

Date: December 2, 2014 **To:** Board of Directors

From: H.B. "Trip" Doggett, President and Chief Executive Officer Subject: Proposed 2015 ERCOT Key Performance Indicators (KPIs)

Issue for the ERCOT Board of Directors

ERCOT Board of Directors Meeting Date: December 9, 2014

Item No.: 10.1

Issue:

Whether the Board of Directors (Board) of Electric Reliability Council of Texas, Inc. (ERCOT) should approve the 2015 ERCOT KPIs as recommended by ERCOT staff.

Background/History:

The ERCOT leadership team annually develops specific key performance indicators and corresponding target metrics to drive performance of the organization. The indicators, along with their specific measurements are outlined in the 2015 KPIs. The KPIs are reviewed on a quarterly basis and are used to measure the successful performance of the organization. It is important that the leadership team and the ERCOT Board of Directors (Board) are aligned on the specific goals and focus of ERCOT for 2015.

The Human Resource and Governance (HR&G) Committee will be considering whether to recommend that the Board approve the 2014 KPIs as presented at its meeting on December 8, 2014. A copy of the proposed 2015 KPI Matrix is attached hereto as <u>Attachment A</u>.

Key Factors Influencing Issue:

The 2015 KPIs correlate to ERCOT's strategic direction of the Board and provide performance measures to the Board and ERCOT leadership and staff.

Conclusion/Recommendation:

The ERCOT leadership team respectfully recommends that the HR&G Committee recommend approval and that the ERCOT Board approve the 2015 KPIs as presented.



ELECTRIC RELIABILITY COUNCIL OF TEXAS, INC. BOARD OF DIRECTORS RESOLUTION

WHEREAS, after due consideration of the alternatives, the Board of Directors (Board) of Electric Reliability Council of Texas, Inc. (ERCOT) deems it desirable and in the best interest of ERCOT to accept the recommendations of ERCOT staff and the Human Resources and Governance Committee to approve the 2015 ERCOT Key Performance Indicators (KPIs) attached hereto as Attachment A; and

THEREFORE, BE IT RESOLVED, that the 2015 ERCOT KPIs, attached hereto as <u>Attachment A</u>, are hereby authorized and approved.

CORPORATE SECRETARY'S CERTIFICATE

I, Vickie G. Leady, Assistant Corporate Secretary of ERCOT, do hereby certify that, at its December 9, 2014 meeting, the ERCOT Board passed a motion approving the above Resolution by
IN WITNESS WHEREOF, I have hereunto set my hand this day of December, 2014.
Vickie G. Leady Assistant Corporate Secretary

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continuous minutes or longer, excluding invalid solutions due to State Estimator dependencies and	continuous minutes or longer, excluding invalid solutions due to State Estimator dependencies and y IT Application Services planned site failovers. 3 per Quarter 1 per Quarter Proposed new internal metric. Regional Planning project Review Studies completed 95% completed on time or no more than							
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·	y IT Application Services planned site failovers. 3 per Quarter 1 per Quarter Proposed new internal metric. Regional Planning project Review Studies completed 95% completed on time or no more than							
RG_i xx Dreyer, Jerry IT Application Services planned site failovers. 3 per Quarter 1 per Quarter Proposed new internal metric.	Regional Planning project Review Studies completed 95% completed on time or no more than							
		RG_i xx	Dreyer, Jerry	IT Application Services	planned site failovers.	3 per Quarter	1 per Quarter	Proposed new internal metric.
	enneth System Planning on time without substantive errors. 1 late if less than 20 projects 99% completed on time					The state of the s		
RG_i 16 McIntyre, Kenneth System Planning on time without substantive errors. 1 late if less than 20 projects 99% completed on time		RG_i 16	McIntyre, Kenneth	System Planning	on time without substantive errors.	1 late if less than 20 projects	99% completed on time	

KPI	Executive	Capability	KPI Description	Target	Stretch	Notes
			Transmission planning projects initiated or			Recommend deletion per ERCOT discussion with task
RG_i 17	McIntyre, Kenneth	System Planning	significantly improved by ERCOT staff.	10 projects	15 projects	force.
RG_i 18	McIntyre, Kenneth	Transmission Connection Management	Generation Interconnection Request (GIR) screening studies completed on time without errors.	1 late if less than 20 GIRs	100% 99% completed on time	Recommend revised stretch.
		Outage Coordination /		No more than 3 emergency database	No emergency database loads due to	
RG_i 19	McIntyre, Kenneth	Planning	Network model update accuracy	loads due to staff error	staff error	
RG_i 20	McIntyre, Kenneth	Compliance Monitoring & Reporting	Required Planning Report performance Achieve compliance with ERCOT Protocols and- Operating Guides by achieving acceptable operating-	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.	Recommend deletion. Metric is based on infrequent
			related exceptions from ERCOT Protocols and			Texas RE audits of ERCOT. The most recent audit was in
		Compliance Monitoring &	Operating Guides as found in Protocol Compliance			2010 with no findings. Infrequent measurement not
RG_i 21	Manning, Chuck	Reporting	Audit.	No more than 3	Zero	appropriate for quarterly metrics.
		Compliance Monitoring &	Ensure-ERCOT ISO compliance with protocol Section-8 and operating guide Section-9 requirements-			Recommend deletion. Metric was created in support of ERCOT's 3-party compliance monitoring agreement (TRE/PUCT/ERCOT) to develop tools and processes to measure Market Participant compliance with Protocol Section 8 & 9. With nodal market compliance processes stabilized, this metric no longer has significant value and potentially creates confusion since it measures ERCOT's measurements of MPs, rather than ERCOT's performance (for example, a 95% value for this metric would reflect that ERCOT measures compliance of MPs 95% of the
RG i 22	Manning, Chuck	Reporting	(include in aggregate above); excluding Self Reports.	95%	100%	time).
EM 1	Jones, Brad	Bidding, Scheduling & Pricing	DAM quality of solution as measured with price corrections: percent of hourly prices requiring DAM price correction. SCED solution is solved and posted: percent of 15-	1-3 % of time	< 1 % of time	
			minute Settlement Interval prices where price			
EM 2	Jones, Brad	Bidding, Scheduling & Pricing	corrections are performed.	0.5% - 1% 1 - 3 %	<0.5% < 1 % -	Recommend revised target and stretch.
			Timely settlements per Protocol timelines. Achieve			
EM 3	Jones, Brad	Settlement & Billing	timely settlements, per Protocol defined timelines.	99%	100% 99.9%	Recommend revised wording and stretch.
EM 4	Jones, Brad	Settlement & Billing	Accurate settlements as measured by number of resettlements due to manual data errors Perform accurate settlements as measured by the percent of Operating Day and operating month settlement that does not require a correction as a result of an error in the settlement and billing systems or processes.	98% 2%	99.9% 1%	Recommend revised target and stretch. Total settlement includes all instances of the following: 1) DAM settlement for an operating day, 2) RTM settlement for an operating day, 3) Settlement Invoices issued, 4) CRR Auction Invoices for an operating month, 5) CRR Auction Distribution for an operating month, 6) CRR Balancing Account Invoices for an operating month, 7) Miscellaneous Invoices issued, and 8) Default Uplift Invoices issued
			Credit reports are correct and posted in a timely			
EM 5	Jones, Brad	Strategy & Business Planning	manner.	98% 9 7%	100%	
EM 6	Jones , Brad	CRR / FTR Management	Monthly de-ratings of CRRs are within acceptable-tolerances	8 0 %	95%	Recommend deletion to stop tracking the monthly de- rating of CRRs as the de-rating only applies to CRRs that source and sink at a resource node. It does not de-rate CRRs that sink at a Load zone or Hub which is the vast majority of the CRRs.
EM 7	Jones, Brad	Market Information	Wholesale extracts available per Protocol timelines	98%	99%	

KPI	Executive	Capability	VDI Docerintian	Taxaet	Stretch	Notes
EM 8	Dreyer, Jerry	IT Application Services	KPI Description Congestion Revenue Rights (CRR) Availability	99%98%	99.5% 99%	Notes Recommend revised target and stretch.
EIVI 8	Dreyer, Jerry	11 Application Services	Congestion Revenue Rights (CRR) Availability	₹ 000000	32.27₀22% 0	Recommend revised target and stretch.
EM 9	Dreyer, Jerry	IT Application Services	Market Management System Aggregate Availability	99%	99.5%	
EIVI 3	Dieyel, Jelly	11 Application services	warket wandgement system Aggregate Availability	33/0	JJ.J/0	
			Percent of days with successful DAM execution			
FM i 10	Jones, Brad	Bidding, Scheduling & Pricing	solution completed and posted successfully.	100%	100%	Recommend eliminating stretch.
LIVI_I 10	Jones, Brad	bluding, seriedaling & Frieng	DAM executions completed in acceptable	100/0	100/0	necommend chimidating saletem.
			timeframe: percent of days with posting solution			
EM i 11	Jones, Brad	Bidding, Scheduling & Pricing	before 1600.	98% 97%	100% 99%	Recommend revised target and stretch.
_	·	<u> </u>				<u> </u>
			Number of minimum Ancillary Services			
EM_i 12	Jones, Brad	Bidding, Scheduling & Pricing	Requirements posted after the 20th of each month.	< 2	0	
			AMS interval data is loaded into ERCOT systems by			
		Wholesale Metering, Data	final settlement from the MRE in accordance with			
EM_i 13	Jones, Brad	Collection & Data Aggregation	Protocols for data loading.	99%	99.75%	
			IDR meter data is loaded into ERCOT systems by true-			
		Wholesale Metering, Data	up settlement from the MRE in accordance with			
EM_i 14	Jones, Brad	Collection & Data Aggregation		99%	99.75%	
		will have a pos	EPS meter data is accurate and complete as			
		Wholesale Metering, Data	measured by the percent of data that doesn't change		00.00/	
EM_i 15	Jones, Brad	Collection & Data Aggregation	arter an initial settlement	99%	99.9%	
					Austion takes loss than E days to	
			CRR auctions are performed according to Nodal		Auction takes less than 5 days to- complete and post All Monthly	
				Du and of month All Monthly Austions	· · · · · · · · · · · · · · · · · · ·	
			Protocols Requirements (7.5.1). CRR auctions results		Auctions are posted on time and all	Revised wording and metrics to measure against the CRR
FM i 16	Jones, Brad	CRR Management	are validated and posted as required by the CRR Activity Calendar	and LTASs are posted on time per the CRR Activity Calendar	LTASs are posted one week earlier than required by the CRR Activity Calendar	activity calendar.
LIVI_I 10	Jones, Brad	Dispute Management	Process settlement disputes within protocol	Chit Activity Calendar	required by the Chit Activity Calendar	activity calcillati.
EM i 17	Jones, Brad	Client Services	timelines	98% 95 %	100% 9 8%	Recommend revised target and stretch.
EIII_1 27	301103, 2100	Cheffe Services	tinemes	30.0 33.0	100,0 30,0	necommend revised target and stretch
			Establish and Maintain Targeted Account Plans and			
		Account Management	execute per guidelines and schedule. outreach at			
EM_i 18	Jones, Brad	Client Services	least once a year to each Market Participant.	98% 9 5%	100% 9 8%	Recommend revised target and stretch.
						Recommend deletion. It is a cumbersome measure to
						track and is not adding management value. Metrics have
						been 100% for the last year. Resources are spending
						time measuring quantity notices and how fast completed
						rather than the value added in crafting the market
			Create, distribute and post Market Notices per the			notice, getting it to the right audience etc. Propose new
EM_i 19	Jones, Brad	Account Management	COPs Communication Guide, Section 5, Appendix A.	95%	98%-	EM_i 19 (below) to replace this.
			Achieve "Very Catisfied" or "Catisfied" and			
			Achieve "Very Satisfied" or "Satisfied" ratings on			Decommend shange to measure sustamer satisfaction in
		Account Management	annual survey of Account Management services			Recommend change to measure customer satisfaction in
EM 120	Jones, Brad	Account Management Client Services	Acknowledge Market Participant inquiries no later than COB the next Business Day of receipt	90% satisfied or highly satisfied 98%	95% satisfied or highly satisfied 100%	terms of timeliness and quality of customer service received.
LIVI_I 20	Jones, Drau	CHEFIT JETVICES	than COB the next business Day Of receipt	90% satisfied or highly satisfied 98%	3370 Satisfied of Highly Satisfied 100%	received.
		Determine REC Obligations &	Fulfill the protocol obligations for RPS mandate			
OARC 1	Jones, Brad	Verify Compliance	calculations and reporting on time and accurately	99%	100%-99.9%-	Recommend revised stretch.
OAIRC I	vonco, bruu	ve, compliance	Conduct retail transaction processing per Protocol		200,0 33.370	neconnecto revised stretch.
OARC 2	Jones, Brad	Customer Switching / Registry		98%	99%	
C. IIIC Z		Table Switching / Negistry	End use customer switch notifications processed per			
OARC 3	Jones, Brad	Customer Switching & Registry		99%	100% 99.9%	Recommend revised stretch.
2	,	and a median i				
OARC 4	Jones, Brad	Market Information	Retail extracts available per Protocol timelines	98%	99%	
	Dreyer, Jerry	IT Application Services	Retail Processing Availability - Bus. Hours	99.5%	99.7%	
	Dreyer, Jerry	IT Application Services	Market Information System (MIS) Availability	99%	99.5%	
	Dreyer, Jerry	IT Application Services	Retail Processing Availability - Non bus. Hours	99%	99.5%	
	Dreyer, Jerry	IT Application Services	Retail API Availability	99%	99.5%	

КРІ	Executive	Capability	KPI Description	Target	Stretch	Notes
OARC i 9	Dreyer, Jerry	IT Application Services	MarkeTrak Availability	99%	99.5%	
			Manage retail transaction issues and disputes within			
OARC i 10	Jones, Brad	Dispute Management	defined timelines	96%	98%	
			Manage spending to be equal to or less than the			
OSM 1	Petterson, Michael	Finance	board-approved expenditure budget for 2015 2014.	Between 0 - 5% favorable variance	> 5% favorable variance	Recommend eliminating stretch.
			Maintain ERCOT ISO's security posture against cyber			
			and physical security threats as defined in the	No more than one Stage 2 or Stage 3	Zero Stage 2 or Stage 3 cyber or	
OSM 2	Manning, Chuck	Facilities / Security	Incident Cyber Security Incident Response Plan.	cyber or physical security incidents.	physical security incidents.	Revised description to align with internal plan name.
	<u> </u>	•	, ,	, , ,		
			Operate data centers providing availability			
OSM i 3	Manning, Chuck	Facilities / Security	consistent with data center designed objectives.	99.98%	100%	
_		· · · · · · · · · · · · · · · · · · ·	Manage the ERCOT Training and Professional			
			Development Program according to the approved			Recommend deletion. Management does not find value
OSM i 4	Williams, Diane	Human Resources	annual education plan.	90% of planned activities	98% of planned activities	in metric.
_			·	·	Unqualified opinion with no noted	Recommend deletion. Management does not find value
OSM_i 5	Magness, Bill	Strategy & Business Planning	Successful SSAE16 audit performance	Unqualified opinion	exceptions	in metric.
			Execute the 2013 Internal Audit Plan as approved by			
			the Finance and Audit Committee, and complete the			
OSM_i 6	Doggett, Trip	Internal Audit	plan by December 31, 2013.	100% by year end	106% by year end	Renumber to avoid gaps in numbering
			Percent of critical positions with succession or			Recommend deletion. Management does not find value
OSM_i 7	Williams, Diane	Human Resources	mitigation plans.	90%	100%	in metric.
						Recommend deletion. ERCOT tracks budget and
						schedule internally at the project level and provides a
		Project / Program	Project Portfolio managed within approved			stoplight report to Board each month. No additional
OSM_i 9	Day, Betty	Management	Execution schedule.	10%	5%	value recognized from internal KPI.
						Recommend deletion. ERCOT tracks budget and
						schedule internally at the project level and provides a
		Project / Program-	Project Portfolio managed within approved-			stoplight report to Board each month. No additional
OSM_i 10	Day, Betty	Management	Execution budget.	10%	5%	value recognized from internal KPI.
			ERCOT Energy Emergency Alert Communications			
			Corporate Communications provides follow-up			
			communications and media/public notifications per	100% 97% of the time an EEA is		
OSM_i 11	Gage, Theresa	External Affairs	Crisis Communications Procedure.	triggered.	100% of the time an EEA is triggered.	Recommend eliminating stretch and revising target.