Go/No-Go Decision Approach

July 31, 2013

Readiness & Metrics Workstream
## Revision History

<table>
<thead>
<tr>
<th>Date</th>
<th>Version Number</th>
<th>Author</th>
<th>Change Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>April 5, 2013</td>
<td>1.0</td>
<td>E. Aguilar</td>
<td>Initial Published Document</td>
</tr>
<tr>
<td>June 30, 2013</td>
<td>2.0</td>
<td>A. Miller</td>
<td>TCR Go-Live and Parallel Operations information added</td>
</tr>
<tr>
<td>July 31, 2013</td>
<td>3.0</td>
<td>A. Miller</td>
<td>Go-Live Team Decision Process section added</td>
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**Go/No-Go Decision Process**

**Introduction**

As the program moves from one sub-stage of Market Trials to the next, and then transitions to Go-Live, an analysis needs to be performed to ensure that both SPP and the Market Participants (MPs) are ready to move on to the next sub-stage. An Integrated Marketplace Go-Live Team was formed for the purpose of reviewing analyses and input from stakeholders to make a determination of whether the next sub-stage should begin. The Go-Live Team was based on the SPP’s experience with the EIS Market implementation and will have the authority to make the final decision on whether SPP and the MPs should move on to the next sub-stage of Market Trials or Go-Live.

Go/No-Go Criteria will be established for each sub-stage of Market Trials (TCR Phase 2, Structured/Unstructured, and Parallel Operations) and for both the TCR and Markets Go-Live. The criteria are intended to provide the Go-Live Team with as much quantitative information as possible prior to their decision. Together with SPP staff’s analysis of the data, the criteria should allow the Go-Live Team to make an informed decision that balances the risks and benefits of moving forward through the lifecycle of the Program.

This document contains all relevant information regarding the Go/No-Go Decision Process, including process steps, timelines, and Go-Live Team members. The actual Go/No-Go Criteria are available in the [Readiness Center](#) on SPP.org.

The following high-level process was presented as a strawman to the Change Working Group (CWG) in December 2012. The Go/No-Go criteria will be developed by SPP staff and shared with the CWG for feedback. Staff will use various inputs (examples listed in the figure below) to form the criteria for each decision point.

It is important to note that this was developed to be a qualitative decision-making process. The key stakeholders (CWG, SPP, Go-Live Team) should use the quantitative information provided by the Go/No-Go criteria and analysis as input into that process.
**Market Trials Process**

The detailed steps for the three Market Trials Go/No-Go decisions are detailed below. Timing around this process is described in the “Timelines” section of this document.

<table>
<thead>
<tr>
<th>Go/No-Go Decision Process</th>
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<tbody>
<tr>
<td><strong>Market Trials</strong></td>
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<tr>
<td></td>
</tr>
<tr>
<td>CWG</td>
</tr>
<tr>
<td>Collect Data for Go/No-Go Criteria</td>
</tr>
<tr>
<td>Publish Initial Assessment &amp; Data to CWG</td>
</tr>
<tr>
<td>Review Go/No-Go Data</td>
</tr>
<tr>
<td>Meet and make CWG recommendation</td>
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<tr>
<td>SPP</td>
</tr>
<tr>
<td>Publish Initial Assessment &amp; Data to SPP Program Leadership</td>
</tr>
<tr>
<td>Review Go/No-Go Data</td>
</tr>
<tr>
<td>Meet and make SPP recommendation</td>
</tr>
<tr>
<td>Publish Final Recommendation Report &amp; Refreshed Data to Go-Live Team</td>
</tr>
<tr>
<td>Go-Live Team</td>
</tr>
<tr>
<td>Make Go/No-Go Decision</td>
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</table>

**Go-Live Process**

The detailed process for the two Go-Live decisions (TCR and Markets) is to be determined. The Readiness & Metrics workstream has established milestones to track the completion of the process, timeline, and criteria for those decision points.


This document will be updated with that information after those milestone dates.
Timelines

The Readiness & Metrics workstream has established a two-week timeline for each Market Trials Go/No-Go decision point. The Go-Live process and timeline will be similar, but most likely more complex. They will be established at least three months in advance of the respective Go-Live dates.

TCR Market Trials Phase 2

Timeline for TCR Phase 2 decision-making process:

- March 4, 2013 – Publish Initial SPP Assessment to CWG & Go-Live Team
- March 6, 2013 – CWG Meeting (Special Session)
- March 7, 2013 – CWG & SPP Recommendations Due
- March 8, 2013 – Publish Final Recommendation Report to Go-Live Team (& CWG)
- March 13, 2013 – Go-Live Team Decision
- March 18, 2013 – Start TCR Market Trials Phase 2

Structured/Unstructured Market Trials

Timeline for Structured/Unstructured Market Trials decision-making process:

- May 20, 2013 – Publish Initial SPP Assessment to CWG & Go-Live Team
- May 23, 2013 – CWG Meeting
- May 23, 2013 – CWG & SPP Recommendations Due
- May 24, 2013 – Publish Final Recommendation Report to Go-Live Team (& CWG)
- May 29, 2013 – Go-Live Team Decision
**TCR Go-Live**

Timeline for TCR Go-Live decision-making process:

- October 3, 2013 – Publish Initial SPP Assessment to CWG & Go-Live Team
- October 7, 2013 – CWG Meeting (*Unconfirmed date – this will be determined by the CWG Staff Secretary and CWG Chair*)
- October 8, 2013 – CWG & SPP Recommendations Due
- October 9, 2013 – Publish Final Recommendation Report to Go-Live Team (& CWG)
- October 11, 2013 – Go-Live Team Decision
- October 16, 2013 – Final Checkpoint/Refresh Data (if necessary)
- October 18, 2013 – TCR Go-Live

**Parallel Operations**

Timeline for Parallel Operations Market Trials decision-making process:

- October 28, 2013 – Publish Initial SPP Assessment to CWG & Go-Live Team
October 30, 2013 – CWG Meeting (Unconfirmed date – this will be determined by the CWG Staff Secretary and CWG Chair)

October 31, 2013 – CWG & SPP Recommendations Due

November 1, 2013 – Publish Final Recommendation Report to Go-Live Team (& CWG)

November 6, 2013 – Go-Live Team Decision

November 11, 2013 – Start Parallel Operations Market Trials

Markets Go-Live

12/22/2013
Go-Live Team Update on MP Certification & Metrics

12/23/2013
Go-Live Team Update on MP Certification & Metrics

1/17/2014
Publish Go-Live Initial Assessment to CWG

1/23/2014
CWG Vote on Go-Live (at CWG Meeting)

1/28/2014
Publish Final Recommendation Report to Go-Live Team

1/31/2014
Go-Live Team Decision

2/26/2014
Final Checkpoint with Go-Live Team

3/1/2014
Go-Live

3/3/2014
Go-Live Team Update on MP Certification & Metrics
Criteria & Reporting

Go/No-Go Criteria

The Go/No-Go criteria are maintained in a separate document available on SPP.org. This document is called “SPP_IM_GoNoGo_Criteria” and can be found posted on the Readiness Center page.

The Criteria Tracker contains information about the Go/No-Go Criteria for the Integrated Marketplace program. Each tab contains the criteria for the indicated phase of the program (i.e. a major phase of Market Trials or Go-Live). These criteria are the quantitative inputs into the overall qualitative Go/No-Go decision making-process. These are the minimum suggested requirements for each phase. Please review the Introduction tab for a list of all Go/No-Go assumptions. A sample of the TCR Phase 2 criteria is shown below.

Reports

SPP will publish two reports to the CWG and Go-Live Team during each Go/No-Go decision point.

- **Initial Assessment** – The initial assessment will include the status of each criterion for the applicable phase, as well as a detailed analysis for criteria that may not have been met.
- **Final Recommendation** – In addition to a refresh of all the information provided in the initial assessment, the final recommendation includes the CWG and SPP recommendations for the Go-Live Team on whether or not to move forward (“Go”) or not (“No-Go”).
**Go-Live Team**

### Formation of Go-Live Team

SPP staff made a recommendation to the Markets and Operations Policy Committee (MOPC) during the January 2013 meeting to form a Go-Live Team. The following background information was provided and can be found in the MOPC Minutes & Background Materials January 15-16, 2013 posted on SPP.org.

---

**Southwest Power Pool, Inc.**
**SPP STAFF**
**Recommendation to the Markets and Operations Policy Committee**
**January 16, 2013**
**Integrated Marketplace Go-Live Team**

### Background

There are currently many initiatives underway to gauge SPP and Market Participant readiness in the Integrated Marketplace. An early indication of readiness will be Connectivity Testing which begins January 2013. Following Connectivity Testing, the additional phases of Market Trials will be Structured/Unstructured testing which begins in June 2013 and Parallel Operations which is scheduled to begin November 2013. This testing is all in preparation for the Integrated Marketplace go-live date on March 1, 2014.

TCR Connectivity Testing began on November 12, 2012. Phase I of TCR Market Trials is scheduled to begin January 14, with Phase II beginning March 18.

As the program moves from one phase of Market Trials to the next, and then transitions to Go-Live, an analysis will be performed to ensure that both SPP and the MPs are ready to move on to the next phase. It is being proposed that an Integrated Marketplace Go-Live Team should be formed for the purpose of reviewing analyses and input from stakeholders to make a determination of whether the next phase should begin. The Go-Live Team will have the authority to make the final decision on whether SPP and the MPs should move on to the next phase of Market Trials or Go-Live. Beginning on May 31, 2013 this approval would be required for the Structured/Unstructured phase of Market Trials, then for moving in to Parallel Operations, and finally Go-Live. For the TCR process, this approval would be required for moving from Phase I to Phase II of TCR Market Trials and then for TCR Go-Live.

### Analysis

Each Go/No-Go decision made will be based on the analysis provided by SPP and the MPs regarding the status of the identified criteria for that phase. This Go/No-Go criteria is being developed using information provided from, but not limited to, the following: MP Readiness information reflected by the Participant Engagement Activities, identified Test Metrics used to manage and report on success of test executions, status of completion of identified Readiness Metrics for each phase of Market Trials, and Market Trials Entry and Exit Criteria as defined in the Market Participant Guide for each applicable phase of testing. Additional information will be used as needed to help create the final Go/No-Go criteria.

As part of the process for making each Go/No-Go decision, SPP staff and the CWG will each provide a recommendation with regards to moving in to the next phase of implementation. The Go-Live Team will take these recommendations and other information provided to make the determination as to whether the next phase should begin.

Staff anticipates that the Go-Live Team will make a determination of whether to proceed one week prior
to each scheduled start date. The Go-Live Team will be informed of concerns as they arise, which could 
cause the Team to make a No-Go determination if it is determined that a particular phase cannot start on 
schedule.

**Recommendation**
Approve forming Integrated Marketplace Go-Live Team to make the final Go/No-Go decision for each 
phase of Market Trials and Go-Live. Go-Live Team to be made up of the following nine members:

Chairman of the Board of Directors
Chair, Market Working Group
Chair, Change Working Group
Chairman, MOPC
CEO, Southwest Power Pool
COO, Southwest Power Pool
Vice President – Operations, Southwest Power Pool
Member-at-large, MOPC
Member-at-large, Members Committee

**Action Requested:** Approve Recommendation

The formation of the Go-Live Team was approved by the MOPC with the addition of the ORWG Chair. The following is an excerpt from the MOPC Minutes & Background Materials January 15-16, 2013 posted on SPP.org:

**Agenda Item 19- Integrated Marketplace Project (Attachment)**
Bruce Rew (SPP) presented to MOPC the Integrated Marketplace System Update discussing the 
summary of key special attention areas; Markets, Settlements, Registration, Integrated Services, 
IM Market Participant Update, IM Internal Readiness update, IM Go-Live Team. SPP Staff 
recommends formation of an Integrated Marketplace Go-Live Team.

Dennis Florom (LES) made a motion; seconded by Tom Stuchlik (Westar Energy) to 
approve the formation of an Integrated Marketplace Go-Live Team with the addition of 
the ORWG Chair. The motion passed unanimously.
Go-Live Team Members

The eleven-person Go-Live Team consists of both SPP and Market Participant representatives. Confirmation of the Go-Live Team members was communicated to the CWG in early March and a broader audience via the March Integrated Marketplace Update published on March 26, 2013.

<table>
<thead>
<tr>
<th>Integrated Marketplace Go-Live Team</th>
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<tbody>
<tr>
<td>Jim Eckelberger</td>
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<tr>
<td>Richard Ross</td>
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<tr>
<td>Tyler Wolford</td>
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<td>Robert Janssen</td>
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<td>Thomas Wright</td>
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<td>Nick Brown</td>
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<tr>
<td>Carl Monroe</td>
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<tr>
<td>Bruce Rew</td>
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<tr>
<td>Jim Useldinger</td>
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<td>Tom Kent</td>
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<td>Mike Wise</td>
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Go-Live Team Decision Process

Bruce Rew, Executive Sponsor of the Integrated Marketplace Program, owns the Go-Live Team decision process. Bruce Rew facilitates a meeting with the Go-Live Team prior to each decision point. The Go/No-Go reports are used as the basis for the discussion. The Go-Live Team’s Go/No-Go decision is not required to be unanimous, but is based on a consensus agreement.
Appendix

Go/No-Go Terminology

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Go/No-Go Criteria</td>
<td>Criteria used as input into the Program and Go-Live Team’s Go-Live Recommendation</td>
</tr>
<tr>
<td>Market Trials Go/No-Go Criteria</td>
<td>Criteria used as input into the Program and Go-Live Team’s recommendation for beginning major phases of Market Trials (TCR Phase 2, Structured/Unstructured and Parallel Operations)</td>
</tr>
<tr>
<td>Market Trials Entry Criteria</td>
<td>Criteria that measure the preparedness to begin a Market Trials phase. Defined by the Market Trials workstream and included in the Market Participant Guide for the applicable phase of testing.</td>
</tr>
<tr>
<td>Market Trials Exit Criteria</td>
<td>Criteria that measure the success of a Market Trials phase. Defined by the Market Trials workstream and included in the Market Participant Guide for the applicable phase of testing.</td>
</tr>
<tr>
<td>Test Metrics</td>
<td>Internal metrics used to manage and report test execution. Defined by the Testing Tower and reported via CWG Reports and the Go/No-Go reports.</td>
</tr>
<tr>
<td>Readiness Metrics</td>
<td>Readiness Metrics represent the basis for which overall Marketplace readiness (Systems, SPP Staff, and Participant) is assessed. Readiness areas are monitored through measurable criteria over the lifecycle of the program. The metrics are focused on what is required for a successful go-live.</td>
</tr>
<tr>
<td>Engagement Reports</td>
<td>The Participant Engagement Reporting process monitors and tracks Market Participant activities leading up to major program milestones through the start of Market Trials Structured/Unstructured Testing. This process is owned by the Readiness workstream.</td>
</tr>
<tr>
<td>Non-metrics Reporting</td>
<td>This reporting consists of information that may not be included as a formal Readiness or Test Metric, but still provides valuable information that should be taken in consideration during the Go/No-Go decision. Examples include: Participant training data, Market Trials daily participation data.</td>
</tr>
</tbody>
</table>