



Item 3: Human Resources Operations Report

Chuck Manning

Vice President of Human Resources and Chief Compliance Officer

Human Resources and Governance Committee Meeting

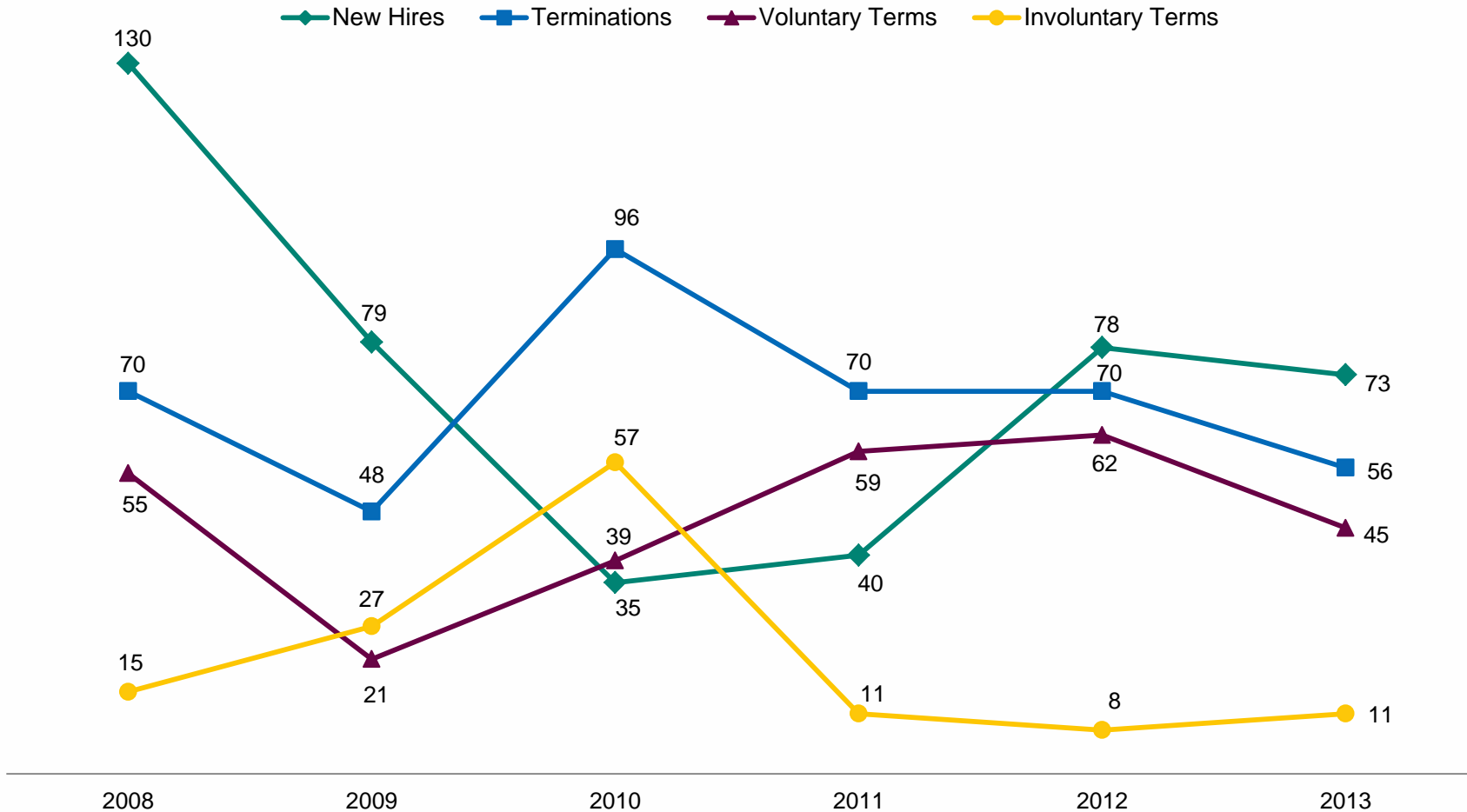
ERCOT Public

November 18, 2013



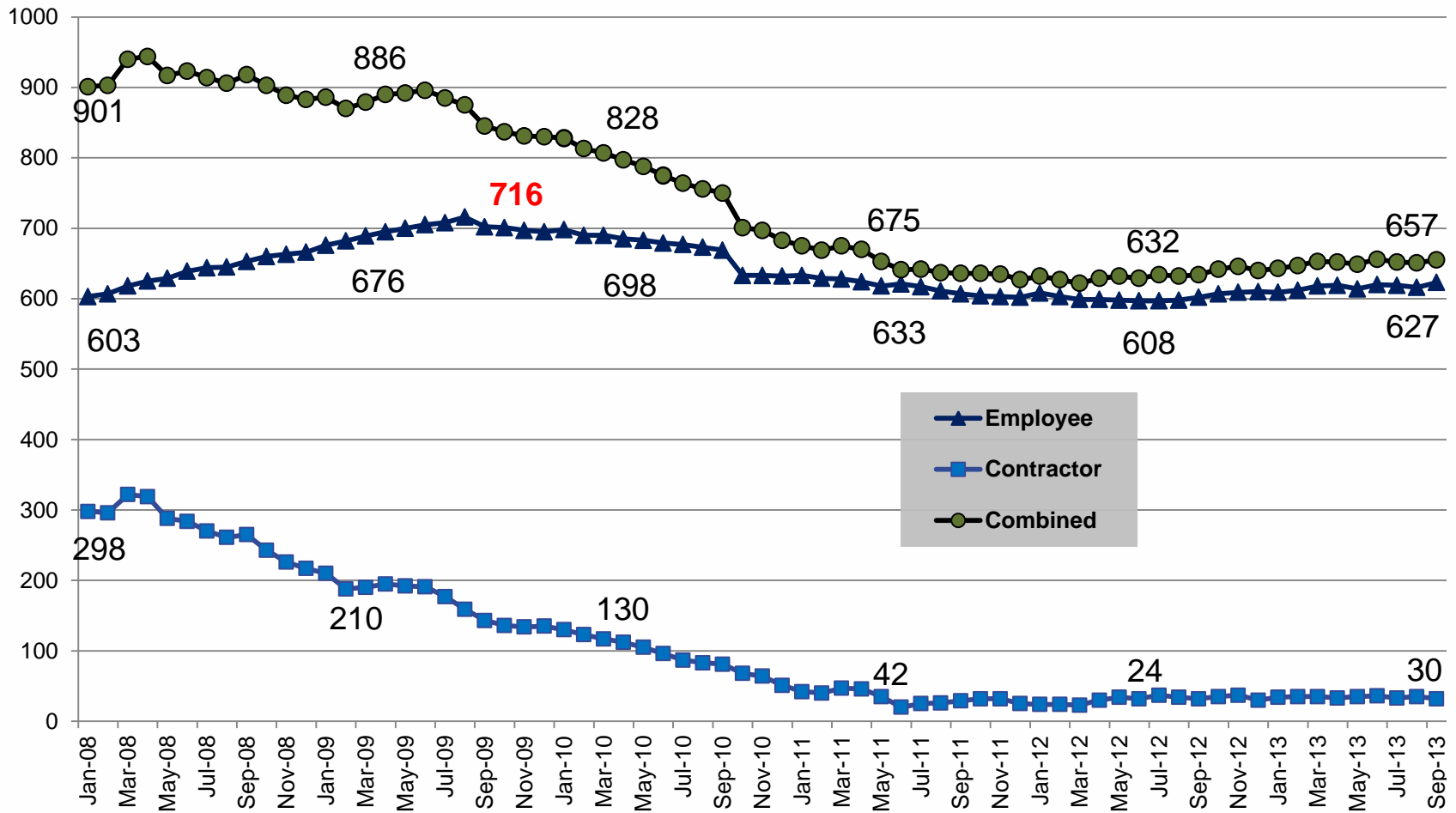
HR Operations Report

ERCOT – Employee New Hires / Terminations



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ERCOT Employee Headcount – October 2013



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ERCOT Contractors

	10/31/13
Capital Projects	13.5
Base - Staff Augmentation	15.5
DoE Grant	1
	30

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ERCOT Contractor Conversions in 2013

2013 Contractor Conversions			
Jan	Chris Pomeroy	Unix Administrator Sr	IT
February	Brian Shannon	Desk Side Sup Tech	IT
February	Venkata Tanguturi	Database Admin Sr	IT
April	Paul Hunt	Client Platform Architect	IT
April	Carl Siever	Unix Admin 2	IT
April	Carol Little	Exec Assistant	IT
July	Weihui Fu	EMMS App Architect Sr	IT
July	Chance Copeland	Linux Admin 2	IT
August	David Bailey	Data Center Tech 2	Facilities
September	Mike Reilly	Windows Admin Sr	IT
September	Jeff Standard	IT Corp Systems Analyst	IT
October	Connie Compton	Acct Specialist	Finance
October	Xiangxiang Ni	Accountant	Finance
YTD Total: 13			

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ERCOT 2013 Attrition – October

- YTD 2013 Total Attrition Rate: 9.1%
- YTD 2013 Voluntary Attrition Rate: 7.3%
 - October 2012 Total Attrition Rate: 10.3%
 - October 2012 Voluntary Attrition Rate: 9.0%

- 2013 Terminations – 56 Employees
 - 45 Voluntary
 - 11 Involuntary

- Voluntary Reasons:
 - 24 Promotional Opportunity
 - 11 Family
 - 08 Personal
 - 01 Retirement
 - 01 Location of Facility

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ERCOT 2013 Key Talent Attrition – YTD

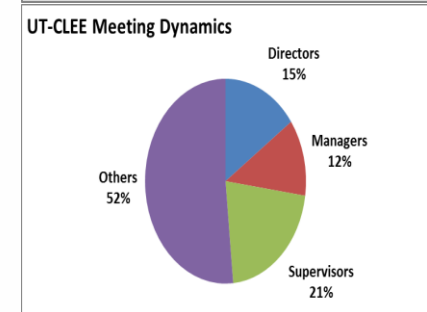
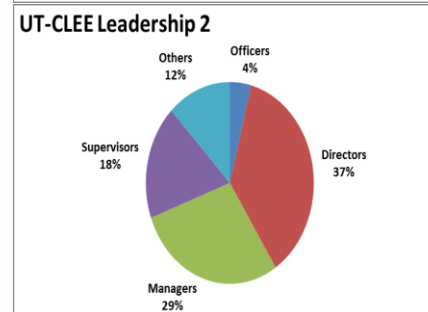
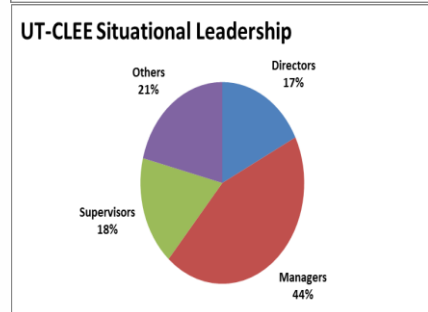
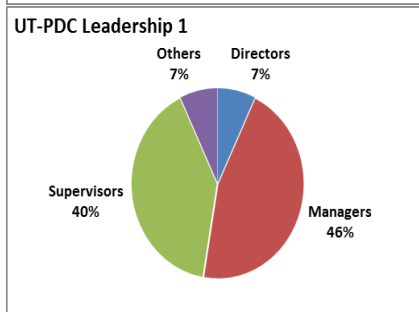
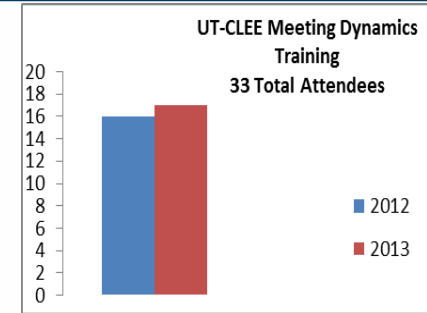
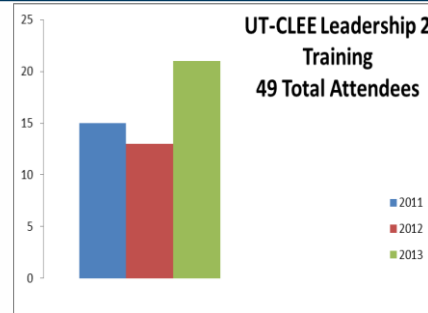
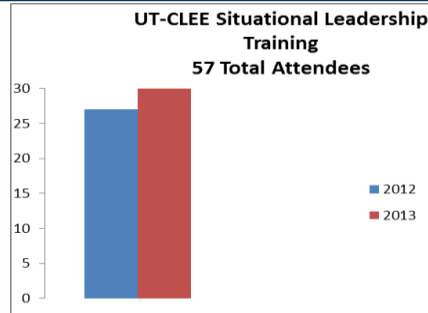
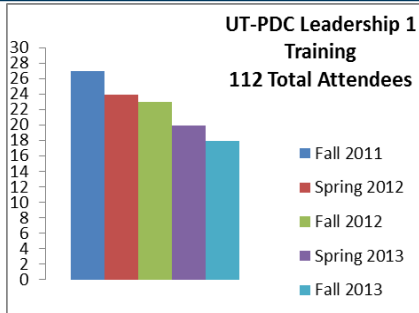
- 2013 Terminations: 9 Employees
- Reasons:
 - 04 Promotional Opportunity
 - 03 Family
 - 01 Personal
 - 01 Location of Facility

HR Operations Report

Attrition by Department – September & October

- External Affairs – Corp Communication Specialist
- Grid Ops & Sys Plan – Ntwk Model Eng 2
- Grid Ops & Sys Planning – Planning Eng 3
- IT – Database Administrator Sr
- Settlements & Retail Operations – Retail Data Analyst Sr
- Whls Mkt Ops – Mkt Oper Eng 3

Professional Development Courses Delivered



- Managing and Supervising People
- Coaching and Counseling Performance
- Building Personal Leadership Skills
- The Transformational Leader
- Behavioral Interviewing
- Conflict Management
- 6 Day Course

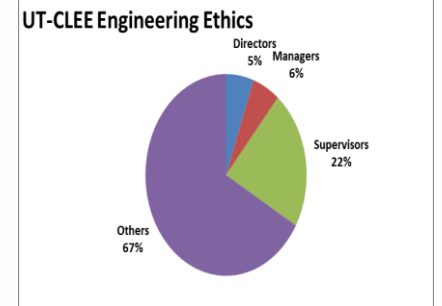
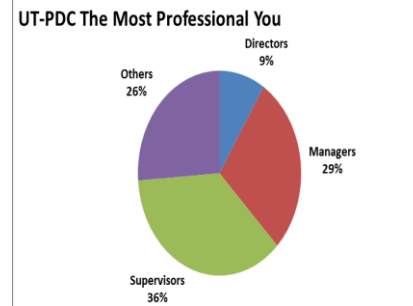
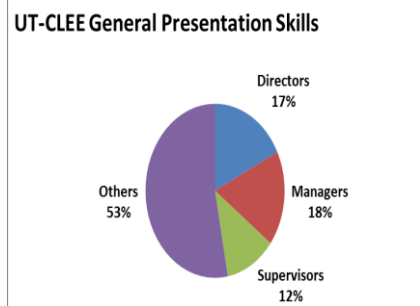
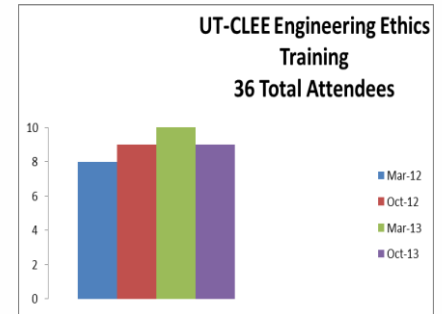
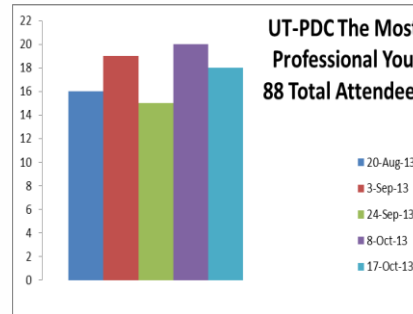
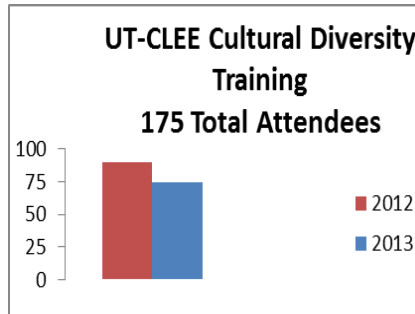
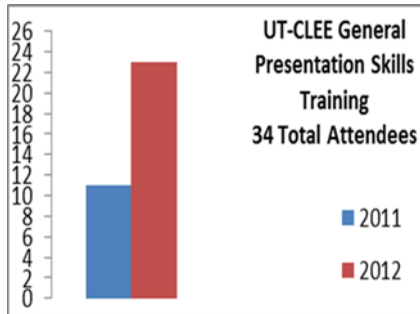
- Characteristics of Effective Leaders
- Develop Leadership Styles to adapt to Situations and Individuals
- Delegation & Empowerment to Improve Organizational Development
- Build Cohesive Teams and Develop Future Leaders
- Diagnose Situations & adapt Leadership Behavior to Influence and Communicate
- 2 Day course

- Communication Skills & Practical Negotiations-Revision
- Collaborative Relationships & Developing a Culture that Fosters Success & Risk Management
- Strategic Planning/Managing Innovation
- 6 ½ Day Course

- Persuasion & Understanding the Audience
- Pre-Planning
- Socializing Your Ideas
- Working the Room
- Constructing your Message
- Presenting a Controversial Message
- Widening the Viewpoint
- Presentation Skill & Strategies
- Room Dynamics
- Dealing with Difficult People
- Turning around a Hostile Environment
- 2 Day Course



Professional Development Courses Delivered (cont'd)



- Delivery Techniques
- Body Language/Facial Expression/Movement
- Voice & Eye Contact
- Developing Presentation
- Idea Consolidation/Main Points/Audience Types/Building Presentation
- Handling your Audience
- Q & A
- Dealing with a Difficult Audience
- 3 Hour Course

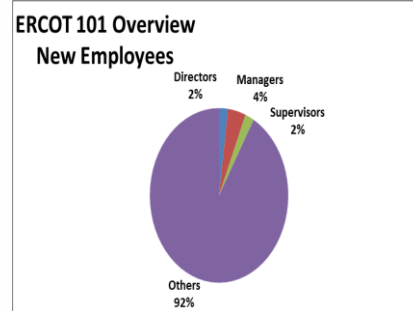
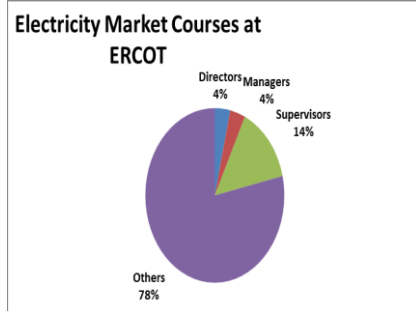
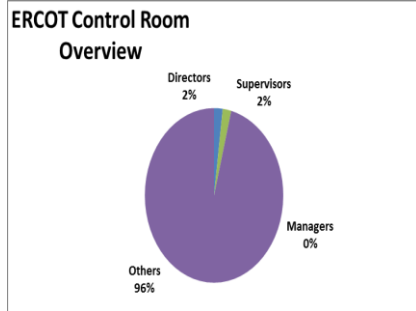
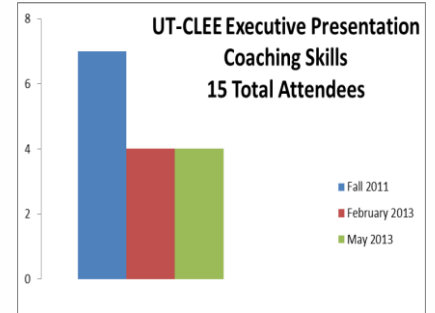
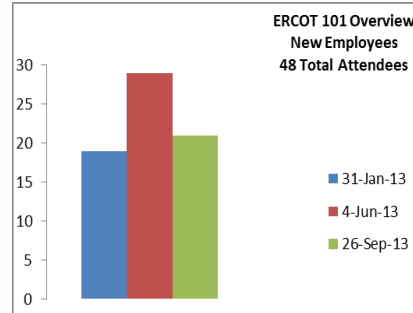
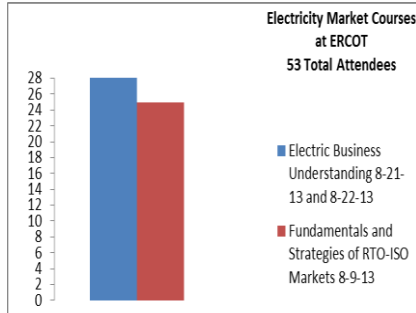
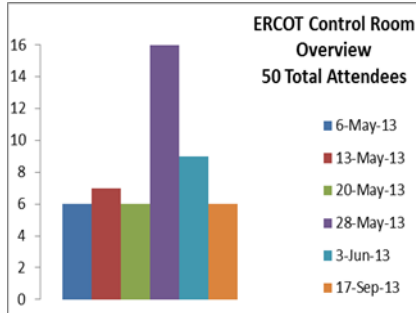
- Understanding Cultures
- Awareness of Yourself and Others
- Key Cultural Dimensions
 - Equality/Hierarchy
 - Direct/Indirect
 - Individual/Group
 - Task/Relationship
 - Risk/Caution
- Tips for Communicating Effectively Across Cultures
- Tips for Increasing Retention in a Culturally Diverse Workplace
- ½ Day Course

- First Impressions/Perception
- Appearance Beyond Dress
- Communication Methods
- Importance of Policy Knowledge
- Body Language
- Listening Skills
- Empathy
- Conversations Skills
- Attitude, Ethics, and Integrity
- Diplomacy and Work Ethic
- Email and Telephone Etiquette
- ½ Day Course

- An Overview of the Basic Tenets of Engineering Ethics and the Ethical Obligations of Engineers
- A Design-Based Model of Engineering Ethics that will Enable Engineers to:
 - Identify and Articulate Ethical Problems
 - When Possible, Anticipate and Avoid Ethical Problems
 - Generate Options for Resolving Ethical Problems
- 2 Hour Course



Professional Development Courses Delivered (cont'd)



- Shift Supervisor Overview
- Transmission and Security Desk Operations
- Real Time Desk Operations
- Reliability Unit Commitment (RUC) Desk Operations
- Resource Desk Operations
- Direct Current Tie (DC Tie) Desk Operations
- Shift Engineer Support Overview
- Q & A
- 1 Hour Overview

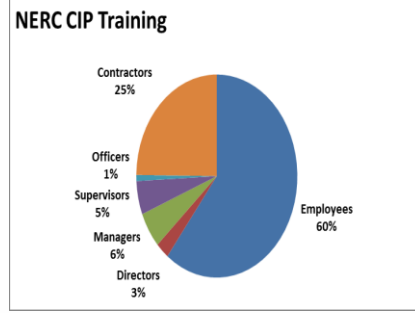
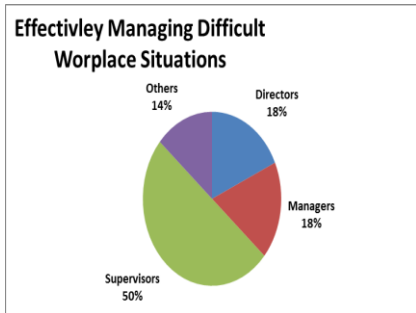
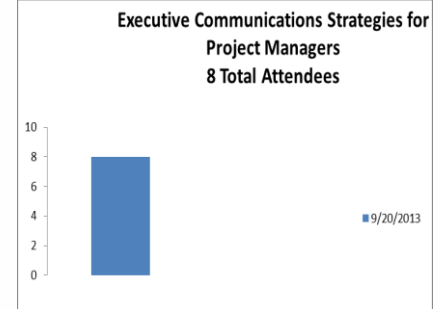
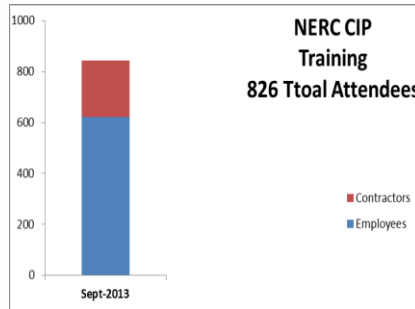
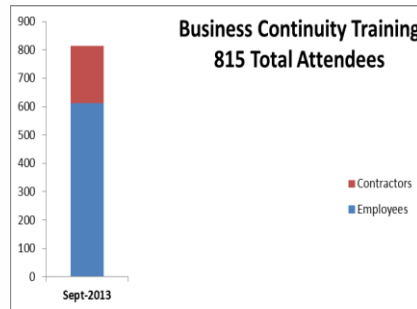
- Introduction to Electric Industry
- Electric Customer Types and how they use Electricity
- Physical Systems
- NERC/ISO's/Regulators
- Market Restructuring
- Market Dynamics
- Making Money & Managing Risks
- The Future of the Electric Industry
- LMPs/DAM/RUC/RT/FTRs
- Capacity Markets
- 3 Days of Course Work

- ERCOT Governance
- Systems Operations
 - Reliability
 - Energy/Capacity
 - Congestion
- Wholesale Mkt Operations
 - MP Interactions
 - DAM
 - Least Cost Options
- Retail Registration and Switching
 - REPs
 - NOIEs vs. Opt-In
 - Settlements
- 4 Hour course

- Individual Objectives
- Effective Presentations
- Audience/Trust/Story Telling/Opening/Closings/Non-Verbal/Difficult People & Situations
- Crafting Presentations
- Clear Messaging/Change/Sharing Information/Selling/Leading
- Cultural Communications
- Practice/Feedback/Review
- Observation/Critique
- Constant Improvement
- 6 Hour course



Professional Development Courses Delivered (cont'd)



- Apply Techniques to Effectively Deal with Difficult Situations
- When to Engage HR Business Partners
- Focus on Insubordination and Emotional Outbursts
- 10 Key Communication Techniques
- Job Aid
- Role Play
- 1 ½ Hour Course

- Overview of BCP Readiness Requirements
- BCP Team Structure
- Disaster Levels
- Response Procedures
- Exercises
- Communications
- Recovery Sites
- E-Learning ½ Hour Course

- NERC CIP Overview
- CIP Standards
 - Sabotage
 - Asset ID
 - Controls
 - Personnel & Training
 - Perimeters
 - Physical
 - System Security
 - Incident Reporting
 - Recovery Plans
- E-Learning 1 Hour Course

- Alignment Through "Framing"
- "Think on Your Feet"
- Better Positioning
- Manage Power Dynamics
- "Verbally Draft"
- Avoid the "Detail Trap"
- Handle Challenges
- Reduce Stress and Anxiety
- Squeeze a 30-Minute Presentation into 5 Minutes
- Use Slides as a "Visual Strategy"
- Close Strong
- 2 Day Course

Summary of Professional Development Courses

- Seventeen professional development courses have been offered multiple times per year during the last three years
- Attendance for the seventeen courses combined was 2,421
- Four professional development courses existed in 2011
 - Leadership 2
 - Executive Presentation Coaching Skills
 - Business Continuity
 - NERC CIP
- Six professional development courses were added in 2012
 - Leadership 1
 - Situational Leadership
 - Meeting Dynamics
 - General Presentation Skills
 - Cultural Diversity
 - Engineering Ethics
- Seven professional development courses were added in 2013
 - Most Professional YOU
 - ERCOT Control Room Overview
 - Electric Business Understanding
 - Fundamentals and Strategies of RTO-ISO Markets
 - ERCOT 101 Overview
 - Effectively Handling Difficult Workplace Situations
 - Executive Communication Strategies for Project Managers

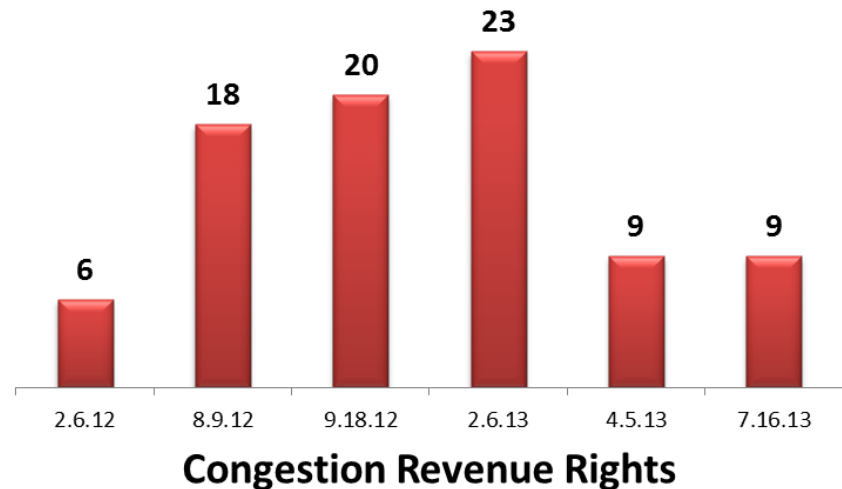
Summary of Professional Development Courses (cont'd)

- Three professional development courses have been redesigned and will be offered by new vendors in 2014
 - Cultural Diversity
 - Engineering Ethics
 - Leadership 2
- One professional development course initiated in 2013 will expand from five offerings per year to twelve offerings during 2014
 - Most Professional YOU
- Two new professional development courses will be offered in 2014
 - Leadership 3
 - Delta@3
- Three new department employees will be hired in 2014
 - Training Program Coordinator
 - Professional Development Instructor
 - Professional Development Course Developer
 - The three new positions will revise, expand and create training programs such as:
 - Mentoring & Coaching
 - Year-round Interns (2 currently exist and 6 intern positions are currently posted for hire)
 - Summer Intern Program
 - Ethics, Fraud, Safety, Phishing, BCP, NERC/CIP
 - New Employee Orientation
 - Basic Corporate Applications training
 - Market E-Learning courses
 - ERCOT In-House E-Learning

Market Courses Delivered

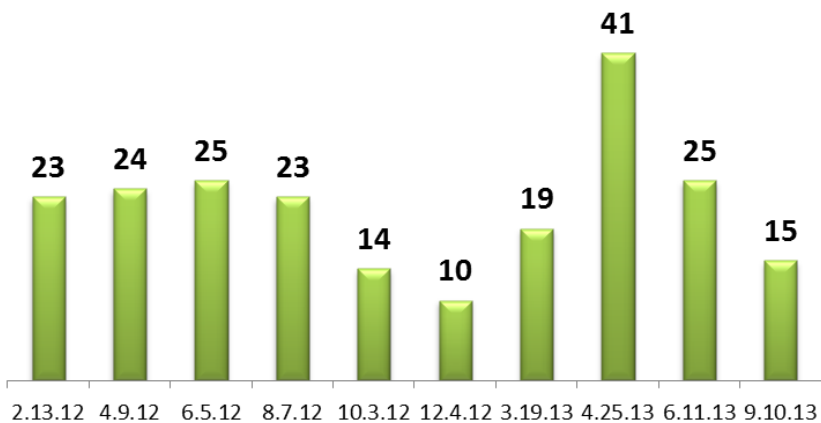


- The Basic Training Program provides a market design overview covering the operations of qualified scheduling entities (QSEs), transmission service providers (TSPs) and ERCOT in day-ahead operations, the adjustment period and the operating period.
- This course also includes an introduction to abnormal/emergency operations and the management functions of ERCOT in the nodal market. It describes the basics of most major requirements for QSEs and TSPs to conduct business with ERCOT.
- Upon completion of this course, attendees will be able to identify the basic requirements needed to conduct business in the Texas nodal market. Specifically they will be able to identify the timelines, purposes, inputs, and outputs for each major component of the Texas nodal market.
- **Prerequisites:** ERCOT Nodal 101
- **4 Day Course**

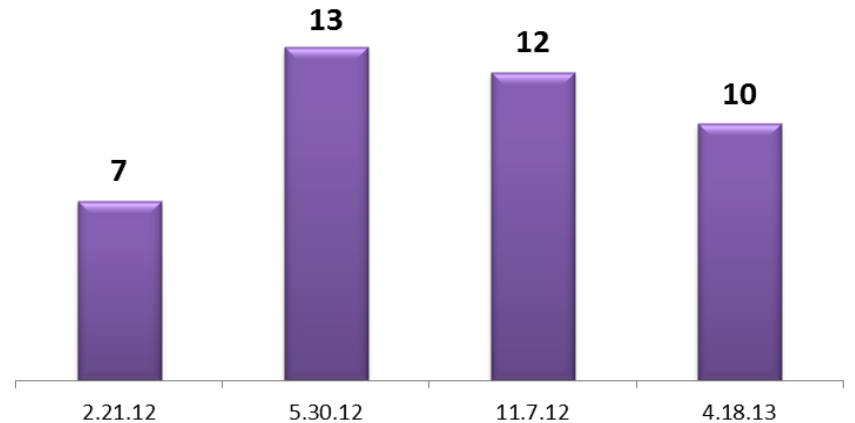


- Congestion Revenue Rights introduces the attendee to terminology used in the auctioning and scheduling of congestion revenue rights (CRRs) in the ERCOT markets.
- This course includes:
 - A review of constraint competitiveness tests for the annual and monthly auctions.
 - A review of the allocation process, purpose and application of pre-assigned congestion revenue rights (PCRRs).
 - Description of the ERCOT CRR auction processes and the relevant posting of information on the market information system (MIS).
 - Examples of CRR usage from acquisition to settlements covering a broad set of scenarios. Scenarios focus on the most common tasks performed by market participants (MPs) in determining value, purchasing in an auction, scheduling in the market, and settlements of CRRs when congestion is present & when it's not.
- **Prerequisites:** ERCOT Nodal 101
- **1 Day Course**

Market Courses Delivered



Nodal 101

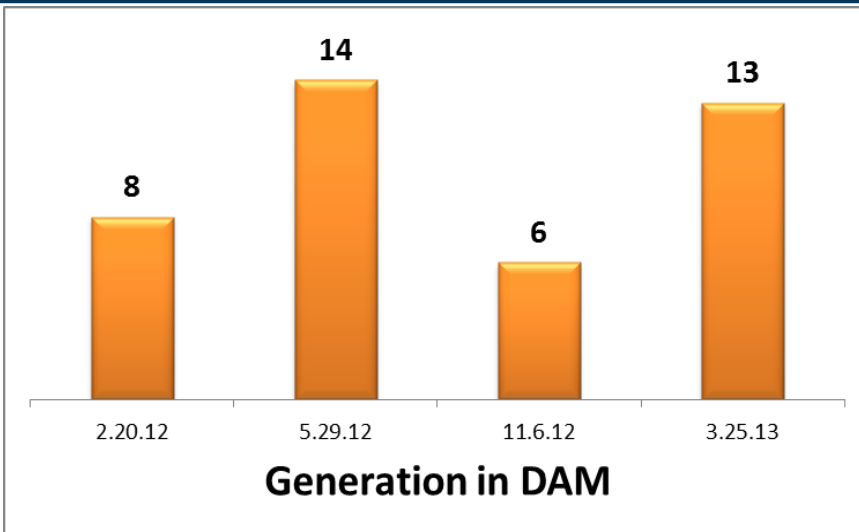


Generation in RUC and Real-Time

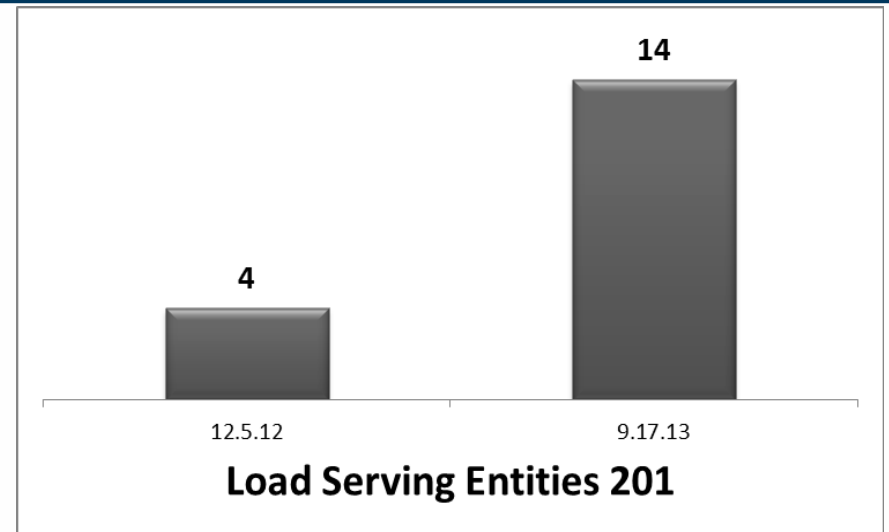
- ERCOT Nodal 101 is a high-level overview of the ERCOT nodal market. This course highlights the major changes, plus revisions, in ERCOT's system and market operations that were implemented with the launch of the Nodal Market on December 1st, 2010. Nodal 101 introduces the key components of the Nodal Market design including:
 - Day Ahead Market
 - Real-Time Operations
 - Reliability Unit Commitment
 - Congestion Revenue Rights
 - Financial Settlements
- **Prerequisites:** None
- **1 Day Course**

- Generation in Reliability Unit Commitment and Real-Time delves deeper into discussions of the Reliability Unit Commitment process, the Adjustment Period and Real-Time Operations that were presented in the **Basic Training Program** course. This course covers the operations requirement for qualified scheduling entities (QSEs) with generation facilities to operate proficiently in the ERCOT market. This course includes:
 - Reliability Unit Commitment Process
 - Adjustment Period
 - Real-Time Operations
 - Emergency Operating Conditions
 - Performance Monitoring
- **Prerequisites:** ERCOT Nodal 101, Basic Training Program
- **2 Day course**

Market Courses Delivered

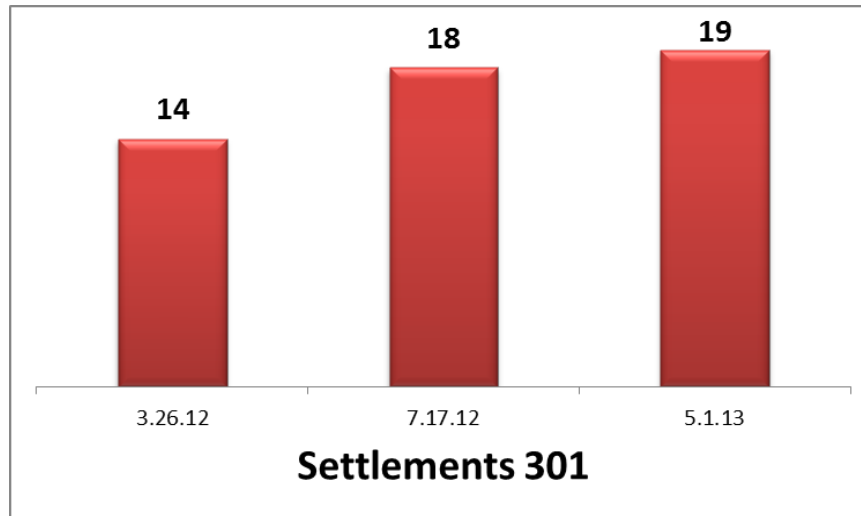


- Generation in Day-Ahead Market delves deeper into discussions of the Day-Ahead Market that were presented in the **Basic Training Program** course. This course details the inputs, processes and outputs of the Day-Ahead Market and its associated financial settlement. This course includes:
 - Day-Ahead Market timeline and processes
 - Day-Ahead Market inputs
 - Energy, Ancillary Services and Day-Ahead Market Point-to-Point Obligations
 - Day-Ahead Market outputs
 - Description of financial settlement of the Day-Ahead market
- **Prerequisites:** ERCOT Nodal 101, Basic Training Program
- **1 Day Course**



- Load Serving Entities 201 delves into the wholesale costs of serving load in the ERCOT nodal market.
 - Overall nodal market structure and roles of MPs
 - Locational marginal prices (LMPs) and price separation due to congestion.
 - Wholesale market costs including costs for Energy, Capacity, Congestion and Ancillary Services. The course explores hedging or managing these costs:
 - Bilateral Trades – Includes energy trades, capacity trades, and ancillary services trades
 - Day-Ahead Market – Includes Bids to buy Energy and PTP Obligations
 - Congestion Revenue Rights (CRRs) -- Examines the basic types of CRRs and how CRRs are acquired. □
- The remainder of the course is scenario-based & focuses on using these tools to hedge the wholesale market costs of serving load.
- **Prerequisites:** ERCOT Nodal 101
- **1 Day Course**

Market Courses Delivered



- Market Settlements 301 supplements Basic Training. It is designed for accounting and operations personnel to understand the changes to QSE settlement statements due to the nodal market..
- It supplements ERCOT settlements training, but focuses on generation nodal pricing, generation energy settlement, and other factors influencing charges to QSEs representing load and payments to QSEs representing resources for energy and ancillary services in real-time and DAM. This course includes:
 - Special settlement provisions in the reliability unit commitment and provisions for make-whole.
 - Test settlement statements using LMP prices issued during implementation testing on EDS.
 - A complete review of a typical QSE settlement statement.
 - Shadow settlement and settlement tracking concepts.
- **Prerequisites:** ERCOT Nodal 101, Basic Training Program
- **3 Day Course**

Summary of Market Courses

- Seven different instructor-led market courses were delivered during the last two years
- 569 individuals attended the seven courses
- Market Survey conducted in 2013 to ascertain MP needs for ERCOT Market instruction. Below is a list of courses considered most important by MPs:
 - Website Dashboard and Grid Information
 - ERCOT Reports and Data Extracts
 - ERCOT Dispatching Generation in Real-Time
 - Capacity and Reserve Margin Instruction
 - Power Balance Penalty Curve
 - DAM Bids and Offers Clearance
 - Overview ERCOT Electricity Markets
 - LMP Course
 - DAM Make-Whole Payment
 - Managing Renewable Generation in ERCOT
 - RUC--What it is and why we need it
 - Buying and Selling CRRs in the CRR Auction
 - REC Trading Program
 - Retail Transaction Processing
 - MarkeTrak Issue Resolution Tool
 - Market Participant Registration
- Complete revisions of the seven market courses were performed in 2013
- Complete revision process will take place on all market e-learning courses in 2014