Item 8.1: Third Quarter 2013KPIs Update

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ERCOT Public
November 18, 2013

2013
3rd Quarter Reporting Period

	YTD G	YTD R	4th Quarter Performance Green	4th Quarter Performance Red	3rd Quarter Performance Green	3rd Quarter Performance Red	2nd Quarter Performance Green	2nd Quarter Performance Red	1st Quarter Performance Green	1st Quarter Performance 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									RO3	
DISPUTE MANAGEMENT										
WHOLESALE SPOT/CASH MARKET OPERATION										
BIDDING, SCHEDULING AND PRICING										
WHOLESALE METERING, DATA COLLECTION AND DATA AGGREGATION										
SETTLEMENT & BILLING										
MARKET INFORMATION						WO11				
CRR/FTR MANAGEMENT										
DISPUTE MANAGEMENT										
RENEWABLE ENERGY CREDITS										
DETERMINE REC OBLIGATIONS AND VERIFY COMPLIANCE										
CUSTOMER CARE										
ACCOUNT MANAGEMENT										
INFORMATION TECHNOLOGY										
IT APPLICATION SERVICES						IT10		IT10		
OTHER SUPPORT & MANAGEMENT FUNCTIONS										
STRATEGY & BUSINESS PLANNING										
INTERNAL AUDIT										
FINANCE								OSM5		
HUMAN RESOURCES						OSM6		OSM6		
FACILITIES/SECURITY										
EXTERNAL AFFAIRS										
PROJECT/PROGRAM MANAGEMENT										

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TRANSMISSION SYSTEM OPERATION

KPI	Executive	Capability	KPI Description	Target	Stretch	YTD	Q3 Current (2013)	Q3 Prior (2012)
TSO 1	McIntyre, Kenneth	System Planning	Regional Planning project Review Studies completed on time without substantive errors.	95% completed on time or no more than 1 late if less than 20 projects	99% completed on time	100%	All 10 reviews completed on-time	100%
TSO 2	McIntyre, Kenneth	System Planning	Transmission planning projects initiated or significantly improved by ERCOT staff.	10 projects	15 projects	51 transmission projects identified or initiated by ERCOT Planning staff	51 transmission projects identified or initiated by ERCOT Planning staff	n/a
TSO 3	McIntyre, Kenneth	Transmission Connection Management	Generation Interconnection Request (GIR) screening studies completed on time without errors.	95% completed on time or no more than 1 late if less than 20 GIRs	99% completed on time	100%	100%	100%
TSO 4	McIntyre, Kenneth	Grid Security Management / Real Time System Control / Scheduling & Dispatch	Control Performance Standard 1 (CPS1) frequency control performance (rolling 12 month CPS1 score).	> 140	> 150	CPS1 > 150	167.37	159.03
TSO 5	McIntyre, Kenneth	Grid Security Management / Real Time System Control / Scheduling & Dispatch	Interconnection Reliability Operating Limit (IROL) exceedance limitations.	None longer than 20 minutes	None longer than 10 minutes	No exceedences longer than 15 minutes	No exceedences longer than 15 minutes	No exceedences longer than 15 minutes
TSO 6	McIntyre, Kenneth	Outage Coordination / Planning	Outage Coordination performance: requests approved or denied within timeline and with mitigation plans developed if required.	97%	99%	99.79	99.62	99.44%
TSO 7	McIntyre, Kenneth	Outage Coordination / Planning	Network model update accuracy	No more than 3 emergency database loads due to staff error	No emergency database loads due to staff error	All models provided and no emergency database loads due to staff error	All models provided and no emergency database loads due to staff error	All models provided and no emergency database loads due to staff error
TSO 8	McIntyre, Kenneth	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%	Highest MAPE was 3.5% in January	Highest MAPE was 2.67% in July.	Highest MAPE was 3.43% in September
TSO 9	McIntyre, Kenneth	Forecasting	Wind forecast performance - MAPE based on installed wind capacity: monthly average day ahead wind forecasts used for DRUC MAPE.	All less than 15%	All less than 10%	5.6--10.2%	5.6--7.3%	6.5 -- 7.8%
TSO 10	McIntyre, Kenneth	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.	One report filed late 2nd quarter (annual FERC Form 714).	No reports filed late or with an error this quarter.	100%
TSO 11	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 as found in a NERC Compliance Audit.	No exceptions reported to date.	No exceptions reported to date.
TSO 12	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 2013. 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.	No exceptions reported to date	No exceptions reported to date	No exceptions reported to date
TSO 13	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 14	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 exceptions reported to date

RETAIL OPERATIONS

KPI	Executive	Capability	KPI Description	Target	Stretch	YTD	Q3 Current (2013)	Q3 Prior (2012)
RO 1	Jones, Brad	Customer Switching / Registry	Conduct retail transaction processing per Protocol timelines	98%	99%	99.76%	99.99	99.99%
RO 2	Jones, Brad	Customer Switching / Registry	End use customer switch notifications processed per PUCT rules	99%	99.9%	100%	100%	100%
RO 3	Jones, Brad	Market Information	Retail extracts available per Protocol timelines	98%	99%	98.83%	99.65%	98.96%
RO 4	Jones, Brad	Dispute Management	Manage retail transaction issues and disputes within defined timelines	96%	98%	98.59%	97.28%	98.40%

WHOLESALE SPOT_CASH

KPI	Executive	Capability	KPI Description	Target	Stretch	YTD	Q3 Current (2013)	Q3 Prior (2012)
WO 1	Jones, Brad	Bidding, Scheduling & Pricing	Percent of days with successful DAM execution solution completed and posted successfully.	100%	100%	100%	100%	100%
WO 2	Jones, Brad	Bidding, Scheduling & Pricing	DAM executions completed in acceptable timeframe: percent of days with posting solution before 1600.	97%	99%	100%	100%	100%
WO 3	Jones, Brad	Bidding, Scheduling & 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%	0%	0.0068%
WO 4	Jones, Brad	Bidding, Scheduling & Pricing	Number of minimum Ancillary Services Requirements posted after the 20th of each month.	< 2	0	0	0	n/a
WO 5	Jones, Brad	Bidding, Scheduling & Pricing	SCED solution is solved and posted: percent of 15-minute Settlement Interval prices where price corrections are performed.	1 - 3 %	< 1 %	0.03%	0%	0%
WO 6	Jones, Brad	Wholesale Metering, Data Collection & 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%	99.98%	99.96%
WO 7	Jones, Brad	Wholesale Metering, Data Collection & 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%	99.87%	99.91%	99.93%
WO 8	Jones, Brad	Wholesale Metering, Data Collection & 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%	99.98%	99.99%	99.96%
WO 9	Jones, Brad	Settlement & Billing	Timely settlements per Protocol timelines.	99%	99.9%	100%	100%	99.43%
WO 10	Jones, Brad	Settlement & Billing	Accurate settlements as measured by number of resettlements due to manual data errors	2%	1%	0%	0%	0.007%
WO 11	Jones, Brad	Market Information	Wholesale extracts available per Protocol timelines	98%	99%	98.31%	95.28%	99.91%
WO 12	Jones, Brad	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	All 9 monthly auctions completed and posted on time	All 3 monthly auctions completed and posted on time	All monthly auctions completed in less than 5 days and published on time.
WO 13	Jones, Brad	CRR / FTR Management	Monthly de-ratings of CRRs are within acceptable tolerances	80%	95%	94.09%	92.79%	97.7%
WO 14	Jones, Brad	Dispute Management	Process disputes within protocol timelines	95%	98%	100%	100%	100%

REC_CUSTOMER CARE

KPI	Executive	Capability	KPI Description	Target	Stretch	YTD	Q3 Current (2013)	Q3 Prior (2012)
R&CC 1	Jones, Brad	Determine REC Obligations & 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	Jones, Brad	Account Management	Establish and Maintain Targeted Account Plans and execute per guidelines and schedule.	95%	98%	100%	99%	100%
R&CC 3	Jones, Brad	Account Management	Create, distribute and post Market Notices per the COPs Communication Guide, Section 5, Appendix A.	95%	98%	98.8%	99.4%	98%
R&CC 4	Jones, Brad	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%	99.3%	99.4%	99.8%

INFORMATION TECHNOLOGY

KPI	Executive	Capability	KPI Description	Target	Stretch	YTD	Q3 Current (2013)	Q3 Prior (2012)
IT 1	Dreyer, Jerry	IT Application Services	Retail Processing Availability - Bus. Hours	99.5%	99.7%	99.83%	100%	100%
IT 2	Dreyer, Jerry	IT Application Services	Retail Processing Availability - Non bus. Hours	99%	99.5%	99.97%	100%	99.76%
IT 3	Dreyer, Jerry	IT Application Services	Retail API Availability	99%	99.5%	100%	100%	100%
IT 4	Dreyer, Jerry	IT Application Services	MarkeTrak Availability	98%	99.5%	99.73%	99.97%	99.84%
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%	99.98%	100%	99.94%
IT 7	Dreyer, Jerry	IT Application Services	Market Management System Aggregate Availability	99%	99.5%	99.98%	99.97%	100%
IT 8	Dreyer, Jerry	IT Application Services	Energy Management System Aggregate Availability	99%	99.5%	99.99%	100%	100%
IT 9	Dreyer, Jerry	IT Application Services	Security Constrained Economic Dispatch (SCED) Availablity	99.9%	99.95%	99.98%	99.97%	100%
IT 10	Dreyer, Jerry	IT Application Services	Security Constrained Economic Dispatch (SCED): number of outages greater than 30 consecutive minutes (per quarter)	zero	n/a	2	1	0
IT 11	Dreyer, Jerry	IT Application Services	Load Frequency Control (LFC) Availability	99.9%	99.95%	99.99%	100%	100%
IT 12	Dreyer, Jerry	IT Application Services	Load Frequency Control (LFC): number of outages greater than 30 consecutive minutes (per quarter)	zero	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%	100%	100%	99.96%
IT 15	Dreyer, Jerry	IT Application Services	HRUC executed every hour: percent of complete HRUC's per month, including ones missed due to database loads and site failover.	95%	97%	100%	100%	n/a

KPI	Executive	Capability	KPI Description	Target	Stretch	YTD	Q3 Current (2013)	Q3 Prior (2012)
OSM 1	Ruane, Mark	Strategy & Business Planning	Enterprise risk assessment updated quarterly.	Quarterly update completed	n/a	all quarters updated YTD	3rd quarter update complete	completed
OSM 2	Ruane, Mark	Strategy & Business Planning	Credit reports are correct and posted in a timely manner.	97%	100%	100%	100%	99.897%
OSM 3	Magness, Bill	Strategy & Business Planning	Successful SSAE16 audit performance	Unqualified opinion	Unqualifed opinion with no noted exceptions	on target	on target	n/a
OSM 4	Doggett, Trip	Internal Audit	Execute the 2013 Internal Audit Plan as approved by the Finance and Audit Coimmittee, and complete the plan by December 31, 2013.	100% by year end	106% by year end	83.3% (20 out of 24 reports complete)	83.3% (20 out of 24 reports complete)	85.7%
OSM 5	Petterson, Michael	Finance	Manage spending to be equal to or less than the board-approved expenditure budget for 2013.	Between 0 -- 5% favorable variance	> 5% favorable variance	4.5% favorable variance	7.2% favorable variance	2.2% favorable variance
OSM 6	Manning, Chuck	Human Resources	Retain top talent (lose no more than 3% of top talent population annually).	3%	0%	4.35%	4.35%	0.32%
OSM 7	Manning, Chuck	Human Resources	Percent of critical positions with named successors.	90%	100%	99%	99%	on target
OSM 8	Manning, Chuck	Human Resources	Manage the ERCOT Training and Professional Development Program according to the approved annual education plan.	90% of planned activities	98% of planned activities	100%	100%--13 of 13 Professional Development courses planned and delivered. 100%--4 of 4 Market Training courses planned and delivered.	n/a
OSM 9	Manning, Chuck	Facilities / Security	Operate data centers providing availability consistent with data center designed objectives.	99.98%	100%	100%	100%	100%
OSM 10	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 incidents.	Zero Stage 2 or Stage 3 cyber or physical security incidents.	no cyber or physical security incidents	no cyber or physical security incidents	no cyber or physical security incidents
OSM 11	Gage, Theresa	External Affairs	Number of days Board Press Release is published after the conclusion of the Board meeting.	5	3	within target	Within 5 days	n/a
OSM 12	Gage, Theresa	External Affairs	Ensure postings of current information, reports and presentations on the ERCOT website and maintain accurate information about the ERCOT organization.	95%	100%	98.33%	100%	95%
OSM 13	Gage, Theresa	External Affairs	On a weekly basis, distribute list(s) of legislative reporting activity during the Legislative Session.	1 per week	2 per week	100%	100%	n/a
OSM 14	Gage, Theresa	External Affairs	Provide weekly E-Wire updates	1 per week	2 per week	2 per week	at least 2 per week	n/a
OSM 15	Day, Betty	Project / Program Management	Project Portfolio managed within approved Execution schedule.	10%	5%	6%	6%	6%
OSM 16	Day, Betty	Project / Program Management	Project Portfolio managed within approved Execution budget.	10%	5%	5%	5%	7%