

November 1, 2013

VIA ELECTRONIC FILING

The Honorable Kimberly D. Bose
Secretary
Federal Energy Regulatory Commission
888 First Street, N.E.
Washington, D.C. 20426

Re: *Southwest Power Pool, Inc.*, Docket Nos. ER12-1179-004
Informational Filing of Revised Readiness Metrics for Integrated
Marketplace

Dear Secretary Bose:

In accordance with the representations made by Southwest Power Pool, Inc. (“SPP”) in its “Informational Filing of Integrated Marketplace Readiness Metrics and Reversion Plan” submitted to the Federal Energy Regulatory Commission’s (“Commission”) on March 25, 2013¹ in this proceeding, SPP submits herein an additional informational filing containing revised Readiness Metrics related to the commercial operations of the Integrated Marketplace. SPP requests that the Commission accept this filing for informational purposes and advises the Commission that SPP intends to file its readiness certification no later than sixty (60) days prior to the implementation of the Integrated Marketplace. SPP respectfully requests the Commission to a) accept the revised Readiness Metrics and, b) if the Commission determines to act on this filing, to issue an order by December 20, 2013. A Commission order by December 20, 2013 will allow SPP sufficient time to prepare its certification for implementation of the Integrated Marketplace.

I. BACKGROUND

On February 29, 2012,² as amended on May 15, 2012,³ SPP submitted to the Commission proposed revisions to its Open Access Transmission Tariff (“Tariff”) to

¹ Informational Filing of Integrated Marketplace Readiness Metrics and Reversion Plan of Southwest Power Pool, Inc., Docket No. ER12-1179-004 (March 25, 2013) (“Readiness Filing”).

² Submission of Tariff Revisions to Implement SPP Integrated Marketplace of Southwest Power Pool, Inc., Docket No. ER12-1179-000 (Feb. 29, 2012) (“Integrated Marketplace Filing”).

implement the SPP Integrated Marketplace in March 2014. In the Integrated Marketplace Filing, SPP represented to the Commission that SPP intended to submit an Integrated Marketplace “Readiness Plan” and “Reversion Plan”⁴ for Commission review in March 2013, well in advance of the launching of the Integrated Marketplace.⁵

The Commission posted its “Order Conditionally Accepting Tariff Revisions to Establish Energy Markets,” on October 18, 2012 in this docket.⁶ The October 18 Order conditionally approved SPP’s Integrated Marketplace and related Tariff revisions, subject to modification of several design components of SPP’s proposal and directed SPP to submit numerous revisions to its Tariff to “ensure that a well-designed market will be in place at the proposed effective date [of March 1, 2014].”⁷ Part of the Commission’s conditional approval included the requirement for SPP’s to file its proposed Readiness Plan and Reversion Plan by March 2013 consistent with SPP’s representations in the Integrated Marketplace Filing.⁸

SPP submitted the Readiness Filing in compliance with the Commission’s October 18 Order.⁹ In the Readiness Filing, SPP committed to file any further refinements to the metrics, and other aspects of the Readiness Plan, as developed.¹⁰ On September 20, 2013, the Commission issued its “Order on Compliance Filing and Proposed Tariff Revisions,”¹¹ in which order the Commission conditionally approved the Readiness

³ Amendatory Filing of Tariff Revisions to Implement SPP Integrated Marketplace of Southwest Power Pool, Inc., Docket No. ER12-1179-001 (May 15, 2012).

⁴ SPP’s filing of a Readiness Plan and Reversion plan is consistent with the Commission’s guidance to SPP in establishing the Energy Imbalance Service (“EIS”) Market and Commission guidance to other Regional Transmission Organizations. *See, e.g. Sw. Power Pool, Inc.*, 112 FERC ¶ 61,303, at P 30 (2005); *Midwest Indep. Transmission Sys. Operator, Inc.*, 119 FERC ¶ 61,311, at PP 47-49 (2007).

⁵ Integrated Marketplace Filing at 67-68.

⁶ *Sw. Power Pool, Inc.*, 141 FERC ¶ 61,048 (2012) (“October 18 Order”).

⁷ *See* October 18 Order at P 2.

⁸ *See* October 18 Order at PP 1, 495-499.

⁹ *See supra* n. 1.

¹⁰ *See* Readiness Filing at 1.

¹¹ *Sw. Power Pool, Inc.*, 144 FERC ¶ 61,224 (2013) (“September 20 Order”).

Plan subject to further compliance requirement.¹² The September 20 Order recognized SPP's intention to file further amendments or updates to the Readiness Metrics as developed by SPP.¹³

II. REVISED READINESS METRICS

A. Justification for the Revised Readiness Metrics

As stated in the Readiness Filing, the Readiness Plan addresses SPP's efforts to develop and satisfy appropriate readiness metrics, SPP's plan for performing readiness testing for Integrated Marketplace systems, and SPP's plan to achieve final readiness certification sixty (60) days prior to the Integrated Marketplace launch.¹⁴ The Readiness Plan includes the Integrated Marketplace Readiness Metrics which are the independently developed Readiness Metrics related to commercial operations readiness.¹⁵ The Integrated Marketplace Readiness Metrics provide the inventory of the readiness metrics agreed by SPP staff and market participants; and will measure, monitor, and report on the overall readiness of the Integrated Marketplace program.¹⁶

The revisions to the Readiness Metrics are the product of the ongoing effort between SPP, stakeholders and consultants engaged in the implementation of the Integrated Marketplace. The revisions to the Readiness Metrics submitted herein were developed by SPP staff and independent consultants and were reviewed with market participant readiness liaisons as they were developed.

The further refinements to the Readiness Metrics bolster and improve the ability of SPP staff, consultants and market participants to prepare for the implementation of the Integrated Marketplace. The revised Readiness Metrics also provide useful clarifications to gauge market readiness and clearly articulate the requirements of each specific metric. Further, SPP intends to certify its readiness no later than sixty (60) days prior to the implementation of the Integrated Marketplace based on satisfaction of the revised Readiness Metrics.

¹² The Commission requires SPP to submit a compliance filing addressing the implementation plan and timeline for the Market Monitor within 60 days of the September 20 Order. The filing being submitted herein does not address this compliance requirement from the September 20 Order, which will be submitted in SPP's forthcoming compliance filing.

¹³ See September 20 Order at n. 436.

¹⁴ See Readiness Filing at 2-3.

¹⁵ See Readiness Filing at 3.

¹⁶ *Id.*

B. Description of the Revised Readiness Metrics

The following chart tracks the specific revised Readiness Metrics that are being submitted with this filing. Included in the information is the identification of:

- The Readiness Metric being updated
- Impacts of the revision on the metric, if any
- General descriptions of the purposes for the revisions
- Other applicable notes for clarification

Metric	Reason for Revision
New Metrics	
RSG-01: RSG Member Integration and Testing Complete	<p>Purpose: This metric was created to track registration and testing for the three external Reserve Sharing Group (RSG) members</p> <p>Other Notes: Other metrics are not applicable to RSG members; however, SPP will continue the RSG function for non-Market Participants after Market Go-Live.</p>
OPS-05a: Mid-Term Load Forecast Accuracy – 4AM ID_RUC	<p>Purpose: The accuracy of the Mid-Term Load Forecast created at 4AM drives the Intra-Day Reliability Unit Commitment results for the study that runs at 4AM, for the remainder of the Operating Day.</p> <p>Other Notes: OPS-05 was split into three separate metrics for 4AM ID_RUC, 12PM ID_RUC and 5PM DA_RUC for improved measure of accuracy and analysis.</p>
OPS-05b: Mid-Term Load Forecast Accuracy – 12PM ID_RUC	<p>Purpose: The accuracy of the Mid-Term Load Forecast created at 12PM drives the Intra-Day Reliability Unit Commitment results for the study that runs at 12PM for the remainder of the Operating Day.</p> <p>Other Notes: OPS-05 was split into three separate metrics for 4AM ID_RUC, 12PM ID_RUC and 5PM DA_RUC for improved measure of accuracy and analysis.</p>

<p>OPS-05c: Mid-Term Load Forecast Accuracy – 5PM DA_RUC</p>	<p>Purpose: The accuracy of the Mid-Term Load Forecast created at 5PM drives the Intra-Day Reliability Unit Commitment results for the study that runs at 5PM for the remainder of the Operating Day.</p> <p>Other Notes: OPS-05 was split into three separate metrics for 4AM ID_RUC, 12PM ID_RUC and 5PM DA_RUC for improved measure of accuracy and analysis.</p>
<p>OPS-06a: Wind Forecast Accuracy – Pre-RTBM</p>	<p>Purpose: This metric allows SPP to provide improved accuracy and analysis of the wind forecast and demonstrates if the hour out forecast passes, while the DA RUC or RTBM fails.</p> <p>Impacts: If Pre-RTBM fails, this is an internal application which may require more attention to increase accuracy.</p> <p>Other Notes:</p> <ul style="list-style-type: none">• Pre-RTBM, RTBM and DA RUC are separate and independent of each other and as such, should be tracked independently. For this reason, OPS-06 was split into three separate metrics. Each of the split metrics represents something different to different business functionality.
<p>OPS-06b: Wind Forecast Accuracy – RTBM</p>	<p>Purpose: This metric allows SPP to provide improved accuracy and analysis for the wind forecast and demonstrates if the 10 minute out forecast (which is good for DVERs) passes, while the DA RUC or Pre-RTBM fails.</p> <p>Impacts: If RTBM fails, this is a concern for Dispatchable Variable Energy Resources (DVERs) upon reload, as well as all resource-owning MPs for RTBM solution integrity.</p> <p>Other Notes:</p> <ul style="list-style-type: none">• Pre-RTBM, RTBM and DA RUC are separate and independent of each other and as such, should be tracked independently. For this reason, OPS-06 was split into three separate metrics. Each of the split metrics represents something different to different business functionality.

<p>OPS-06c: Wind Forecast Accuracy – DA RUC</p>	<p>Purpose: This allows SPP to provide improved accuracy and analysis for the wind forecast and demonstrates if the Day-Ahead forecast passes, while the RTBM or Pre-RTBM fails.</p> <p>Impacts: If DA RUC fails, this is a concern for SPP BA function for commitment accuracy and potential increased cost to all LSEs due to excessive Make-Whole Payments (MWP)</p> <ul style="list-style-type: none"> • Pre-RTBM, RTBM and DA RUC are separate and independent of each other and as such, should be tracked independently. For this reason, OPS-06 was split into three separate metrics. Each of the split metrics represents something different to different business functionality.
<p>OPS-13: Regulation Pre-Certification</p>	<p>Purpose: This metric allows SPP to track if Market Participants with registered Regulation Resources are completing their Regulation Pre-Certification activities.</p> <p>Impacts: Confirmation of necessary compliance calculations and Regulation Qualification testing on new registered Regulation Resources needs to be complete prior to Parallel Operations.</p> <p>Other Notes: This metric was approved by Market Participants and began tracking in May 2013.</p>
<p>OPS-14: ACE Performance Accuracy</p>	<p>Purpose: To compare Area Control Error (ACE) performance accuracy between existing EIS and future Integrated Marketplace systems.</p> <p>Impacts: This metric is needed to measure ACE performance against the SPP L10, CPS1, CPS2 and begin reporting on it during SMT, with the goal to pass during Integrated Deployment Testing.</p>
<p>OPS-15: CROW Outage Submission</p>	<p>Purpose: This metric ensures that Resource-Owning MPs are set up and submitting accurate outages. SPP will verify these outages.</p> <p>Impacts: This metric is unique to the subset of Resource-Owning MPs that do not use CROW today for EIS outage, to ensure there are no issues submitting outages for Integrated Marketplace.</p>

<p>OPS-16: MP Response to Deployment Testing</p>	<p>Purpose: This metric measures the MP response to Integrated Deployment Testing. Impacts: This metric is linked to the success of Integrated Deployment Testing to ensure MPs can follow Deployment Testing and receive instructions.</p>
<p>OPS-17: ICCP Model Validation</p>	<p>Purpose: This metric ensures member ICCP models are up to date, and the data exchange and values have been validated for all applicable entities and relationships. Impacts: Required for Integrated Deployment Tests.</p>
<p>OPS-18: ICCP Control Status Tracking</p>	<p>Purpose: This metric measures whether modeled MPs have submitted the correct control modes for quality purposes. Impacts: The Control Modes are utilized in the SPP AGC system to determine the allowable Setpoint Instruction for each Resource Asset. If the incorrect value is submitted, it will affect the Setpoint Instruction and the Resource clearing in RTBM. This metric is required for Integrated Deployment Testing.</p>
<p>STL-07: SPP Validation of Settlement Charge Types</p>	<p>Purpose: SPP will measure Charge Type validation for each MP. Impacts: Due to financial impacts to MPs, it is important to validate applicable Charge Types.</p>
<p>TCR-06: TCR Market Trials October Monthly Participation</p>	<p>Purpose: This metric was created for measuring MP participation during the October 2013 TCR monthly auction. Impacts: It was important to obtain simultaneous participation from all High Priority MPs during a Monthly process prior to the TCR Go/No-Go Decision. Other Notes:</p> <ul style="list-style-type: none"> • Monitoring and reporting on this metric has been completed.
<p>Updated Metrics</p>	
<p>CBA-01: CBA Certification Activities</p>	<p>Reason for Change: New and critical milestones were determined and added for SPP's Consolidated Balancing Authority Certification. Existing milestones were refined since the original development of the metrics.</p>

CON-01: TCR Accelerated Connectivity Test Complete	Reason for Change: Added a gray status color for MPs that indicated they will not participate in the TCR Market and therefore are required to participate in TCR Accelerated Connectivity Testing.
CON-02: Connectivity Test Complete	Reason for Change: Connectivity testing was extended so the target completion date changed from 3/28/2013 to 5/17/2013.
CON-03: Data Exchange Certification Complete	Reason for Change: The Market Trials team changed the approach to Connectivity and Data Exchange testing; those changes were reflected in this metric through minor clarifications.
TRL-01: Market Trials Participation	Reason for Change: Measuring MP participation during all of Market Trials is an important indicator of MP Readiness. The metric language was edited such that this metric applies to participation during all of Market Trials (Structured Market Trials and Parallel Operations). Additional clarifications on how this metric is calculated were included: <ul style="list-style-type: none"> • Only official Operating Days will be used to measure this metric • Established statistical goals to calculate status colors • Clarified what resource/load/financial only MPs must submit to qualify as participating
TRL-02: Structured/Unstructured Test Complete	Reason for Change: Added clarification that metric does not measure daily base scenarios.
TRL-03: Market Trials – Integrated Deployment Testing	Reason for Change: This was previously a placeholder metric; the measurement criterion was added.
OPS-02: State Estimator Availability	Reason for Change: Established overall measurement criteria to provide greater insight if this metric was at risk.
OPS-03: State Estimator Availability	Reason for Change: Established overall measurement criteria to provide greater insight if this metric was at risk.
OPS-04: Short-Term Load Forecast Accuracy	Reason for Change: Established overall measurement criteria to provide greater insight if this metric was at risk.

<p>OPS-05: Mid-Term Load Forecast Accuracy</p>	<p>Reason for Change: This metric was split into OPS-05a, 05b and 05c to provide further detail to measure accuracy for different time points and tell a different story when inputted to a certain study (Please see OPS-05a, 05b and 05c).</p>
<p>OPS-06: Wind Forecast Accuracy</p>	<p>Reason for Change: This metric was split into OPS-06a, 06b and 06c to provide further detail to measure accuracy for different time points and tell a different story when inputted to a certain study (Please see OPS-06a, 06b and 06c).</p>
<p>OPS-07: Market Flow Calculations Availability – Current Hour</p>	<p>Reason for Change: Established overall measurement criteria to provide greater insight if this metric was at risk.</p>
<p>OPS-08: Market Flow Calculations Availability – Next Hour</p>	<p>Reason for Change: Established overall measurement criteria to provide greater insight if this metric was at risk.</p>
<p>OPS-09: DA Market Results Posted</p>	<p>Reason for Change:</p> <ul style="list-style-type: none"> • Established overall measurement criteria to provide greater insight if this metric was at risk. • Added a 5 minute leniency to posting time due to minor network/system latency in the normal process of posting.
<p>OPS-10: Generate DA LMPs and Settlement Point Prices</p>	<p>Reason for Change:</p> <ul style="list-style-type: none"> • Established overall measurement criteria to provide greater insight if this metric was at risk. • Added a 5 minute leniency to posting time due to minor network/system latency in the normal process of posting.
<p>OPS-11: RTBM Calculation Availability</p>	<p>Reason for Change: Established overall measurement criteria to provide greater insight if this metric was at risk.</p>
<p>OPS-12: Operating Reserve Requirements</p>	<p>Reason for Change:</p> <ul style="list-style-type: none"> • Established overall measurement criteria to provide greater insight if this metric was at risk. • Provided detail on when data needs to be submitted and SPP’s role to ensure Operating Reserves are posted on time.
<p>RGL-01: FERC Tariff Filing</p>	<p>Reason for Change: Refined milestones for FERC approval.</p>

RGL-02: Readiness & Reversion Plan	Reason for Change: Refined milestones for FERC acceptance of Readiness & Reversion Plan.
RGL-03: Market Participant Readiness Certification	<p>Reason for Change:</p> <ul style="list-style-type: none"> • Edited metric to clarify intent of the Self-Certification. • Milestone dates updated to reflect the date MPs are expected to provide their Readiness Certification Form (12/20/2013). • Target completion changed from November 2013 to 12/20/2013 to better align with the SPP's Readiness Filing requirements.
STL-01: Access & Download Statements	Reason for Change: A change to the original assumptions that SPP could measure this internally via IT Audit logs resulted in changes to how SPP measures this metric. The Settlements metrics were also updated to be consistent with the other metrics and use Target Mass.
STL-02: Access & Download Invoices	Reason for Change: A change to the original assumptions that SPP could measure this internally via IT Audit logs resulted in changes to how SPP measures this metric. The Settlements metrics were also updated to be consistent with the other metrics and use Target Mass.
STL-03: Submit Meter Data	<p>Reason for Change: Clarifications were required to accurately reflect how SPP is measuring this metric.</p> <ul style="list-style-type: none"> • Added a gray criterion for those meter agents who did not attempt to submit meter data. • Meter agents must now submit meter data for each of their assets in order to be considered successful.
STL-05: Submit Dispute	Reason for Change: The Settlements metrics were also updated to be consistent with the other metrics and use Target Mass.
STL-06: Settlement Statement Timeliness	Reason for Change: Established overall measurement criteria to provide greater insight if this metric was at risk.

<p>INT-02: Organizational Staffing Readiness</p>	<p>Reason for Change: New insight into the HR process as this metric was measured, triggered a slight change in the measurement criteria. The overall criteria has changed to ensure Integrated Marketplace resource positions have been filled within 90 days of the approved hire date, rather than the posting date.</p>
<p>TCR-03: TCR Production – Abbreviated Annual Auction</p>	<p>Reason for Change: Clarifications were required to accurately reflect how SPP is measuring this metric</p> <ul style="list-style-type: none"> • Added dates for when the ARR Allocation and TCR Auction are projected to be posted • The year of the target completion date was mistyped for the first Commission filing. It has now been corrected.
<p>TCR-04: TCR Production – Three Monthly Auctions</p>	<p>Reason for Change: Clarifications were required to accurately reflect how SPP is measuring this metric</p> <ul style="list-style-type: none"> • Added dates for when the TCR monthly auction are projected to be posted • Added the March month for Production TCR results to be posted • The year of the target completion date was mistyped for the first Commission filing. It has now been corrected.
<p>Deleted Metrics</p>	
<p>OPS-01: EMS Model Review</p>	<p>Reason for Deletion:</p> <ul style="list-style-type: none"> • Removed, with approval from MPs, due to redundancies with REG-02. • The Model Review is part of the Registration process and as such, SPP and MPs agreed it was not necessary to measure as a separate metric.
<p>STL-04: Submit Bilateral Settlement Schedule</p>	<p>Reason for Deletion:</p> <ul style="list-style-type: none"> • Removed per MP’s request because it is not required that MPs to submit a BSS. • The ability for MPs to submit a BSS is tracked and reported, but not as an official Readiness Metric.

Also submitted with filing, as Exhibits, are clean and redline versions of the revised SPP Integrated Marketplace Readiness Metrics.

III. ADDITIONAL INFORMATION

A. Documents Submitted with this Filing:

In addition to this transmittal letter, the following documents are included with this filing:

Exhibit SPP-1: SPP's Integrated Marketplace Readiness Metrics (ver. 5.0), dated October 4, 2013 (Clean version)

Exhibit SPP-2: SPP's Integrated Marketplace Readiness Metrics (ver. 5.0), dated October 4, 2013 (Redline Version)

B. Service:

SPP has electronically served a copy of this filing on all its Members and Customers. A complete copy of this filing will be posted on the SPP web site, www.spp.org, and is also being served on all affected state commissions. SPP also has served a copy of this filing on all parties on the service list established by the Secretary of the Commission in this proceeding.

C. Communications

Correspondence and communications with respect to this filing should be sent to, and SPP requests the Secretary to include on the official service list, the following:

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The Honorable Kimberly D. Bose

November 1, 2013

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IV. CONCLUSION

For the reasons stated herein, SPP respectfully requests that the Commission a) accept the revised Readiness Metrics and, b) if the Commission determines to act on this filing, to issue an order by December 20, 2013.

Respectfully submitted,

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Exhibit SPP-1

SPP's Integrated Marketplace Readiness Metrics (Clean)

Integrated Marketplace Readiness Metrics

October 4, 2013

Readiness & Metrics Workstream

Revision History

Version Number	Date	Author	Change Description
0.1	2/23/12	Jodi Woods, Derrick Baldwin, Elizabeth Aguilar	Initial Draft
0.2	10/10/12	Jodi Woods, Derrick Baldwin, Elizabeth Aguilar	<p>Added metrics: TCR-03, CON-01, CON-02, CON-03, and TRL-01</p> <p>Deleted metrics: INT-05 and CBA-02</p> <p>Edited metrics: INT-01, INT-02, INT-03, INT-04, REG-01, REG-02, CBA-01, TCR-01, TCR-02, TCR-04, TCR-05, and TCR-06</p>
0.3	3/14/13	Jodi Woods, Derrick Baldwin, Elizabeth Aguilar	<p>Added metrics: TRL-01, TRL-02</p> <p>Deleted metrics: TCR-06</p> <p>Edited metrics: CON-01, CON-02, CON-03, REG-01, RGL-01, RGL-02, STL-01, STL-02, STL-03, STL-04, STL-05, TCR-05, TRL-03(Changed numbering from TRL-01)</p>
1.0	4/9/13	Jodi Woods, Derrick Baldwin, Elizabeth Aguilar	Active Metric Inventory
2.0	5/14/13	Jodi Woods, Derrick Baldwin, Elizabeth Aguilar	<p>Added metric: OPS-13</p> <p>Deleted Metric: OPS-01</p> <p>Edited metrics: CBA-01, TRL-01, OPS-02, OPS-03, OPS-04, OPS-04, OPS-05, OPS-06, OPS-07, OPS-08, OPS-09, OPS-10, OPS-11, OPS-12, RGL-03</p>

2.1	6/5/13	Nicholas He, Derrick Baldwin	<p>Added metric: RSG-01</p> <p>Edited metrics: CBA-01, CON-01, CON-02, CON-03, TRL-01, TRL-02, OPS-02, OPS-03, OPS-04, OPS-05, OPS-06, OPS-07, OPS-08, OPS-09, OPS-10, OPS-11, OPS-12, RGL-01, RGL-02, RGL-03, STL-01, STL-02, STL-03, STL-04, STL-05, STL-06, INT-01, INT-02</p>
3.0	8/21/13	Erin Jester, Nicholas He, Elizabeth Aguilar	<p>Added Metrics: OPS-14, OPS-15, OPS-16</p> <p>Deleted Metrics: OPS-06, STL-04</p> <p>Edited Metrics: CBA-01, OPS-09, OPS-10, OPS-13, RGL-03, STL-01, STL-02, STL-03, STL-05, TCR-03, TCR-04</p>
4.0	9/25/13	Elizabeth Aguilar, Nicholas He, Erin Jester	<p>Added metrics: OPS-05a, OPS-05b, OPS-05c, OPS-17, OPS-18, STL-07, TCR-06</p> <p>Edited metrics: TRL-01, OPS-12, OPS-06a, OPS-06b, OPS-06c</p>
4.1	9/26/13	Erin Jester, Nicholas He, Elizabeth Aguilar	<p>Edited Metrics: TRL-03, OPS-15, OPS-16, OPS-17, STL-07</p>
5.0	10/4/13	Erin Jester, Nicholas He, Elizabeth Aguilar	<p>Edited Metrics: TRL-01, TCR-03, TCR-04, RGL-01, RGL-02, OPS-05a, OPS-05b, OPS-05c, OPS-14, STL-05, STL-07</p>

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Executive Summary

The Integrated Marketplace Program Readiness Metrics document provides the inventory of the Readiness Metrics as agreed upon between SPP and Market Participants. The Readiness Metrics will measure, monitor, and report on the overall readiness of the Integrated Marketplace program. Metrics internal to SPP as well as metrics measuring Market Participants are included in this document. The following metrics will be reviewed by the Readiness Liaisons and appropriate stakeholder groups. Once the initial draft is completed, it will be governed by a change control process that gives the Readiness Liaisons an opportunity to review and provide feedback.

Introduction

The Integrated Marketplace Readiness Metrics help determine, monitor, and measure the milestones and activities (both internally and externally) needed to ensure a successful implementation of the new Marketplace.

Readiness Metrics will be reported both internally and externally to ensure organizational and program readiness prior to the implementation of the Integrated Marketplace. If an identified readiness area is not achieving desired results or is falling behind schedule, the Readiness Metrics will help identify what mitigating actions are required to return the project back on track.

The goals of the Readiness Metrics are to:

- Provide clear and consistent reporting to both internal (SPP) and external (Participants) audiences
- Monitor readiness areas over the lifecycle of the program through measureable criteria
- Indicate if an identified readiness area is not achieving desired results

An Integrated Marketplace Readiness Dashboard will be published regularly to provide Readiness status. For each metric, the status will be indicated by the appropriate color which identifies if that task is on target or behind based on the provided success criteria and/or target due dates. When a metric is identified as being at risk or behind, a mitigating action will be provided. The description of these color codes are listed below with detailed descriptions being provided in the metrics details where applicable:

Color	Description
Gray	Monitoring of the metric has not begun or not applicable
Blue	The metric success criteria has been met and no longer requires monitoring, <i>and/or</i> The metric has been completed by the target due date
Green	The metric is meeting identified success criteria, <i>and/or</i> The metric is on schedule to meet the target due date
Yellow	The metric has not met the highest level of the identified success criteria, <i>and/or</i> The metric is at risk not meeting the identified target due date
Red	The metric has not met the highest or mid-range success criteria as defined, <i>and/or</i> The metric has not been completed by the specified target due date

Assumptions

The following overall assumptions have been made while drafting the Readiness Metrics:

- Metrics will measure all Integrated Marketplace MPs equally, Target Mass will be reported on separately for applicable metrics
- Metrics that are measuring MP activities during Market Trials will be based on the MPs that are actively participating in that phase of Market Trials. Participation in the various phases of Market Trials will be measured as a separate metric.
- This document includes overall Integrated Marketplace Readiness Metrics - testing and Market Trials entry/exit criteria are owned by the appropriate Integrated Marketplace workstreams
- Defects will be managed as a part of testing
- Delays in system delivery may impact target dates

The Readiness Metrics are intended to be a subset of the many factors considered in the go/no-go criteria for the Integrated Marketplace

To stay consistent with the Program milestone report, the following definitions will be used where indicated within the measurement criteria of a metric:

- **Tracking on time** indicates the Expected Finish is within 6 days of the Target Completion
- **At risk** indicates the Expected Finish is 7-13 days past the Target Completion
- **Tracking late** indicates the Expected Finish is 14 or more days past the Target Completion

Target Mass

Target Mass is the minimum set of Market Participants that need to demonstrate readiness prior to the Integrated Marketplace go-live. While Target Mass is an important indicator of readiness, not all metrics use Target Mass in the measurement criteria. Each individual metric will indicate if Target Mass is applicable or not. Other groupings of applicable MPs include, but are not limited to: TCR High Priority MPs, all MPs, Asset-owning MPs, and Meter Agents.

The overall Market Participant Readiness Status will reflect the status of the Target Mass. If the Target Mass has achieved a status of Green, the overall Market Participant status will be green, even if there are individual Market Participants showing a status of red. Defining Market Participant Readiness in terms of Target Mass will ensure that the Readiness workstream has obtained an accurate assessment of overall Market Participant Readiness status even if all Market Participants have not reported status for a particular period.

SPP's definition of Target Mass has the following criteria:

1. Market Participants making up 90% of market generation capacity as of 5/15/2013 (~ 76.8 GW)
 - Percent Generation Capacity by MP:
 - Asset Owning Balancing Authority Market Participants - ~ 63.2 GW – 82.3%
 - Asset Owning Market Participants - ~ 13.6 GW – 17.7%
2. 100% of all registered Market Participants performing Balancing Authority functions

Consolidated Balancing Authority Metrics

CBA-01: CBA Certification Activities

ID Number:	CBA-01																															
Category:	SPP																															
Description:	CBA certification approved by NERC																															
Measurement Criteria:	<p>This metric indicates that NERC has approved SPP's CBA Certification and will be measured by CBA & Regulatory milestones.</p> <table border="1" style="width: 100%;"> <tr> <td style="width: 20%;">3/31/2012</td> <td>First draft of CBA Emergency Desk Procedures & Emergency Operations Plan Published</td> </tr> <tr> <td>April 2012</td> <td>Notify SERC of intent to request certification - 18 months prior to intended cert start date*</td> </tr> <tr> <td>4/10/12</td> <td>Registration Tool recommendation presented to MOPC by CBASC (CFR, Legal Agreement)</td> </tr> <tr> <td>9/28/12</td> <td>Completion of all draft Emergency Operations Plan and CBA-related procedures (e.g. Normal ACE and Generation control Procedures, Normal Interchange desk procedures, etc.)</td> </tr> <tr> <td>Sept 2012</td> <td>CBASC approval of Emergency Operations Plan</td> </tr> <tr> <td>10/16/2012</td> <td>Completed Registration Tool Approvals (CBASC, SPP Executive, MOPC)</td> </tr> <tr> <td>April 1 2013</td> <td>Completion of all CBA-related procedures (e.g. Normal ACE and Generation control Procedures, Normal Interchange desk procedures, etc.)</td> </tr> <tr> <td>April 2013</td> <td>Member SPP Readiness Audit</td> </tr> <tr> <td>July 2013</td> <td>Identification of Member Operating Areas activities complete for support of registration of SPP as a BA complete^</td> </tr> <tr> <td>September 1 2013</td> <td>Operating Protocols published to CBASC</td> </tr> <tr> <td>November 1 2013</td> <td>EIS BAs provide Operating Protocol data to SPP</td> </tr> <tr> <td>November 2013</td> <td>SERC at SPP to begin for certification reviews</td> </tr> <tr> <td>December 2013</td> <td>SERC Submits Letter and Files Registration Changes with NERC</td> </tr> <tr> <td>December 2013</td> <td>SERC Approval*</td> </tr> <tr> <td>January 2014</td> <td>NERC Certification Approved *</td> </tr> </table> <p>Green: Milestones tracking on time Yellow: Milestones are at risk Red: "Critical" dates (as indicated by "*" above) are missed</p> <p>Metric Complete: SPP receives NERC approval of CBA Certification</p>		3/31/2012	First draft of CBA Emergency Desk Procedures & Emergency Operations Plan Published	April 2012	Notify SERC of intent to request certification - 18 months prior to intended cert start date*	4/10/12	Registration Tool recommendation presented to MOPC by CBASC (CFR, Legal Agreement)	9/28/12	Completion of all draft Emergency Operations Plan and CBA-related procedures (e.g. Normal ACE and Generation control Procedures, Normal Interchange desk procedures, etc.)	Sept 2012	CBASC approval of Emergency Operations Plan	10/16/2012	Completed Registration Tool Approvals (CBASC, SPP Executive, MOPC)	April 1 2013	Completion of all CBA-related procedures (e.g. Normal ACE and Generation control Procedures, Normal Interchange desk procedures, etc.)	April 2013	Member SPP Readiness Audit	July 2013	Identification of Member Operating Areas activities complete for support of registration of SPP as a BA complete^	September 1 2013	Operating Protocols published to CBASC	November 1 2013	EIS BAs provide Operating Protocol data to SPP	November 2013	SERC at SPP to begin for certification reviews	December 2013	SERC Submits Letter and Files Registration Changes with NERC	December 2013	SERC Approval*	January 2014	NERC Certification Approved *
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Assumptions:	<ul style="list-style-type: none"> • ^Only applies to current EIS BAs and pending approval of Functional Matrix • Dates are subject to SERC and NERC • Dates will be refined as more information is available
Reported by:	SPP – Regulatory & Parallel Operations workstreams
Target Completion:	1/31/14
Data Source(s):	Regulatory & CBA Milestones, CBA Certification

Market Trials Connectivity Metrics

CON-01: TCR Accelerated Connectivity Test Complete

ID Number:	CON-01
Category:	Market Participants
Description:	Verify completion of the TCR Accelerated Connectivity Testing phase of Market Trials.
Measurement Criteria:	<p>This metric measures the completion of the TCR Accelerated Connectivity Testing phase of Market Trials. This phase includes both the completion of TCR Connectivity Test and the completion of the TCR Data Exchange Certification. MP completion of the TCR Accelerated Connectivity test and the Data Exchange Certification indicates that all test cases have been passed.</p> <p>By Market Participant: Green: TCR Accelerated Connectivity Test complete Red: TCR Accelerated Connectivity Test incomplete Gray: Metric not applicable</p> <p>Overall: Green: 100% of “High Priority” MPs have completed the TCR Accelerated Connectivity Test Yellow: 90 – 99.9% of “High Priority” MPs have completed TCR Accelerated Connectivity Test Red: < 90% of “High Priority” MPs have completed TCR Accelerated Connectivity Test</p> <p>Metric Complete: The TCR Accelerated Connectivity Testing Exit Criteria as defined in the Market Trials Connectivity Test Market Participant Guide</p>
Assumptions:	<ul style="list-style-type: none"> • Exit criteria is based on target mass as defined in the Market Trials Connectivity Test Market Participant Guide • “High Priority” MPs defined by TCR workstream as <i>any MP with a current NITS reservation on OASIS</i> • All prerequisite SPP and MP activities have been completed prior to the completion of the TCR Accelerated Connectivity Test phase of Market Trials • MPs will schedule retests as necessary
Reported by:	SPP – Market Trials workstream
Target Completion:	12/21/2012

Data Source(s):	Connectivity Test Appointment Scheduling Calendar
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CON-02: Connectivity Test Complete

ID Number:	CON-02
Category:	Market Participants
Description:	Verify completion of the Connectivity Testing phase of Market Trials.
Measurement Criteria:	<p>This metric measures the completion of the Connectivity Testing phase of Market Trials. MP completion of the Connectivity Test indicates that all test cases have been passed.</p> <p>By Market Participant: Green: Connectivity Test complete Red: Connectivity Test incomplete</p> <p>Overall: Green: 100% of Target Mass has completed Connectivity Test Yellow: 90 – 99.9% of Target Mass has completed Connectivity Test Red: < 90% of Target Mass has completed Connectivity Test</p> <p>Metric Complete: The Connectivity Test Exit Criteria has been met as defined in the Market Trials Connectivity Test Market Participant Guide</p>
Assumptions:	<ul style="list-style-type: none"> • Exit criteria is based on target mass as defined in the Market Trials Connectivity Test Market Participant Guide • All prerequisite SPP and MP activities have been completed prior to the completion of the Connectivity Test phase of Market Trials • MPs will schedule retests as necessary
Reported by:	SPP – Market Trials workstream
Target Completion:	5/17/2013
Data Source(s):	Connectivity Test Appointment Scheduling Calendar

CON-03: Data Exchange Certification Complete

ID Number:	CON-03
Category:	Market Participants
Description:	Verify the completion of Data Exchange Certification phase of Market Trials.
Measurement Criteria:	<p>This metric measures the completion of the Data Exchange Certification. The Data Exchange Certification allows Market Participants to verify critical data submission, query, notification operations, and User Interfaces in the SPP Production Primary environment following Connectivity Test. MP completion of the Data Exchange Certification indicates that all test cases have been passed.</p> <p>By Market Participant:</p>

	<p>Green: Data Exchange Certification complete Red: Data Exchange Certification incomplete</p> <p>Overall: Green: 100% of Target Mass has completed the Data Exchange Certification Yellow: 90 – 99.9% of Target Mass has completed the Data Exchange Certification Red: < 90% of Target Mass has completed the Data Exchange Certification</p> <p>Metric Complete: The Data Exchange Certification Exit Criteria has been met as defined in the Market Trials Connectivity Test Market Participant Guide</p>
Assumptions:	<ul style="list-style-type: none"> • Exit criteria is based on target mass as defined in the Market Trials Connectivity Test Market Participant Guide • All prerequisite SPP and MP activities have been completed prior to the completion of the Data Exchange Certification • MPs will schedule retests as necessary
Reported by:	SPP – Market Trials workstream
Target Completion:	5/17/2013
Data Source(s):	Connectivity Test Appointment Scheduling Calendar

Market Trials Metrics

TRL-01: Market Trials Participation

ID Number:	TRL-01
Category:	Market Participants
Description:	Verify Market Participant participation in Market Trials.
Measurement Criteria:	<p>This metric measures MP participation in Market Trials. Participation will be measured based on execution in the market. The following measurement criteria will be used to determine MP participation in Market Trials.</p> <p>Resource Owning MPs: Green: Maintain offers for each operating day Yellow: Did not maintain offers for each operating day Red: Did not maintain offers for 80% of operating days</p> <p>Load Owning MPs: Green: Submit market energy bids based on load forecasts for each operating day Yellow: Did not submit market energy bids for each operating day Red: Did not maintain offers for 80% of operating days</p> <p>Financial Only MPs: Green: Submit market virtual bids and/or offers for each operating day Gray: Did not submit market virtual bids and/or offers¹ for each operating day</p> <p>Overall: Green: 90% - 100% of Target Mass is participating in Market Trials Yellow: 80 – 89.9% of Target Mass is participating in Market Trials Red: < 80% of Target Mass is participating in Market Trials</p>
Assumptions:	<ul style="list-style-type: none"> • ¹The submission of virtual bids/offers is not required • Every official operating day as detailed in the Market Trials calendar • Intent to roll forward received from Resource-Owning MPs • Resource-Owning MPs need to submit an offer in the DA Market and RTBM • Load-Owning MPs need to submit a bid in the DA Market • MP is viewed as participating in the Structured/Unstructured phase of Market Trials if MP has fully participated in at least 80% of the month’s operating days • Full participation entails MPs submitting their required bids and offers in the DA Market and RTBM • This metric is applicable to SMT and Parallel Operations
Reported by:	SPP – Market Trials workstream
Target Completion:	End of Market Trials

TRL-02: Structured/Unstructured Test Complete

ID Number:	TRL-02
Category:	SPP
Description:	Verify completion of Market Trials Structured/Unstructured test.
Measurement Criteria:	<p>The intent of this metric is to verify the execution of operational scenarios during Structured/Unstructured testing. The following measurement criteria will be used to determine the completion of the Structured/Unstructured phase of Market Trials.</p> <p>Monthly:</p> <p>Green: 75-100% of Structured/Unstructured operational scenarios scheduled in the current month are executed and passed</p> <p>Yellow: 50 -74% of Structured/Unstructured operational scenarios scheduled in the current month are executed and passed</p> <p>Red: < 50% of Structured/Unstructured operational scenarios scheduled in the current month are executed and passed</p> <p>Overall:</p> <p>Green: 75-100% of Structured/Unstructured operational scenarios are complete</p> <p>Yellow: 50 -74% of Structured/Unstructured operational scenarios are complete</p> <p>Red: < 50% of Structured/Unstructured operational scenarios are complete</p> <p>Metric Complete:</p> <p>The Market Trials Structured/Unstructured Exit Criteria as defined in the Market Trials Structured/Unstructured Test Market Participant Guide</p>
Assumptions:	<ul style="list-style-type: none"> • This metric does not include the daily base scenarios (.1, .2, .3, .4) • Exit criteria is based on target mass as defined in the Market Trials Structured/Unstructured Test Market Participant Guide • Monthly operational scenario schedules will be provided by the Market Trials workstream • All operational scenarios will be tracked by the Market Trials workstream and reported to the Readiness workstream to assess the overall metric status • Some operational scenarios may be measured and reported separately depending on their criticality to go-live • All prerequisite activities have been completed prior to the completion of Market Trials Structured/Unstructured testing
Reported by:	SPP – Market Trials workstream
Target Completion:	11/1/2013
Data Source(s):	Market Trials Calendar and SMT Report

TRL-03: Market Trials – Integrated Deployment Testing

ID Number:	TRL-03
Category:	SPP
Description:	Verify that the Integrated Deployment Tests (IDT) have been successful.
Measurement Criteria:	This metric verifies that SPP has successfully completed the Deployment Testing during Market Trials for the Integrated Marketplace.

	<p>SPP SMEs will review a checklist of success criteria with MPs during the IDT debriefing call. With input from the participating MPs, SPP will determine if each IDT has been considered a success.</p> <p>Overall: Green: The most recently executed Integrated Deployment Test was successful Red: The most recently executed Integrated Deployment Test was unsuccessful</p> <p>Metric Complete: Integrated Deployment Testing has been successfully completed.</p>
Assumptions:	
Reported by:	SPP – Market Trials workstream
Target Completion:	1/31/2014
Data Source(s):	TBD

Operations Metrics

OPS-02: State Estimator Availability

ID Number:	OPS-02
Category:	SPP
Description:	SPP will verify State Estimator availability for the Integrated Marketplace
Measurement Criteria:	<p>This metric is measured by checking for a solved SE solution during each 5-minute period in a calendar day. The availability will be calculated using the following formula $(1 - (\text{total 5 min periods without a solution}/288)) * 100 = \text{Daily availability}$</p> <p>Overall:</p> <p>Green: State Estimator has ninety-seven percent (97%) availability of five (5) minute solutions for 7 consecutive operating days prior to Parallel Ops</p> <p>Yellow: State Estimator does not have ninety-seven percent (97%) availability of five (5) minute solutions for 7 consecutive operating days prior to Parallel Ops</p> <p>Metric Complete:</p> <p>State Estimator has ninety-seven percent (97%) availability of five (5) minute solutions for 7 consecutive days during Parallel Ops</p> <p>Additionally, there are no more than 6 consecutive 5 minute intervals without a solved valid SE solution (<i>30 minutes is the parameter set for RTBM to use the latest SE solution</i>)</p>
Assumptions:	<ul style="list-style-type: none"> If a failover of the EMS System is required on a particular day or a failover of the ICCP System for the purpose of bringing new Models on line, that day will be excluded from the measurements
Reported by:	SPP – Market Trials workstream Report: Externally
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-03: State Estimator Accuracy

ID Number:	OPS-03
Category:	SPP
Description:	SPP will verify State Estimator accuracy for the Integrated Marketplace
Measurement Criteria:	<p>This metric measures the quality of the State Estimator using the following criteria.</p> <p>Overall:</p> <p>Green: State Estimator solves 90% of the time with Mismatch level lower than 50 MW for 7 consecutive operating days prior to Parallel Ops</p> <p>Yellow: State Estimator does not solve 90% of the time with Mismatch level</p>

	<p>lower than 50 MW for 7 consecutive operating days prior to Parallel Ops</p> <p>Metric Complete: State Estimator solves 90% of the time with Mismatch level lower than 50 MW for 7 consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> If a failover of the EMS System is required on a particular day or a failover of the ICCP System for the purpose of bringing new Models on line, that day will be excluded from the measurements
Reported by:	SPP – Market Trials workstream
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-04: Short-Term Load Forecast Accuracy

ID Number:	OPS-04
Category:	SPP
Description:	SPP will verify Short Term Load Forecast accuracy for the Integrated Marketplace
Measurement Criteria:	<p>This metric will be tracked by comparing the load forecast values calculated by the Short Term forecast engine with the raw ICCP values (i.e. telemetered values).</p> <p>Overall:</p> <p>Green: Short term load forecast for the SPP market footprint used for RTBM for conforming loads solves 97% of time with +/- 1% accuracy for seven consecutive operating days prior to Parallel Ops</p> <p>Yellow: Short term load forecast for the SPP market footprint used for RTBM for conforming loads does not solve 97% of time with +/- 1% accuracy for seven consecutive operating days prior to Parallel Ops</p> <p>Metric Complete: Short term load forecast for the SPP market footprint used for RTBM for conforming loads solves 97% of time with +/- 1% accuracy for seven consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> Calculation: $(STLF - 5 \text{ min load actual}) / 5 \text{ min load actual} = +/- 1\%$
Reported by:	SPP – Operations Engineering
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-05a: Mid-Term Load Forecast Accuracy – 4AM ID RUC

ID Number:	OPS-05a
Category:	SPP
Description:	SPP will verify 4am Mid-term Load Forecast accuracy for the Integrated Marketplace

Measurement Criteria:	<p>This metric will be tracked by comparing the load forecast values calculated during ID_RUC by the Mid Term forecast engine with the raw ICCP values (i.e. telemetered values).</p> <p>Overall:</p> <p>Green: 4am Mid-term load forecast for conforming loads for the SPP market footprint solves 97% of time with +/- 5% accuracy for seven consecutive operating days prior to Parallel Ops</p> <p>Yellow: 4am Mid-term load forecast for conforming loads for the SPP market footprint does not solve 97% of time with +/- 5% accuracy for seven consecutive operating days prior to Parallel Ops</p> <p>Metric Complete:</p> <p>4am Mid-term load forecast for conforming loads for the SPP market footprint solves 97% of time with +/- 5% accuracy for seven consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> The following solutions will be used to comply with the metric: <ul style="list-style-type: none"> 4am MTLF for 8am Calculation: $(MTLF - \text{hourly load actual}) / \text{hourly load actual} = +/- 5\%$
Reported by:	SPP – Operations Engineering
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-05b: Mid-Term Load Forecast Accuracy – 12PM ID RUC

ID Number:	OPS-05b
Category:	SPP
Description:	SPP will verify 12pm Mid-term Load Forecast accuracy for the Integrated Marketplace
Measurement Criteria:	<p>This metric will be tracked by comparing the load forecast values calculated during ID_RUC by the Mid Term forecast engine with the raw ICCP values (i.e. telemetered values).</p> <p>Overall:</p> <p>Green: 12pm Mid-term load forecast for conforming loads for the SPP market footprint solves 97% of time with +/- 5% accuracy for seven consecutive operating days prior to Parallel Ops</p> <p>Yellow: 12pm Mid-term load forecast for conforming loads for the SPP market footprint does not solve 97% of time with +/- 5% accuracy for seven consecutive operating days prior to Parallel Ops</p> <p>Metric Complete:</p> <p>12pm Mid-term load forecast for conforming loads for the SPP market footprint solves 97% of time with +/- 5% accuracy for seven consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> The following solutions will be used to comply with the metric: <ul style="list-style-type: none"> Noon MTLF for 3pm Calculation: $(MTLF - \text{hourly load actual}) / \text{hourly load actual} = +/- 5\%$
Reported by:	SPP – Operations Engineering

Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-05c: Mid-Term Load Forecast Accuracy – 5pm DA RUC

ID Number:	OPS-05c
Category:	SPP
Description:	SPP will verify 5pm Mid-term Load Forecast accuracy for the Integrated Marketplace
Measurement Criteria:	<p>This metric will be tracked by comparing the load forecast values calculated during DA_RUC by the Mid Term forecast engine with the raw ICCP values (i.e. telemetered values).</p> <p>Overall:</p> <p>Green: 5pm Mid-term load forecast for conforming loads for the SPP market footprint solves 97% of time with +/- 5% accuracy for seven consecutive operating days prior to Parallel Ops</p> <p>Yellow: 5pm Mid-term load forecast for conforming loads for the SPP market footprint does not solve 97% of time with +/- 5% accuracy for seven consecutive operating days prior to Parallel Ops</p> <p>Metric Complete:</p> <p>5pm Mid-term load forecast for conforming loads for the SPP market footprint solves 97% of time with +/- 5% accuracy for seven consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> • The following solutions will be used to comply with the metric: <ul style="list-style-type: none"> – Daily peak accuracy based on 5pm Day-Ahead MTLF used for DA RUC solution • Calculation: $(MTLF - \text{hourly load actual}) / \text{hourly load actual} = +/- 5\%$
Reported by:	SPP – Operations Engineering
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-06a: Wind Forecast Accuracy – Pre RTBM

ID Number:	OPS-06a
Category:	SPP
Description:	SPP will verify Wind Forecast accuracy for the Integrated Marketplace
Measurement Criteria:	<p>This metric will be tracked by comparing the wind forecast values calculated during pre-RTBM by the wind forecast engine with the real-time output of the wind resources</p> <p>Overall:</p> <p>Green: Wind forecast for SPP Market footprint solves with +/- 15% accuracy for six out of seven consecutive operating days prior to Parallel Ops</p> <p>Yellow: Wind forecast for SPP Market footprint does not solve with +/- 15% accuracy for six out of seven consecutive operating days prior to Parallel Ops</p> <p>Metric Complete:</p> <p>Wind forecast for SPP Market footprint solves with +/- 15% accuracy for six out of seven consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> • The following solutions will be used to comply with the metric: <ul style="list-style-type: none"> – 4am System-Wide forecast for 5am – Noon System-Wide forecast for 1pm • Calculation: Errors shall be computed as Mean Absolute Error (MAE). <ul style="list-style-type: none"> - Hour-ahead forecast errors should be within 15%
Reported by:	SPP Operations Engineering
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-06b: Wind Forecast Accuracy – RTBM

ID Number:	OPS-06b
Category:	SPP
Description:	SPP will verify Wind Forecast accuracy for the Integrated Marketplace
Measurement Criteria:	<p>This metric will be tracked by comparing the wind forecast values calculated during RTBM by the wind forecast engine with the real-time output of the wind resources</p> <p>Overall:</p> <p>Green: Wind forecast for SPP Market footprint solves with +/- 10% accuracy for six out of seven consecutive operating days prior to Parallel Ops</p> <p>Yellow: Wind forecast for SPP Market footprint does not solve with +/- 10% accuracy for six out of seven consecutive operating days prior to</p>

	<p style="text-align: center;">Parallel Ops</p> <p>Metric Complete: Wind forecast for SPP Market footprint solves with +/- 10% accuracy for six out of seven consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> • The following solutions will be used to comply with the metric: <ul style="list-style-type: none"> – 4am System-Wide forecast – Noon System-Wide forecast • Calculation: Errors shall be computed as Mean Absolute Error (MAE). <ul style="list-style-type: none"> - 10-minute forecast errors should be within 10%
Reported by:	SPP Operations Engineering
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-06c: Wind Forecast Accuracy – DA RUC

ID Number:	OPS-06c
Category:	SPP
Description:	SPP will verify Wind Forecast accuracy for the Integrated Marketplace
Measurement Criteria:	<p>This metric will be tracked by comparing the wind forecast values calculated during DA RUC by the wind forecast engine with the real-time output of the wind resources</p> <p>Overall: Green: Wind forecast for SPP Market footprint solves with +/- 20% accuracy for six out of seven consecutive operating days prior to Parallel Ops Yellow: Wind forecast for SPP Market footprint does not solve with +/- 20% accuracy for six out of seven consecutive operating days prior to Parallel Ops</p> <p>Metric Complete: Wind forecast for SPP Market footprint solves with +/- 20% accuracy for six out of seven consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> • The following solutions will be used to comply with the metric: <ul style="list-style-type: none"> – 4am System-Wide forecast for 8am – Noon System-Wide forecast for 3pm – Daily peak accuracy based on 5pm Day-Ahead System-Wide forecast used for DA RUC solution • Calculation: Errors shall be computed as Mean Absolute Error (MAE). <ul style="list-style-type: none"> - Day-ahead forecast errors should be within 20%
Reported by:	SPP Operations Engineering

Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-07: Market Flow Calculations Availability – Current Hour

ID Number:	OPS-07
Category:	SPP
Description:	SPP will verify the availability of the Market System and associated inputs through the count of the amount of successful market flow calculations during a given period.
Measurement Criteria:	<p>This metric is measured by calculating the number of successful studies during the reporting period for the current hour. The metric will be judged successful when the number of approved study cases for each study type divided by the number of 5 minute intervals during that period is less than 97% and the number of consecutive failures is no greater than three. An adjustment for the number of 5 minute intervals should be made for the amount of time system outages are planned.</p> <p>Overall:</p> <p>Green: Market Flow Calculations successful ninety-seven percent (97%) of 5 minute solutions for seven consecutive operating days prior to Parallel Ops</p> <p>Yellow: Market Flow Calculations are not successful ninety-seven percent (97%) of 5 minute solutions for seven consecutive operating days prior to Parallel Ops</p> <p>Metric Complete:</p> <p>Market Flow Calculations successful ninety-seven percent (97%) of 5 minute solutions for seven consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> • This metric is inclusive of unplanned failures. Time frames with planned downtimes are not included in this metric.
Reported by:	SPP – Operations Engineers
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-08: Market Flow Calculations Availability – Next Hour

ID Number:	OPS-08
Category:	SPP
Description:	SPP will verify the availability of the Market System and associated inputs through the count of the amount of successful market flow calculations during a given period.
Measurement Criteria:	<p>This metric is measured by calculating the number of successful studies during the reporting period for the next hour. The metric will be judged successful when the number of approved study cases for each study type divided by the number of 5 minute intervals during that period is less than 97% and the number of consecutive failures is no greater than three. An adjustment for the number of 5 minute intervals should be made for the amount of time system outages are planned.</p>

	<p>Overall:</p> <p>Green: Market Flow Calculations successful ninety-seven percent (97%) of 5 minute solutions for seven consecutive operating days prior to Parallel Ops</p> <p>Yellow: Market Flow Calculations are not successful ninety-seven percent (97%) of 5 minute solutions for seven consecutive operating days prior to Parallel Ops</p> <p>Metric Complete:</p> <p>Market Flow Calculations successful ninety-seven percent (97%) of 5 minute solutions for seven consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> This metric is inclusive of unplanned failures. Time frames with planned downtimes are not included in this metric.
Reported by:	SPP – Operations Engineers
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-09: DA Market Results Posted

ID Number:	OPS-09
Category:	SPP
Description:	Day-Ahead Market results are posted on time
Measurement Criteria:	<p>This metric is measured by validating that the results of the Day-Ahead Market are posted to all required access points.</p> <p>Overall:</p> <p>Green: Day-Ahead Market results are posted every day by 4pm for 5 consecutive operating days prior to Parallel Ops</p> <p>Yellow: Day-Ahead Market results are not posted every day by 4pm for 5 consecutive operating days prior to Parallel Ops</p> <p>Metric Complete:</p> <p>Day-Ahead Market results are posted every day by 4pm for 5 consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> Any posting within 5 minutes after 4pm should be considered “on-time” due to minor network and system latency in the normal process of posting.
Reported by:	Day Ahead Market Operations
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-10: Generate DA LMPs and Settlement Point Prices

ID Number:	OPS-10
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Category:	SPP
Description:	Generate Day-Ahead LMPs - The LMPs will be calculated daily for each pnode and available for Market Participant Access.
Measurement Criteria:	<p>The metric will measure whether LMPs are generated after each Day-Ahead Market execution.</p> <p>Overall:</p> <p>Green: LMPs are made available for each settlement location every day by 4pm for 5 consecutive operating days prior to Parallel Ops</p> <p>Yellow: LMPs are not made available for each settlement location every day by 4pm for 5 consecutive operating days prior to Parallel Ops</p> <p>Metric Complete:</p> <p>LMPs are made available for each settlement location every day by 4pm for 5 consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> Any posting within 5 minutes after 4pm should be considered “on-time” due to minor network and system latency in the normal process of posting.
Reported by:	Day Ahead Market Operations
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-11: RTBM Calculation Availability

ID Number:	OPS-11
Category:	SPP
Description:	SPP will verify RTBM Calculation availability for the Integrated Marketplace
Measurement Criteria:	<p>This metric will measures RTBM calculation availability:</p> <p>Overall:</p> <p>Green: Real-Time Calculations successful ninety-nine percent (99%) of five (5) minute solutions for 7 consecutive operating days prior to Parallel Ops</p> <p>Yellow: Real-Time Calculations are not successful ninety-nine percent (99%) of five (5) minute solutions for 7 consecutive operating days prior to Parallel Ops</p> <p>Metric Complete:</p> <p>Real-Time Calculations successful ninety-nine percent (99%) of five (5) minute solutions for 7 consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> If a failover of the EMS System is required on a particular day or a failover of the ICCP System for the purpose of bringing new Models on line, that day will be excluded from the measurements
Reported by:	SPP – Market Trials workstream
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-12: Operating Reserves Requirements

ID Number:	OPS-12
Category:	SPP
Description:	SPP will ensure Asset-Owning MPs Operating Reserves are posted on-time
Measurement Criteria:	<p>This metric will validate that Asset-Owning MPs Operating Reserves are calculated and posted on time (7:00 am Central) during Parallel Operations phase of Market Trials for 7 consecutive days.</p> <p>Overall:</p> <p>Green: Operating Reserves are calculated and posted on time for 7 consecutive operating days prior to Parallel Ops</p> <p>Yellow: Operating Reserves were not calculated and posted on time for 7 consecutive operating days prior to Parallel Ops</p> <p>Metric Complete:</p> <p>Operating Reserves are calculated and posted on time for 7 consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> • All MP supplied data needs to be submitted prior to DBDA-RUC execution • Dependent on reserve requirement calculator availability • SPP posts the reserve obligation to Asset Owners with load
Reported by:	SPP – Market Trials workstream
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database

OPS-13: Regulation Pre-Certification

ID Number:	OPS-13						
Category:	Market Participant						
Description:	Market Participants with regulation resources collaborate with SPP to complete Regulation pre-certification process.						
Measurement Criteria:	<p>This metric measures the completion of the Regulation pre-certification for MPs with regulation resources. The following milestones will be used to track this metric:</p> <table border="1" data-bbox="440 1409 1365 1551"> <tr> <td>5/31/2013</td> <td>MPs notify SPP of resources that need to be deployment tested</td> </tr> <tr> <td>9/30/2013</td> <td>MPs submit data for Regulation pre-certification</td> </tr> <tr> <td>10/31/2013</td> <td>Conduct deployment testing for identified resources</td> </tr> </table> <p>By Market Participant:</p> <p>Green : Milestones are tracking on time</p> <p>Red: Milestones are late</p> <p>Overall:</p> <p>Green : Milestones are tracking on time for 100% of MPs</p> <p>Yellow: Milestones are at risk for 100% of MPs</p> <p>Red: Less than 100% of MPs by milestone date</p> <p>Metric Complete:</p>	5/31/2013	MPs notify SPP of resources that need to be deployment tested	9/30/2013	MPs submit data for Regulation pre-certification	10/31/2013	Conduct deployment testing for identified resources
5/31/2013	MPs notify SPP of resources that need to be deployment tested						
9/30/2013	MPs submit data for Regulation pre-certification						
10/31/2013	Conduct deployment testing for identified resources						

	All MP identified regulation resources have completed the Regulation Pre-Certification
Assumptions:	
Reported by:	SPP – Markets & Readiness workstreams
Target Completion:	October 31, 2013
Data Source(s):	Regulation Pre-Certification Process Tracker

OPS-14: ACE Performance Accuracy

ID Number:	OPS-14
Category:	SPP
Description:	SPP will verify ACE performance accuracy for the Integrated Marketplace
Measurement Criteria:	<p>This metric will measure the comparison of the Area Control Error (ACE) calculation between the future control system and existing control system, for accuracy for seven days.</p> <p>Overall:</p> <p>Green: The 5 min rolling average delta between the SPP ACE and the SUM of the individual EIS BA ACE values is within a band defined as the greater of +/- 20MW and +/- 10% of the corresponding Average Sum of the individual SPP BA ACE for 7 days</p> <p>Yellow: The 5 min rolling average delta between the SPP ACE and the SUM of the individual EIS BA ACE values is within a band defined as the greater of +/- 20MW and +/- 10% of the corresponding Average Sum of the individual SPP BA ACE for 7 days with delta's of +/- 30% that are explainable</p> <p>Red: The 5 min rolling average delta between the SPP ACE and the SUM of the individual EIS BA ACE values is within a band defined as the greater of +/- 20MW and +/- 10% of the corresponding Average Sum of the individual SPP BA ACE for 7 days with delta's of +/- 30% that are not explainable</p> <p>Metric Complete:</p> <p>The 5 min rolling average delta between the SPP ACE and the SUM of the individual EIS BA ACE values is within a band defined as the greater of +/- 20MW and +/- 10% of the corresponding Average Sum of the individual SPP BA ACE for 7 days with delta's of +/- 30% that are explainable</p>
Assumptions:	<ul style="list-style-type: none"> • During RSS events, RSS Schedules will be automatically populated in the new SPP control system. If not, then this period will be evaluated for inclusion based on SPP operators manually entering these schedules • Total Dynamic Schedules by interface are being telemetered via ICCP for each EIS BA • Tag mirroring is in place • Valid EIS ACE data is available 90% of intervals during the 7 day window • Invalid EIS ACE data is defined as erroneous ACE values telemetered to

	<p>SPP affecting the SUM of the individual EIS BA ACE</p> <ul style="list-style-type: none"> • Intervals with invalid EIS BA ACE data will be excluded from the calculation • Valid SPP ACE data is available for 90% of intervals during the 7 day window • SPP ACE is considered valid for all intervals that SPP CPS data is also valid • Intervals with invalid SPP ACE will be excluded from the calculation
Reported by:	SPP Operations Engineering
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	TBD

OPS-15: CROW Outage Submission

ID Number:	OPS-15
Category:	SPP and Market Participants
Description:	SPP and Market Participants verify the quality of resource outage through comparison of SCADA and CROW data
Measurement Criteria:	<p>This metric will measure the accuracy of MPs outage submissions through CROW on a weekly basis. MPs will be measured for quality control by comparing the time difference between the SCADA and CROW data for the outage. The intent being that outages submitted through CROW match the actual outage experienced.</p> <p>By Market Participant:</p> <p>Green: All Outages recorded through SCADA are accurately reflected in CROW within 30 minutes</p> <p>Yellow: All outages recorded through SCADA are accurately reflected in CROW within 1 hour</p> <p>Red: An Outage recorded through SCADA is not recorded in CROW within 1 hour</p> <p>Overall:</p> <p>Green: On track for 100% of resource-owning MPs</p> <p>Red: At risk for 100% of resource-owning MPs</p> <p>Metric Complete:</p> <p>100% of resource-owning MPs reports outages through SCADA and CROW within 30 minutes</p>
Assumptions:	<ul style="list-style-type: none"> • SPP will guide MPs through the submission of an outage if needed • Only resource-owning MPs are applicable • In the absence of a real outage, MP will work with SPP to create a simulated outage and submit an outage through CROW
Reported by:	SPP Operations Engineering
Target Completion:	Go-Live

Data Source(s):	SCADA, CROW
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OPS-16: MP Response to Deployment Testing

ID Number:	OPS-16
Category:	Market Participants
Description:	Market Participants physically respond to dispatch instructions during deployment testing
Measurement Criteria:	<p>This metric will measure if at least one of a resource-owning MP's units responds during one of the 15 deployment tests. A unit response demonstrates to SPP that it is following deployment testing and can receive instructions.</p> <p>By Market Participant:</p> <p>Green: One or more of the MPs online units responded to dispatch instructions during a deployment test</p> <p>Red: At least one of the MPs online units did not respond to dispatch instructions during a deployment test</p> <p>Gray: MP units are offline during deployment tests</p> <p>Metric Complete:</p> <p>100% of online resource-owning MPs have responded at least once during the 15 deployment tests</p>
Assumptions:	<ul style="list-style-type: none"> Only online resource-owning MPs are applicable
Reported by:	SPP Operations Engineering
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	PI Displays, SCADA

OPS-17: ICCP Model Validation

ID Number:	OPS-17
Category:	Market Participants
Description:	ICCP Models are up-to-date and validated
Measurement Criteria:	<p>This metric will measure whether member ICCP Models are up to date, and the data exchange and values have been validated for all applicable entities and relationships</p> <p>By Market Participant:</p> <p>Green: ICCP Model is up-to-date and validated</p> <p>Yellow: ICCP Model is not up-to-date and validated</p> <p>Overall:</p> <p>Green: 100% of resource-owning MPs complete</p> <p>Yellow: <100% of resource-owning MPs complete</p>

	Metric Complete: 100% of resource-owning Market Participants ICCP models are up-to-date and validated
Assumptions:	<ul style="list-style-type: none"> • Only resource-owning MPs are applicable
Reported by:	SPP – Operations Engineering
Target Completion:	10/25/2013
Data Source(s):	CMOD_Status

OPS-18: ICCP Control Status Tracking

ID Number:	OPS-18
Category:	Market Participants
Description:	Market Participants submission of correct control modes
Measurement Criteria:	<p>This metric will measure whether Resource-owning Market Participants have submitted the correct control modes for quality purposes.</p> <p>MPs must submit control modes correctly for one week prior to the start of Parallel Ops (Parallel Ops Entry Criteria)</p> <p>MPs must maintain quality of control modes during Parallel Ops as an exit criteria for Parallel Ops</p> <p>By Market Participant: Green: Market Participant correctly submitted control modes Red: Market Participant did not correctly submit control modes Gray: Market Participant ICCP Model is not validated</p> <p>Overall: Green: 100% of applicable MPs correctly submitted control modes Yellow: 80 – 99.9% of applicable MPs correctly submitted control modes Red: < 80% of applicable MPs correctly submitted control modes</p> <p>Metric Complete: 100% of applicable Market Participants correctly submitted control modes</p>
Assumptions:	<ul style="list-style-type: none"> • Only on-line resource-owning MPs are applicable •
Reported by:	SPP – Operations Engineering
Target Completion:	Parallel Ops
Data Source(s):	TBD

Registration Metrics

REG-01: Market Participant Registration – SPP Actions

ID Number:	REG-01								
Category:	SPP								
Description:	SPP completes required steps for MP Integrated Marketplace registration process.								
Measurement Criteria:	<p>This metric verifies that SPP is taking the required steps to get MPs registered for the Integrated Marketplace. This metric will be measured based on milestone dates set by the Integrated Marketplace Registration workstream:</p> <table border="1" style="margin-left: 40px;"> <tr> <td>4/1/2012</td> <td>Pre-filled Registration Packets Mailed to MPs</td> </tr> <tr> <td>8/1/2012</td> <td>Revised Packets Reviewed / Approved by Modeling</td> </tr> <tr> <td>11/2/2012</td> <td>MP Modeled in CMT and MCST Ready for Participant Testing</td> </tr> <tr> <td>1/7/2013</td> <td>CMT and MCST implement to Integrated Marketplace production</td> </tr> </table> <p style="margin-left: 40px;">Green : All milestones are tracking on time Yellow: One or more milestone is at risk Red: One or more milestone is tracking late</p> <p>Metric Complete: 100% Target Mass are modeled</p>	4/1/2012	Pre-filled Registration Packets Mailed to MPs	8/1/2012	Revised Packets Reviewed / Approved by Modeling	11/2/2012	MP Modeled in CMT and MCST Ready for Participant Testing	1/7/2013	CMT and MCST implement to Integrated Marketplace production
4/1/2012	Pre-filled Registration Packets Mailed to MPs								
8/1/2012	Revised Packets Reviewed / Approved by Modeling								
11/2/2012	MP Modeled in CMT and MCST Ready for Participant Testing								
1/7/2013	CMT and MCST implement to Integrated Marketplace production								
Assumptions:	<ul style="list-style-type: none"> • For each of the packets received by 6/1/2012, SPP will complete step 2 • SPP will continue to contact all MPs to encourage registration • Any packets returned after the initial due date will progress on a separate timeline • MPs that register by 2/1/13 will be included in the Integrated Marketplace at go-live 								
Reported by:	SPP – Registration workstream								
Target Completion:	1/7/2013								
Data Source(s):	Registration tracker								

REG-02: Market Participant Registration – MP Actions

ID Number:	REG-02				
Category:	Market Participants				
Description:	Market Participants complete required steps for Integrated Marketplace registration process.				
Measurement Criteria:	<p>This metric will be measured based on milestone dates set by the Integrated Marketplace Registration workstream:</p> <table border="1" style="margin-left: 40px;"> <tr> <td>6/1/2012</td> <td>Packets Returned to SPP</td> </tr> <tr> <td>TBD</td> <td>NEW Agreement AM Executed and Returned from Integrated</td> </tr> </table>	6/1/2012	Packets Returned to SPP	TBD	NEW Agreement AM Executed and Returned from Integrated
6/1/2012	Packets Returned to SPP				
TBD	NEW Agreement AM Executed and Returned from Integrated				

	Marketplace registered Meter Agents^
TBD	NEW Agreement AH Executed and Returned from registered Integrated Marketplace MPs^
2/15/2013	MP Approve Initial Models
8/15/2013	MP Approve Market Trials Models
1/15/2014	MP Approve Production Models
	<p>By Market Participant: Green : Milestones are tracking on time Red: Milestones are late</p> <p>Overall: Green : Milestones are tracking on time for 100% of Target Mass Yellow: Milestones are at risk for 100% of Target Mass Red: Less than 100% of Target Mass by milestone date</p> <p>Metric Complete: 100 % of Target Mass registration completed including executed agreements</p>
Assumptions:	<ul style="list-style-type: none"> • This metric is dependent on FERC Tariff approvals • ^Waiting on refile and approval from FERC
Reported by:	SPP – Registration workstream
Target Completion:	1/15/2014
Data Source(s):	Registration tracker

Regulatory Metrics

RGL-01: FERC Tariff Filing

ID Number:	RGL-01										
Category:	SPP										
Description:	FERC approval order secured for Tariff filing										
Measurement Criteria:	<p>This metric will be measured based on milestone dates set by the Integrated Marketplace Regulatory workstream:</p> <table border="1" style="margin-left: 40px;"> <tr> <td>2/29/2012</td> <td>Initial Tariff Filing submitted to FERC</td> </tr> <tr> <td>10/18/2012</td> <td>Conditional FERC Approval Order Received for Tariff Filing¹</td> </tr> <tr> <td>2/15/2013</td> <td>Compliance Filing Submitted for FERC Conditional Approval Order</td> </tr> <tr> <td>9/20/2013</td> <td>FERC Order Received</td> </tr> <tr> <td>11/19/2013</td> <td>Compliance Filing submitted in response to 9/20/2013 FERC Order</td> </tr> </table> <p style="margin-left: 40px;">Green: Milestones tracking on time Yellow: Milestones are at risk</p> <p>Metric Complete: FERC Approval Order Received</p>	2/29/2012	Initial Tariff Filing submitted to FERC	10/18/2012	Conditional FERC Approval Order Received for Tariff Filing ¹	2/15/2013	Compliance Filing Submitted for FERC Conditional Approval Order	9/20/2013	FERC Order Received	11/19/2013	Compliance Filing submitted in response to 9/20/2013 FERC Order
2/29/2012	Initial Tariff Filing submitted to FERC										
10/18/2012	Conditional FERC Approval Order Received for Tariff Filing ¹										
2/15/2013	Compliance Filing Submitted for FERC Conditional Approval Order										
9/20/2013	FERC Order Received										
11/19/2013	Compliance Filing submitted in response to 9/20/2013 FERC Order										
Assumptions:	• Note 1 - subject to future conditions, filings, etc. up to implementation										
Reported by:	SPP – Regulatory workstream										
Target Completion:	TBD										
Data Source(s):	Regulatory Milestones & applicable filings										

RGL-02: Readiness & Reversion Plan

ID Number:	RGL-02						
Category:	SPP						
Description:	SPP files a Readiness & Reversion Plan with FERC						
Measurement Criteria:	<p>This metric indicates that SPP has filed the Integrated Marketplace Readiness & Reversion Plan with FERC and will be measured based on the milestone dates set by the Integrated Marketplace Regulatory workstream:</p> <table border="1" style="margin-left: 40px;"> <tr> <td>3/25/2013</td> <td>Readiness & Reversion Plan Filing submitted to FERC</td> </tr> <tr> <td>9/20/2013</td> <td>FERC Order Received</td> </tr> <tr> <td>11/19/2013</td> <td>Compliance Filing submitted in response to 9/20/2013 FERC Order</td> </tr> </table> <p style="margin-left: 40px;">Green: Milestones tracking on time Yellow: Milestones are at risk Red: Readiness and/or Reversion plan is rejected by FERC</p>	3/25/2013	Readiness & Reversion Plan Filing submitted to FERC	9/20/2013	FERC Order Received	11/19/2013	Compliance Filing submitted in response to 9/20/2013 FERC Order
3/25/2013	Readiness & Reversion Plan Filing submitted to FERC						
9/20/2013	FERC Order Received						
11/19/2013	Compliance Filing submitted in response to 9/20/2013 FERC Order						

	Metric Complete: Readiness & Reversion Plan Accepted by FERC
Assumptions:	• This metric is dependent on FERC response to filing
Reported by:	SPP – Regulatory & Readiness workstreams
Target Completion:	TBD
Data Source(s):	Regulatory Milestones & applicable filings

RGL-03: Market Participant Readiness Certification

ID Number:	RGL-03				
Category:	SPP/Market Participant				
Description:	Market Participants acknowledge their readiness as of December 20, 2013 for the Integrated Marketplace by signing a Readiness Certification form.				
Measurement Criteria:	<p>This metric measures MP acknowledgment of Integrated Marketplace readiness by tracking the MPs that have signed the Readiness Certification form as of December 20, 2013. The following milestones will be used to track this metric:</p> <table border="1" style="margin-left: 20px;"> <tr> <td style="padding: 2px;">6/30/2013</td> <td style="padding: 2px;">SPP provides MPs with Readiness Certification information (sign off by executive)</td> </tr> <tr> <td style="padding: 2px;">12/20/2013</td> <td style="padding: 2px;">MP provides SPP with completed Readiness Certification</td> </tr> </table> <p>By Market Participant: Green: MP has submitted form by 12/20/2013 Red: MP has not submitted form by 12/20/2013</p> <p>Overall: Green: 100% of Target Mass complete by 12/20/2013 Red: <100% of Target Mass complete by 12/20/2013</p> <p>Metric Complete: 100% of Target Mass completes Readiness Certification</p>	6/30/2013	SPP provides MPs with Readiness Certification information (sign off by executive)	12/20/2013	MP provides SPP with completed Readiness Certification
6/30/2013	SPP provides MPs with Readiness Certification information (sign off by executive)				
12/20/2013	MP provides SPP with completed Readiness Certification				
Assumptions:	<ul style="list-style-type: none"> • MP Readiness Certification is needed prior to SPP’s Go-live Filing in January 2014 • SPP will provide MPs will detailed information regarding the Readiness Certification requirements and a template by the milestone date listed above • There may be regulatory piece to the certification for MPs (e.g. State approvals and market-based rate authority for ancillary services) • By signing the Readiness Certification form, MPs acknowledge that as of December 20, 2013, they anticipate to be ready for the Integrated Marketplace go-live on March 1, 2014 				
Reported by:	SPP – Regulatory & Readiness workstreams				
Target Completion:	12/20/2013				
Data Source(s):	Regulatory Milestones & applicable filings				

Reserve Sharing Group Metrics

RSG-01: RSG Member Integration and Testing Complete

ID Number:	RGL-04						
Category:	SPP/MP						
Description:	Test the settling of energy with SPP amongst RSG Members						
Measurement Criteria:	<p>This metric measures the completion of the settling of energy with SPP amongst RSG Members. The following milestones will be used to track this metric:</p> <table border="1" style="margin-left: 40px;"> <tr> <td style="text-align: center;">6/1/2013</td> <td>RSG Registration Complete</td> </tr> <tr> <td style="text-align: center;">12/31/2013</td> <td>RSG Contract Complete</td> </tr> <tr> <td style="text-align: center;">TBD</td> <td>RSG Testing Complete</td> </tr> </table> <p>By RSG Member: Green: Milestones tracking on time Yellow: One or more milestone is at risk Red: One or more milestone is tracking late</p> <p>Overall: Green: Milestones tracking on time for all RSG Members Yellow: One or more milestone is at risk for one or more RSG Members Red: One or more milestone is tracking late for one or more RSG Members</p> <p>Metric Complete: Testing has been completed for all RSG Members</p>	6/1/2013	RSG Registration Complete	12/31/2013	RSG Contract Complete	TBD	RSG Testing Complete
6/1/2013	RSG Registration Complete						
12/31/2013	RSG Contract Complete						
TBD	RSG Testing Complete						
Assumptions:							
Reported by:	SPP – Regulatory, Registration, Market Trials						
Target Completion:	TBD						
Data Source(s):	Registration tracker						

Settlements Metrics

STL-01: Access & Download Statements

ID Number:	STL-01
Category:	Market Participants
Description:	Market Participants have the ability to access and download Settlement Statements
Measurement Criteria:	<p>This metric is measured based on the Market Participant success rate of downloading Settlement Statements. SPP will post the statements, and the success rate is based on MP confirmation that they were able to download a Settlement Statement.</p> <p>By Market Participant: Green: Attempted and successfully downloaded a Statement Red: Attempted, but did not successfully download a Statement Gray: No response from MP or not attempted</p> <p>Overall: Green: 100% of Target Mass were able to successfully download a Statement Yellow: 90% – 99.9% of Target Mass were able to successfully download a Statement Red: < 90% of Target Mass were able to successfully download a Statement</p>
Assumptions:	<ul style="list-style-type: none"> • SPP will poll MPs twice during SMT (9/15, 10/15) and once during Parallel Operations to confirm that MPs were able to download their statement • MPs should submit an RMS ticket if they were unable to download their statement
Reported by:	SPP – Settlements workstream
Target Completion:	Market Trials –Structured/Unstructured Testing Phase
Data Source(s):	Feedback from Market Participants

STL-02: Access & Download Invoices

ID Number:	STL-02
Category:	Market Participants
Description:	Market Participants have the ability to access and download Invoices
Measurement Criteria:	<p>This metric is measured based on the Market Participant success rate of downloading Invoices. SPP will post the invoices, and the success rate is based on MP confirmation that they were able to download an Invoice.</p> <p>By Market Participant: Green: Attempted and successfully download an Invoice Red: Attempted, but did not successfully download an Invoice Gray: No response from MP or not attempted</p> <p>Overall: Green: 100% of Target Mass were able to successfully download an Invoice Yellow: 90% – 99.9% of Target Mass were able to successfully download an Invoice Red: < 90% of Target Mass were able to successfully download an Invoice</p>

	Red: < 90% of Target Mass were able to successfully download an Invoice
Assumptions:	<ul style="list-style-type: none"> • SPP will poll MPs twice during SMT (9/15, 10/15) and once during Parallel Operations to confirm that MPs were able to download their invoice • MPs should submit an RMS ticket if they were unable to download their invoice
Reported by:	SPP – Settlements workstream
Target Completion:	Market Trials –Structured/Unstructured Testing Phase
Data Source(s):	Feedback from Market Participants

STL-03: Submit Meter Data

ID Number:	STL-03
Category:	Market Participants
Description:	Market Participants have the capability to submit meter data
Measurement Criteria:	<p>In order to measure this metric, SPP will verify that it can successfully consume MP submitted meter data files.</p> <p>This metric is measured by internal SPP validation jobs completing successfully (with no unexpected or unexplainable errors/warnings) and will be measured per physical asset rather than at the MP-level. Each participating asset will need to pass validation at least once.</p> <p>By Meter Agents:</p> <p>Green: Attempted and successfully submitted meter data Red: Attempted, but did not successfully submit meter data Gray: Did not attempt to submit meter data</p> <p>Overall:</p> <p>Green: 100% of meter agents successfully submit meter data for each of their assets Yellow: 90% – 99.9% of meter agents successfully submit meter data for each of their assets Red: < 90% red of meter agents successfully submit meter data for each of their assets</p>
Assumptions:	• This metric is restricted to Meter Agents only
Reported by:	SPP – Settlements workstream
Target Completion:	Market Trials –Structured/Unstructured Testing Phase
Data Source(s):	Settlements Statistics

STL-05: Submit Dispute

ID Number:	STL-05
Category:	Market Participants

Description:	Market Participants have the ability to submit disputes
Measurement Criteria:	<p>In order to measure this metric, SPP will verify that it can successfully consume disputes submitted by MPs.</p> <p>This metric is measured by internal SPP validation jobs completing successfully (with no unexpected or unexplainable errors/warnings) and will be measured at the MP-level.</p> <p>By Market Participant: Green: Attempted and successfully submitted a dispute Red: Attempted, but did not successfully submit a dispute Gray: No response from MP or not attempted</p> <p>Overall: Green: 100% of Target Mass successfully submit a dispute Yellow: 90% – 99.9% of Target Mass successfully submit a dispute Red: < 90% of Target Mass successfully submit a dispute</p>
Assumptions:	<ul style="list-style-type: none"> • This metric does not measure MP participation • Performed through RMS
Reported by:	SPP – Settlements workstream
Target Completion:	Market Trials – Structured/Unstructured Testing Phase
Data Source(s):	Settlements RMS

STL-06: Settlement Statement Timeliness

ID Number:	STL-06
Category:	SPP
Description:	SPP posts Settlement Statements on time
Measurement Criteria:	<p>This metric has been created to demonstrate that SPP posts Settlement Statements on time, reliably and consistently. This metric will be measured over a set time period during Market Trials/Parallel Operations, with the following success criteria:</p> <p>Overall: Green: Successfully posted Settlement Statements on time, reliably and consistently over Market Trials/Parallel Operations Red: Unsuccessfully posted Settlement Statements on time, reliably and consistently over Market Trials/Parallel Operations Gray: Did not attempt to post Settlement Statements</p> <p>Metric Complete: Settlement Statements are posted by end of day for 7 consecutive calendar days during Market Trials, including Initial and Final</p>
Assumptions:	<ul style="list-style-type: none"> • Dependent on Market Trials Approach
Reported by:	SPP – Settlements & Market Trials workstreams
Target	Market Trials - by end of Parallel Ops

Completion:	
Data Source(s):	Markets Trials data

STL-07: SPP Validation of Settlement Charge Types

ID Number:	STL-07
Category:	SPP
Description:	SPP validates settlement charge types by MP
Measurement Criteria:	<p>This metric will validate, from an SPP perspective, the charge types that have calculated results for MPs.</p> <p>Overall:</p> <p>Green: >90% of Charge Types with calculated results were utilized by Target Mass</p> <p>Yellow: 75 - 89% of Charge Types with calculated results were utilized by Target Mass</p> <p>Red: <75% of Charge Types with calculated results were utilized by Target Mass</p> <p>Gray: Metric not started</p> <p>Metric Complete:</p> <p>100% of Charge Types with calculated results were utilized by Target Mass. Charge Types with calculated results not utilized by Target Mass are explainable.</p>
Assumptions:	<ul style="list-style-type: none"> All charge types may not hit 100% by Target Mass because there are certain scenarios that cannot be forced on certain MPs
Reported by:	SPP – Settlements & Market Trials workstreams
Target Completion:	11/12/2013
Data Source(s):	Settlements Charge Type Scorecard

SPP Internal Metrics

INT-01: Process & Procedures

ID Number:	INT-01
Category:	SPP
Description:	SPP Integrated Marketplace processes / procedures will be complete prior to go-live
Measurement Criteria:	<p>This metric measures process/procedure development for the Integrated Marketplace across the organization. This metric will be measured across the impacted internal SPP departments. Processes and procedures will be grouped as critical and non-critical. Overall due dates for the following status of processes/procedures will be established internally and tracked accordingly:</p> <ul style="list-style-type: none"> • Draft Complete • Final Draft Approved <p>Critical Processes Green: All critical processes and procedures are tracking on time Yellow: One or more critical process or procedure Draft Complete is either missed or at risk or the Final Approval date is at risk Red: One or more critical process or procedure Final Approval date is missed or tracking late</p> <p>Non-Critical Processes Green: All non-critical processes and procedures are tracking on time Yellow: One or more non-critical process or procedure Draft Complete is either missed or tracking late or the Final Approval date is missed or tracking late</p> <p>Metric Complete: All processes and procedures developed by target completion date</p>
Assumptions:	<ul style="list-style-type: none"> • Does not include Emergency Procedures • Updates based on experience in testing/Parallel Ops may be made after Final Approval • Additional Processes/Procedures may be added
Reported by:	SPP – Multiple Departments
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Readiness Plans, Operations Process Tracker

INT-02: Organizational Staffing Readiness

ID Number:	INT-02
Category:	SPP
Description:	SPP will ensure that staffing requirements for the Integrated Marketplace have been met.

Measurement Criteria:	This metric measures the staffing requirements of the Integrated Marketplace across the organization. Overall: Green: All Integrated Marketplace positions have been filled within 90 days of the Approved Hire Date Yellow: One or more Integrated Marketplace positions is not filled within 90 days of the Approved Hire Date
Assumptions:	<ul style="list-style-type: none"> • New staffing requirements may be identified over time. • A filled position indicates that the resource has started their position at SPP.
Reported by:	SPP – Human Resources
Target Completion:	Go-Live
Data Source(s):	Human Resources Job Tracker

INT-03: SPP Internal Training

ID Number:	INT-03
Category:	SPP
Description:	SPP staff performing Integrated Marketplace functions complete required training
Measurement Criteria:	<p>The readiness workstream will verify that SPP staff performing Integrated Marketplace functions completed required Integrated Marketplace training offered by the Internal Training workstream. Completing training includes attending the course (classroom or computer-based) and passing the course assessment.</p> <p>Overall:</p> <p>Green: 96% of SPP staff performing Integrated Marketplace functions have no incomplete training requirements within 30 days of due date</p> <p>Yellow: Less than 96% of SPP staff performing Integrated Marketplace functions have completed training requirements within 30 days of due date (not registered for a class that may be occurring during that 30 days)</p> <p>Red: Less than 96% SPP staff performing Integrated Marketplace functions have completed the required Integrated Marketplace training by the established due dates</p> <p>Metric Complete:</p> <p>96% of SPP staff performing Integrated Marketplace functions have completed the required Integrated Marketplace training</p>
Assumptions:	<ul style="list-style-type: none"> • This metric does not include training required for Operator desk qualifications, that is tracked in metric INT-04 • Readiness workstream will work with each department to determine training requirements for each staff member • Completion dates for specific training sessions will be determined by each department • If a staff member has registered for a class that is occurring during the 30 days prior to the training due date, that will not be marked as incomplete
Reported by:	SPP – Training workstream
Target Completion:	Go-Live

Data Source(s):	Learning Management System (LMS) Reports
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INT-04: SPP Operations Training

ID Number:	INT-04
Category:	SPP
Description:	SPP operations staff completes required training and desk qualifications.
Measurement Criteria:	<p>The readiness workstream will verify that SPP operations staff has completed required Integrated Marketplace training and desk qualifications. Completing training includes attending the course (classroom or computer-based) and passing the course assessment.</p> <p>Green: 96% of SPP Operations staff have no incomplete training requirements within 30 days of due date</p> <p>Yellow: Less than 96% of SPP Operations staff have completed training requirements within 30 days of due date (not registered for a class that may be occurring during that 30 days)</p> <p>Red: Less than 96% of SPP Operations staff members have completed the required Integrated Marketplace training by the established due dates</p> <p>Metric Complete: 96% of SPP Operations staff members have completed the required Integrated Marketplace training</p>
Assumptions:	<ul style="list-style-type: none"> • Training requirements will be determined by the Operations Training workstream • Completion dates for specific training sessions will be determined by the Ops Training workstream • If a staff member has registered for a class that is occurring during the 30 days prior to the training due date, that will not be marked as incomplete
Reported by:	SPP – Operations Training workstream
Target Completion:	<p>Overall completion date: Go-Live</p> <p>Interim measurement dates:</p> <ul style="list-style-type: none"> • Phase 1: 12/1/2012 • Phase 2: 2/1/2013 • Phase 3 & 4: 2/1/2014
Data Source(s):	Operations Training Status Report

Transmission Congestion Rights Metrics

TCR-01: Validate Annual TCR Auction Timeline

ID Number:	TCR-01
Category:	SPP
Description:	SPP will verify the TCR annual auction timeline through TCR Market Trials
Measurement Criteria:	<p>The timeline for each step of the annual TCR auction process (Verification, ARR Allocation, and TCR Auction) will be verified during TCR Market Trials</p> <p>Green: Post results according to established timeline (includes interim posting dates for Verification and ARR Allocation steps)</p> <p>Yellow: Missed interim posting dates for Verification and/or ARR Allocation phase, but final results posting date not in jeopardy</p> <p>Red: Final results posting date in jeopardy or miss final results posting timeline</p> <p>Metric Complete: The TCR annual auction results are posted on time for phase two of TCR Market Trials</p>
Assumptions:	<ul style="list-style-type: none"> • The annual auction held during TCR Market Trials will be an abbreviated version of the annual TCR auction • Dependent on TCR Market Trials Approach: <ul style="list-style-type: none"> ○ Timeline and posting dates will be communicated in the TCR Market Trials Approach
Reported by:	SPP – TCR workstream
Target Completion:	End of TCR Market Trials
Data Source(s):	iHedge

TCR-02: Validate Monthly TCR Auction Timeline

ID Number:	TCR-02
Category:	SPP
Description:	SPP will verify the TCR monthly auction results are posted on time during TCR Market Trials
Measurement Criteria:	<p>The timeline for each step of the monthly TCR auction process (Verification, ARR Allocation, and TCR Auction) will be verified during TCR Market Trials</p> <p>Green: Post results according to established timeline (includes interim posting dates for Verification and ARR Allocation steps)</p> <p>Yellow: Missed interim posting dates for Verification and/or ARR Allocation phase, but final results posting date not in jeopardy</p> <p>Red: Final results posting date in jeopardy or miss final results posting timeline</p>

	Metric Complete: Three of the four months are posted on time for phase two of TCR Market Trials
Assumptions:	<ul style="list-style-type: none"> • Dependent on TCR Market Trials Approach: <ul style="list-style-type: none"> ○ Timeline and posting dates will be communicated in the TCR Market Trials Approach ○ Dependent on TCR Market Trials approach for final # of monthly auctions
Reported by:	SPP – TCR workstream
Target Completion:	End of TCR Market Trials
Data Source(s):	iHedge

TCR-03: TCR Production – Abbreviated Annual Auction

ID Number:	TCR-03
Category:	SPP
Description:	TCR production will begin prior to the Integrated Marketplace go-live and results for the first three (3) months (March, April, and May) are posted.
Measurement Criteria:	<p>This metrics verifies that Production TCR results from the Interim Annual Allocation and Auction are posted for the first 3 months of Integrated Marketplace production. Results need to be posted according to the established timeframe.</p> <p>Green: Post results according to established timeline (includes posting dates for Verification, ARR Allocation, and TCR Auction steps)</p> <p>Yellow: Miss posting dates for Verification and/or ARR Allocation phase, but TCR Auction results posting date is not in jeopardy</p> <p>Red: The TCR Auction results posting date is in jeopardy or miss TCR Auction results posting timeline</p> <p>Metric Complete: The TCR Interim Annual Auction results for first 3 months of TCR production are posted</p>
Assumptions:	<ul style="list-style-type: none"> • This is a production metric, but has an impact to other systems in the Integrated Marketplace • Posting dates for ARR Allocation are on 11/7/13, 11/15/13, and 11/22/13 • Posting date for TCR Auction is on 12/13/13
Reported by:	SPP – TCR workstream
Target Completion:	December 13, 2013
Data Source(s):	iHedge

TCR-04: TCR Production – Three Monthly Auctions

ID Number:	TCR-04
Category:	SPP

Description:	TCR production will begin prior to the Integrated Marketplace go-live and results for the first three (3) months (March, April and May) are posted.
Measurement Criteria:	<p>This metrics verifies that Production TCR results from the Interim Monthly Allocations and Auctions are posted for the first 3 months (March, April and May) of Integrated Marketplace production. Results need to be posted according to the established timeframe.</p> <p>Green: Post results according to established timeline (includes posting dates for Verification, ARR Allocation and TCR Auction steps)</p> <p>Yellow: Miss posting dates for Verification and/or ARR Allocation phase, but the TCR Auction results posting date is not in jeopardy</p> <p>Red: The TCR Auction results posting date in jeopardy or miss the TCR Auction results posting timeline</p> <p>Metric Complete: The TCR monthly auction results for the March, April and May 2014 auctions of TCR production are posted</p>
Assumptions:	<ul style="list-style-type: none"> • The timeline for TCR production will follow the schedule outlined in the Initial ARR-TCR Auction Timeline • TCR monthly auction results for March, April and May are posted on 2/14/14, 3/28/14 and 4/18/14, respectively
Reported by:	SPP – TCR workstream
Target Completion:	April 18, 2014
Data Source(s):	iHedge

TCR-05: TCR Market Trials Participation

ID Number:	TCR-05
Category:	Market Participant
Description:	Verify Market Participant participation in TCR Market Trials.
Measurement Criteria:	<p>This metric measures MP participation in the TCR Market Trials. It is important to have a high level of participation for several reasons, including increasing MP knowledge and ensuring quality results of Market Trials. The following measurement criteria will be used for TCR Market Trials participation:</p> <p>By Market Participant:</p> <p>Green: Participating at the time of metrics reporting</p> <p>Red: Not participating at the time of metrics reporting</p> <p>Gray: Not participating, MP with no current NITS reservation on OASIS</p> <p>Overall:</p> <p>Green: > 90% of “High Priority” MPs and over 50% of candidate ARRs nominated and participated in the TCR auction either in annual or monthly</p> <p>Yellow: Met one of the “green” criteria, but not the other</p> <p>Red: Did not meet either one of the two “green” criteria</p>

Assumptions:	<ul style="list-style-type: none"> • “High Priority” MPs defined by TCR workstream as <i>any MP with a current NITS reservation on OASIS</i> • Applicable for both phase one and phase two • Metrics are calculated based on megawatt values
Reported by:	SPP – TCR workstream
Target Completion:	End of TCR Market Trials Production
Data Source(s):	iHedge

TCR-06: TCR Market Trials October Monthly Participation

ID Number:	TCR-06
Category:	Market Participant
Description:	Verify Market Participant October participation in TCR Market Trials.
Measurement Criteria:	<p>This metric measures MP October participation in TCR Market Trials. It is important to have a high level of participation for several reasons as the last monthly auction prior to the planned TCR Go-Live. The following measurement criteria will be used for TCR Market Trials participation:</p> <p>By Market Participant:</p> <p>Green: Participating in the October Monthly process Red: Not participating in the October Monthly process Gray: Not Applicable - MP with no current NITS reservation on OASIS</p> <p>Overall:</p> <p>Green: 100% of “High Priority” MPs participated in the TCR auction per stated intention to participate Red: < 100% of “High Priority” MPs participated in the TCR auction per stated intention to participate</p>
Assumptions:	<ul style="list-style-type: none"> • “High Priority” MPs defined by TCR workstream as <i>any MP with a current NITS reservation on OASIS</i> • Metrics are calculated based on megawatt values • MP states intent to participate through RMS, intent noted through the RMS ticket to not participate will serve as participation
Reported by:	SPP – TCR workstream
Target Completion:	End of TCR Market Trials Production
Data Source(s):	iHedge

Exhibit SPP-2

SPP's Integrated Marketplace Readiness Metrics (Redline)

Integrated Marketplace Readiness Metrics

| ~~March 25~~October 4, 2013

Readiness & Metrics Workstream

Revision History

Version Number	Date	Author	Change Description
0.1	2/23/12	Jodi Woods, Derrick Baldwin, Elizabeth Aguilar	Initial Draft
0.2	10/10/12	Jodi Woods, Derrick Baldwin, Elizabeth Aguilar	<p>Added metrics: TCR-03, CON-01, CON-02, CON-03, and TRL-01</p> <p>Deleted metrics: INT-05 and CBA-02</p> <p>Edited metrics: INT-01, INT-02, INT-03, INT-04, REG-01, REG-02, CBA-01, TCR-01, TCR-02, TCR-04, TCR-05, and TCR-06</p>
0.3	3/14/13	Jodi Woods, Derrick Baldwin, Elizabeth Aguilar	<p>Added metrics: TRL-01, TRL-02</p> <p>Deleted metrics: TCR-06</p> <p>Edited metrics: CON-01, CON-02, CON-03, REG-01, RGL-01, RGL-02, STL-01, STL-02, STL-03, STL-04, STL-05, TCR-05, TRL-03(Changed numbering from TRL-01)</p>
1.0	43/925 /13	Jodi Woods, Derrick Baldwin, Elizabeth Aguilar	Active Metric Inventory
<u>2.0</u>	<u>5/14/13</u>	<u>Jodi Woods, Derrick Baldwin, Elizabeth Aguilar</u>	<p><u>Added metric:</u> <u>OPS-13</u></p> <p><u>Deleted Metric:</u> <u>OPS-01</u></p> <p><u>Edited metrics:</u> <u>CBA-01, TRL-01, OPS-02, OPS-03, OPS-04, OPS-04, OPS-05, OPS-06, OPS-07, OPS-08, OPS-09, OPS-10, OPS-11, OPS-12, RGL-03</u></p>

<u>2.1</u>	<u>6/5/13</u>	<u>Nicholas He, Derrick Baldwin</u>	<p><u>Added metric:</u> <u>RSG-01</u></p> <p><u>Edited metrics:</u> <u>CBA-01, CON-01, CON-02, CON-03, TRL-01, TRL-02, OPS-02, OPS-03, OPS-04, OPS-05, OPS-06, OPS-07, OPS-08, OPS-09, OPS-10, OPS-11, OPS-12, RGL-01, RGL-02, RGL-03, STL-01, STL-02, STL-03, STL-04, STL-05, STL-06, INT-01, INT-02</u></p>
<u>3.0</u>	<u>8/21/13</u>	<u>Erin Jester, Nicholas He, Elizabeth Aguilar</u>	<p><u>Added Metrics:</u> <u>OPS-14, OPS-15, OPS-16</u></p> <p><u>Deleted Metrics:</u> <u>OPS-06, STL-04</u></p> <p><u>Edited Metrics:</u> <u>CBA-01, OPS-09, OPS-10, OPS-13, RGL-03, STL-01, STL-02, STL-03, STL-05, TCR-03, TCR-04</u></p>
<u>4.0</u>	<u>9/25/13</u>	<u>Elizabeth Aguilar, Nicholas He, Erin Jester</u>	<p><u>Added metrics:</u> <u>OPS-05a, OPS-05b, OPS-05c, OPS-17, OPS-18, STL-07, TCR-06</u></p> <p><u>Edited metrics:</u> <u>TRL-01, OPS-12, OPS-06a, OPS-06b, OPS-06c</u></p>
<u>4.1</u>	<u>9/26/13</u>	<u>Erin Jester, Nicholas He, Elizabeth Aguilar</u>	<u>Edited Metrics:</u> <u>TRL-03, OPS-15, OPS-16, OPS-17, STL-07</u>
<u>5.0</u>	<u>10/4/13</u>	<u>Erin Jester, Nicholas He, Elizabeth Aguilar</u>	<u>Edited Metrics:</u> <u>TRL-01, TCR-03, TCR-04, RGL-01, RGL-02, OPS-05a, OPS-05b, OPS-05c, OPS-14, STL-05, STL-07</u>

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Executive Summary

The Integrated Marketplace Program Readiness Metrics document provides the inventory of the Readiness Metrics as agreed upon between SPP and Market Participants. The Readiness Metrics will measure, monitor, and report on the overall readiness of the Integrated Marketplace program. Metrics internal to SPP as well as metrics measuring Market Participants are included in this document. The following metrics will be reviewed by the Readiness Liaisons ~~and approved by the~~ appropriate stakeholder groups. Once the initial draft is ~~approved~~completed, ~~they will be governed by a change control process.~~it will be governed by a change control process that gives the Readiness Liaisons an opportunity to review and provide feedback.

Introduction

The Integrated Marketplace Readiness Metrics help determine, monitor, and measure the milestones and activities (both internally and externally) needed to ensure a successful implementation of the new Marketplace.

Readiness Metrics will be reported both internally and externally to ensure organizational and program readiness prior to the implementation of the Integrated Marketplace. If an identified readiness area is not achieving desired results or is falling behind schedule, the Readiness Metrics will help identify what mitigating actions are required to return the project back on track.

The goals of the Readiness Metrics are to:

- Provide clear and consistent reporting to both internal (SPP) and external (Participants) audiences
- Monitor readiness areas over the lifecycle of the program through measureable criteria
- Indicate if an identified readiness area is not achieving desired results

An Integrated Marketplace Readiness Dashboard will be published regularly to provide Readiness status. For each metric, the status will be indicated by the appropriate color which identifies if that task is on target or behind based on the provided success criteria and/or target due dates. When a metric is identified as being at risk or behind, a mitigating action will be provided. The description of these color codes are listed below with detailed descriptions being provided in the metrics details where applicable:

Color	Description
Grey	Monitoring of the metric has not begun <u>or not applicable</u>
Blue	The metric success criteria has been met and no longer requires monitoring, <i>and/or</i> The metric has been completed by the target due date
Green	The metric is meeting identified success criteria, <i>and/or</i> The metric is on schedule to meet the target due date
Yellow	The metric has not met the highest level of the identified success criteria, <i>and/or</i> The metric is at risk not meeting the identified target due date
Red	The metric has not met the highest or mid-range success criteria as defined, <i>and/or</i> The metric has not been completed by the specified target due date
Purple	No success criteria or target due date has been identified for this metric

Assumptions

The following overall assumptions have been made while drafting the Readiness Metrics:

- Metrics will measure all Integrated Marketplace MPs equally, Target Mass will be reported on separately for applicable metrics
- Metrics that are measuring MP activities during Market Trials will be based on the MPs that are actively participating in that phase of Market Trials. Participation in the various phases of Market Trials will be measured as a separate metric.
- This document includes overall Integrated Marketplace Readiness Metrics - testing and Market Trials entry/exit criteria are owned by the appropriate Integrated Marketplace workstreams
- Defects will be managed as a part of testing
- Delays in system delivery may impact target dates

The Readiness Metrics are intended to be a subset of the many factors considered in the go/no-go criteria for the Integrated Marketplace

To stay consistent with the Program milestone report, the following definitions will be used where indicated within the measurement criteria of a metric:

- **Tracking on time** indicates the Expected Finish is within 6 days of the Target Completion
- **At risk** indicates the Expected Finish is 7-13 days past the Target Completion
- **Tracking late** indicates the Expected Finish is 14 or more days past the Target Completion

Target Mass

Target Mass is the minimum set of Market Participants that need to demonstrate readiness prior to the Integrated Marketplace go-live. While Target Mass is an important indicator of readiness, not all metrics use Target Mass in the measurement criteria. Each individual metric will indicate if Target Mass is applicable or not. Other groupings of applicable MPs include, but are not limited to: TCR High Priority MPs, all MPs, Asset-owning MPs, and Meter Agents.

The overall Market Participant Readiness Status will reflect the status of the Target Mass. If the Target Mass has achieved a status of Green, the overall Market Participant status will be green, even if there are individual Market Participants showing a status of red. Defining Market Participant Readiness in terms of Target Mass will ensure that the Readiness workstream has obtained an accurate assessment of overall Market Participant Readiness status even if all Market Participants have not reported status for a particular period.

SPP's definition of Target Mass has the following ~~three~~ criteria:

1. Market Participants making up 90% of market generation capacity as of ~~3/1/2012~~5/15/2013 (~ ~~66.776.8~~ GW)
 - Percent Generation Capacity by MP:
 - ~~Balancing Authority Market Participants~~Asset Owning Balancing Authority Market Participants - ~ ~~58.663.2~~ GW – ~~87.982.3~~%
 - ~~Non-BA LSE's~~Asset Owning Market Participants - ~ ~~13.46~~ GW – ~~4~~ 17.7%
 - ~~Other (IPP, etc.)~~ ~ ~~4.9~~ GW – ~~7.4~~%

2. ~~Market Participants making up 90% of Load as of 3/1/2012 (~ 48.5 GW)~~100% of all registered Market Participants performing Balancing Authority functions

~~100% of all Market Participants performing Balancing Authority functions
(i.e. AEPW not including OMPA)~~

Consolidated Balancing Authority Metrics

CBA-01: CBA Certification Activities

ID Number:	CBA-01	
Category:	SPP/AMP	
Description:	CBA certification approved by NERC	
Measurement Criteria:	This metric indicates that NERC has approved SPP's CBA Certification and will be measured by CBA & Regulatory milestones.	
	3/31/2012	First draft of CBA Emergency Desk Procedures & Emergency Operations Plan Published
	April 2012	Notify SERC of intent to request certification - 18 months prior to intended cert start date*
	4/10/12	Registration Tool recommendation presented to MOPC by CBASC (CFR, Legal Agreement)
	9/28/12	Completion of all draft Emergency Operations Plan and CBA-related procedures (e.g. Normal ACE and Generation control Procedures, Normal Interchange desk procedures, etc.)
	Sept 2012	CBASC approval of Emergency Operations Plan
	10/16/2012	Completed Registration Tool Approvals (CBASC, SPP Executive, MOPC)
	April 1 2013	Completion of all CBA-related procedures (e.g. Normal ACE and Generation control Procedures, Normal Interchange desk procedures, etc.)
	April 2013	Member SPP Readiness Audit
	July 2013 May 2013	Identification of Member Operating Areas activities complete for support of registration of SPP as a BA complete Member Operating Areas activities complete for support of registration of SPP as a BA
	September 1 2013 Sept 2013	Operating Protocols published to CBASC SERC at SPP for Certification
	November 1 2013 10/11/2013	EIS BAs provide Operating Protocol data to SPP SERC Submits Letter and Files Registration Changes with NERC
	November 2013 10/25/2013	SERC at SPP to begin for certification reviews SERC Approval*
	December 2013 12/6/2013	SERC Submits Letter and Files Registration Changes with NERC NERC Certification Approved*
	December 2013	SERC Approval*
	January 2014	NERC Certification Approved *
	<p>Green: Milestones tracking on time Yellow: Milestones are at risk Red: "Critical" dates (as indicated by "*" above) are missed</p> <p>Metric Complete: SPP receives NERC approval of CBA Certification</p>	

Assumptions:	<ul style="list-style-type: none"> • ^Only applies to current EIS BAs and pending approval of Functional Matrix • Dates are subject to SERC and NERC • Dates will be refined as more information is available
Reported by:	SPP – Regulatory & Parallel Operations workstreams SPP – Regulatory & CBA workstreams
Target Completion:	12/6/13 <u>1/31/14</u>
Data Source(s):	Regulatory & CBA Milestones, CBA Certification

Market Trials Connectivity Metrics

CON-01: TCR Accelerated Connectivity Test Complete

ID Number:	CON-01
Category:	SPP /Market Participants
Description:	Verify completion of the TCR Accelerated Connectivity Testing phase of Market Trials.
Measurement Criteria:	<p>This metric measures the completion of the TCR Accelerated Connectivity Testing phase of Market Trials. This phase includes both the completion of TCR Connectivity Test and the completion of the TCR Data Exchange Certification. MP completion of the TCR Accelerated Connectivity test and the Data Exchange Certification indicates that all test cases have been passed.</p> <p>By Market Participant: Green: TCR Accelerated Connectivity Test complete Red: TCR Accelerated Connectivity Test incomplete <u>Gray: Metric not applicable</u></p> <p>Overall: Green: 100% of “High Priority” MPs have completed the TCR Accelerated Connectivity Test Yellow: 90 = <u>100</u><u>99.9</u>% of “High Priority” MPs have completed TCR Accelerated Connectivity Test Red: < 90% of “High Priority” MPs have completed TCR Accelerated Connectivity Test</p> <p>Metric Complete: The TCR Accelerated Connectivity Testing Exit Criteria as defined in the Market Trials Connectivity Test Market Participant Guide</p>
Assumptions:	<ul style="list-style-type: none"> • Exit criteria is based on target mass as defined in the Market Trials Connectivity Test Market Participant Guide • “High Priority” MPs defined by TCR workstream as <i>any MP with a current NITS reservation on OASIS</i> • All prerequisite SPP and MP activities have been completed prior to the completion of the TCR Accelerated Connectivity Test phase of Market Trials • MPs will schedule retests as necessary
Reported by:	SPP – Market Trials workstream

Target Completion:	12/21/2012
Data Source(s):	Connectivity Test Appointment Scheduling Calendar

CON-02: Connectivity Test Complete

ID Number:	CON-02
Category:	SPP /Market Participants
Description:	Verify completion of the Connectivity Testing phase of Market Trials.
Measurement Criteria:	<p>This metric measures the completion of the Connectivity Testing phase of Market Trials. MP completion of the Connectivity Test indicates that all test cases have been passed.</p> <p>By Market Participant: Green: Connectivity Test complete Red: Connectivity Test incomplete</p> <p>Overall: Green: 100% of Target Mass has completed Connectivity Test Yellow: 90 - 10099.9% of Target Mass has completed Connectivity Test Red: < 90% of Target Mass has completed Connectivity Test</p> <p>Metric Complete: The Connectivity Test Exit Criteria has been met as defined in the Market Trials Connectivity Test Market Participant Guide</p>
Assumptions:	<ul style="list-style-type: none"> Exit criteria is based on target mass as defined in the Market Trials Connectivity Test Market Participant Guide All prerequisite SPP and MP activities have been completed prior to the completion of the Connectivity Test phase of Market Trials MPs will schedule retests as necessary
Reported by:	SPP – Market Trials workstream
Target Completion:	3/28/2013 5/17/2013
Data Source(s):	Connectivity Test Appointment Scheduling Calendar

CON-03: Data Exchange Certification Complete

ID Number:	CON-03
Category:	SPP /Market Participants
Description:	Verify the completion of Data Exchange Certification phase of Market Trials. Verify the Data Exchange Certification is completed following the end of the Connectivity Test phase of Market Trials.
Measurement Criteria:	This metric measures the completion of the Data Exchange Certification. The Data Exchange Certification allows Market Participants to verify critical data submission, query, notification operations, and User Interfaces in the SPP Production Primary

	<p>environment following Connectivity Test. MP completion of the Data Exchange Certification indicates that all test cases have been passed. This metric measures the completion of the Data Exchange Certification following the Connectivity Test phase of Market Trials. The Data Exchange Certification allows Market Participants to verify critical data submission, query, notification operations, and User Interfaces in the SPP Production Primary environment following Connectivity Test. MP completion of the Data Exchange Certification indicates that all test cases have been passed.</p> <p>By Market Participant: Green: Data Exchange Certification complete Red: Data Exchange Certification incomplete</p> <p>Overall: Green: 100% of Target Mass has completed the Data Exchange Certification Yellow: 90 – 100<u>99.9</u>% of Target Mass has completed the Data Exchange Certification Red: < 90% of Target Mass has completed the Data Exchange Certification</p> <p><u>Metric Complete:</u> <u>The Data Exchange Certification Exit Criteria has been met as defined in the Market Trials Connectivity Test Market Participant Guide</u></p>
Assumptions:	<ul style="list-style-type: none"> • Exit criteria is based on target mass as defined in the Market Trials Connectivity Test Market Participant Guide • All prerequisite SPP and MP activities have been completed prior to the completion of the Connectivity Test phase of Market Trials<u>Data Exchange Certification</u> • MPs will schedule retests as necessary
Reported by:	SPP – Market Trials workstream
Target Completion:	5/1 6 <u>7</u> /2013
Data Source(s):	Connectivity Test Appointment Scheduling Calendar

Market Trials Metrics

NOTE: Some Market Trials Readiness Metrics are dependent on the Parallel Operations Approach and will be updated after the document has been completed.

TRL-01: Structured/Unstructured Test Markets Participation

ID Number:	TRL-01
Category:	Market Participants
Description:	Verify Market Participant participation in the Structured/Unstructured phase of Market Trials.
Measurement Criteria:	<p>This metric measures MP participation in the Structured/Unstructured phase of Market Trials. Participation will be measured based on execution in the market. The following measurement criteria will be used to determine MP participation in the Structured/Unstructured phase of Market Trials.</p> <p>MPs with ResoureesResource Owning MPs: Green: Maintain offers <u>for each operating day</u> Yellow: <u>Did not maintain offers for each operating day</u> Red: Did not maintain offers <u>for 80% of operating days</u></p> <p>MPs with LoadLoad Owning MPs: Green: Submit market energy bids based on load forecasts <u>for each operating day</u> Yellow: <u>Did not submit market energy bids for each operating day</u> Red: Did not submit market energy bids<u>maintain offers for 80% of operating days</u></p> <p>All MPsFinancial Only MPs: Green: Submit market virtual bids and/or offers <u>for each operating day</u> Gray: Did not submit market virtual bids and/or offers¹ <u>for each operating day</u></p> <p>Overall: Green: <u>90% - 100%</u> of Target Mass is participating in in the Structured/Unstructured phase of Market Trials Yellow: <u>90 - 89.9400%</u> of Target Mass is participating in the Structured/Unstructured phase of Market Trials Red: <u>< 890%</u> of Target Mass is participating in the Structured/Unstructured phase of Market Trials</p>
Assumptions:	<ul style="list-style-type: none"> • ¹The submission of virtual bids/offers is not required • <u>Every official operating day as detailed in the Market Trials calendar</u> • <u>Intent to roll forward received from Resource-Owning MPs</u> • <u>Resource-Owning MPs need to submit an offer in the DA Market and RTBM</u> • <u>Load-Owning MPs need to submit a bid in the DA Market</u> • <u>MP is viewed as participating in the Structured/Unstructured phase of Market Trials if MP has fully participated in at least 80% of the month's operating days</u>

	<ul style="list-style-type: none"> • <u>Full participation entails MPs submitting their required bids and offers in the DA Market and RTBM</u> • <u>This metric is applicable to SMT and Parallel Operations</u>
Reported by:	SPP – Market Trials workstream
Target Completion:	End of Market Trials— Structured/Unstructured testing
Data Source(s):	TBD

TRL-02: Structured/Unstructured Test Complete

ID Number:	TRL-02
Category:	SPP
Description:	Verify completion of Market Trials Structured/Unstructured test.
Measurement Criteria:	<p>The intent of this is metric is to verify the execution of operational scenarios during Structured/Unstructured testing. The following measurement criteria will be used to determine the completion of the Structured/Unstructured phase of Market Trials.</p> <p>Monthly:</p> <p>Green: 75-100% of Structured/Unstructured operational scenarios scheduled in the current month are executed and passed</p> <p>Yellow: 50 -745% of Structured/Unstructured operational scenarios scheduled in the current month are executed and passed</p> <p>Red: < 50% of Structured/Unstructured operational scenarios scheduled in the current month are executed and passed</p> <p>Overall:</p> <p>Green: 75-100% of Structured/Unstructured operational scenarios are complete</p> <p>Yellow: 50 -745% of Structured/Unstructured operational scenarios are complete</p> <p>Red: < 50% of Structured/Unstructured operational scenarios are complete</p> <p>Metric Complete:</p> <p>The Market Trials Structured/Unstructured Exit Criteria as defined in the Market Trials Structured/Unstructured Test Market Participant Guide</p>
Assumptions:	<ul style="list-style-type: none"> • <u>This metric does not include the daily base scenarios (.1, .2, .3, .4)</u> • Exit criteria is based on target mass as defined in the Market Trials Structured/Unstructured Test Market Participant Guide • Monthly operational scenario schedules will be provided by the Market Trials workstream • All operational scenarios will be tracked by the Market Trials workstream and reported to the Readiness workstream to assess the overall metric status • Some operational scenarios may be measured and reported separately depending on their criticality to go-live • All prerequisite activities have been completed prior to the completion of Market Trials Structured/Unstructured testing
Reported by:	SPP – Market Trials workstream
Target Completion:	11/1/2013

Data Source(s):	TBD <u>Market Trials Calendar and SMT Report</u>
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TRL-03: Market Trials - Integrated Deployment Testing

ID Number:	TRL-03
Category:	SPP
Description:	Verify that the <u>Integrated</u> Deployment Testing Tests (IDT) have been successful. phase of Market Trials is complete.
Measurement Criteria:	<p>This metric verifies that SPP has <u>successfully</u> completed the Deployment Testing phase of<u>during</u> Market Trials for the Integrated Marketplace.</p> <p><u>SPP SMEs will review a checklist of success criteria with MPs during the IDT debriefing call. With input from the participating MPs, SPP will determine if each IDT has been considered a success.</u></p> <p><u>Overall:</u> <u>Green: The most recently executed Integrated Deployment Test was successful</u> <u>Red: The most recently executed Integrated Deployment Test was unsuccessful</u></p> <p>Metric Complete: <u>Market Trials</u><u>Integrated</u> Deployment Testing has been <u>successfully</u> completed.</p>
Assumptions:	Will be updated at a later date
Reported by:	SPP – Market Trials workstream
Target Completion:	<u>1/31/2014</u>
Data Source(s):	TBD

Operations Metrics

OPS-01: EMS Model Review

ID Number:	OPS-01
Category:	Market Participant
Description:	All applicable Market Participants in the Integrated Marketplace need to review their part of the Transmission System as it is modeled in the SPP EMS and confirm their part is modeled correctly.
Measurement Criteria:	This metric measures applicable Market Participants completion of their EMS model review. <i>The components of the EMS Model review will be defined at a later date.</i> MP Level: Green: MP Model Certification Complete Red: MP Model Certification Incomplete
Assumptions:	<ul style="list-style-type: none"> • All Transmission Owners that are registered MPs will need to review and certify the model accuracy • Monthly call concerning model changes will continue for interim check points • This activity will begin after the MCST Implementation
Reported by:	Market Participants and SPP Operations Engineering
Target Completion:	August 2013 Post MCST Implementation/ Pre-parallel ops
Data Source(s):	TBD

OPS-02: State Estimator Availability

ID Number:	OPS-02
Category:	SPP
Description:	SPP will verify State Estimator availability for the Integrated Marketplace
Measurement Criteria:	This metric is measured by checking for a solved SE solution during each 5-minute period in a calendar day. The availability will be calculated using the following formula $(1 - (\text{total 5 min periods without a solution}/288)) * 100 = \text{Daily availability}$ Overall: <u>Green: State Estimator has ninety-seven percent (97%) availability of five (5) minute solutions for 7 consecutive operating days prior to Parallel Ops</u> <u>Yellow: State Estimator does not have ninety-seven percent (97%) availability of five (5) minute solutions for 7 consecutive operating days prior to Parallel Ops</u> Metric Complete:

	<p>State Estimator has ninety-seven percent (97%) availability of five (5) minute solutions for 7 consecutive days <u>during Parallel Ops</u>.</p> <p>Additionally, there are no more than 6 consecutive 5 minute intervals without a solved valid SE solution (<i>30 minutes is the parameter set for RTBM to use the latest SE solution</i>)</p>
Assumptions:	<ul style="list-style-type: none"> If a failover of the EMS System is required on a particular day or a failover of the ICCP System for the purpose of bringing new Models on line, that day will be excluded from the measurements
Reported by:	SPP – Market Trials workstream Report: Externally
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	<u>TBDMarkets Database</u>

OPS-03: State Estimator Accuracy

ID Number:	OPS-03
Category:	SPP
Description:	SPP will verify State Estimator accuracy for the Integrated Marketplace
Measurement Criteria:	<p>This metric measures the quality of the State Estimator using the following criteria.</p> <p>Overall:</p> <p><u>Green: State Estimator solves 90% of the time with Mismatch level lower than 50 MW for 7 consecutive operating days prior to Parallel Ops</u></p> <p><u>Yellow: State Estimator does not solve 90% of the time with Mismatch level lower than 50 MW for 7 consecutive operating days prior to Parallel Ops</u></p> <p>Metric Complete: State Estimator solves 90% of the time with Mismatch level lower than 50 MW for 7 consecutive days <u>during Parallel Ops</u></p>
Assumptions:	<ul style="list-style-type: none"> If a failover of the EMS System is required on a particular day or a failover of the ICCP System for the purpose of bringing new Models on line, that day will be excluded from the measurements
Reported by:	SPP – Market Trials workstream
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	<u>TBDMarkets Database</u>

OPS-04: Short-Term Load Forecast Accuracy

ID Number:	OPS-04
Category:	SPP
Description:	SPP will verify Short Term Load Forecast accuracy for the Integrated Marketplace
Measurement	This metric will be tracked by comparing the load forecast values calculated by the

Criteria:	<p>Short Term forecast engine with the raw ICCP values (i.e. telemetered values).</p> <p>Overall:</p> <p><u>Green: Short term load forecast for the SPP market footprint used for RTBM for conforming loads solves 97% of time with +/- 1% accuracy for seven consecutive operating days prior to Parallel Ops</u></p> <p><u>Yellow: Short term load forecast for the SPP market footprint used for RTBM for conforming loads does not solve 97% of time with +/- 1% accuracy for seven consecutive operating days prior to Parallel Ops</u></p> <p>Metric Complete:</p> <p>Short term load forecast for the SPP market footprint used for RTBM for conforming loads solves 97% of time with +/- 1% accuracy for seven consecutive days <u>during Parallel Ops</u></p>
Assumptions:	<ul style="list-style-type: none"> • Calculation: $(STLF - 5 \text{ min load actual}) / 5 \text{ min load actual} = +/- 1\%$
Reported by:	SPP – Operations Engineering
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	<u>ICCP and STLF engine Markets Database</u>

OPS-05a: Mid-Term Load Forecast Accuracy - 4AM ID RUC

ID Number:	<u>OPS-05a</u>
Category:	<u>SPP</u>
Description:	<u>SPP will verify 4am Mid-term Load Forecast accuracy for the Integrated Marketplace</u>
Measurement Criteria:	<p><u>This metric will be tracked by comparing the load forecast values calculated during ID_RUC by the Mid Term forecast engine with the raw ICCP values (i.e. telemetered values).</u></p> <p>Overall:</p> <p><u>Green: 4am Mid-term load forecast for conforming loads for the SPP market footprint solves 97% of time with +/- 5% accuracy for seven consecutive operating days prior to Parallel Ops</u></p> <p><u>Yellow: 4am Mid-term load forecast for conforming loads for the SPP market footprint does not solve 97% of time with +/- 5% accuracy for seven consecutive operating days prior to Parallel Ops</u></p> <p>Metric Complete:</p> <p><u>4am Mid-term load forecast for conforming loads for the SPP market footprint solves 97% of time with +/- 5% accuracy for seven consecutive days during Parallel Ops</u></p>
Assumptions:	<ul style="list-style-type: none"> • <u>The following solutions will be used to comply with the metric:</u> <ul style="list-style-type: none"> – <u>4am MTLF for 8am</u> • <u>Calculation: $(MTLF - \text{hourly load actual}) / \text{hourly load actual} = +/- 5\%$</u>
Reported by:	<u>SPP – Operations Engineering</u>
Target Completion:	<u>Market Trials – Parallel Ops</u>

Data Source(s):	<u>Markets Database</u>
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OPS-05b: Mid-Term Load Forecast Accuracy – 12PM ID RUC

ID Number:	<u>OPS-05b</u>
Category:	<u>SPP</u>
Description:	<u>SPP will verify 12pm Mid-term Load Forecast accuracy for the Integrated Marketplace</u>
Measurement Criteria:	<p><u>This metric will be tracked by comparing the load forecast values calculated during ID_RUC by the Mid Term forecast engine with the raw ICCP values (i.e. telemetered values).</u></p> <p>Overall:</p> <p><u>Green: 12pm Mid-term load forecast for conforming loads for the SPP market footprint solves 97% of time with +/- 5% accuracy for seven consecutive operating days prior to Parallel Ops</u></p> <p><u>Yellow: 12pm Mid-term load forecast for conforming loads for the SPP market footprint does not solve 97% of time with +/- 5% accuracy for seven consecutive operating days prior to Parallel Ops</u></p> <p>Metric Complete:</p> <p><u>12pm Mid-term load forecast for conforming loads for the SPP market footprint solves 97% of time with +/- 5% accuracy for seven consecutive days during Parallel Ops</u></p>
Assumptions:	<ul style="list-style-type: none"> <u>• The following solutions will be used to comply with the metric:</u> <ul style="list-style-type: none"> <u>– Noon MTLF for 3pm</u> <u>• Calculation: (MTLF – hourly load actual) / hourly load actual = +/- 5%</u>
Reported by:	<u>SPP – Operations Engineering</u>
Target Completion:	<u>Market Trials – Parallel Ops</u>
Data Source(s):	<u>Markets Database</u>

OPS-05c: Mid-Term Load Forecast Accuracy – 5pm DA RUC

ID Number:	<u>OPS-05c</u>
Category:	<u>SPP</u>
Description:	<u>SPP will verify 5pm Mid-term Load Forecast accuracy for the Integrated Marketplace</u>
Measurement Criteria:	<p><u>This metric will be tracked by comparing the load forecast values calculated during DA_RUC by the Mid Term forecast engine with the raw ICCP values (i.e. telemetered values).</u></p> <p>Overall:</p> <p><u>Green: 5pm Mid-term load forecast for conforming loads for the SPP market footprint solves 97% of time with +/- 5% accuracy for seven consecutive operating days prior to Parallel Ops</u></p> <p><u>Yellow: 5pm Mid-term load forecast for conforming loads for the SPP market footprint does not solve 97% of time with +/- 5% accuracy for seven consecutive operating days prior to Parallel Ops</u></p> <p>Metric Complete:</p>

	<u>5pm Mid-term load forecast for conforming loads for the SPP market footprint solves 97% of time with +/- 5% accuracy for seven consecutive days during Parallel Ops</u>
<u>Assumptions:</u>	<ul style="list-style-type: none"> • <u>The following solutions will be used to comply with the metric:</u> <ul style="list-style-type: none"> – <u>Daily peak accuracy based on 5pm Day-Ahead MTLF used for DA RUC solution</u> • <u>Calculation: (MTLF – hourly load actual) / hourly load actual = +/- 5%</u>
<u>Reported by:</u>	<u>SPP – Operations Engineering</u>
<u>Target Completion:</u>	<u>Market Trials – Parallel Ops</u>
<u>Data Source(s):</u>	<u>Markets Database</u>

OPS-06a: Wind Forecast Accuracy – Pre RTBM

<u>ID Number:</u>	<u>OPS-06a</u>
<u>Category:</u>	<u>SPP</u>
<u>Description:</u>	<u>SPP will verify Wind Forecast accuracy for the Integrated Marketplace</u>
<u>Measurement Criteria:</u>	<p><u>This metric will be tracked by comparing the wind forecast values calculated during pre-RTBM by the wind forecast engine with the real-time output of the wind resources</u></p> <p><u>Overall:</u></p> <p><u>Green: Wind forecast for SPP Market footprint solves with +/- 15% accuracy for six out of seven consecutive operating days prior to Parallel Ops</u></p> <p><u>Yellow: Wind forecast for SPP Market footprint does not solve with +/- 15% accuracy for six out of seven consecutive operating days prior to Parallel Ops</u></p> <p><u>Metric Complete:</u></p> <p><u>Wind forecast for SPP Market footprint solves with +/- 15% accuracy for six out of seven consecutive days during Parallel Ops</u></p>
<u>Assumptions:</u>	<ul style="list-style-type: none"> <u>• The following solutions will be used to comply with the metric:</u> <ul style="list-style-type: none"> <u>– 4am System-Wide forecast for 5am</u> <u>– Noon System-Wide forecast for 1pm</u> <u>• Calculation: Errors shall be computed as Mean Absolute Error (MAE).</u> <ul style="list-style-type: none"> <u>- Hour-ahead forecast errors should be within 15%</u>
<u>Reported by:</u>	<u>SPP Operations Engineering</u>
<u>Target Completion:</u>	<u>Market Trials – Parallel Ops</u>
<u>Data Source(s):</u>	<u>Markets Database</u>

OPS-06b: Wind Forecast Accuracy – RTBM

<u>ID Number:</u>	<u>OPS-06b</u>
<u>Category:</u>	<u>SPP</u>
<u>Description:</u>	<u>SPP will verify Wind Forecast accuracy for the Integrated Marketplace</u>
<u>Measurement Criteria:</u>	<p><u>This metric will be tracked by comparing the wind forecast values calculated during RTBM by the wind forecast engine with the real-time output of the wind resources</u></p> <p><u>Overall:</u></p> <p><u>Green: Wind forecast for SPP Market footprint solves with +/- 10% accuracy for six out of seven consecutive operating days prior to Parallel Ops</u></p> <p><u>Yellow: Wind forecast for SPP Market footprint does not solve with +/- 10% accuracy for six out of seven consecutive operating days prior to</u></p>

	<u>Parallel Ops</u>
	<p><u>Metric Complete:</u> <u>Wind forecast for SPP Market footprint solves with +/- 10% accuracy for six out of seven consecutive days during Parallel Ops</u></p>
<u>Assumptions:</u>	<ul style="list-style-type: none"> • <u>The following solutions will be used to comply with the metric:</u> <ul style="list-style-type: none"> - <u>4am System-Wide forecast</u> - <u>Noon System-Wide forecast</u> • <u>Calculation: Errors shall be computed as Mean Absolute Error (MAE).</u> <ul style="list-style-type: none"> - <u>10-minute forecast errors should be within 10%</u>
<u>Reported by:</u>	<u>SPP Operations Engineering</u>
<u>Target Completion:</u>	<u>Market Trials – Parallel Ops</u>
<u>Data Source(s):</u>	<u>Markets Database</u>

OPS-06c: Wind Forecast Accuracy – DA RUC

<u>ID Number:</u>	<u>OPS-06c</u>
<u>Category:</u>	<u>SPP</u>
<u>Description:</u>	<u>SPP will verify Wind Forecast accuracy for the Integrated Marketplace</u>
<u>Measurement Criteria:</u>	<p><u>This metric will be tracked by comparing the wind forecast values calculated during DA RUC by the wind forecast engine with the real-time output of the wind resources</u></p> <p><u>Overall:</u></p> <p><u>Green: Wind forecast for SPP Market footprint solves with +/- 20% accuracy for six out of seven consecutive operating days prior to Parallel Ops</u></p> <p><u>Yellow: Wind forecast for SPP Market footprint does not solve with +/- 20% accuracy for six out of seven consecutive operating days prior to Parallel Ops</u></p> <p><u>Metric Complete:</u> <u>Wind forecast for SPP Market footprint solves with +/- 20% accuracy for six out of seven consecutive days during Parallel Ops</u></p>
<u>Assumptions:</u>	<ul style="list-style-type: none"> • <u>The following solutions will be used to comply with the metric:</u> <ul style="list-style-type: none"> - <u>4am System-Wide forecast for 8am</u> - <u>Noon System-Wide forecast for 3pm</u> - <u>Daily peak accuracy based on 5pm Day-Ahead System-Wide forecast used for DA RUC solution</u> • <u>Calculation: Errors shall be computed as Mean Absolute Error (MAE).</u> <ul style="list-style-type: none"> - <u>Day-ahead forecast errors should be within 20%</u>
<u>Reported by:</u>	<u>SPP Operations Engineering</u>

Target Completion:	<u>Market Trials – Parallel Ops</u>
Data Source(s):	<u>Markets Database</u>

OPS-05: Mid-Term Load Forecast Accuracy

ID Number:	OPS-05
Category:	SPP
Description:	SPP will verify Mid-term Load Forecast accuracy for the Integrated Marketplace
Measurement Criteria:	<p>This metric will be tracked by comparing the load forecast values calculated by the Mid-Term forecast engine with the raw ICCP values (i.e. telemetered values).</p> <p>Metric Complete: Mid-term load forecast for conforming loads for the SPP market footprint solves 97% of time with +/- 3% accuracy for seven consecutive days</p>
Assumptions:	<ul style="list-style-type: none"> • The following solutions will be used to comply with the metric: <ul style="list-style-type: none"> — 4am MTLF for 8am — Noon MTLF for 3pm — Daily peak accuracy based on 5pm Day Ahead MTLF used for DA RUC solution • Calculation: $(MTLF - \text{hourly load actual}) / \text{hourly load actual} = +/- 3\%$
Reported by:	SPP—Operations Engineering
Target Completion:	Market Trials—Parallel Ops
Data Source(s):	ICCP and MTLF engine

OPS-06: Wind Forecast Accuracy

ID Number:	OPS-06
Category:	SPP
Description:	SPP will verify Wind Forecast accuracy for the Integrated Marketplace
Measurement Criteria:	<p>This metric will be tracked by comparing the wind forecast values calculated by the wind forecast engine with the real-time output of the wind resources</p> <p>Metric Complete: Wind forecast for SPP Market footprint solves with +/- 20% accuracy for six out of seven consecutive days</p>
Assumptions:	<ul style="list-style-type: none"> • The following solutions will be used to comply with the metric: <ul style="list-style-type: none"> — 4am System Wide forecast for 8am — Noon System Wide forecast for 3pm — Daily peak accuracy based on 5pm Day Ahead System Wide forecast used for DA RUC solution • Calculation: Errors shall be computed as Mean Absolute Error (MAE).
Reported by:	SPP Operations Engineering
Target Completion:	Market Trials—Parallel Ops
Data Source(s):	Energy Mateo

OPS-07: Market Flow Calculations Availability – Current Hour

ID Number:	OPS-07
Category:	SPP
Description:	SPP will verify the availability of the Market System and associated inputs through the count of the amount of successful market flow calculations during a given period.
Measurement Criteria:	<p>This metric is measured by calculating the number of successful studies during the reporting period for the current hour. The metric will be judged successful when the number of approved study cases for each study type divided by the number of 5 minute intervals during that period is less than 97% and the number of consecutive failures is no greater than three. An adjustment for the number of 5 minute intervals should be made for the amount of time system outages are planned.</p> <p><u>Overall:</u></p> <p><u>Green: Market Flow Calculations successful ninety-seven percent (97%) of 5 minute solutions for seven consecutive operating days prior to Parallel Ops</u></p> <p><u>Yellow: Market Flow Calculations are not successful ninety-seven percent (97%) of 5 minute solutions for seven consecutive operating days prior to Parallel Ops</u></p> <p>Metric Complete: Market Flow Calculations successful ninety-seven percent (97%) of 5 minute solutions for seven consecutive days <u>during Parallel Ops-</u></p>
Assumptions:	<ul style="list-style-type: none"> • This metric is inclusive of unplanned failures. Time frames with planned downtimes are not included in this metric.
Reported by:	SPP – Operations Engineers
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	<u>MBD Markets Database</u>

OPS-08: Market Flow Calculations Availability – Next Hour

ID Number:	OPS-08
Category:	SPP
Description:	SPP will verify the availability of the Market System and associated inputs through the count of the amount of successful market flow calculations during a given period.
Measurement Criteria:	<p>This metric is measured by calculating the number of successful studies during the reporting period for the next hour. The metric will be judged successful when the number of approved study cases for each study type divided by the number of 5 minute intervals during that period is less than 97% and the number of consecutive failures is no greater than three. An adjustment for the number of 5 minute intervals should be made for the amount of time system outages are planned.</p> <p><u>Overall:</u></p> <p><u>Green: Market Flow Calculations successful ninety-seven percent (97%) of 5 minute solutions for seven consecutive operating days prior to Parallel Ops</u></p>

	<p><u>Yellow: Market Flow Calculations are not successful ninety-seven percent (97%) of 5 minute solutions for seven consecutive operating days prior to Parallel Ops</u></p> <p>Metric Complete: Market Flow Calculations successful ninety-seven percent (97%) of 5 minute solutions for seven consecutive days <u>during Parallel Ops</u>.</p>
Assumptions:	<ul style="list-style-type: none"> This metric is inclusive of unplanned failures. Time frames with planned downtimes are not included in this metric.
Reported by:	SPP – Operations Engineers
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	<u>MBDMarkets Database</u>

OPS-09: DA Market Results Posted

ID Number:	OPS-09
Category:	SPP
Description:	Day-Ahead Market results are posted on time
Measurement Criteria:	<p>This metric is measured by validating that the results of the Day-Ahead Market are posted to all required access points.</p> <p>Overall:</p> <p><u>Green: Day-Ahead Market results are posted every day by 4pm for 5 consecutive operating days prior to Parallel Ops</u></p> <p><u>Yellow: Day-Ahead Market results are not posted every day by 4pm for 5 consecutive operating days prior to Parallel Ops</u></p> <p>Metric Complete: Day-Ahead Market results are posted every day by 4pm for 5 consecutive days during <u>Market Trials-Parallel Ops</u></p>
Assumptions:	<ul style="list-style-type: none"> <u>Any posting within 5 minutes after 4pm should be considered “on-time” due to minor network and system latency in the normal process of posting.</u>
Reported by:	Day Ahead Market Operations
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	<u>TBDMarkets Database</u>

OPS-10: Generate DA LMPs and Settlement Point Prices

ID Number:	OPS-10
Category:	SPP
Description:	Generate Day-Ahead LMPs - The LMPs will be calculated daily for each pnode and available for Market Participant Access.
Measurement Criteria:	The metric will measure whether LMPs are generated after each Day-Ahead Market execution.

	<p>Overall:</p> <p><u>Green: LMPs are made available for each settlement location every day by 4pm for 5 consecutive operating days prior to Parallel Ops</u></p> <p><u>Yellow: LMPs are not made available for each settlement location every day by 4pm for 5 consecutive operating days prior to Parallel Ops</u></p> <p>Metric Complete: LMPs are generated for each node and made available for each settlement location every day by 4pm for 5 consecutive days <u>during Parallel Ops</u>.</p>
Assumptions:	<ul style="list-style-type: none"> <u>Any posting within 5 minutes after 4pm should be considered “on-time” due to minor network and system latency in the normal process of posting.</u>
Reported by:	Day Ahead Market Operations
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Markets Database <u>DB</u>

OPS-11: RTBM Calculation Availability

ID Number:	OPS-11
Category:	SPP
Description:	SPP will verify RTBM Calculation availability for the Integrated Marketplace
Measurement Criteria:	<p>This metric will measure RTBM calculation availability:</p> <p>Overall:</p> <p><u>Green: Real-Time Calculations successful ninety-nine percent (99%) of five (5) minute solutions for 7 consecutive operating days prior to Parallel Ops</u></p> <p><u>Yellow: Real-Time Calculations are not successful ninety-nine percent (99%) of five (5) minute solutions for 7 consecutive operating days prior to Parallel Ops</u></p> <p>Metric Complete: Real-Time Calculations successful ninety-nine percent (99%) of five (5) minute solutions for 7 consecutive days <u>during Parallel Ops</u></p>
Assumptions:	<ul style="list-style-type: none"> If a failover of the EMS System is required on a particular day or a failover of the ICCP System for the purpose of bringing new Models on line, that day will be excluded from the measurements
Reported by:	SPP – Market Trials workstream
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	MDB <u>Markets Database</u>

OPS-12: Operating Reserves Requirements

ID Number:	OPS-12
Category:	SPP
Description:	SPP will ensure Operating Reserves are posted on time <u>Asset-Owning MPs</u>

	<u>Operating Reserves are posted on-time</u>
Measurement Criteria:	<p><u>This metric will validate that Asset-Owning MPs Operating Reserves are calculated and posted on time (7:00 am Central) during Parallel Operations phase of Market Trials for 7 consecutive days.</u></p> <p>Overall:</p> <p><u>Green: Operating Reserves are calculated and posted on time for 7 consecutive operating days prior to Parallel Ops</u></p> <p><u>Yellow: Operating Reserves were not calculated and posted on time for 7 consecutive operating days prior to Parallel Ops</u></p> <p>This metric will validate that Operating Reserves are posted on time (7:00 am Central) during Parallel Operations phase of Market Trials for 7 consecutive days.</p> <p>Metric Complete: Operating Reserves <u>are calculated and posted</u> on time for 7 consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> <u>All MP supplied data needs to be submitted prior to DBDA-RUC execution must be supplied by 6:00am to allow SPP time to perform the needed calculations.</u> <u>Dependent on reserve requirement calculator availability</u> <u>SPP posts the reserve obligation to Asset Owners with load</u>
Reported by:	SPP – Market Trials workstream
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	<u>TBD Markets Database</u>

OPS-13: Regulation Pre-Certification

ID Number:	<u>OPS-13</u>						
Category:	<u>Market Participant</u>						
Description:	<u>Market Participants with regulation resources collaborate with SPP to complete Regulation pre-certification process.</u>						
Measurement Criteria:	<p><u>This metric measures the completion of the Regulation pre-certification for MPs with regulation resources. The following milestones will be used to track this metric:</u></p> <table border="1" data-bbox="440 1446 1365 1587"> <tr> <td><u>5/31/2013</u></td> <td><u>MPs notify SPP of resources that need to be deployment tested</u></td> </tr> <tr> <td><u>9/30/2013</u></td> <td><u>MPs submit data for Regulation pre-certification</u></td> </tr> <tr> <td><u>10/31/2013</u></td> <td><u>Conduct deployment testing for identified resources</u></td> </tr> </table> <p>By Market Participant:</p> <p><u>Green : Milestones are tracking on time</u></p> <p><u>Red: Milestones are late</u></p> <p>Overall:</p> <p><u>Green : Milestones are tracking on time for 100% of MPs</u></p> <p><u>Yellow: Milestones are at risk for 100% of MPs</u></p> <p><u>Red: Less than 100% of MPs by milestone date</u></p>	<u>5/31/2013</u>	<u>MPs notify SPP of resources that need to be deployment tested</u>	<u>9/30/2013</u>	<u>MPs submit data for Regulation pre-certification</u>	<u>10/31/2013</u>	<u>Conduct deployment testing for identified resources</u>
<u>5/31/2013</u>	<u>MPs notify SPP of resources that need to be deployment tested</u>						
<u>9/30/2013</u>	<u>MPs submit data for Regulation pre-certification</u>						
<u>10/31/2013</u>	<u>Conduct deployment testing for identified resources</u>						

	<u>Metric Complete:</u> <u>All MP identified regulation resources have completed the Regulation Pre-Certification</u>
<u>Assumptions:</u>	
<u>Reported by:</u>	<u>SPP – Markets & Readiness workstreams</u>
<u>Target Completion:</u>	<u>October 31, 2013</u>
<u>Data Source(s):</u>	<u>Regulation Pre-Certification Process Tracker</u>

OPS-14: ACE Performance Accuracy

<u>ID Number:</u>	<u>OPS-14</u>
<u>Category:</u>	<u>SPP</u>
<u>Description:</u>	<u>SPP will verify ACE performance accuracy for the Integrated Marketplace</u>
<u>Measurement Criteria:</u>	<p><u>This metric will measure the comparison of the Area Control Error (ACE) calculation between the future control system and existing control system, for accuracy for seven days.</u></p> <p><u>Overall:</u></p> <p><u>Green: The 5 min rolling average delta between the SPP ACE and the SUM of the individual EIS BA ACE values is within a band defined as the greater of +/- 20MW and +/- 10% of the corresponding Average Sum of the individual SPP BA ACE for 7 days</u></p> <p><u>Yellow: The 5 min rolling average delta between the SPP ACE and the SUM of the individual EIS BA ACE values is within a band defined as the greater of +/- 20MW and +/- 10% of the corresponding Average Sum of the individual SPP BA ACE for 7 days with delta's of +/- 30% that are explainable</u></p> <p><u>Red: The 5 min rolling average delta between the SPP ACE and the SUM of the individual EIS BA ACE values is within a band defined as the greater of +/- 20MW and +/- 10% of the corresponding Average Sum of the individual SPP BA ACE for 7 days with delta's of +/- 30% that are not explainable</u></p> <p><u>Metric Complete:</u></p> <p><u>The 5 min rolling average delta between the SPP ACE and the SUM of the individual EIS BA ACE values is within a band defined as the greater of +/- 20MW and +/- 10% of the corresponding Average Sum of the individual SPP BA ACE for 7 days with delta's of +/- 30% that are explainable</u></p>
<u>Assumptions:</u>	<ul style="list-style-type: none"> <u>• During RSS events, RSS Schedules will be automatically populated in the new SPP control system. If not, then this period will be evaluated for inclusion based on SPP operators manually entering these schedules</u> <u>• Total Dynamic Schedules by interface are being telemetered via ICCP for each EIS BA</u> <u>• Tag mirroring is in place</u> <u>• Valid EIS ACE data is available 90% of intervals during the 7 day window</u>

	<ul style="list-style-type: none"> • <u>Invalid EIS ACE data is defined as erroneous ACE values telemetered to SPP affecting the SUM of the individual EIS BA ACE</u> • <u>Intervals with invalid EIS BA ACE data will be excluded from the calculation</u> • <u>Valid SPP ACE data is available for 90% of intervals during the 7 day window</u> • <u>SPP ACE is considered valid for all intervals that SPP CPS data is also valid</u> • <u>Intervals with invalid SPP ACE will be excluded from the calculation</u>
Reported by:	<u>SPP Operations Engineering</u>
Target Completion:	<u>Market Trials – Parallel Ops</u>
Data Source(s):	<u>TBD</u>

OPS-15: CROW Outage Submission

ID Number:	<u>OPS-15</u>
Category:	<u>SPP and Market Participants</u>
Description:	<u>SPP and Market Participants verify the quality of resource outage through comparison of SCADA and CROW data</u>
Measurement Criteria:	<p><u>This metric will measure the accuracy of MPs outage submissions through CROW on a weekly basis. MPs will be measured for quality control by comparing the time difference between the SCADA and CROW data for the outage. The intent being that outages submitted through CROW match the actual outage experienced.</u></p> <p><u>By Market Participant:</u></p> <p><u>Green: All Outages recorded through SCADA are accurately reflected in CROW within 30 minutes</u></p> <p><u>Yellow: All outages recorded through SCADA are accurately reflected in CROW within 1 hour</u></p> <p><u>Red: An Outage recorded through SCADA is not recorded in CROW within 1 hour</u></p> <p><u>Overall:</u></p> <p><u>Green: On track for 100% of resource-owning MPs</u></p> <p><u>Red: At risk for 100% of resource-owning MPs</u></p> <p><u>Metric Complete:</u></p> <p><u>100% of resource-owning MPs reports outages through SCADA and CROW within 30 minutes</u></p>
Assumptions:	<ul style="list-style-type: none"> • <u>SPP will guide MPs through the submission of an outage if needed</u> • <u>Only resource-owning MPs are applicable</u> • <u>In the absence of a real outage, MP will work with SPP to create a simulated outage and submit an outage through CROW</u>
Reported by:	<u>SPP Operations Engineering</u>
Target	<u>Go-Live</u>

<u>Completion:</u>	
<u>Data Source(s):</u>	<u>SCADA, CROW</u>

OPS-16: MP Response to Deployment Testing

<u>ID Number:</u>	<u>OPS-16</u>
<u>Category:</u>	<u>Market Participants</u>
<u>Description:</u>	<u>Market Participants physically respond to dispatch instructions during deployment testing</u>
<u>Measurement Criteria:</u>	<p><u>This metric will measure if at least one of a resource-owning MP’s units responds during one of the 15 deployment tests. A unit response demonstrates to SPP that it is following deployment testing and can receive instructions.</u></p> <p><u>By Market Participant:</u></p> <p><u>Green: One or more of the MPs online units responded to dispatch instructions during a deployment test</u></p> <p><u>Red: At least one of the MPs online units did not respond to dispatch instructions during a deployment test</u></p> <p><u>Gray: MP units are offline during deployment tests</u></p> <p><u>Metric Complete:</u></p> <p><u>100% of online resource-owning MPs have responded at least once during the 15 deployment tests</u></p>
<u>Assumptions:</u>	<ul style="list-style-type: none"> <u>Only online resource-owning MPs are applicable</u>
<u>Reported by:</u>	<u>SPP Operations Engineering</u>
<u>Target Completion:</u>	<u>Market Trials – Parallel Ops</u>
<u>Data Source(s):</u>	<u>PI Displays, SCADA</u>

OPS-17: ICCP Model Validation

<u>ID Number:</u>	<u>OPS-17</u>
<u>Category:</u>	<u>Market Participants</u>
<u>Description:</u>	<u>ICCP Models are up-to-date and validated</u>
<u>Measurement Criteria:</u>	<p><u>This metric will measure whether member ICCP Models are up to date, and the data exchange and values have been validated for all applicable entities and relationships</u></p> <p><u>By Market Participant:</u></p> <p><u>Green: ICCP Model is up-to-date and validated</u></p> <p><u>Yellow: ICCP Model is not up-to-date and validated</u></p> <p><u>Overall:</u></p> <p><u>Green: 100% of resource-owning MPs complete</u></p> <p><u>Yellow: <100% of resource-owning MPs complete</u></p>

	<p><u>Metric Complete:</u> <u>100% of resource-owning Market Participants ICCP models are up-to-date and validated</u></p>
<u>Assumptions:</u>	<p><u>• Only resource-owning MPs are applicable</u></p>
<u>Reported by:</u>	<p><u>SPP – Operations Engineering</u></p>
<u>Target Completion:</u>	<p><u>10/25/2013</u></p>
<u>Data Source(s):</u>	<p><u>CMOD_Status</u></p>

OPS-18: ICCP Control Status Tracking

<u>ID Number:</u>	<u>OPS-18</u>
<u>Category:</u>	<u>Market Participants</u>
<u>Description:</u>	<u>Market Participants submission of correct control modes</u>
<u>Measurement Criteria:</u>	<p><u>This metric will measure whether Resource-owning Market Participants have submitted the correct control modes for quality purposes.</u></p> <p><u>MPs must submit control modes correctly for one week prior to the start of Parallel Ops (Parallel Ops Entry Criteria)</u></p> <p><u>MPs must maintain quality of control modes during Parallel Ops as an exit criteria for Parallel Ops</u></p> <p><u>By Market Participant:</u></p> <p><u>Green: Market Participant correctly submitted control modes</u></p> <p><u>Red: Market Participant did not correctly submit control modes</u></p> <p><u>Gray: Market Participant ICCP Model is not validated</u></p> <p><u>Overall:</u></p> <p><u>Green: 100% of applicable MPs correctly submitted control modes</u></p> <p><u>Yellow: 80 – 99.9% of applicable MPs correctly submitted control modes</u></p> <p><u>Red: < 80% of applicable MPs correctly submitted control modes</u></p> <p><u>Metric Complete:</u></p> <p><u>100% of applicable Market Participants correctly submitted control modes</u></p>
<u>Assumptions:</u>	<ul style="list-style-type: none"> <u>• Only on-line resource-owning MPs are applicable</u> <u>•</u>
<u>Reported by:</u>	<u>SPP – Operations Engineering</u>
<u>Target Completion:</u>	<u>Parallel Ops</u>
<u>Data Source(s):</u>	<u>TBD</u>

Registration Metrics

REG-01: Market Participant Registration – SPP Actions

ID Number:	REG-01								
Category:	SPP								
Description:	SPP completes required steps for MP Integrated Marketplace registration process.								
Measurement Criteria:	<p>This metric verifies that SPP is taking the required steps to get MPs registered for the Integrated Marketplace. This metric will be measured based on milestone dates set by the Integrated Marketplace Registration workstream:</p> <table border="1" style="margin-left: 40px;"> <tr> <td>4/1/2012</td> <td>Pre-filled Registration Packets Mailed to MPs</td> </tr> <tr> <td>8/1/2012</td> <td>Revised Packets Reviewed / Approved by Modeling</td> </tr> <tr> <td>11/2/2012</td> <td>MP Modeled in CMT and MCST Ready for Participant Testing</td> </tr> <tr> <td>1/7/2013</td> <td>CMT and MCST implement to Integrated Marketplace production</td> </tr> </table> <p style="margin-left: 40px;">Green : All milestones are tracking on time Yellow: One or more milestone is at risk Red: One or more milestone is tracking late</p> <p>Metric Complete: 100% Target Mass are modeled</p>	4/1/2012	Pre-filled Registration Packets Mailed to MPs	8/1/2012	Revised Packets Reviewed / Approved by Modeling	11/2/2012	MP Modeled in CMT and MCST Ready for Participant Testing	1/7/2013	CMT and MCST implement to Integrated Marketplace production
4/1/2012	Pre-filled Registration Packets Mailed to MPs								
8/1/2012	Revised Packets Reviewed / Approved by Modeling								
11/2/2012	MP Modeled in CMT and MCST Ready for Participant Testing								
1/7/2013	CMT and MCST implement to Integrated Marketplace production								
Assumptions:	<ul style="list-style-type: none"> • For each of the packets received by 6/1/2012, SPP will complete step 2 • SPP will continue to contact all MPs to encourage registration • Any packets returned after the initial due date will progress on a separate timeline • MPs that register by 2/1/13 will be included in the Integrated Marketplace at go-live 								
Reported by:	SPP – Registration workstream								
Target Completion:	1/7/2013								
Data Source(s):	Registration tracker								

REG-02: Market Participant Registration – MP Actions

ID Number:	REG-02				
Category:	Market Participants				
Description:	Market Participants complete required steps for Integrated Marketplace registration process.				
Measurement Criteria:	<p>This metric will be measured based on milestone dates set by the Integrated Marketplace Registration workstream:</p> <table border="1" style="margin-left: 40px;"> <tr> <td>6/1/2012</td> <td>Packets Returned to SPP</td> </tr> <tr> <td>TBD</td> <td>NEW Agreement AM Executed and Returned from Integrated</td> </tr> </table>	6/1/2012	Packets Returned to SPP	TBD	NEW Agreement AM Executed and Returned from Integrated
6/1/2012	Packets Returned to SPP				
TBD	NEW Agreement AM Executed and Returned from Integrated				

	Marketplace registered Meter Agents^
TBD	NEW Agreement AH Executed and Returned from registered Integrated Marketplace MPs^
2/15/2013	MP Approve Initial Models
8/15/2013	MP Approve Market Trials Models
1/15/2014	MP Approve Production Models
	<p>By Market Participant: Green : Milestones are tracking on time Red: Milestones are late</p> <p>Overall: Green : Milestones are tracking on time for 100% of Target Mass Yellow: Milestones are at risk for 100% of Target Mass Red: Less than 100% of Target Mass by milestone date</p> <p>Metric Complete: 100 % of Target Mass registration completed including executed agreements</p>
Assumptions:	<ul style="list-style-type: none"> • This metric is dependent on FERC Tariff approvals • ^Waiting on refile and approval from FERC
Reported by:	SPP – Registration workstream
Target Completion:	1/15/2014
Data Source(s):	Registration tracker

Regulatory Metrics

RGL-01: FERC Tariff Filing

ID Number:	RGL-01										
Category:	SPP										
Description:	FERC approval order secured for Tariff filing										
Measurement Criteria:	<p>This metric will be measured based on milestone dates set by the Integrated Marketplace Regulatory workstream:</p> <table border="1" style="margin-left: 20px;"> <tr> <td>2/29/2012 2/29/2012</td> <td>Initial Tariff Filing submitted to FERC Initial Tariff Filing submitted to FERC</td> </tr> <tr> <td>10/18/2012 12/31/2012</td> <td>Conditional FERC Approval Order Received for Tariff Filing¹FERC Approval Order Received for Tariff Filing¹</td> </tr> <tr> <td>2/15/2013 2/15/2013</td> <td>Compliance Filing Submitted for FERC Conditional Approval Order Compliance Order Submitted for Conditional FERC Approval Order</td> </tr> <tr> <td>9/20/2013 TBD</td> <td>FERC Order Received SPP response to FERC Tariff Filing</td> </tr> <tr> <td>11/19/2013</td> <td>Compliance Filing submitted in response to 9/20/2013 FERC Order</td> </tr> </table> <p style="margin-left: 20px;">Green: Milestones tracking on time Yellow: Milestones are at risk</p> <p>Metric Complete: FERC Approval Order Received</p>	2/29/2012 2/29/2012	Initial Tariff Filing submitted to FERC Initial Tariff Filing submitted to FERC	10/18/2012 12/31/2012	Conditional FERC Approval Order Received for Tariff Filing ¹ FERC Approval Order Received for Tariff Filing¹	2/15/2013 2/15/2013	Compliance Filing Submitted for FERC Conditional Approval Order Compliance Order Submitted for Conditional FERC Approval Order	9/20/2013 TBD	FERC Order Received SPP response to FERC Tariff Filing	11/19/2013	Compliance Filing submitted in response to 9/20/2013 FERC Order
2/29/2012 2/29/2012	Initial Tariff Filing submitted to FERC Initial Tariff Filing submitted to FERC										
10/18/2012 12/31/2012	Conditional FERC Approval Order Received for Tariff Filing ¹ FERC Approval Order Received for Tariff Filing¹										
2/15/2013 2/15/2013	Compliance Filing Submitted for FERC Conditional Approval Order Compliance Order Submitted for Conditional FERC Approval Order										
9/20/2013 TBD	FERC Order Received SPP response to FERC Tariff Filing										
11/19/2013	Compliance Filing submitted in response to 9/20/2013 FERC Order										
Assumptions:	• Note 1 - subject to future conditions, filings, etc. up to implementation										
Reported by:	SPP – Regulatory workstream										
Target Completion:	TBD										
Data Source(s):	Regulatory Milestones & applicable filings										

RGL-02: Readiness & Reversion Plan

ID Number:	RGL-02				
Category:	SPP				
Description:	SPP files a Readiness & Reversion Plan with FERC				
Measurement Criteria:	<p>This metric indicates that SPP has filed the Integrated Marketplace Readiness & Reversion Plan with FERC and will be measured based on the milestone dates set by the Integrated Marketplace Regulatory workstream:</p> <table border="1" style="margin-left: 20px;"> <tr> <td>3/25/2013</td> <td>Readiness & Reversion Plan Filing submitted to FERC</td> </tr> <tr> <td>5/28/2013 39/20/2013</td> <td>Acceptance from FERC FERC Order Received</td> </tr> </table>	3/25/2013	Readiness & Reversion Plan Filing submitted to FERC	5/28/2013 39/20/2013	Acceptance from FERC FERC Order Received
3/25/2013	Readiness & Reversion Plan Filing submitted to FERC				
5/28/2013 39/20/2013	Acceptance from FERC FERC Order Received				

	<table border="1"> <tr> <td><u>11/19/2013</u></td> <td><u>Compliance Filing submitted in response to 9/20/2013 FERC Order</u></td> </tr> </table> <p>Green: Milestones tracking on time Yellow: Acceptance from FERC is after 5//2013 <u>Milestones are at risk</u> Red: Readiness and/or Reversion plan is rejected by FERC</p> <p>Metric Complete: Readiness & Reversion Plan Accepted by FERC</p>	<u>11/19/2013</u>	<u>Compliance Filing submitted in response to 9/20/2013 FERC Order</u>
<u>11/19/2013</u>	<u>Compliance Filing submitted in response to 9/20/2013 FERC Order</u>		
Assumptions:	• This metric is dependent on FERC response to filing		
Reported by:	SPP – Regulatory & Readiness workstreams		
Target Completion:	May 28, 2013 <u>TBD</u>		
Data Source(s):	Regulatory Milestones & applicable filings		

RGL-03: Market Participant Readiness Certification

ID Number:	RGL-03				
Category:	SPP/Market Participant				
Description:	Market Participants formally acknowledge their readiness <u>as of December 20, 2013</u> for the Integrated Marketplace through <u>by signing a</u> Readiness Certification <u>form</u> .				
Measurement Criteria:	<p>This metric measures MP acknowledgment of Integrated Marketplace rReadiness by tracking the MPs that have signed off on their <u>signed the</u> Readiness Certification <u>form as of December 20, 2013</u>. The following milestones will be used to track this metric:</p> <table border="1"> <tr> <td>May 2013 <u>6/30/2013</u></td> <td>SPP provides MPs with Readiness Certification information <u>(sign off by executive)</u></td> </tr> <tr> <td>Nov 2013 <u>12/20/2013</u></td> <td>MP provides SPP with completed Readiness Certification</td> </tr> </table> <p>By Market Participant: <u>Green: MP has submitted form by 12/20/2013</u> <u>Red: MP has not submitted form by 12/20/2013</u> Green: Milestones tracking on time Yellow: Milestones are at risk Red: Milestones have been missed</p> <p>Overall: <u>Green: 100% of Target Mass complete by 12/20/2013</u> <u>Red: <100% of Target Mass complete by 12/20/2013</u> Green: Milestones tracking on time for 100% of Target Mass Yellow: Milestones are tracking on time for less than 100% of Target Mass Red: Target Mass has not signed off by the Readiness Certification milestone date listed above</p> <p>Metric Complete: 100% of Target Mass completes Readiness Certification</p>	May 2013 <u>6/30/2013</u>	SPP provides MPs with Readiness Certification information <u>(sign off by executive)</u>	Nov 2013 <u>12/20/2013</u>	MP provides SPP with completed Readiness Certification
May 2013 <u>6/30/2013</u>	SPP provides MPs with Readiness Certification information <u>(sign off by executive)</u>				
Nov 2013 <u>12/20/2013</u>	MP provides SPP with completed Readiness Certification				

Assumptions:	<ul style="list-style-type: none"> • MP Readiness Certification is needed prior to SPP’s Go-live Filing in January 2014 • SPP will provide MPs will detailed information regarding the Readiness Certification requirements and a template by the milestone date listed above • There may be regulatory piece to the certification for MPs (e.g. State approvals and market-based rate authority for ancillary services) • <u>By signing the Readiness Certification form, MPs acknowledge that as of December 20, 2013, they anticipate to be ready for the Integrated Marketplace go-live on March 1, 2014</u>Exact milestones dates will be provided by the Regulatory workstream at a future date
Reported by:	SPP – Regulatory & Readiness workstreams
Target Completion:	November 2013 <u>12/20/2013</u>
Data Source(s):	Regulatory Milestones & applicable filings

Reserve Sharing Group Metrics

RSG-01: RSG Member Integration and Testing Complete

<u>ID Number:</u>	<u>RGL-04</u>						
<u>Category:</u>	<u>SPP/MP</u>						
<u>Description:</u>	<u>Test the settling of energy with SPP amongst RSG Members</u>						
<u>Measurement Criteria:</u>	<p><u>This metric measures the completion of the settling of energy with SPP amongst RSG Members. The following milestones will be used to track this metric:</u></p> <table border="1" style="margin-left: 40px;"> <tr> <td><u>6/1/2013</u></td> <td><u>RSG Registration Complete</u></td> </tr> <tr> <td><u>12/31/2013</u></td> <td><u>RSG Contract Complete</u></td> </tr> <tr> <td><u>TBD</u></td> <td><u>RSG Testing Complete</u></td> </tr> </table> <p><u>By RSG Member:</u> <u>Green: Milestones tracking on time</u> <u>Yellow: One or more milestone is at risk</u> <u>Red: One or more milestone is tracking late</u></p> <p><u>Overall:</u> <u>Green: Milestones tracking on time for all RSG Members</u> <u>Yellow: One or more milestone is at risk for one or more RSG Members</u> <u>Red: One or more milestone is tracking late for one or more RSG Members</u></p> <p><u>Metric Complete:</u> <u>Testing has been completed for all RSG Members</u></p>	<u>6/1/2013</u>	<u>RSG Registration Complete</u>	<u>12/31/2013</u>	<u>RSG Contract Complete</u>	<u>TBD</u>	<u>RSG Testing Complete</u>
<u>6/1/2013</u>	<u>RSG Registration Complete</u>						
<u>12/31/2013</u>	<u>RSG Contract Complete</u>						
<u>TBD</u>	<u>RSG Testing Complete</u>						
<u>Assumptions:</u>							
<u>Reported by:</u>	<u>SPP – Regulatory, Registration, Market Trials</u>						
<u>Target Completion:</u>	<u>TBD</u>						
<u>Data Source(s):</u>	<u>Registration tracker</u>						

Settlements Metrics

STL-01: Access & Download Statements

ID Number:	STL-01
Category:	SPP /Market Participants
Description:	Market Participants have the ability to access and download Settlement Statements
Measurement Criteria:	<p>This metric is measured based on the Market Participant success rate of downloading Settlement Statements. SPP will post the statements, and Tthe success rate is based on data from IT audit logs that show if a Participant was<u>MP confirmation that they were</u> able to download a Settlement Statement.</p> <p>By Market Participant: Green: Attempted and successfully downloaded a Statement Red: Attempted, but did not successfully download a Statement <u>Gray: No response from MP or not attempted</u></p> <p>Overall: Green: 100% of MPs that attempted<u>Target Mass</u> were able to successfully download a Statement Yellow: 90% – 99.9400%<u>99.9400%</u> of MPs that attempted<u>Target Mass</u> were able to successfully download a Statement Red: < 90% of MPs that attempted<u>Target Mass</u> were able to successfully download a Statement</p>
Assumptions:	<ul style="list-style-type: none"> • SPP will poll MPs twice during SMT (9/15, 10/15) and once during Parallel Operations to confirm that MPs were able to download their statement • MPs should submit an RMS ticket if they were unable to download their statement<u>Successful downloads are based on SPP IT audit logs only and do not account for failures that may occur on the MP side</u> • This metric does not measure MP participation
Reported by:	SPP – Settlements workstream
Target Completion:	Market Trials –Structured/Unstructured Testing Phase
Data Source(s):	IT Audit Logs <u>Feedback from Market Participants</u>

STL-02: Access & Download Invoices

ID Number:	STL-02
Category:	SPP /Market Participants
Description:	Market Participants have the ability to access and download Invoices
Measurement Criteria:	<p>This metric is measured based on the Market Participant success rate of downloading Invoices. SPP will post the invoices, and Tthe success rate is based on data from IT audit logs that show if a Participant was<u>MP confirmation that they were</u> able to download an Invoice.</p> <p>By Market Participant: Green: Attempted and successfully download an Invoice</p>

	<p>Red: Attempted, but did not successfully download an Invoice <u>Gray: No response from MP or not attempted</u></p> <p>Overall: Green: 100% of <u>MPs that attempted Target Mass</u> were able to successfully download an Invoice Yellow: 90% – <u>99.9100%</u> of <u>MPs that attempted Target Mass</u> were able to successfully download an Invoice Red: < 90% of <u>MPs that attempted Target Mass</u> were able to successfully download an Invoice²</p>
Assumptions:	<ul style="list-style-type: none"> • <u>SPP will poll MPs twice during SMT (9/15, 10/15) and once during Parallel Operations to confirm that MPs were able to download their invoice</u> • <u>MPs should submit an RMS ticket if they were unable to download their invoice</u> <u>Successful downloads are based on SPP IT audit logs only and do not account for failures that may occur on the MP side.</u> • <u>This metric does not measure MP participation</u>
Reported by:	SPP – Settlements workstream
Target Completion:	Market Trials –Structured/Unstructured Testing Phase
Data Source(s):	<u>Feedback from Market Participants IT Audit Logs</u>

STL-03: Submit Meter Data

ID Number:	STL-03
Category:	<u>SPP/Market Participants</u>
Description:	Market Participants have the capability to submit meter data
Measurement Criteria:	<p>In order to measure this metric, SPP will verify that it can successfully consume MP submitted meter data files.</p> <p>This metric is measured by internal SPP validation jobs completing successfully (with no unexpected or unexplainable errors/warnings) and will be measured per physical asset rather than at the MP-level. Each participating asset will need to pass validation at least once.</p> <p>By Meter Agents: Green: Attempted and successfully submitted meter data Red: Attempted, but did not successfully submit meter data <u>Gray: Did not attempt to submit meter data</u></p> <p>Overall: Green: 100% of <u>assets-meter agents</u> successfully submit meter data <u>for each of their assets</u> Yellow: 90% – <u>99.9100%</u> of <u>assets-meter agents</u> successfully submit meter data <u>for each of their assets</u> Red: < 90% red of <u>assets-meter agents</u> successfully submit meter data <u>for each of their assets</u></p>
Assumptions:	• This metric is restricted to Meter Agents only
Reported by:	SPP – Settlements workstream

Target Completion:	Market Trials –Structured/Unstructured Testing Phase
Data Source(s):	IT Audit logs <u>Settlements Statistics</u>

STL-04: Submit Bilateral Settlement Schedule

ID Number:	STL-04
Category:	SPP/Market Participants
Description:	Market Participants have the ability to submit bilateral settlement schedules
Measurement Criteria:	<p>In order to measure this metric, SPP will verify that it can successfully consume bilateral settlement schedules submitted.</p> <p>This metric is measured by internal SPP validation jobs completing successfully (with no unexpected or unexplainable errors/warnings) and will be measured at the MP level. Of the MPs that submit bilateral settlement schedules the following success criteria applies:</p> <p>By Market Participants: Green: — Attempted and successfully submitted bilateral settlement schedules Red: — Attempted, but did not successfully submit bilateral settlement schedules</p> <p>Overall: Green: — 100% successfully submit bilateral settlement schedules Yellow: 90% — 100% successfully submit bilateral settlement schedules Red: — < 90% s successfully submit bilateral settlement schedules</p>
Assumptions:	<ul style="list-style-type: none"> • This metric will be based on the MPs that submit bilateral settlement schedules • This metric does not measure MP participation
Reported by:	SPP—Settlements workstream
Target Completion:	Market Trials—Structured/Unstructured Testing Phase
Data Source(s):	IT Audit logs

STL-05: Submit Dispute

ID Number:	STL-05
Category:	SPP/Market Participants
Description:	Market Participants have the ability to submit disputes
Measurement Criteria:	<p>In order to measure this metric, SPP will verify that it can successfully consume disputes submitted by MPs.</p> <p>This metric is measured by internal SPP validation jobs completing successfully (with no unexpected or unexplainable errors/warnings) and will be measured at the MP-level. <u>Each MP will need to pass validation at least once.</u></p> <p>By Market Participant: Green: Attempted and successfully submitted a dispute</p>

	<p>Red: Attempted, but did not successfully submit a dispute <u>Gray: No response from MP or not attempted</u></p> <p>Overall: Green: 100% of <u>MPs-Target Mass</u> successfully submit a dispute Yellow: 90% – <u>99.9100%</u> of <u>MPs-Target Mass</u> successfully submit a dispute Red: < 90% of <u>MPs-Target Mass</u> successfully submit a dispute</p>
Assumptions:	<ul style="list-style-type: none"> • This metric will be based on the MPs that submit disputes • This metric does not measure MP participation • Performed through RMS
Reported by:	SPP – Settlements workstream
Target Completion:	Market Trials – Structured/Unstructured Testing Phase
Data Source(s):	IT Audit logs <u>Settlements RMS</u>

STL-06: Settlement Statement Timeliness

ID Number:	STL-06
Category:	SPP
Description:	SPP posts Settlement Statements on time
Measurement Criteria:	<p>This metric has been created to demonstrate that SPP posts Settlement Statements on time, reliably and consistently. This metric will be measured over a set time period during Market Trials/<u>Parallel Operations</u>, with the following success criteria:</p> <p><u>Overall:</u> <u>Green: Successfully posted Settlement Statements on time, reliably and consistently over Market Trials/Parallel Operations</u> <u>Red: Unsuccessfully posted Settlement Statements on time, reliably and consistently over Market Trials/Parallel Operations</u> <u>Gray: Did not attempt to post Settlement Statements</u></p> <p>Metric Complete: Settlement Statements are posted by end of day for 7 consecutive calendar days during Market Trials, including Initial <u>and</u>; Final, Resettlement</p>
Assumptions:	• Dependent on Market Trials Approach
Reported by:	SPP – Settlements & Market Trials workstreams
Target Completion:	Market Trials - by end of Parallel Ops
Data Source(s):	Markets Trials data

STL-07: SPP Validation of Settlement Charge Types

<u>ID Number:</u>	<u>STL-07</u>
<u>Category:</u>	<u>SPP</u>

Description:	<u>SPP validates settlement charge types by MP</u>
Measurement Criteria:	<p><u>This metric will validate, from an SPP perspective, the charge types that have calculated results for MPs.</u></p> <p>Overall:</p> <p><u>Green: >90% of Charge Types with calculated results were utilized by Target Mass</u></p> <p><u>Yellow: 75 - 89% of Charge Types with calculated results were utilized by Target Mass</u></p> <p><u>Red: <75% of Charge Types with calculated results were utilized by Target Mass</u></p> <p><u>Gray: Metric not started</u></p> <p>Metric Complete:</p> <p><u>100% of Charge Types with calculated results were utilized by Target Mass. Charge Types with calculated results not utilized by Target Mass are explainable.</u></p>
Assumptions:	<ul style="list-style-type: none"> <u>All charge types may not hit 100% by Target Mass because there are certain scenarios that cannot be forced on certain MPs</u>
Reported by:	<u>SPP – Settlements & Market Trials workstreams</u>
Target Completion:	<u>11/12/2013</u>
Data Source(s):	<u>Settlements Charge Type Scorecard</u>

SPP Internal Metrics

INT-01: Process & Procedures

ID Number:	INT-01
Category:	SPP
Description:	SPP Integrated Marketplace processes / procedures will be complete prior to go-live
Measurement Criteria:	<p>This metric measures process/procedure development for the Integrated Marketplace across the organization. This metric will be measured across the impacted internal SPP departments. Processes and procedures will be grouped as critical and non-critical. Overall due dates for the following status of processes/procedures will be established internally and tracked accordingly:</p> <ul style="list-style-type: none"> • Draft Complete • Final Draft Approved <p>Critical Processes Green: All critical processes and procedures are tracking on time Yellow: One or more critical process or procedure Draft Complete is either missed or at risk or the Final Approval date is at risk Red: One or more critical process or procedure Final Approval date is missed or tracking late</p> <p>Non-Critical Processes Green: All non-critical processes and procedures are tracking on time Yellow: One or more non-critical process or procedure Draft Complete is either missed or tracking late or the Final Approval date is missed or tracking late</p> <p>Metric Complete: All processes and procedures developed by target completion date</p>
Assumptions:	<ul style="list-style-type: none"> • Does not include Emergency Procedures • Updates based on experience in testing/Parallel Ops may be made after Final Approval • Additional Processes/Procedures may be added
Reported by:	SPP – Multiple Departments
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	Readiness Plans, Operations Process Tracker Process and Procedure SharePoint Tracker

INT-02: Organizational Staffing Readiness

ID Number:	INT-02
Category:	SPP
Description:	SPP will ensure that staffing requirements for the Integrated Marketplace have been

	met.
Measurement Criteria:	<p>This metric measures the staffing requirements of the Integrated Marketplace across the organization.</p> <p>Overall:</p> <p>Green: All Integrated Marketplace positions have been filled within 90 days of the Posting Date <u>Approved Hire Date</u></p> <p>Yellow: One or more Integrated Marketplace positions is not filled within 90 days of the Posting Date <u>Approved Hire Date</u></p>
Assumptions:	<ul style="list-style-type: none"> • New staffing requirements may be identified over time. • A filled position indicates that the resource has started their position at SPP.
Reported by:	SPP – Human Resources
Target Completion:	Go-Live
Data Source(s):	Human Resources Job Tracker

INT-03: SPP Internal Training

ID Number:	INT-03
Category:	SPP
Description:	SPP staff performing Integrated Marketplace functions complete required training
Measurement Criteria:	<p>The readiness workstream will verify that SPP staff performing Integrated Marketplace functions completed required Integrated Marketplace training offered by the Internal Training workstream. Completing training includes attending the course (classroom or computer-based) and passing the course assessment.</p> <p>Overall:</p> <p>Green: 96% of SPP staff performing Integrated Marketplace functions have no incomplete training requirements within 30 days of due date</p> <p>Yellow: Less than 96% of SPP staff performing Integrated Marketplace functions have completed training requirements within 30 days of due date (not registered for a class that may be occurring during that 30 days)</p> <p>Red: Less than 96% SPP staff performing Integrated Marketplace functions have completed the required Integrated Marketplace training by the established due dates</p> <p>Metric Complete:</p> <p>96% of SPP staff performing Integrated Marketplace functions have completed the required Integrated Marketplace training</p>
Assumptions:	<ul style="list-style-type: none"> • This metric does not include training required for Operator desk qualifications, that is tracked in metric INT-04 • Readiness workstream will work with each department to determine training requirements for each staff member • Completion dates for specific training sessions will be determined by each department • If a staff member has registered for a class that is occurring during the 30 days prior to the training due date, that will not be marked as incomplete
Reported by:	SPP – Training workstream
Target	Go-Live

Completion:	
Data Source(s):	Learning Management System (LMS) Reports

INT-04: SPP Operations Training

ID Number:	INT-04
Category:	SPP
Description:	SPP operations staff completes required training and desk qualifications.
Measurement Criteria:	<p>The readiness workstream will verify that SPP operations staff has completed required Integrated Marketplace training and desk qualifications. Completing training includes attending the course (classroom or computer-based) and passing the course assessment.</p> <p>Green: 96% of SPP Operations staff have no incomplete training requirements within 30 days of due date</p> <p>Yellow: Less than 96% of SPP Operations staff have completed training requirements within 30 days of due date (not registered for a class that may be occurring during that 30 days)</p> <p>Red: Less than 96% of SPP Operations staff members have completed the required Integrated Marketplace training by the established due dates</p> <p>Metric Complete: 96% of SPP Operations staff members have completed the required Integrated Marketplace training</p>
Assumptions:	<ul style="list-style-type: none"> • Training requirements will be determined by the Operations Training workstream • Completion dates for specific training sessions will be determined by the Ops Training workstream • If a staff member has registered for a class that is occurring during the 30 days prior to the training due date, that will not be marked as incomplete
Reported by:	SPP – Operations Training workstream
Target Completion:	<p>Overall completion date: Go-Live</p> <p>Interim measurement dates:</p> <ul style="list-style-type: none"> • Phase 1: 12/1/2012 • Phase 2: 2/1/2013 • Phase 3 & 4: 2/1/2014
Data Source(s):	DQ (Desk Qualifications) Database <u>Operations Training Status Report</u>

Transmission Congestion Rights Metrics

TCR-01: Validate Annual TCR Auction Timeline

ID Number:	TCR-01
Category:	SPP
Description:	SPP will verify the TCR annual auction timeline through TCR Market Trials
Measurement Criteria:	<p>The timeline for each step of the annual TCR auction process (Verification, ARR Allocation, and TCR Auction) will be verified during TCR Market Trials</p> <p>Green: Post results according to established timeline (includes interim posting dates for Verification and ARR Allocation steps)</p> <p>Yellow: Missed interim posting dates for Verification and/or ARR Allocation phase, but final results posting date not in jeopardy</p> <p>Red: Final results posting date in jeopardy or miss final results posting timeline</p> <p>Metric Complete: The TCR annual auction results are posted on time for phase two of TCR Market Trials</p>
Assumptions:	<ul style="list-style-type: none"> • The annual auction held during TCR Market Trials will be an abbreviated version of the annual TCR auction • Dependent on TCR Market Trials Approach: <ul style="list-style-type: none"> ○ Timeline and posting dates will be communicated in the TCR Market Trials Approach
Reported by:	SPP – TCR workstream
Target Completion:	End of TCR Market Trials
Data Source(s):	iHedge

TCR-02: Validate Monthly TCR Auction Timeline

ID Number:	TCR-02
Category:	SPP
Description:	SPP will verify the TCR monthly auction results are posted on time during TCR Market Trials
Measurement Criteria:	<p>The timeline for each step of the monthly TCR auction process (Verification, ARR Allocation, and TCR Auction) will be verified during TCR Market Trials</p> <p>Green: Post results according to established timeline (includes interim posting dates for Verification and ARR Allocation steps)</p> <p>Yellow: Missed interim posting dates for Verification and/or ARR Allocation phase, but final results posting date not in jeopardy</p> <p>Red: Final results posting date in jeopardy or miss final results posting timeline</p>

	Metric Complete: Three of the four months are posted on time for phase two of TCR Market Trials
Assumptions:	<ul style="list-style-type: none"> • Dependent on TCR Market Trials Approach: <ul style="list-style-type: none"> ○ Timeline and posting dates will be communicated in the TCR Market Trials Approach ○ Dependent on TCR Market Trials approach for final # of monthly auctions
Reported by:	SPP – TCR workstream
Target Completion:	End of TCR Market Trials
Data Source(s):	iHedge

TCR-03: TCR Production – Abbreviated Annual Auction

ID Number:	TCR-03
Category:	SPP
Description:	TCR production will begin prior to the Integrated Marketplace go-live and results for the first three (3) months (<u>March, April, and May</u>) are posted.
Measurement Criteria:	<p>This metrics verifies that Production TCR results <u>from the Interim Annual Allocation and Auction</u> are posted for the first 3 months of Integrated Marketplace production. Results need to be posted according to the established timeframe.</p> <p>Green: Post results according to established timeline (includes <u>interim</u>-posting dates for Verification, <u>and</u> ARR Allocation, <u>and TCR Auction</u> steps)</p> <p>Yellow: <u>Missed interim</u> <u>Miss</u> posting dates for Verification and/or ARR Allocation phase, but <u>final TCR Auction</u> results posting date <u>is</u> not in jeopardy</p> <p>Red: <u>Final The TCR Auction</u> results posting date <u>is</u> in jeopardy or miss <u>final TCR Auction</u> results posting timeline</p> <p>Metric Complete: The TCR <u>Abbreviated Interim</u> Annual <u>A</u>uction results for first 3 months of TCR production are posted</p>
Assumptions:	<ul style="list-style-type: none"> • <u>Timeline for TCR production is TBD and will be updated at a later date</u> • <u>This is a production metric, but has an impact to other systems in the Integrated Marketplace</u> • <u>Posting dates for ARR Allocation are on 11/7/13, 11/15/13, and 11/22/13</u> • <u>Posting date for TCR Auction is on 12/13/13</u>
Reported by:	SPP – TCR workstream
Target Completion:	<u>February 6, 2013 – TCR Production scheduled to start October 28, 2013</u> <u>December 13, 2013</u>
Data Source(s):	iHedge

TCR-04: TCR Production – ~~Two-Three~~ Monthly Auctions

ID Number:	TCR-04
Category:	SPP
Description:	TCR production will begin prior to the Integrated Marketplace go-live and results for the <u>first three (3) months (March, April and May) 2013 auctions</u> are posted.
Measurement Criteria:	<p>This metrics verifies that Production TCR results <u>from the Interim Monthly Allocations and Auctions</u> are posted for the first <u>23</u> months (<u>March, April and May</u>) of Integrated Marketplace production. Results need to be posted according to the established timeframe.</p> <p>Green: Post results according to established timeline (includes <u>interim</u>-posting dates for Verification, <u>and</u>-ARR Allocation <u>and TCR Auction</u> steps)</p> <p>Yellow: Missed <u>interim</u> posting dates for Verification and/or ARR Allocation phase, but <u>final-the TCR Auction</u> results posting date <u>is</u> not in jeopardy</p> <p>Red: <u>Final-The TCR Auction</u> results posting date in jeopardy or miss <u>final the TCR Auction</u> results posting timeline</p> <p>Metric Complete: The TCR monthly auction results for the <u>March, April and May 2014</u> auctions of TCR production are posted</p>
Assumptions:	<ul style="list-style-type: none"> • The timeline for TCR production will follow the schedule outlined in the Initial ARR-TCR Auction Timeline • <u>TCR monthly auction results for March, April and May are posted on 2/14/14, 3/28/14 and 4/18/14, respectively</u>
Reported by:	SPP – TCR workstream
Target Completion:	December 13, 2013 <u>TCR Production scheduled to start October 28, 2013</u> <u>April 18, 2014</u>
Data Source(s):	iHedge

TCR-05: TCR Market Trials Participation

ID Number:	TCR-05
Category:	Market Participant
Description:	Verify Market Participant participation in TCR Market Trials.
Measurement Criteria:	<p>This metric measures MP participation in the TCR Market Trials. It is important to have a high level of participation for several reasons, including increasing MP knowledge and ensuring quality results of Market Trials. The following measurement criteria will be used for TCR Market Trials participation:</p> <p>By Market Participant:</p> <p>Green: Participating at the time of metrics reporting</p> <p>Red: Not participating at the time of metrics reporting</p> <p>Gray: Not participating, MP with no current NITS reservation on OASIS</p> <p>Overall:</p>

	<p>Green: > 90% of “High Priority” MPs and over 50% of candidate ARRs nominated and participated in the TCR auction either in annual or monthly</p> <p>Yellow: Met one of the “green” criteria, but not the other</p> <p>Red: Did not meet either one of the two “green” criteria</p>
Assumptions:	<ul style="list-style-type: none"> • “High Priority” MPs defined by TCR workstream as <i>any MP with a current NITS reservation on OASIS</i> • Applicable for both phase one and phase two • Metrics are calculated based on megawatt values
Reported by:	SPP – TCR workstream
Target Completion:	End of TCR Market Trials Production
Data Source(s):	iHedge

TCR-06: TCR Market Trials October Monthly Participation

<u>ID Number:</u>	<u>TCR-06</u>
<u>Category:</u>	<u>Market Participant</u>
<u>Description:</u>	<u>Verify Market Participant October participation in TCR Market Trials.</u>
<u>Measurement Criteria:</u>	<p><u>This metric measures MP October participation in TCR Market Trials. It is important to have a high level of participation for several reasons as the last monthly auction prior to the planned TCR Go-Live. The following measurement criteria will be used for TCR Market Trials participation:</u></p> <p><u>By Market Participant:</u></p> <p><u>Green: Participating in the October Monthly process</u></p> <p><u>Red: Not participating in the October Monthly process</u></p> <p><u>Gray: Not Applicable - MP with no current NITS reservation on OASIS</u></p> <p><u>Overall:</u></p> <p><u>Green: 100% of “High Priority” MPs participated in the TCR auction per stated intention to participate</u></p> <p><u>Red: < 100% of “High Priority” MPs participated in the TCR auction per stated intention to participate</u></p>
<u>Assumptions:</u>	<ul style="list-style-type: none"> • <u>“High Priority” MPs defined by TCR workstream as <i>any MP with a current NITS reservation on OASIS</i></u> • <u>Metrics are calculated based on megawatt values</u> • <u>MP states intent to participate through RMS, intent noted through the RMS ticket to not participate will serve as participation</u>
<u>Reported by:</u>	<u>SPP – TCR workstream</u>
<u>Target Completion:</u>	<u>End of TCR Market Trials Production</u>
<u>Data Source(s):</u>	<u>iHedge</u>

CERTIFICATE OF SERVICE

I hereby certify that I have served this day copies of the foregoing on the official service list compiled by the Office of the Secretary in accordance with Rule 2010 of the Commission Rules of Practice and Procedure.

Dated at Little Rock this 1th day of November, 2013.

/s/ Matthew S. Harward
Matthew Harward

Attorney for
Southwest Power Pool, Inc.