Integrated Marketplace Workstreams: Roles & Responsibilities

March 6, 2012
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 will be comprised of the following typical roles:
- Business Analysts (BAs)/Test Prep
- Acceptance Test Leads
- Designers/Test Pres
- Testers
- Test Data Leads
- Trainers
- Technical Leads
- Applications Architects
- Data Architects
- Integration Architects
- DBAs
- Developers
- Regulatory Analysts
- Vendors PM
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

<table>
<thead>
<tr>
<th>Markets</th>
<th>CBA</th>
<th>TCRs</th>
<th>Settlements</th>
<th>Credit &amp; Risk</th>
<th>BI</th>
<th>Registration</th>
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<td>Program Management</td>
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## Market Systems

### Business Capability Area(s)

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<tr>
<th>Owner</th>
<th>Casey Cathey</th>
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<tbody>
<tr>
<td>Project Manager</td>
<td>Lawson Arnett</td>
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### Description

- **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)

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.

| Business Capability Area(s) | 07 Consolidated Balancing Authority  
11 Market Design |
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<tbody>
<tr>
<td>Owner</td>
<td>Shari Brown</td>
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<tr>
<td>Project Manager</td>
<td>Beth Miller</td>
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</table>
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

- **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.

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<tr>
<th>Business Capability Area(s)</th>
<th>08 Market Management 12 Settlements and Billing 17 TCRs</th>
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<tr>
<td>Owner</td>
<td>Tony Alexander</td>
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<tr>
<td>Project Manager</td>
<td>Ashley Churilla</td>
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Credit & Risk Management

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<th>Business Capability Area(s)</th>
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<td>12 Settlements and Billing</td>
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<td>29 Finance and Administration</td>
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<td>31 Credit Management</td>
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<tr>
<th>Owner</th>
<th>Tom Dunn</th>
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<tbody>
<tr>
<td>Project Manager</td>
<td>Chuck Jennings</td>
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- 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)

| Business Capability Area(s)          | 10 Market Monitoring  
|                                    | 14 Information Service Provision  
|                                    | 18 Service Development  
|                                    | 20 Service Delivery  
|                                    | 28 Compliance  |

### Owner

| Owner          | Alan McQueen  |

### Project Manager

| 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

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

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<tr>
<th>Business Capability Area(s)</th>
<th>01 Operations Support 09 Market Operations Support 13 Customer Service 16 Planning &amp; Engineering</th>
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<tr>
<td><strong>Owner</strong></td>
<td>RJ Robertson</td>
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<tr>
<td><strong>Project Manager</strong></td>
<td>Ginny Watson</td>
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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)**

| 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

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

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

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<tr>
<th>Business Capability Area(s)</th>
<th>18 Service Development</th>
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<tbody>
<tr>
<td>Owner</td>
<td>Angelica Ivester</td>
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<tr>
<td>Project Manager</td>
<td>Dena Giessmann</td>
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</table>

- **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

- **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.

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<th>Business Capability Area(s)</th>
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<tr>
<td>Owner</td>
<td>Scott Aclin</td>
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<tr>
<td>Project Manager</td>
<td>Elizabeth Solano</td>
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</table>
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

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<td>18 Service Development</td>
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<th>Owner</th>
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| 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

- **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

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<th>Business Capability Area(s)</th>
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<tr>
<td>Owner</td>
<td>Gay Anthony</td>
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<tr>
<td>Project Manager</td>
<td>Diana Arthur</td>
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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

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<th>Business Capability Area(s)</th>
<th>15 Training</th>
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<tr>
<td>Owner</td>
<td>Carl Stelly</td>
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  - Identification of processes within each functional area related to the Integrated Marketplace
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  - 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)