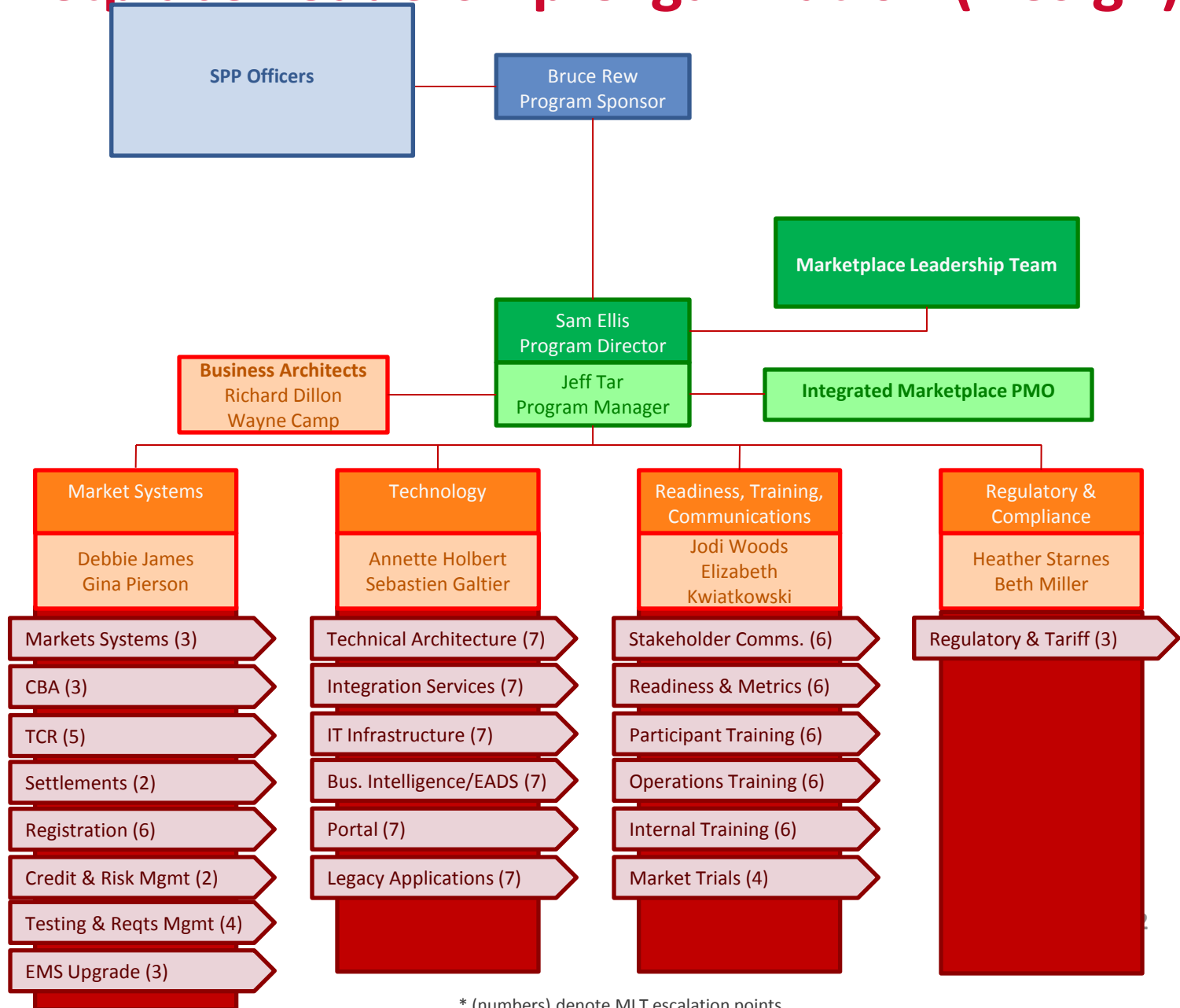


Integrated Marketplace Workstreams: Roles & Responsibilities

March 6, 2012

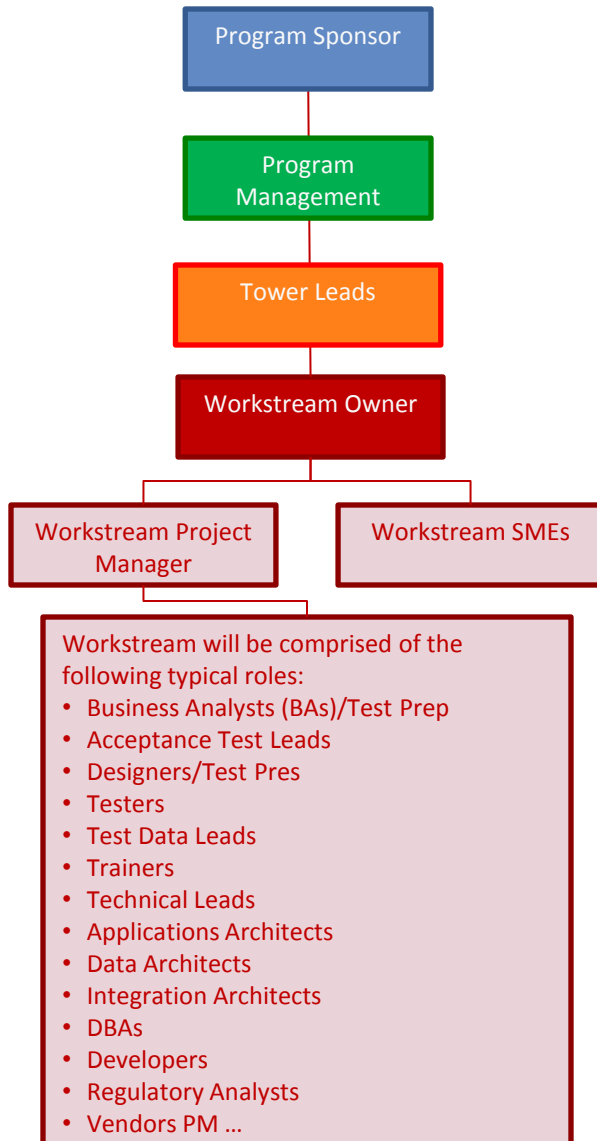


Marketplace Leadership Organization (Design)



* (numbers) denote MLT escalation points

Marketplace Workstream Organization Model



- ✓ **Program Management** is responsible for the program's overall delivery, based on the specified scope, schedule, and budget.
- ✓ **Tower Leads** serve as an escalation point for the workstreams and facilitate cross-workstream coordination and communications.
- ✓ **Workstream Owner** is responsible for delivering the workstream's capabilities on time, within budget, and to the defined scope.
- ✓ **Workstream Functional Leads/PM** is responsible for workstream execution and delivery of outcomes.
- ✓ **Workstream SMEs** work with Functional Leads to provide deep industry, system, and vendor expertise; assist with cross-tower and cross-workstream issues; and participate in scope-change analysis.
- ✓ **Workstream Roles** See Slides 4-7 for a complete list of workstream roles and responsibilities.

Workstream Owner

The Workstream Owners is responsible for:

- ✓ Delivering the Workstream's capabilities on time, within budget and to the defined scope
- ✓ Communicating the Workstream's objectives, scope, schedule, policies, and procedures to their workstream
- ✓ Resolving Workstream Issues—escalating to the Program as needed
- ✓ Mitigating Workstream Risks—escalating to the Program as needed
- ✓ Identifying, with the Workstream Functional Leads, the Workstream's milestones and dependencies
- ✓ Participating in regular Workstream Owner meetings to resolve and mitigate Program issues and risks
- ✓ Reports to Tower Lead

Workstream Project Manager

The Workstream Project Manager is responsible for:

- ✓ Ensuring that the deliverables created by the workstream are of high quality, add value, and contribute to the Program's success
- ✓ Using acceptable project management practices, adhering to the processes instituted by the PMO to effectively plan and accomplish the work
- ✓ Responsible for workstream execution and delivery of outcomes
- ✓ Managing workstream scope and work plan
- ✓ Facilitating communications, activities and dependencies across enabling projects and dependent workstreams
- ✓ Managing workstream Issues—escalating to the PMO as required
- ✓ Managing workstream Risks and develops mitigation strategies—escalating to PMO as needed
- ✓ Responsible for obtaining appropriate sign-off for deliverables
- ✓ Managing workstream resources
- ✓ Providing the actual and projected metrics through workstream-level reports

Workstream SMEs

The Workstream SMEs are responsible for:

- ✓ Acting as an application architect, with responsibilities across all functional, business and technical workstreams
- ✓ Working with Functional Leads and vendors to design software configurations and customizations
- ✓ Analyzing business process designs to identify integration requirements
- ✓ Validating that scope change requests meet overall business process needs
- ✓ Participating in and executing quality management reviews
- ✓ Reports to the Program Director

Workstreams Details

- The Integrated Marketplace Program Management Office (PMO) manages the delivery of the Integrated Marketplace systems within SPP, including:
 - New Markets (Day-Ahead, Operating Reserve)
 - Consolidated Balancing Authority (CBA)
 - Transmission Congestion Rights (TCRs)
 - Settlements
 - Business Intelligence (BI)
- The Marketplace Program structure will evolve throughout the program delivery lifecycle
- The following section describes the workstreams under Marketplace Program, including:
 - Phase(s) in which the workstream will be active
 - Business Capability Area(s) the workstream addresses
 - Workstream Owner responsible for the delivery of the scope of work
 - Scope of work to be completed by the Worksteam

Marketplace Program Workstream Model

Markets	CBA	TCRs	Settlements	Credit & Risk	BI	Registration
Program Management						
Stakeholder Communications						
Regulatory & Tariff						
Technical Architecture						
IT Infrastructure						
Integration Services						
Legacy Applications						
EMS Upgrade						
Testing & Requirements Management						
Market Trials						
Internal Training						
Participant Training						
Operations Training						
Readiness & Metrics						

Market Systems

Business Capability Area(s)	08 Market Management 09 Market Operations Support 10 Market Monitoring 11 Market Design
Owner	Casey Cathey
Project Manager	Lawson Arnett

- **Scope: Implement the business and systems changes in support for the Integrated Marketplace's core market functionalities, including:**
 - **Day-Ahead, Real Time Balancing and Operating Reserves Markets**
 - **Reliability Unit Commitment function**
 - **Integration with TCR**
 - **Maintaining designs/protocols with Market Working Group**
 - **Maintain Business Process Designs impacted by Integrated Marketplace**
 - **Educating and communicating Marketplace business design, and progress-to-date (board of directors, MOPC, working groups, regulatory agencies) during requirement phase of the program.**
 - **Coordination with "Regulatory & Tariff" of tariff review by MWG**
- **This workstream includes managing the vendor project teams for the components related to Markets systems (e.g. Alstom Markets System) , and Acceptance Testing activities.**

Consolidated Balancing Authority (CBA)

Business Capability Area(s)	07 Consolidated Balancing Authority 11 Market Design
Owner	Shari Brown
Project Manager	Beth Miller

- **Scope: Implement the business and systems changes in support for the Integrated Marketplace' Consolidated Balancing Authority functionalities, including:**
 - CBA business processes
 - Outage scheduling processes
 - Changes in EMS system for CBA functionalities
 - Changes in Outage Scheduling system for CBA functionalities
 - Balancing Authority certification
- This workstream includes managing the vendor project teams for the components related to CBA (e.g. Alstom EMS, Outage scheduler vendor), and Acceptance Testing activities.
- This workstream will integrate with the Market Implementation project and Systems Integration vendor activities.

Transmission Congestion Rights (TCR)

Business Capability Area(s)	17 TCRs 18 Service Development 19 IT Governance 20 Service Delivery
Owner	Mak Nagle
Project Manager	Brett Crane

- **Scope: Implement the Transmission Congestion Rights business functionality and supporting systems, including:**
 - Execution of mock TCR auctions (stand-alone models)
 - Identification, deployment and management of Integrated and stand-alone TCR models within SPP
- This workstream includes managing the vendor project teams for the components related to TCRs (e.g. Nexant TCR solution) , and Acceptance Testing activities.
- This workstream will integrate with the Market Implementation and Systems Integration vendors activities.

Settlements

Business Capability Area(s)	08 Market Management 12 Settlements and Billing 17 TCRs
Owner	Tony Alexander
Project Manager	Ashley Churilla

- **Scope: Implement the Settlements business and systems changes in support for Integrated Marketplace, including markets and TCRs functions and settlements data pre-processing, processing and publishing.**
- **This workstream includes managing the vendor project teams for the components related to Settlements (e.g. Alstom eTS) , and Acceptance Testing activities.**
- **This workstream will integrate with the Market Implementation project and Systems Integration vendors activities.**

Credit & Risk Management

Business Capability Area(s)	08 Market Management 12 Settlements and Billing 29 Finance and Administration 31 Credit Management
Owner	Tom Dunn
Project Manager	Chuck Jennings

- **Scope: Implement the Risk Management and Credit business and systems changes in support for Integrated Marketplace, including**
 - **Integration with markets, settlements and TCRs functions and related workstreams**
 - **Modification to the current Risk Management & Credit tools and/or selection of new tools**

Business Intelligence

Business Capability Area(s)	10 Market Monitoring 14 Information Service Provision 18 Service Development 20 Service Delivery 28 Compliance
Owner	Alan McQueen
Project Manager	Kirk Anderson

- **Scope: Implement the internal and external business intelligence components of Integrated Marketplace, including:**
 - Reporting
 - Data Warehousing
 - Data analytics and correlation
 - Data management
- **This workstream will integrate with the Market Implementation project and Systems Integration vendors activities.**

Registration

Business Capability Area(s)	01 Operations Support 09 Market Operations Support 13 Customer Service 16 Planning & Engineering
Owner	RJ Robertson
Project Manager	Ginny Watson

- **Scope: Manage the roll-out of the market registration process, and resulting model updates, including:**
 - Commercial model
 - TCR model
 - Physical model

Program Management

Business Capability Area(s)	11 Market Design 26 Program Management
Program Director	Sam Ellis
Program Manager	Jeff Tar

- **Scope: Manage the delivery of the Integrated Marketplace Program, including Markets, CBA, TCRs and Settlements business areas and supporting processes and systems, including the following management areas:**
 - **Governance**
 - **Scope, Release, Work Plan and Time**
 - **Performance & Reporting**
 - **Issue & Risk, Quality**
 - **Resource**
 - **Deliverables**
 - **Contract and Financial Management**
 - **Stakeholder Expectations**
 - **Vendor (with support from SPP Vendor Manager)**
 - **Communication (with support from SPP Communications Specialist)**

Stakeholder Communications

Business Capability Area(s)	23 Communications
Owner	Tom Kleckner

- **Scope: Manage Integrated Marketplace communications to stakeholders, including:**
 - MOPC and working groups
 - Board of Director
 - Regulatory entities

Regulatory & Tariff

Business Capability Area(s)	22 Legal and Regulatory
Owner	Heather Starnes
Project Manager	Beth Miller

- **Scope: Create and manage all necessary FERC and state filings related to the Integrated Marketplace**
- **This workstream also coordinates and analyze the impact of future regulatory changes with the market design, and any appropriate workstreams**
- **This workstream will provide Integrated Marketplace training for regulatory employees**
- **This workstream includes communications with federal and state regulatory entities, and support of the “Markets Readiness” workstream for regulatory matters.**

Technical Architecture

Business Capability Area(s)	11 Market Design 18 Service Development 19 IT Governance 20 Service Delivery
Owner	Annette Holbert
Project Manager	Bob Cicalese

- **Scope: Design and manage the technical architecture for Integrated Marketplace systems, including:**
 - Requirements analysis for technical characteristics
 - Business processes to services matrix
 - Architecture specifications for application, integration and service-oriented architecture (SOA)
 - Application disposition plan
 - Oversee implementation of the components of development, operation and execution architectures
- **This workstream will integrate with the Market Implementation project and Integrated Marketplace Systems Integration activities.**

IT Infrastructure

Business Capability Area(s)	01 Operations Support 09 Market Operations Support 16 Planning & Engineering
Owner	Tom Burdick
Project Manager	Robert Juergens

- **Scope: Deployment and management of the IT infrastructure in support of the Integrated Marketplace program, including:**
 - Data center facilities, Tests lab and Operations desks setup
 - Development environments (local and remote)
 - Test environments (Test, ITE and QA)
 - Future production and disaster recovery environments (Prod, DR)
 - Network services
 - Desktop support
 - Backup/restore and DR services
 - Release management

Integration Services

Business Capability Area(s)	14 Information Service Provision 18 Service Development 20 Service Delivery
Owner	Annette Holbert
Project Manager	Bob Cicalese

- **Scope: Design and implement business and system integration services for the Integrated Marketplace systems, including:**
 - Data flow
 - Orchestration
 - Services / integration unit testing
 - Connectivity (internal and external)
- **This workstream will integrate with the Market Implementation project and Systems Integration vendors activities.**

Legacy Applications

Business Capability Area(s)	18 Service Development
Owner	Angelica Ivester
Project Manager	Dena Giessmann

- **Scope: This workstream will address changes to the following SPP applications:**
 - AFC Coordination
 - JOA
 - JAMS (Job Scheduling Activity)
 - Windows Scheduler
 - AF C Coordination NSI
 - Corporate Web - member-facing/member-impacting
 - SDA File Parser (Security Data Applications) - member-facing/member-impacting
 - SDX NERC Report (System Data Exchange)
 - SENDS - member-facing/member-impacting
 - SPP Studies - member-facing/member-impacting

EMS Upgrade

Business Capability Area(s)	TBD
Owner	Scott Aclin
Project Manager	Elizabeth Solano

- **Scope:** Deliver an EMS 2.5 development environment along with a DTS 2.5 that will be used for the Integrated Marketplace and its related projects to test and validate EMS system changes and interfaces. This workstream does not include RTGEN changes for CBA.

Testing & Requirements Management

Business Capability Area(s)	18 Service Development 20 Service Delivery
Owner	Rebecca Sanders
Project Manager (Testing)	Michael Fisher
Project Manager (Reqs)	Michael Davis

- **Scope:** Maintain baselined requirements and requirements traceability matrix through Design, Build, Test phases as well as complete the following testing activities for the Integrated Marketplace systems:
 - System Integration Testing
 - Functional Integration Testing
 - Performance Testing
 - IT Operations Readiness Testing
 - Testing metrics reporting for the associated test phases
 - Test Data Management

Market Trials

Business Capability Area(s)	11 Market Design 13 Customer Service 15 Training 18 Service Development
Owner	TBD
Project Manager	TBD

- **Scope: Manage the execution of the Integrated Marketplace Trials, including:**
 - Definition of Market Trials phases
 - Definition of trials testing scenarios
 - Interaction with SPP market participants, including support during Trials execution
 - Interaction with SPP market support and IT

Internal Training

Business Capability Area(s)	15 Training
Owner	Gay Anthony
Project Manager	Diana Arthur

- **Scope: Manage training capabilities related to Integrated Marketplace Program, including:**
 - Identification of functional areas within SPP directly impacted by the Integrated Marketplace
 - Identification of processes within each functional area related to the Integrated Marketplace
 - Identification of market-related tasks performed by SPP personnel
 - Identification of knowledge and performance gaps
 - Creation, delivery and assessment of task-driven Integrated Marketplace training

Participant Training

Business Capability Area(s)	15 Training
Owner	Gay Anthony
Project Manager	Diana Arthur

- **Scope: Manage training capabilities related to Integrated Marketplace Program, including:**
 - Identification of functional areas within SPP market participant companies directly impacted by the Integrated Marketplace
 - Identification of processes within each functional area related to the Integrated Marketplace
 - Identification of market-related tasks performed by market participants
 - Identification of knowledge and performance gaps
 - Creation, delivery and assessment of task-driven Integrated Marketplace training

Operations Training

Business Capability Area(s)	15 Training
Owner	Carl Stelly
Project Manager	Diana Arthur

- **Scope: Manage training capabilities related to Integrated Marketplace Program, including:**
 - Identification of functional areas within SPP directly impacted by the Integrated Marketplace
 - Identification of processes within each functional area related to the Integrated Marketplace
 - Identification of market-related tasks performed by SPP personnel
 - Identification of knowledge and performance gaps
 - Creation, delivery and assessment of task-driven Integrated Marketplace training

Readiness & Metrics

Business Capability Area(s)	13 Customer Service 14 Information Service Provision
Owner	Jodi Woods
Project Manager	Elizabeth Aguilar
CWG Liaison	Erin Jester

- **Scope: Manage market readiness capabilities related to Integrated Marketplace, including:**
 - **Definition of internal and external readiness criteria for Integrated Marketplace (including CBA)**
 - **Assistance to SPP business units with internal readiness**
 - **Assistance to Market participants with market readiness**
 - **Internal audit, compliance and security readiness (with assistance from Regulatory & Tariff Workstream)**