Integrated Marketplace Workstreams: Roles & Responsibilities

April 24, 2012
Marketplace Leadership Organization (Design)

SPP Officers

Bruce Rew
Program Sponsor

Sam Ellis
Program Director

Jeff Tar
Program Manager

Marketplace Leadership Team

Business Architects
Richard Dillon
Wayne Camp

Integrated Marketplace PMO

Market Systems
Debbie James
Gina Pierson

Markets Systems (3)
CBA (3)
TCR (5)
Settlements (2)
Registration (6)
Credit & Risk Mgmt (2)
Testing & Reqts Mgmt (4)
EMS Upgrade (3)

Technology
Annette Holbert
Sebastien Galtier

Technical Architecture (7)
Integration Services (7)
IT Infrastructure (7)
Bus. Intelligence/EADS (7)
Portal (7)
Legacy Applications (7)

Readiness, Training,
Communications
Jodi Woods
Elizabeth Kwiatkowski

Stakeholder Comms. (6)
Readiness & Metrics (6)
Participant Training (6)
Operations Training (6)
Internal Training (6)
Market Trials (4)

Regulatory & Compliance
Heather Starnes
Beth Miller

Regulatory & Tariff (3)

* (numbers) denote MLT escalation points
Marketplace Workstream Organization Model

- **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 ...

- **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

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<tr>
<th>Market Operations</th>
<th>Market Design</th>
<th>CBA</th>
<th>TCR</th>
<th>Settlements</th>
<th>Credit &amp; Risk</th>
<th>BI</th>
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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)

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<th>Business Capability Area(s)</th>
<th>17 TCRs</th>
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<td>19 IT Governance</td>
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<td>20 Service Delivery</td>
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<tr>
<th>Owner</th>
<th>Mak Nagle</th>
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<td>Project Manager</td>
<td>Brett Crane</td>
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- **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.

### Business Capability Area(s)

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<th>Business Capability Area(s)</th>
<th>08 Market Management</th>
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<td>12 Settlements and Billing</td>
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<td>17 TCRs</td>
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### Owner

- Tony Alexander

### Project Manager

- Ashley Churilla
Credit & Risk Management

- **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 Capability Area(s) | 08 Market Management  
12 Settlements and Billing  
29 Finance and Administration  
31 Credit Management |
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<td>Owner</td>
<td>Tom Dunn</td>
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<td>Project Manager</td>
<td>Chuck Jennings</td>
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Business Intelligence

- **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.

**Business Capability Area(s)**

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<th>Business Capability Area(s)</th>
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<td>18 Service Development</td>
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<td>28 Compliance</td>
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**Owner**

- Alan McQueen

**Project Manager**

- Kirk Anderson
Registration

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

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

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

- **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.

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<th>Business Capability Area(s)</th>
<th>22 Legal and Regulatory</th>
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<td>Heather Starnes</td>
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<td>Project Manager</td>
<td>Beth Miller</td>
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Technical Architecture

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.

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<th>Business Capability Area(s)</th>
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<td>Project Manager</td>
<td>Bob Cicalessa</td>
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</table>
## 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

- **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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<th>Business Capability Area(s)</th>
<th>18 Service Development</th>
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<tr>
<td>Owner</td>
<td>Angelica Ivester</td>
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<td>Project Manager</td>
<td>Dena Giessmann</td>
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Scope: This workstream will address changes to the following SPP applications:
- AFC Coordination
- JOA
- JAMS (Job Scheduling Activity)
- Windows Scheduler
- AFC 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
Portal

- **Scope**: Implement an Integrated Marketplace Portal that will provide a single URL, with single sign-on, that members will use to access the user interface (UI) for member-facing applications. The implementation of an SPP portal will require multiple projects. Included in this project (Portal Phase 1 for Marketplace) is the implementation of:
  - Portal solution
  - Security mechanisms
  - Single URL

Later phases of Portal may address common navigation, tighter integration as well as the incorporation of additional applications both external (OASIS/OATI links, spp.org) and internal (Settlements UI/dashboard, Market & TCR MOIs, OPS1 internal apps, etc.), as deemed appropriate at a later date.

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<th>Business Capability Area(s)</th>
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<td>Annette Holbert</td>
<td>Robert Juergens</td>
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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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<td>Scott Aclin</td>
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<td>Project Manager</td>
<td>Elizabeth Solano</td>
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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
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**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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- **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)