1. **Expedite mitigation of High Impact (HI) Violations**

**Objective:** Encourage Registered Entities to mitigate HI violations as soon as possible.

The Compliance staff identifies HI violations based on the intersection of the Compliance staff’s risk determination\(^1\) and the assigned Violation Risk Factor (“VRF”).

<table>
<thead>
<tr>
<th>Risk Determination</th>
<th>VRF</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Lower</td>
</tr>
<tr>
<td>Minimal</td>
<td></td>
</tr>
<tr>
<td>Moderate</td>
<td>X</td>
</tr>
<tr>
<td>Severe</td>
<td></td>
</tr>
</tbody>
</table>

Enforcement shall fast track HI violations to ensure they are mitigated as soon as possible. To accomplish this metric, Enforcement will solicit the submission of an acceptable Mitigation Plan, issue a Notice of Alleged Violation or Proposed Penalty or Sanction (“NAVAPS”), or issue a remedial action directive within 100 days of receiving the possible violation from the Compliance staff.\(^2,3\)

**Measure:** Average number of days to MP Acceptance, issuance of a NAVAPS, or issuance of a Remedial Action Directive from receipt by Enforcement for all HI violations.

(As applicable, the date of MP acceptance, issuance of a remedial action directive, or issuance of the NAVAPS) – (the date the HI violation is sent to Enforcement) = days

<table>
<thead>
<tr>
<th>Performance contribution</th>
<th>80%</th>
<th>100%</th>
<th>150%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average number of days</td>
<td>115</td>
<td>100</td>
<td>70</td>
</tr>
</tbody>
</table>

**Weight:** 5.0%

**Comments:**

i. Consistent with the downward trend in new violations of the Reliability Standards, the number of HI Violations has decreased from 41 in 2013 to 4 in 2014. Accordingly, the weighting assigned this metric has been reduced from 10% to 5.0%.

ii. This metric is aligned with and supports “Goal 4 – Risks to Reliability” in the *ERO Enterprise Strategic Plan 2015-2018* wherein, the ERO Enterprise will “[i]dentify the most significant risks to reliability, provide assurance for mitigating reliability risks . . . .” Additionally, the metric directly supports the timely mitigation of all noncompliance, a *Key Compliance Enforcement Metric* identified by NERC and included in its quarterly report to the NERC BOTCC.

---

\(^1\) The initial risk determination will be made during the triage meeting between the Enforcement Staff and Compliance Staff.

\(^2\) HI violations may be exempted from HI treatment with Sanction Review Team approval.

\(^3\) HI violations without an accepted mitigation plan, issuance of a remedial action directive, or issuance of a NAVAPS on 1/1/15 will be included in the 2015 metric.

2015 SPP RE Staff Metrics
2. **Maintain caseload of no more than one year**

**Objective:** Maintain 2015 violation processing capability and efficiency to achieve a one-year caseload by 1/1/16.

As of 12/31/14, the SPP RE caseload is 119 violations. To achieve the metric in 2015, SPP RE will send to NERC completed dispositions (i.e. Compliance Exceptions, Settlements, Notice of Confirmed Violations (“NOCV”), Find Fix & Track (“FFT”), Spreadsheet Notice of Penalty, or Dismissals) equivalent to 100% of the 12/31/14, Enforcement caseload.

**Measure:**

\[
\text{Performance contribution} = \frac{(\text{Number of completed dispositions})}{(\text{caseload on 12/31/14})} = \text{percent caseload completed}
\]

<table>
<thead>
<tr>
<th>Performance contribution</th>
<th>80%</th>
<th>100%</th>
<th>120%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percent completed</td>
<td>80%</td>
<td>100%</td>
<td>120%</td>
</tr>
</tbody>
</table>

**Weight:** 10%

**Comments:**

i. This metric is aligned with and directly supports the caseload index target identified in NERC’s Key Compliance Enforcement Metric and included in its quarterly report to the NERC BOTCC.

3. **Accept or reject Mitigation Plans within 30 days of submission/10 days of resubmission by the Registered Entity**

**Objective:** To accept submitted Mitigation Plans (“MP”) in accordance with Compliance Management Enforcement Program (“CMEP”) requirements. “Unless the time period is extended by the Compliance Enforcement Authority, it will complete its review of the Mitigation Plan, and will issue a written statement accepting or rejecting the Mitigation Plan, within thirty (30) days of receipt. . . . . The Compliance Enforcement Authority will notify the Registered Entity within ten (10) business days after receipt of a revised Mitigation Plan whether the Compliance Enforcement Authority will accept or reject the revised Mitigation Plan . . . .” CMEP Section 6.5.

**Measure:**

1. \[
\text{(number of MPs accepted or rejected in <= required number of days in a month) / (number of MPs submitted/resubmitted in the month) = percent MPs accepted/rejected <= required number of days each month accept/rejected days = ("submitted on date" in webCDMS) – ("accepted by region on" or “date of email requesting resubmission” in webCDMS)}
\]

2. Average number of days to accept or reject mitigation plans

To be able to calculate the metric in January 2016, the metric applies to all MPs submitted/resubmitted between 12/1/14 and 11/30/15.

<table>
<thead>
<tr>
<th>Contribution</th>
<th>[\sum\text{Months where100% MPs accepted/rejected}]</th>
<th>Enforcement must achieve a 150%</th>
</tr>
</thead>
</table>

4 The number of dismissals shall include those dismissals not requiring NERC approval but approved by the SRT.
5 The 100% performance contribution is based on the number of months 100% of submitted/resubmitted MPs are accepted/rejected within the required number of days identified in the CMEP. For example if Enforcement accepts/rejects 100% of the MPs initially submitted within 30 days and accepts/rejects 100% of the resubmitted MPs within 10 days for 11 of 12 months then the performance contribution would equal 11/12.
Goal | accepted/rejected <= required number of days/12 * 100% | 100% success rate for acceptance/rejection <= required number of days in 2015 before becoming eligible for a performance contribution above 100%.
---|---|---
Weight: 5.0%
Comments: i. This metric was changed to include the requirement to accept/reject resubmitted MPs following a rejection within 10 business days of being resubmitted. The average number of days corresponding to an increased payout was reduced from 20 days to 15 days to reflect historical performance and the addition of the 10 day requirement for resubmitted MPs.
ii. This metric is aligned with CMEP requirements and directly supports the timely mitigation of all noncompliance, a Key Compliance Enforcement Metric identified by NERC and included in its quarterly report to the NERC BOTCC.

4. **Complete Mitigation Plan completion reviews within 20 days of Registered Entity notification of completion**

Objective: To complete the review of MP completions in accordance with SPP RE requirements.

Measure: Average MP completion review days

Days = (“certification received by region on” date in webCDMS) – (“mitigation verified on” date in webCDMS)

<table>
<thead>
<tr>
<th>Performance Contribution</th>
<th>50%</th>
<th>100%</th>
<th>150%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Avg. days for review of MP completion</td>
<td>30</td>
<td>20</td>
<td>10</td>
</tr>
</tbody>
</table>

Weight: 5.0%

Comments: i. This metric directly supports the timely mitigation of all noncompliance, a Key Compliance Enforcement Metric identified by NERC and included in its quarterly report to the NERC BOTCC.

ii. Based on historical performance the average number of days associated with the Performance Contribution of 50%, 100% and 150% was reduced by 5 days to 30, 20 and 10 days respectively.

5. **Process pre-2014 violations and send to NERC by 11/20/15.**

Objective: To ensure older violations are processed in a timely manner.

---

x 100% or 91.6%. The 150% performance contribution is determined on an annual basis and is not available unless Enforcement achieves 100% MPs accepted/rejected within the CMEP required number of days for all 12 months.

2015 SPP RE Staff Metrics
Measure: (number of pre-2014 violation in the Enforcement caseload)⁶ / (number of pre-2014 violation processed by 11/20/15).⁷

The performance contribution cannot exceed 100%.

<table>
<thead>
<tr>
<th>Performance contribution</th>
<th>50%</th>
<th>75%</th>
<th>100%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percent sent to NERC</td>
<td>80%</td>
<td>90%</td>
<td>100%</td>
</tr>
</tbody>
</table>

Weight: 7.5 %

Comments:
i. This metric is aligned with a metric NERC established for its Enforcement staff. NERC’s goal is to ensure the timely processing of violations. SPP RE Enforcement is required to report to NERC monthly the status of violations older than the prior year. This metric adds an age component to the violations that SPP RE Enforcement must processed in 2015.

ii. This metric directly supports the timely processing of all noncompliance, a Key Compliance Enforcement Metric identified by NERC and included in its quarterly report to the NERC BOTCC.

6. Complete incoming possible violation triage within 45 days of Compliance staff sending the possible violation to Enforcement

Objective: To improve the speed and efficiency of the Enforcement process, SPP RE will determine the proposed disposition method for incoming violations and inform the Registered Entity within 45 days of Compliance staff sending the violation to Enforcement, i.e., completion of the Preliminary Screen.

Measure: \( \sum \left( \frac{(\text{date violation triage complete}^{8} - \text{date the violation was sent to Enforcement})}{(\text{violations sent to Enforcement between 11/15/14 (if triage is not completed in 2014) and 11/15/15})} \right) = \text{average days to complete violation triage} \)

<table>
<thead>
<tr>
<th>Performance Contribution</th>
<th>80%</th>
<th>100%</th>
<th>150%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average triage completion (days)</td>
<td>60</td>
<td>45</td>
<td>30</td>
</tr>
</tbody>
</table>

Weight: 5 %

Comments:
i. The average triage completion days was reduced for all performance contributions by 15 days.

ii. This metric directly supports the timely processing of all noncompliance, a Key Compliance Enforcement Metric identified by NERC and included in its quarterly report to the NERC

⁶ MRRE Pre-2014 violations where SPP RE is not the lead are not included in the metric.
⁷ Compliance Exceptions, FFT, Spreadsheet NOP, and Full NOP violations must be filed with NERC. For dismissals the Letter of Dismissal must be sent to NERC.
⁸ Violation triage is normally complete when the Notice of Possible Violation (NPV) is sent to the Registered Entity; a Letter of Dismissal is sent to NERC, a Notice of Initial Determination of Compliance Exception is sent to the Registered Entity, or initiation of discovery. In some cases, a formal triage meeting is unnecessary and an Enforcement email documenting its decision to forgo the meeting and a description of its basis, may be used as a substitute for a triage meeting.

2015 SPP RE Staff Metrics
Additionally, because the triage process is utilized to assess the risk of issues of noncompliance, this metric directly supports “Goal 4.a Risks to Reliability”, of the ERO Enterprise Strategic Plan 2015-2018 wherein “[r]isks are identified and prioritized based on reliability impacts, cost and practicality of assessments, projected resources and emerging issues.”

7. **Complete documentation close-out of all violations within 45 days of issuance of the Notice of Completion of Enforcement Action.**

**Objective:** To ensure Enforcement case records and webCDMS are complete and include all documentation necessary to support the processing of a violation or Compliance Exception.

**Measure:** Violation documentation close-out has successfully occurred when:

1. SPP RE File Clerk has synced a Notice of Completion of Enforcement Action (“NCEA”) to NERC, causing the violation status to shift to “closed” status within webCDMS.
2. Case Manager and MP Engineer review the Violation Case Record and the Case Record folder is complete.
3. Substantive and relevant violation documentation has been copied to the violation Enforcement Docket folder and the folder is complete.
4. Documents required for sync with NERC have been uploaded to webCDMS.
5. webCDMS data fields have been completed and verified as accurate.
6. SPP RE File Clerk verifies and signs a Certification of Case Record Close-Out and saves the certification to the Enforcement Docket folder.
7. EFT files are deleted from the EFT folder and copied to the appropriate TMP and Enforcement Docket folders.

Average number of days to completed violation documentation closed-out following issuance of the NCEA or transmittal of the Compliance Exception spreadsheet = (Total number of days to complete documentation close-out for all violations/Compliance Exceptions closed as of 11/15/15) / (Total number of violations closed as of 11/15/15)

There is no performance contribution greater than 100%.

<table>
<thead>
<tr>
<th>Performance contribution</th>
<th>80%</th>
<th>100%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Averaged close-out completion (days)</td>
<td>60</td>
<td>45</td>
</tr>
</tbody>
</table>

**Weight:** 5 %

**Comments:** i. This metric has been changed to include Compliance Exceptions and to require an average time for case file close-out rather than the performance of all close-out activities within 60 days. The closed violations subject to the metric will be derived from the NCEA’s issued between 11/15/14 and 11/15/15.

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* A violation is closed when the NCEA is issued or the Compliance Exception spreadsheet is transmitted to NERC. For metric purposes, the closed violations subject to the metric will be derived from the NCEA’s issued between 11/15/14 and 11/15/15.
performance goal has been changed from 60 days to 45 days to reflect Enforcement past performance and the use of an average value.

ii. This metric indirectly supports “Goal 5 – Coordination and Collaboration” in the ERO Enterprise Strategic Plan 2015-2018 wherein, the ERO Enterprise will “[i]mprove transparency, consistency, quality, and timeliness of results; operate as a collaborative enterprise; and improve efficiencies and cost-effectiveness.”

8. **Publish non-public off-site audit report to NERC in less than 45 days**

Objective: To ensure non-public off-site audit reports are issued in a timely manner.

Measure: The number of calendar days is measured from the last day of the audit to submission of the non-public audit report to NERC.

Non-public off-site audit reports published in less than or equal to 45 days / non-public off-site audit reports published in 2015.

<table>
<thead>
<tr>
<th>Performance contribution</th>
<th>80%</th>
<th>100%</th>
<th>120%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average number of days</td>
<td>80%</td>
<td>100%</td>
<td>40*</td>
</tr>
<tr>
<td>Percent reports publish in &lt;= 45 days</td>
<td>80%</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>

* To achieve > 100% performance contribution base on an average days to publish <= 45 days the RE must publish 100% of the non-public off-site audit reports in <= 45 days.

Weight: 5%

Comments:

i. The average number of days associated with the 80% and 100% performance contribution was eliminated in favor of the percent reports published in less than or equal to 45 days. Average days for greater than 100% performance contribution only applies if the 100% performance contribution is met. The weighting for this metric was reduced from 7.5% to 5% to reflect this metric's importance in relation to other metrics.

ii. This metric is aligned with and supports “Goal 5 – Coordination and Collaboration” in the ERO Enterprise Strategic Plan 2015-2018 wherein, the ERO Enterprise will “[i]mprove transparency, consistency, quality, and timeliness of results . . . . ”

iii. Audit reports which are not the responsibility of SPP RE, e.g., SPP RE serving in a non-lead role for multi-region audits, shall be excluded from the metric.

9. **Publish non-public on-site audit report to NERC in less than 65 days**

Objective: To ensure non-public on-site audit reports are issued in a timely manner.

Measure: The number of calendar days as measured from last day of the audit to submission of the non-public audit report to NERC.

2015 SPP RE Staff Metrics
Non-public on-site audit reports published in less than or equal to 65 days / non-public on-site audit reports published in 2015.

<table>
<thead>
<tr>
<th>Performance contribution</th>
<th>80%</th>
<th>100%</th>
<th>120%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average number of days</td>
<td>80%</td>
<td>100%</td>
<td>55*</td>
</tr>
<tr>
<td>Percent reports publish in &lt;= 65 days</td>
<td></td>
<td>80%</td>
<td>100%</td>
</tr>
</tbody>
</table>

* To achieve > 100% performance contribution base on the average days to publish <= 65 days the RE must publish 100% of the non-public on-site audit reports in <= 65 days.

Weight: 5%

Comments:

i. The average number of days associated with the 80% and 100% performance contribution was eliminated in favor of the percent reports published in less than or equal to 65 days. Average days for greater than 100% performance contribution only applies if the 100% performance contribution is met. The weighting for this metric was reduced from 7.5% to 5% to reflect this metric’s importance in relation to other metrics.

ii. This metric is aligned with and supports “Goal 5 – Coordination and Collaboration” in the ERO Enterprise Strategic Plan 2015-2018 wherein, the ERO Enterprise will “[i]mprove transparency, consistency, quality, and timeliness of results . . . .”

iii. Audit reports which are not the responsibility of SPP RE, e.g., SPP RE serving in a non-lead role for multi-region audits, shall be excluded from the metric.

10. **Review and issue determination for BES registration and deactivation requests**

Objective: To ensure self-determined notifications, new registration, and deactivation requests submitted pursuant to the BES definition change are reviewed and issued in a timely manner.

Measure: Average number of business days from SPP RE’s receipt of completed forms, including one-lines and all requested supporting data, to notifying the Registered Entity of SPP RE’s registration/deactivation decision.

<table>
<thead>
<tr>
<th>Performance contribution</th>
<th>80%</th>
<th>100%</th>
<th>120%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average number of days</td>
<td>15</td>
<td>10</td>
<td>5</td>
</tr>
</tbody>
</table>

Weight: 5%

Comments:

i. This metric directly addresses and improves upon the 50 calendar day review period proposed in revisions to the NERC Rules of Procedure 5A and approved by the NERC board for review of de-activation requests.

ii. This metric directly supports the “ERO Enterprise Strategic Plan Goal 2a Registration”, and exceeds the timelines in the 2015 ERO Enterprise Metrics, sub-metric C related to proposed de-activation of IAs, PSEs, and some DPs.
11. **Publish internally completed assessment of Self-Certification/periodic data submittals**

**Objective:** Complete and publish internal assessments of Self-Certification and periodic data submittals by the due dates established in the SPP RE reporting requirements schedule.

**Measure:** 
(\text{number of assessments completed by the due date}) / (\text{total number of assessments for 2015}) = \text{percent completed on time}

The performance contribution cannot exceed 100%.

<table>
<thead>
<tr>
<th>Performance contribution</th>
<th>50%</th>
<th>80%</th>
<th>100%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percent completed on time</td>
<td>80%</td>
<td>90%</td>
<td>100%</td>
</tr>
</tbody>
</table>

**Weight:** 5%

**Comments:**

i. The Performance Contribution associated with the 80% and 90% on time completion was reduced to 50% and 80% respectively to reflect a greater emphasis on completing 100% publication of internally completed assessments of self-certifications and periodic data submittals.

ii. This metric is aligned with and supports “Goal 5 – Coordination and Collaboration” in the ERO Enterprise Strategic Plan 2015-2018 wherein, the ERO Enterprise will “[i]mprove transparency, consistency, quality, and timeliness of results . . . . .”

12. **Process incoming possible violations to NERC through webCDMS in 5 business days or less**

**Objective:** To ensure possible violations are processed in webCDMS in a timely manner.

**Measure:** 
The number of business days to enter possible violations into webCDMS as measured from the date of the Registered Entity exit presentation (audit, spot-check, etc.), from the date the Registered Entity self-reported or submitted a self-logging spreadsheet as applicable, to completion of the Preliminary Screen.

The number of incoming violations processed in less than or equal to 5 business days / number of incoming violations in 2015.

The performance contribution cannot exceed 100%.

<table>
<thead>
<tr>
<th>Performance contribution</th>
<th>80%</th>
<th>100%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percent violations processed in \leq 5 business days</td>
<td>80%</td>
<td>100%</td>
</tr>
</tbody>
</table>

**Weight:** 5%
Comments:  

i. The average number of days associated with the 80% and 100% performance contribution was eliminated in favor of the percent incoming violations processed in less than or equal to 5 business days. The 120% performance contribution was eliminated.

ii. This metric is a CMEP requirement. Additionally, this metric is aligned with and supports “Goal 5 – Coordination and Collaboration” in the ERO Enterprise Strategic Plan 2015-2018 wherein, the ERO Enterprise will “[i]mprove transparency, consistency, quality, and timeliness of results . . . . .”

13. **Control out-of-pocket expenses for on-site/off-site audits (contractor billings and travel)**

Objective: Reduce out-of-pocket travel expense for on-site audits and contractor billings for on-site and off-site audits by improving efficiency and expanding the role Compliance staff plays in the production of audit reports.

2015 Budget:

<table>
<thead>
<tr>
<th></th>
<th>CIP</th>
<th>O&amp;P</th>
</tr>
</thead>
<tbody>
<tr>
<td>budget</td>
<td>$300,000</td>
<td>$275,000</td>
</tr>
</tbody>
</table>

Measure: \[
\frac{[(2015 \text{ budget}) - (2015 \text{ actual})]}{[2015 \text{ budget}]} = \text{percent increase/decrease}
\]

<table>
<thead>
<tr>
<th>Performance contribution</th>
<th>50%</th>
<th>100%</th>
<th>150%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percent difference</td>
<td>+10%</td>
<td>0%</td>
<td>-15%</td>
</tr>
</tbody>
</table>

Weight: 10%

Comments:  

i. This metric tracks out-of-pocket expense for audits (it does not track internal man-hours or fixed overhead expense.) The total contractor billings and travel expense for audits are tracked and monitored. The 2014 actual expense was used as a starting point, and the 2015 budget was used as the basis. The travel expense was adjusted to reflect recent increases in airfare, and hotel prices.

ii. Based on budget to actual performance in 2014 the percent difference for a 150% performance contribution was increased from -10% to -15%. Similarly, the performance contribution associated with a +10% difference was reduced from 80% to 50%.

iii. This metric is aligned with and supports “Goal 5 – Coordination and Collaboration” in the ERO Enterprise Strategic Plan 2015-2018 wherein, the ERO Enterprise will “[i]mprove transparency, consistency, quality, and timeliness of results; operate as a collaborative enterprise; and improve efficiencies and cost-effectiveness.”

---

10 CMEP Section 3.8. “The Preliminary Screen shall be conducted within five (5) business days after the Compliance Enforcement Authority identifies the potential noncompliance . . . . .”
14. **Continue outreach/assessment to maintain or improve protective relay operations success rate for 4Q2014 – 3Q2015**

**Objective:** Improve the operations success rate for transmission and generation protective relay systems (i.e. reduce the rate of misoperations) through various outreach mechanisms, i.e. System Protection and Control Working Group, compliance workshops, and webinars.

**Measure:** 
\[
\text{Success rate} = \frac{\text{total number of correct operations}}{\text{total number of operations}}
\]

<table>
<thead>
<tr>
<th>Performance contribution</th>
<th>80%</th>
<th>100%</th>
<th>150%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Success rate</td>
<td>88%</td>
<td>90%</td>
<td>92%</td>
</tr>
</tbody>
</table>

**Weight:** 2.5 %

**Comments:**

i. SPP RE does not have direct control over the operations success rate of protection system relays. Nevertheless, SPP RE will continue to focus its outreach and assessment efforts to reduce misoperations within the SPP region.

ii. The success rate associated with the 80%, 100% and 150% performance contribution was increased from 84% to 88%, from 87% to 90% and from 90% to 92% respectively to reflect historical performance.

iii. This metric directly supports the **ERO Enterprise Metric 1: Reliability Results, Measure of Success 4. Protection System Misoperations**, which is aligned with the reduction of protection system misoperations.

15. **Assure proper Cause Codes can be verified from Event Analysis Reports issued by SPP RE Registered Entities**

**Objective:** To ensure regional events are tied to their causes as accurately as possible to support NERC’s continent-wide tracking and trending.

**Measure:** Regional success rate published in periodic NERC report.

The performance contribution cannot exceed 100%.

<table>
<thead>
<tr>
<th>Performance contribution</th>
<th>50%</th>
<th>100%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Success rate</td>
<td>80%</td>
<td>100%</td>
</tr>
</tbody>
</table>

**Weight:** 2.5 %

**Comments:**

i. The 150% performance contribution was eliminated from this metric. The success rate for 100% performance contribution was changed from 96% to 100% and the performance contribution for an 80% success rate was reduced from 80% to 50% to reflect past performance.
ii. This metric is aligned with and supports the *ERO Enterprise Metric 1: Reliability Results* wherein a Measure of Success is having fewer, less severe events during 2015 - 2018.

### 16. Outreach Production Goals

**Objective:** Complete 3 workshops, 6 webinars, 12 newsletters

**Measure:** Percent completion: The number of workshop, webinars and newsletters completed in 2015 / (21), the number of workshops, webinars and newsletters planned in 2015.

An average outreach rating ≥ 3 for videos, webinars, workshops and newsletters is required for a performance contribution.

<table>
<thead>
<tr>
<th>Performance contribution</th>
<th>80%</th>
<th>100%</th>
<th>150%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percent completion</td>
<td>80% + ≥ 3 Rating</td>
<td>100% + ≥ 3 Rating</td>
<td>100% + ≥ 4 Rating</td>
</tr>
</tbody>
</table>

**Weight:** 5%

**Comments:**

i. This metric indirectly supports the *ERO 2015 Enterprise and Corporate Metrics: Sub-metric A* (the quality of board-approved standards), *Sub-metric G* (implementation of RAI reforms), *Sub-metric H* (increased participation in security model assessments and ES-ISAC), and *Sub-metric K* (improving stakeholder satisfaction and perception).

### 17. Continuous Improvement Project Goals

**Objective:** Complete identified projects designed to improve SPP RE’s performance of its compliance enforcement authority function and implementation of NERC directives.

1. RAI Implementation - fully implement processes and procedures required for implementation of NERC’s Risk Base Initiative.
2. Compliance Workbook – create a detailed how-to manual covering all Compliance/CDMS processes and procedures.
3. Enforcement Workbook – create a detailed how-to manual covering all Enforcement/CDMS processes and procedures.
4. Budget Workbook – develop a detailed how-to manual covering the SPP RE budget process.
6. Develop internal controls to track and monitor CMEP activities.

**Measure:** The number of projects completed by 12/31/15.

<table>
<thead>
<tr>
<th>Performance contribution</th>
<th>50%</th>
<th>100%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Projects Completed</td>
<td>4</td>
<td>6</td>
</tr>
</tbody>
</table>
Weight: 12.5%

Comments:

i. This is a new metric designed to give emphasis to continuous improvement of SPP RE CMEP processes and ensure timely implementation of recent NERC initiatives.

ii. The SPP RE General Manager will assign project leads and team members. The teams will develop a detailed works scope and present that work scope to the Trustees for their approval before the end of the 1st quarter of 2015.

iii. This metric directly supports two goals established in the ERO Enterprise Strategic Plan 2015-2018, “Goal 2b – Compliance, Registration, and Certification” wherein, one of the key deliverables is “[t]ransformation of the Reliability Assurance Initiative from concept to implementation” and Goal 5. “[i]mprove transparency, consistency, quality, and timeliness of results; operate as a collaborative enterprise; and improve efficiencies and cost-effectiveness.”