.1M or 5.0%.	Fiscal Year 2011 Expenditures (including portfolio projects) were favorable \$12.8M or 6.7%. (based on preliminary 2011 financial data)
OSM 5	Manning, Chuck	Human Resources	Retain top talent (Lose no more than 3% of top talent population annually).	3%	0%	0.64%	0.16%	No top talent resignations for the 4th quarter. YTD final number 0.16% (2 Top talent employees were rehired in Q4).
OSM 6	Manning, Chuck	Human Resources	Percent of targeted managers to complete management certificate program annually.	90%	100%	97.3%	97.3% Complete	100%
OSM 7	Manning, Chuck	Human Resources	Number of E-learning courses utilized (assuming average staff level of 600)	1200	1800	3604 Users 3285 applications accessed 2970 completed courses 5025 Training hours logged	651 Users 735 applications accessed 695 completed courses 846 Training hours logged	2,213 courses completed
OSM 8	Manning, Chuck	Human Resources	Percent of critical positions with named successors.	90%	100%	97.7%	97.7%	100%
OSM 9	Manning, Chuck	Human Resources	Manage training program to enhance career development and skill improvement through the development of Individual Development Plans (IDPs) for the population.	90%	95%	96%	96%	90%
OSM 10	Manning, Chuck	Facilities / Security	Operate data centers providing availability consistent with data center designed objectives.	99.98%	100%	100%	100%	100% No Unplanned Outages
OSM 11	Manning, Chuck	Facilities / Security	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.	No cyber or physical security incidents year to date	No cyber or physical security incidents year to date	No cyber or physical security incidents year to date

OTHER SUPPORT & MANAGEMENT

KPI	Executive	Capability	KPI Description	Target	Stretch	YTD	Q4 Current	Q4 Prior
OSM 12	Gage, Theresa	External Affairs	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%	98.25%	98%	98%
OSM 13	Gage, Theresa	External Affairs	Annually, ensure postings of current information, reports and presentations on the ERCOT website and maintain accurate information about ERCOT organization.	95%	100%	98.5%	99%	100%
OSM 14	Gage, Theresa	External Affairs	Develop and maintain a comprehensive repository of informational and educational resource documents related to ERCOT Inc. and the ERCOT Market.	95%	100%	97.5%	100%	n/a
OSM 15	Gage, Theresa	External Affairs	Ensure information of interest to officials and stakeholders is available through social media outlets on a timely basis.	95%	100%	100%	100%	n/a
OSM 16	Day, Betty	Project / Program Management	Project Portfolio managed within approved Execution schedule.	10%	5%	6%	6%	100% on schedule
OSM 17	Day, Betty	Project / Program Management	Project Portfolio managed within approved Execution budget.	10%	5%	4%	4%	0% budget variance
OSM 18	Day, Betty	Project / Program Management	Project scope, requirements and objectives are delivered as defined (subject to change control).	n/a	100%	100%	100%	100% within scope